U.S. Citizenship and Immigration Services

U.S. Citizenship
and Immigration
Services

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Objective

- To provide a brief overview of the Freedom of Information Act/Privacy Act Information Processing System (FIPS).

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What does FIPS do?

- Provides workflow processing for the life of a case;
  - image capture
  - redaction and printing of responsive records
  - correspondence with the requester
  - management reporting.
- FIPS can support the receipt of more than 10,000 requests to USCIS a month, and supports all subsequent processing required.

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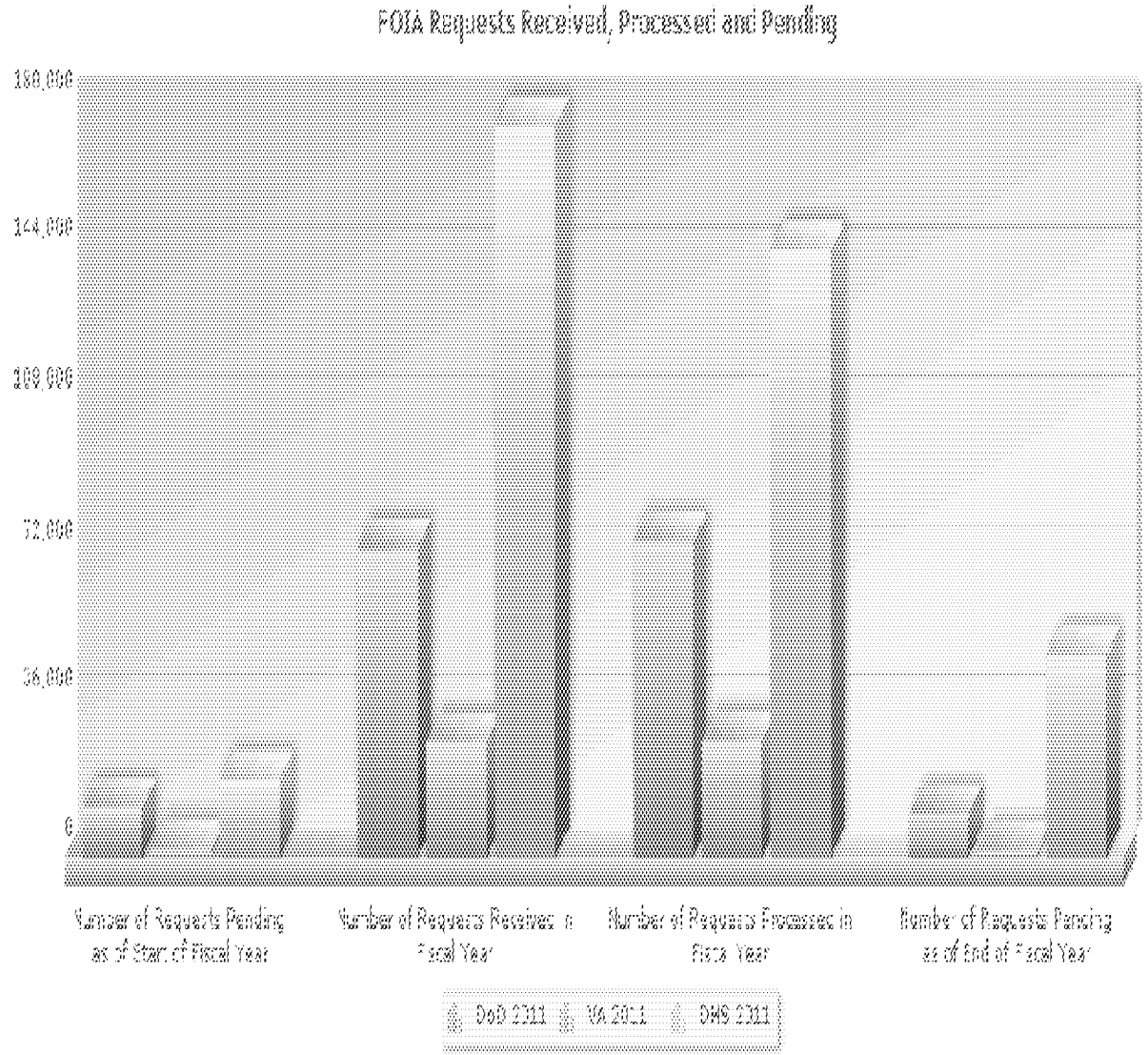
DHS is the busiest FOIA Agency:

The Three Top FOIA Agencies, FY2011



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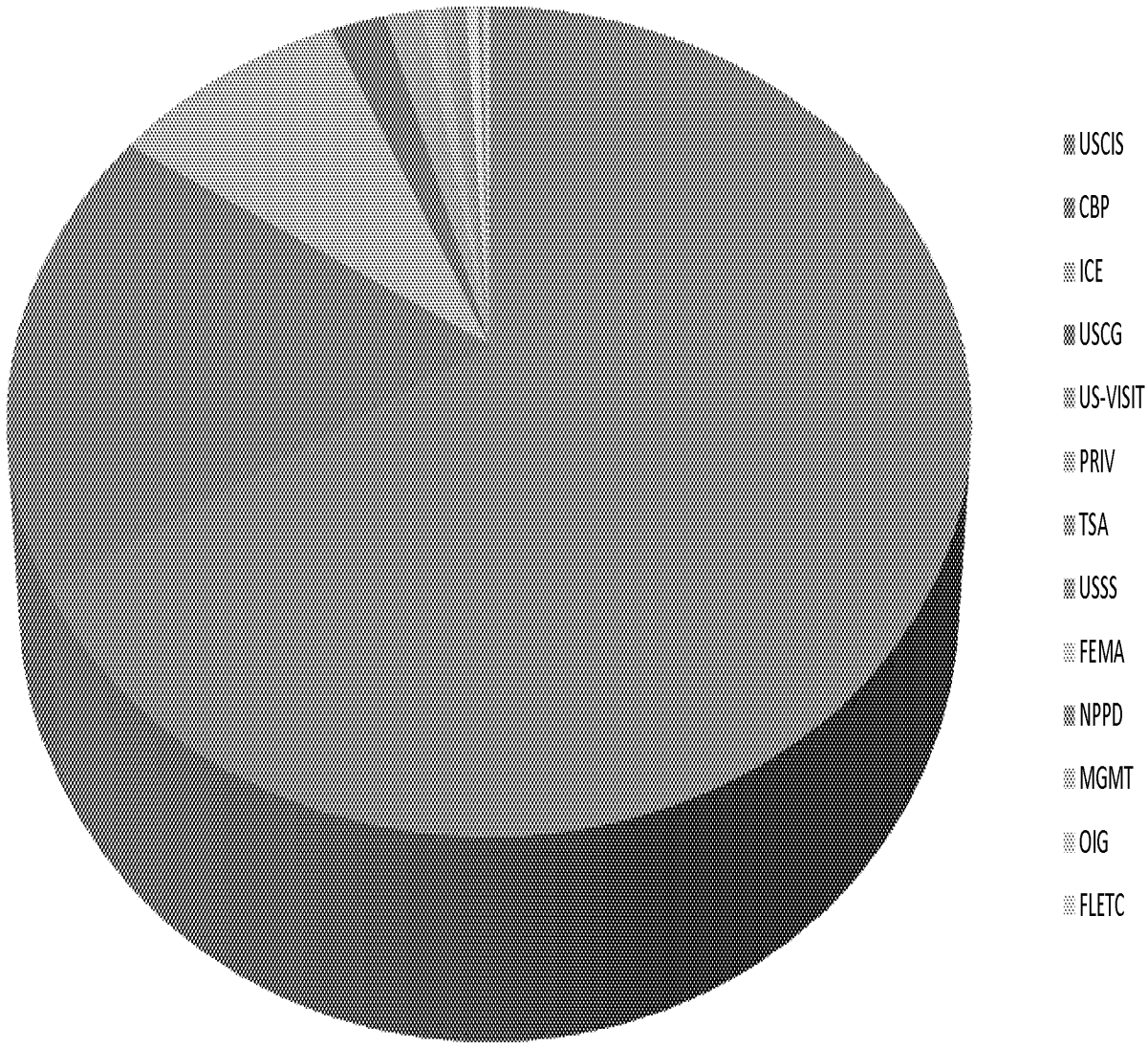
Within DHS, USCIS is busiest:



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People at Work:

- Records Scanners scan all hard copy information including requests, responsive records and other documentation into FIPS
- Case Creators create cases, generate letters, request responsive records, and close cases that do not require local processing
- Processors redact responsive records with exemption codes and determine final actions for cases
- Case Approvers review redactions, approve final actions, determine costs and applicable fees, and close cases
- Print Managers print cases, correspondence and other FIPS documents
- Unit Chiefs provide supervisory and managerial support
- Administrators provide system content support including maintaining look-up table data and user information, and reassigning cases as needed

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FIPS

- This application is composed of the Image Viewer window and the Worksheet window
- Allows the user to perform case processing tasks like case creation, case approval, case close, case searches, etc.
- Available to the following user roles:
  - Case Creator,
  - Records Locator,
  - Case Processor Track 1/2/3,
  - Case Approver Track 1/2/3,
  - Administrator,
  - Unit Chief,
  - Up-front Approver, and
  - Stand-Alone.

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Scan

- This application handles conversion of physical documents into digital images.

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Reports

- Allows managers to create a broad array of reports from the FIPS database.
- When we need a new report, FIPS administrators will design the SQL search strings and the format of the report to our specification.

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Print Manager

- Once an approver is finished with a document, it goes to the "print queue," a subset of the FIPS database.
- Print Manager allows office automation personnel to schedule printing, stop printing, and restart printing as necessary.

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STEP 1: Scanning

- FIPS uses imaging technology to capture electronic copies of paper documents associated with FOIA/PA requests initially, when we receive responsive records, and whenever we receive correspondence about a case. The initial control number ends in "REQ." Scanned documents could be:
  - The initial request letter and supporting documents (correspondence, the envelope, etc.)
  - Requester Documentation (if we have asked for additional information or consent)
  - Responsive Records (and Staffing Response)
  - Supporting Documents such as address change, request modification or withdrawal
  - Remand/Non-Compliance Appeal

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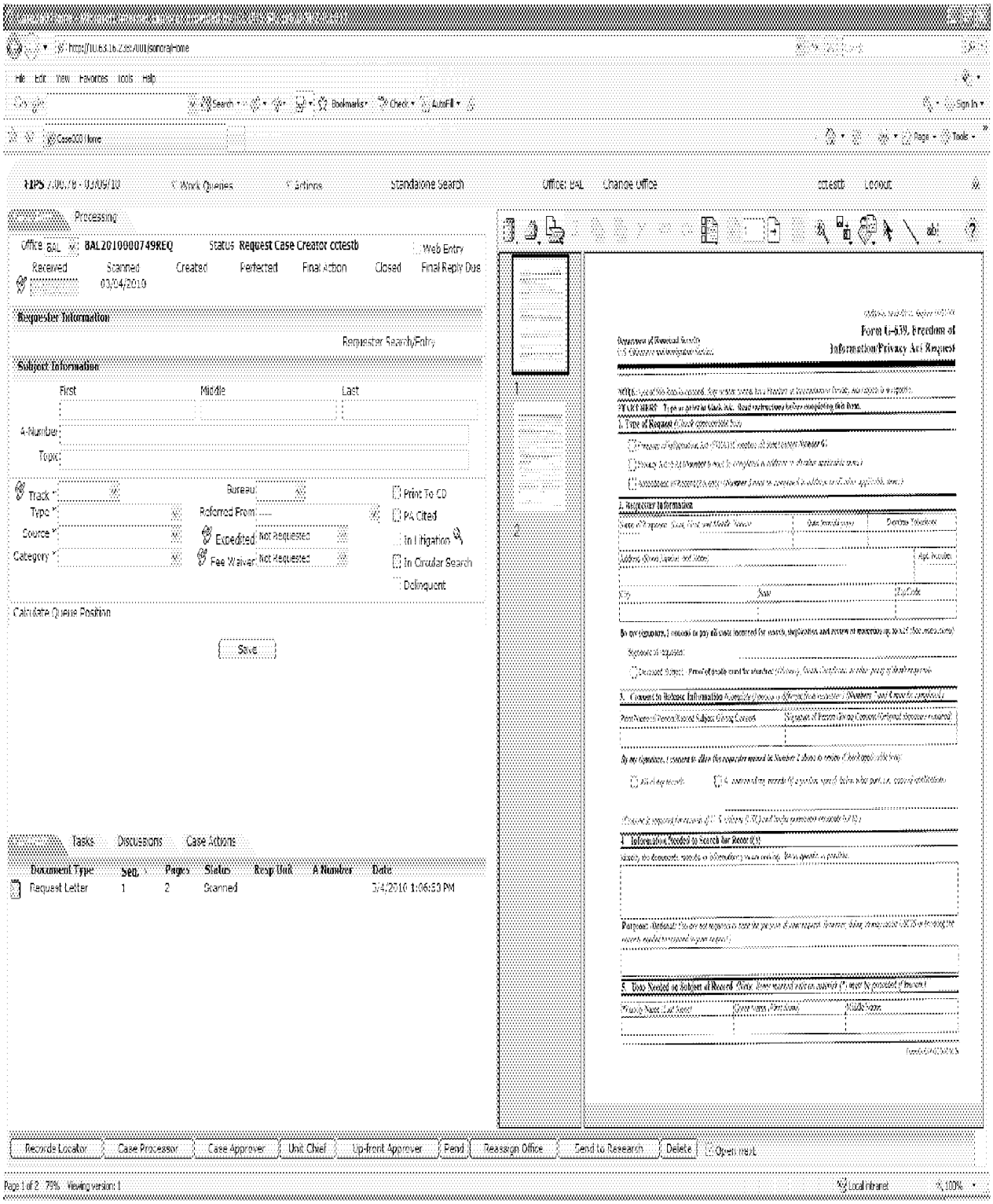
STEP 2: Creating the Case



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STEP 2: Creating the Case

- As the case creator fills in the worksheet, the information becomes part of the FIPS database.
- After this, the case creator determines type, source, category and track, and will search for similar or duplicate cases and then creates the case to assign an NRC case control number to the case.
- The creator prepares an acknowledgement letter (provided by FIPS in Microsoft Word) and prepares a request for the file.

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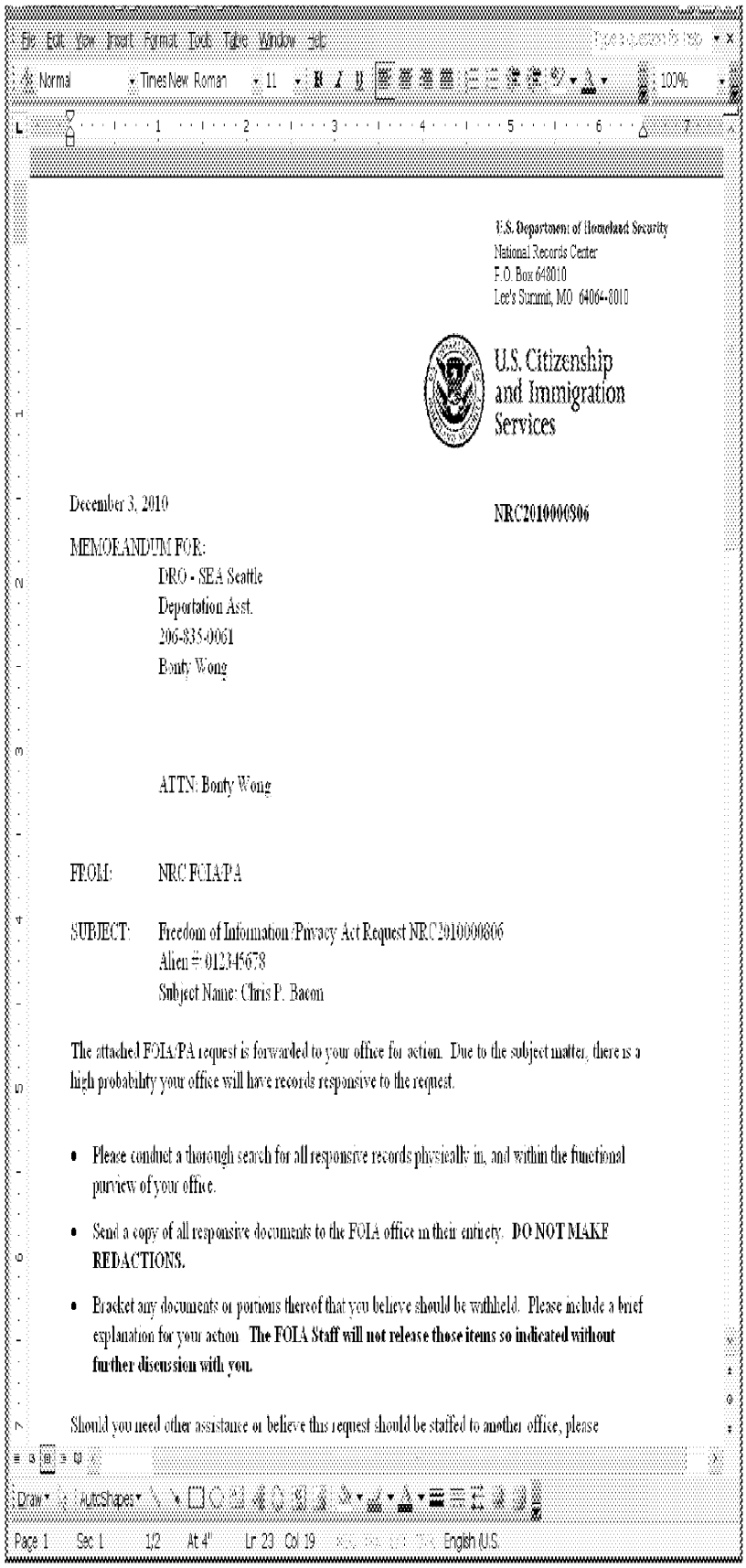
Correspondence

- The request for the file is called the "staffing sheet" and is provided by FIPS in Microsoft Word.
- The Case Creator prepares an acknowledgement letter, and makes changes if the requester specified documents (as opposed to the whole file).



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.
206-835-0061
Bonty Wong

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC2010000806
Alien # 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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After Staffing:

- The contractor sends for the file or retrieves the file from the shelf at NRC.
- The contractor scans the entire file into a responsive records image slot.
- The case then goes to the processing queue, which is sorted by the date we received the request, not by the date when the file was scanned.

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STEP 3: Processing the Case

- Case Processors redact Responsive Records.
- A processor sees the combined Worksheet and the Image, with the redaction palette in the FIPS application.
- The processor "checks out" the responsive record, edits it, and then checks it in.
- The processor uses the redaction palette to redact sections of the document, including full pages, and to assign exemption codes to each of the redacted sections.

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During Redaction:

- Case Processors can perform the following activities in the redaction application:
  - Highlight an area of text to be redacted, including a full page.
  - Assign exemption codes to redacted text.
  - Remove highlighting and redactions.
  - Create Discussions for unusual circumstances that have affected processing decisions.
  - Refer records to other government agencies.
  - Create a Summary Discussion.
  - Create a final action letter to the requester, explaining what FOIA/PA Exemptions were cited, giving a brief explanation of the types of information we withheld under each of those exemptions, and explaining how to appeal our determination.
  - Create referral letters, as needed.

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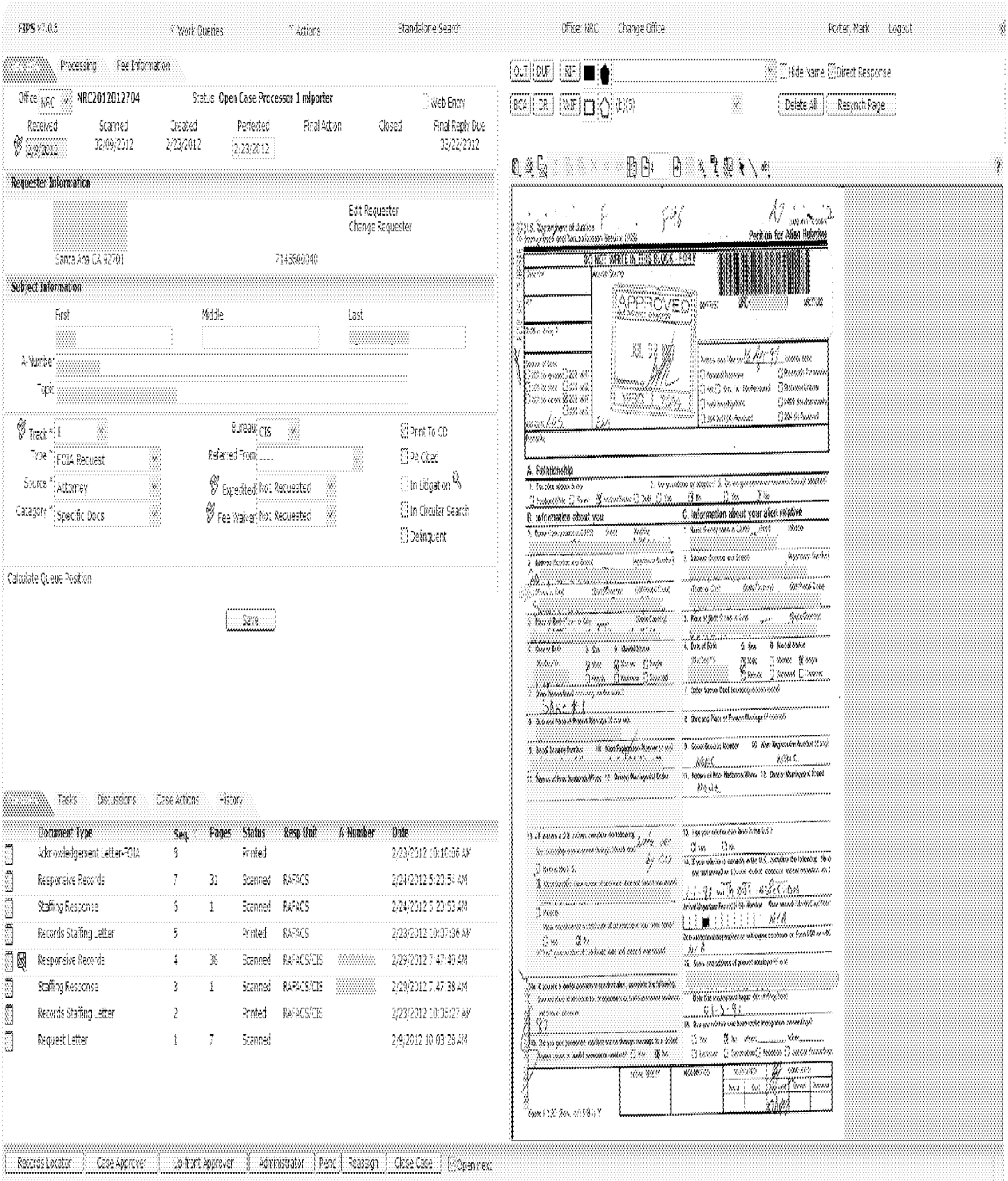

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Grayed-in areas were added after processing for purposes of this presentation.

STEP 4: Reviewing, Approving, and Closing the case

- Approvers open cases in queue in the Case Approver role.
- The standard interface is the combined Worksheet and Image Viewer forms in the FIPS application. The approver also has the redaction palette.
- The Image Viewer window allows the user to review the responsive records and any redactions. The approver is then able to finalize and close the case.

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Reviewing, Approving, Closing

- Case Approvers can perform the following actions:
  - Process records
  - Review redactions and send the case back to the processor, if necessary
  - If applicable, assess fees for services rendered, pend for payment, and update case when payment is received
  - Change a final action code
  - Modify or create new correspondence
  - Close the case and send it to the printing queue

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STEP 5: Printing

- Documents in the print queue do not print until the Office Automation user selects them, at which point the Print Manager application will send the selected documents to the Windows print queue for printing to the default printer.
- We print to CD by default. We send paper records only when the requester specifies paper or if the mailing address is to a detention facility or correctional institution.

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The "OA Room"

- Office Automation Personnel can perform the following activities in the printing application:
  - Choose a printer to which to route the print jobs.
  - Select specific document types to be printed.
  - Select all types of documents to be printed.
  - Select documents to be printed to paper, if paper is required.
  - Request a previously printed document to be printed again.
  - Print acknowledgment letters, transfer letters, referral letters, status letters, staffing letters, responsive records, index worksheets, final action letters, request letters, staffing responses, request statuses, and payment letters.

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REPORTS

- FIPS generates reports from the FIPS database used by managers at every level of the FOIA/PA process.
- Reports are viewable in a Crystal Reports frame, and exportable to PDF and Excel.
- Managers at various levels are interested in different kinds of reports. Reports categories are:
  - Annual
  - Appeals
  - Balanced Scorecard
  - Detailed
  - Management
  - Monthly Performance Measures Detail
  - Monthly Performance Measures Summary
  - Summary
  - Troubleshooting

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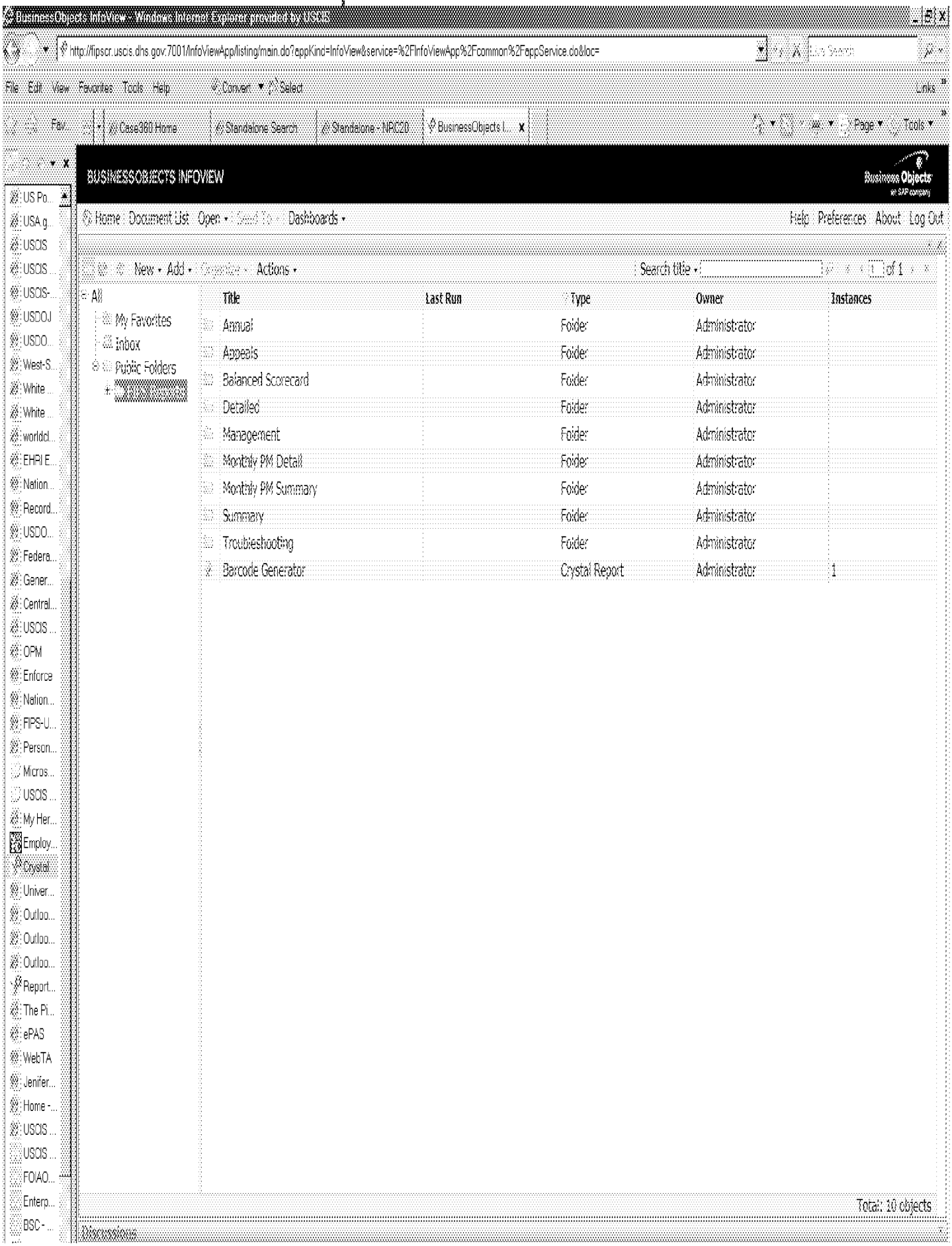
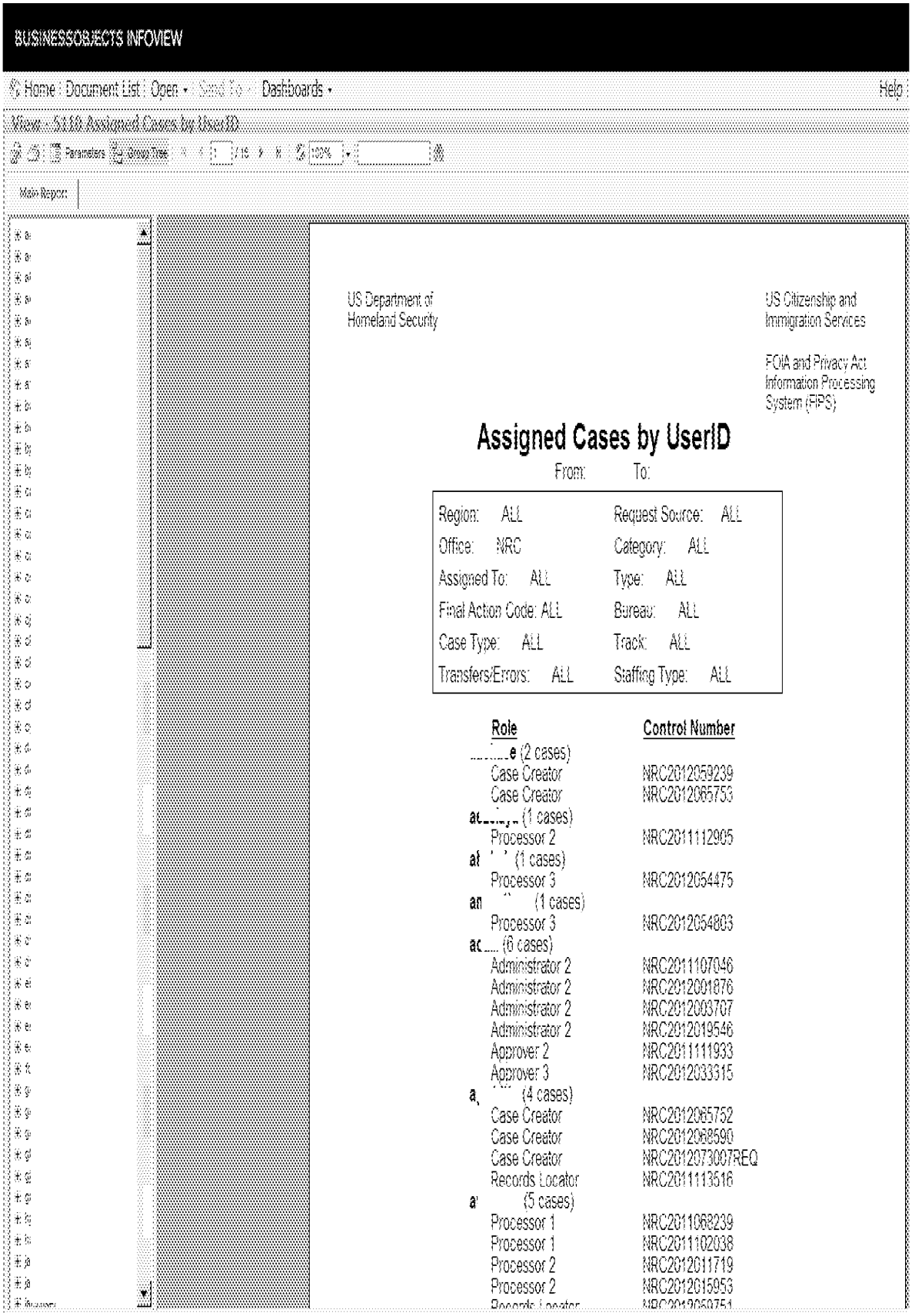
Different kinds of reports for different functions:





This report quickly shows who has what cases.

Most reports allow specific parameters.

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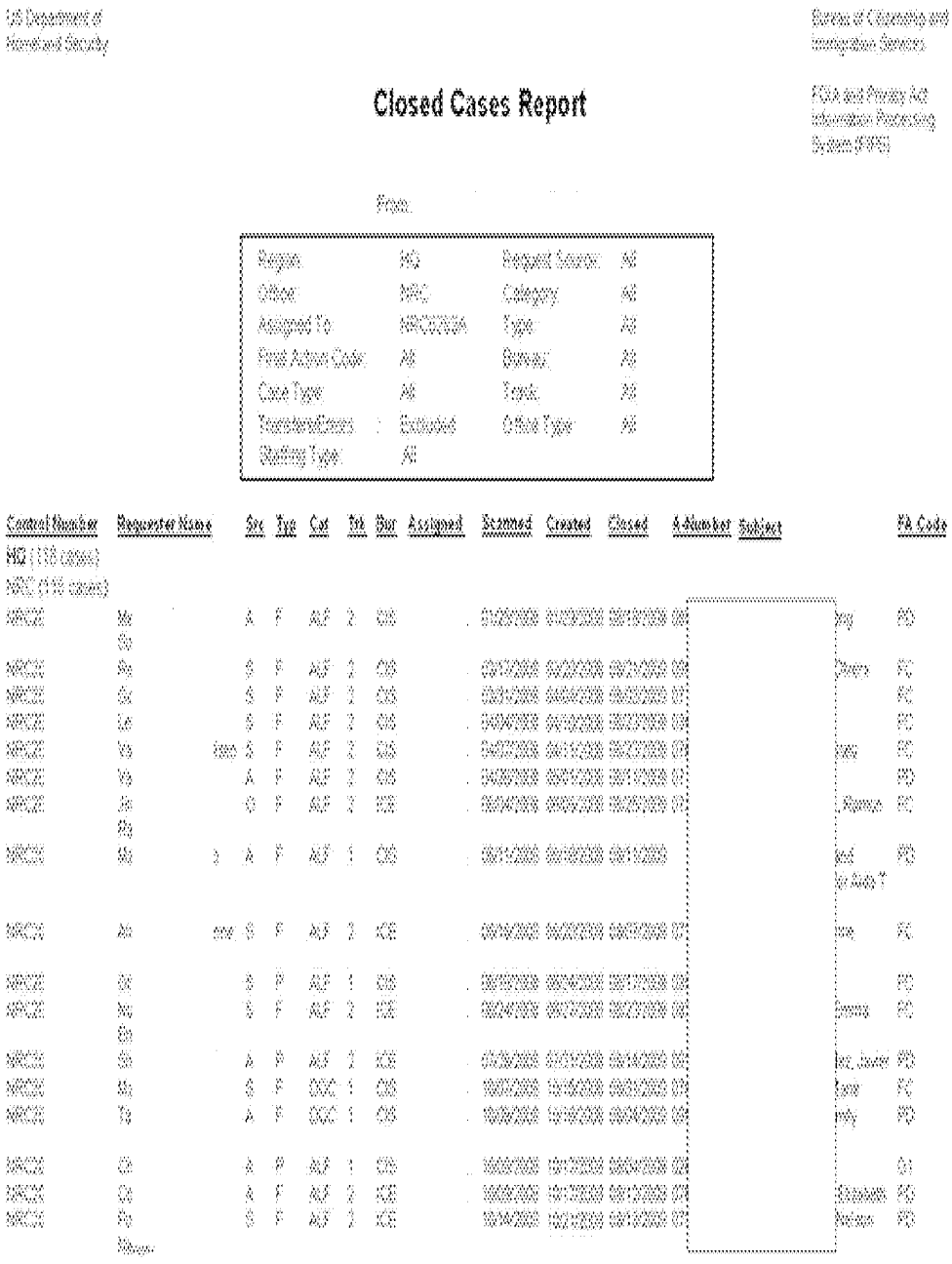

US Department of Homeland Security

Bureau of Citizenship and Immigration Services

Privacy Act Information Processing System (PIPS)

Closed Cases Report

From:

Region:	NQ	Request Source:	All
Office:	NRC	Category:	All
Assigned To:	NRC0030A	Type:	All
Final Action Code:	All	Status:	All
Case Type:	All	Track:	All
Transferred Cases:	Excluded	Office Type:	All
Staffing Type:	All		

Control Number	Requestor Name	Src	Typ	Cat	Trk	Stat	Assigned	Received	Created	Closed	A-Number	Subject	FA Code
NQ (158 cases)													
NRC (176 cases)													
NRC20	Ma		A	F	ADF	2	CIS		01/07/2003	01/07/2003	08/19/2003	02	Ng FD
	Gi												
NRC20	Ma		S	F	ADF	2	CIS		03/17/2003	04/22/2003	08/21/2003	02	Chang FC
NRC20	Ga		S	F	ADF	2	CIS		03/31/2003	04/02/2003	08/27/2003	02	FC
NRC20	Lia		S	F	ADF	2	CIS		04/04/2003	04/10/2003	08/27/2003	02	FC
NRC20	Ya	Hon	S	F	ADF	2	CIS		04/07/2003	04/17/2003	08/27/2003	02	Lee FC
NRC20	Ya		A	F	ADF	2	CIS		04/07/2003	05/01/2003	08/21/2003	02	FD
NRC20	Jia		S	F	ADF	2	ICE		03/24/2003	05/05/2003	08/26/2003	02	Ramos FC
	Ely												
NRC20	Mi		A	F	ADF	1	CIS		08/11/2003	08/19/2003	08/19/2003		Lee FD
													Lee, Linda T
NRC20	An	Hon	S	F	ADF	2	ICE		08/04/2003	08/27/2003	08/27/2003	02	Lee FC
NRC20	Ge		S	F	ADF	1	CIS		08/07/2003	08/14/2003	08/27/2003	02	FD
NRC20	Ma		S	F	ADF	2	ICE		08/24/2003	08/27/2003	08/27/2003	02	Chang FC
	Ely												
NRC20	Gi		A	F	ADF	2	ICE		07/08/2003	08/01/2003	08/14/2003	02	Lee, Linda FD
NRC20	Ki		S	F	DDC	1	CIS		08/01/2003	08/14/2003	08/21/2003	02	Lee FC
NRC20	Ta		A	F	DDC	1	CIS		08/04/2003	08/14/2003	08/21/2003	02	Hwang FD
NRC20	Gi		A	F	ADF	1	CIS		08/07/2003	08/11/2003	08/14/2003	02	FD
NRC20	Gi		A	F	ADF	2	ICE		08/07/2003	08/11/2003	08/27/2003	02	Edwards FD
NRC20	Ro		S	F	ADF	2	ICE		08/04/2003	08/11/2003	08/27/2003	02	Nelson FC
	Mayo												

Requested By: Closed Office(s): Page 1 of 4

Here, a first-line supervisor has generated a four page report for one processor.

First line supervisors are interested in production and correcting errors.

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Excel:

Some reports in Crystal Reports have a column of actions for every FIPS user. Those reports scroll to the right until the last user, and are impractical to print. A supervisor can export reports to Excel and lock the first column with the legends to manage the data more practically.

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Managers at higher levels are interested in

- statistical analysis,
- bottlenecks
- areas for improvement,
- congressionally required reports.

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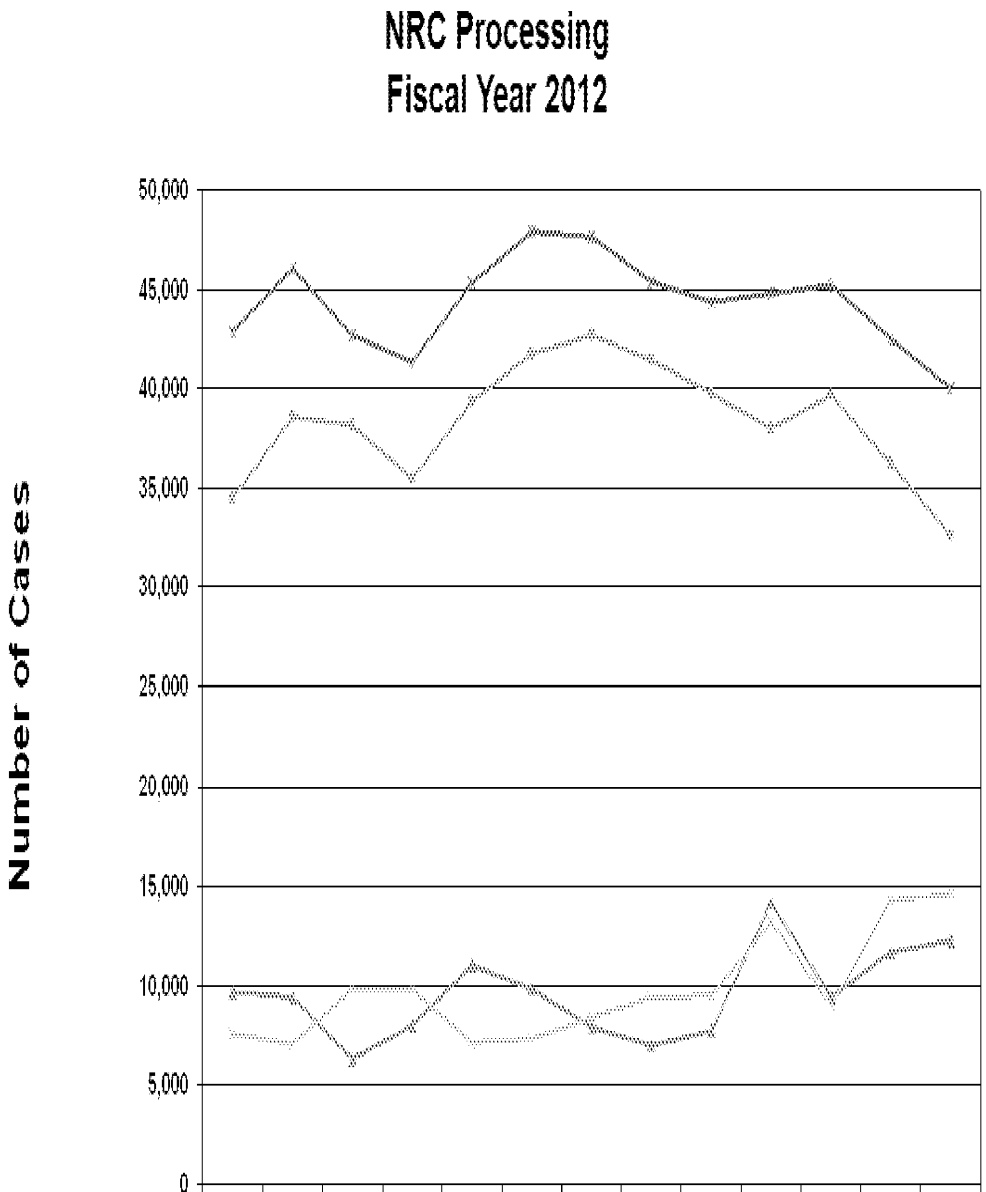
Here, a higher-level manager can quickly see that we are closing more cases per month than we are receiving, which is good news.



	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Cases Created	9,631	9,360	6,299	8,000	11,003	9,827	7,845	6,968	7,732	14,139	9,356	11,633	12,250
Cases Closed	7,517	7,015	9,841	9,776	7,158	7,335	8,406	9,369	9,479	13,172	8,944	14,290	14,603
Cases Pending	42,866	46,098	42,666	41,383	45,265	47,897	47,643	45,374	44,398	44,806	45,210	42,515	40,058
Backlog	34,501	38,549	38,162	35,506	39,371	41,806	42,735	41,422	39,799	37,982	39,690	36,276	32,612

A person working in the USCIS FOIA Program Office created this chart in Excel from data imported from FIPS.

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Questions?

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Objectives

To define Freedom of Information Act and the Privacy Act.

To understand the concept of creating cases in FIPS by reading and analyzing the information provided on the FOIA/PA request.

Part I – Freedom of Information Act and the Privacy Act

Questions you have to be able to answer:

- What are FOIA and PA?
- What are agency requirements?
- What are requester requirements?

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Freedom of Information Act

- The Freedom of Information Act gives all people the right to request federal executive branch records. 5 U.S.C. § 552

- Any person can request access to any record maintained by any federal agency (this applies to Executive Branch only). The FOIA has its own definition of "person."

- Requires agencies to release the requested record/s unless one or more of the nine exemptions protects the information.

Agency Requirements

- Agencies must:
  - Conduct a diligent search for records responsive to the request
  - Comply with time limits: respond within 20 working days (unless unusual circumstances exist)
  - Release responsive records unless an exemption applies

Agencies Requirements

- Agencies must:
  - Track and monitor
  - Process on a first-in first-out basis

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Requester Requirements

- Requester must:
  - Submit the request in writing
  - Provide agreement to release information if the requester is other than the subject of record
  - Provide verification of identity if requesting a record about a living person
  - Reasonably describe the record sought
  - Assume financial responsibility up to $25.00

Who can make a request and what can be requested?

- Anyone can
  - First party requesters -
  - Third party requesters -
  - Special Interest –
  - Bond obligors –

- Anything that is an agency record – but a requester cannot ask a question: "I was detained at Miami Airport – why?" That's not a description of an agency record.

Privacy Act

- The Privacy Act of 1974 was enacted to limit what the government can do with information about you.
- Among other things, it guarantees the public's right to see their records unless the record can be legally withheld under one of the ten exemptions. (5 U.S.C. § 552(a))

Privacy Act

- Privacy Act balances the government's need to maintain information about individuals with the rights of individuals to be protected against unwarranted invasion of privacy.
- The Privacy Act has its own definition of "individual."

Purpose of the Privacy Act

- No secret records
- Records created are limited to only those that are necessary
- You know what records the government keeps about you and you can challenge the accuracy
- The government is restricted to collect information about you for a specific purpose and can not be used for another without your consent
- If the government discloses information about you, it must account for that disclosure.

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Part II – Case Create

The objective of this class is to be able create a case in FIPS by reading and analyzing the information provided on the FOIA/PA request.

- This includes:

- ensuring that the database is accurately completed,
- researching/locating the file/record,
- staffing for the correct file/record,
- verifying that agreement to release the file/record is present, if necessary,
- determining if additional information is needed to locate the file/record and
- acknowledging receipt of the FOIA/PA request.

Requests

- A request must be made in writing and reasonably describe the records being sought.
  - Form G-639
  - Letter from an attorney or representative
  - Letter from the alien.
- **How do we get them?**
- Mail, fax, hand delivered or via e-mail.

Reasonable Description

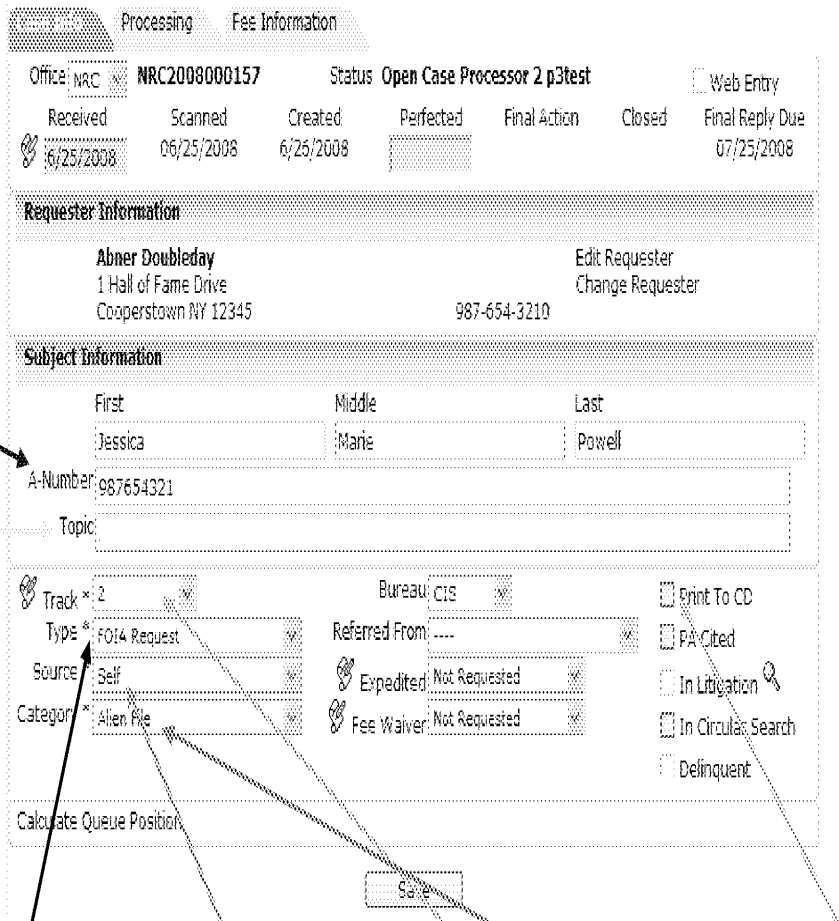
- Requester must provide enough information for us to search for records.

- If a requester with a very common name sends us a request for file, says cannot remember Alien Number, and we find multiple matches, we have to ask for a better description of the records the requester wants.

Read!

Case create requires you to carefully read the request and the supporting documents while searching for specific information.

Case Create



Insert A-Number

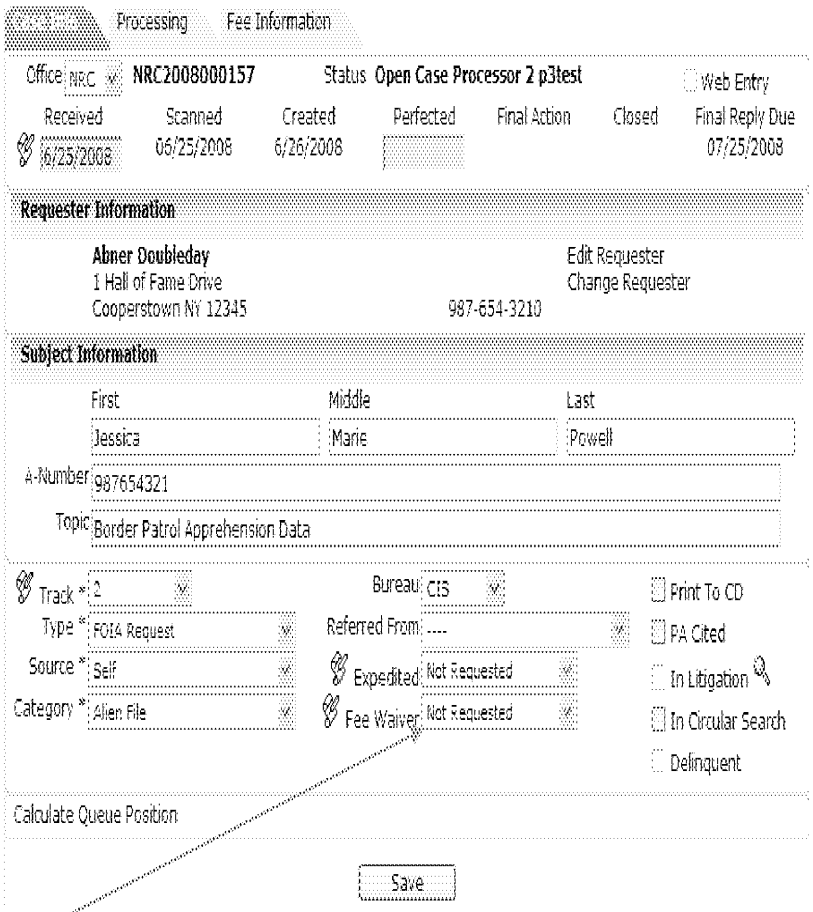
Insert Topic if

-the Topic is not a copy of the A-file

-pertains to a specific document

-you have an ELIS request (IOE number)

Type of request	Source	Track 1-3	Category	CD
• Always FOIA Request	• Attorney		• Alien File	Almost
	• Commercial		• Asylum	Always
	• Education/Scientific		• Specific Documents	
	• Foreign Government		• Non A-File Material	
	• News Media		• Personnel	
	• Others		• Special Interest Group	
	• Representative		• SFR cases at NRC	
	• Self			
	• White House/Congressional			



FEE WAIVER

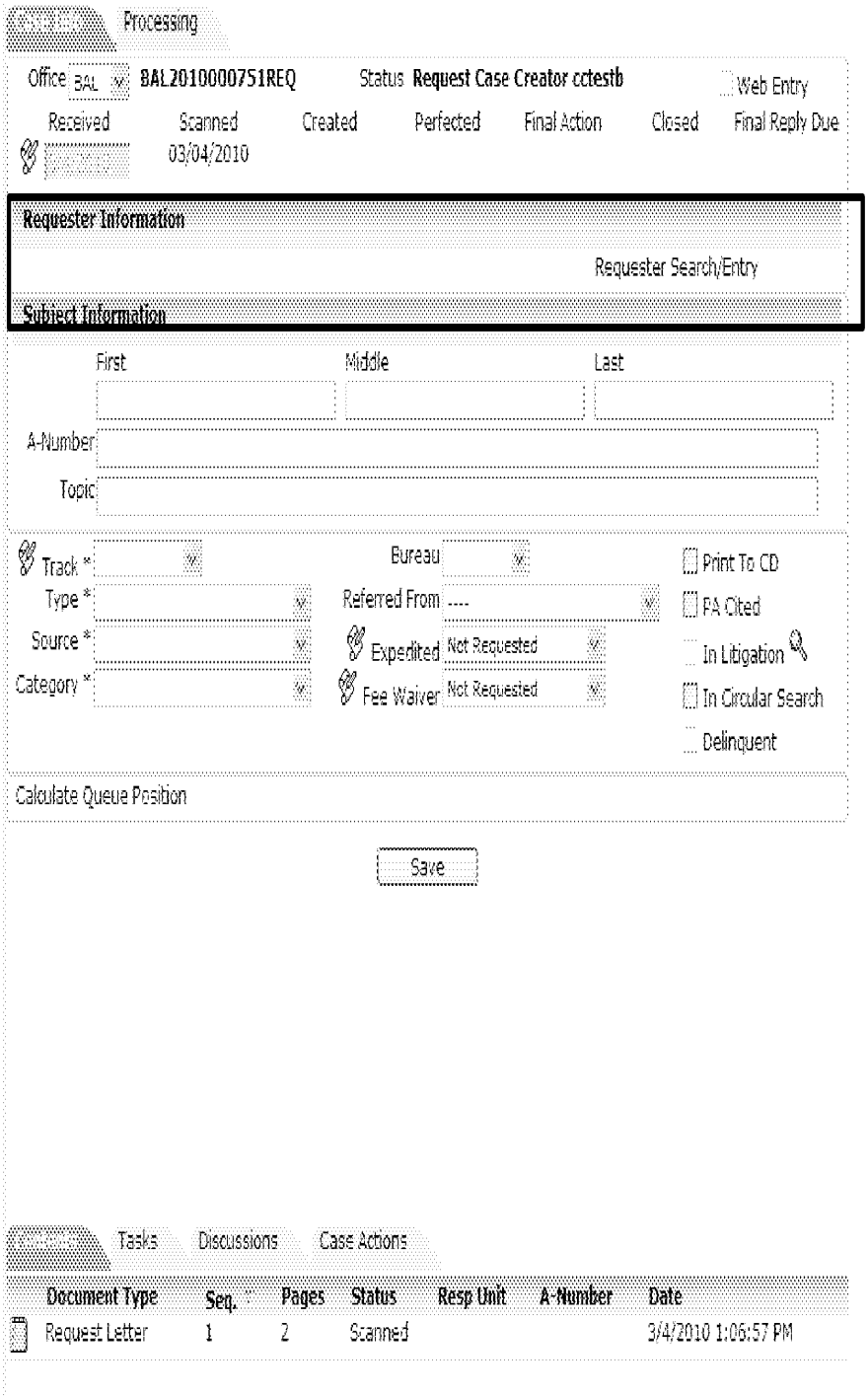
Requesters seeking a waiver of fees must meet two requirements.

1. Disclosure likely to contribute significantly to public understanding of the operation or activities of the government, and

2. Disclosure not primarily in the commercial interest of the requester.

- The person has to ask for a fee waiver specifically. A statement of financial insolvency included in the request is not the same as asking for a fee waiver.

- If the requester has asked for a fee waiver, create a case note saying "Fee Waiver Request" and send the case to Records Locator.



REQUESTER'S BIOGRAPHICAL INFO

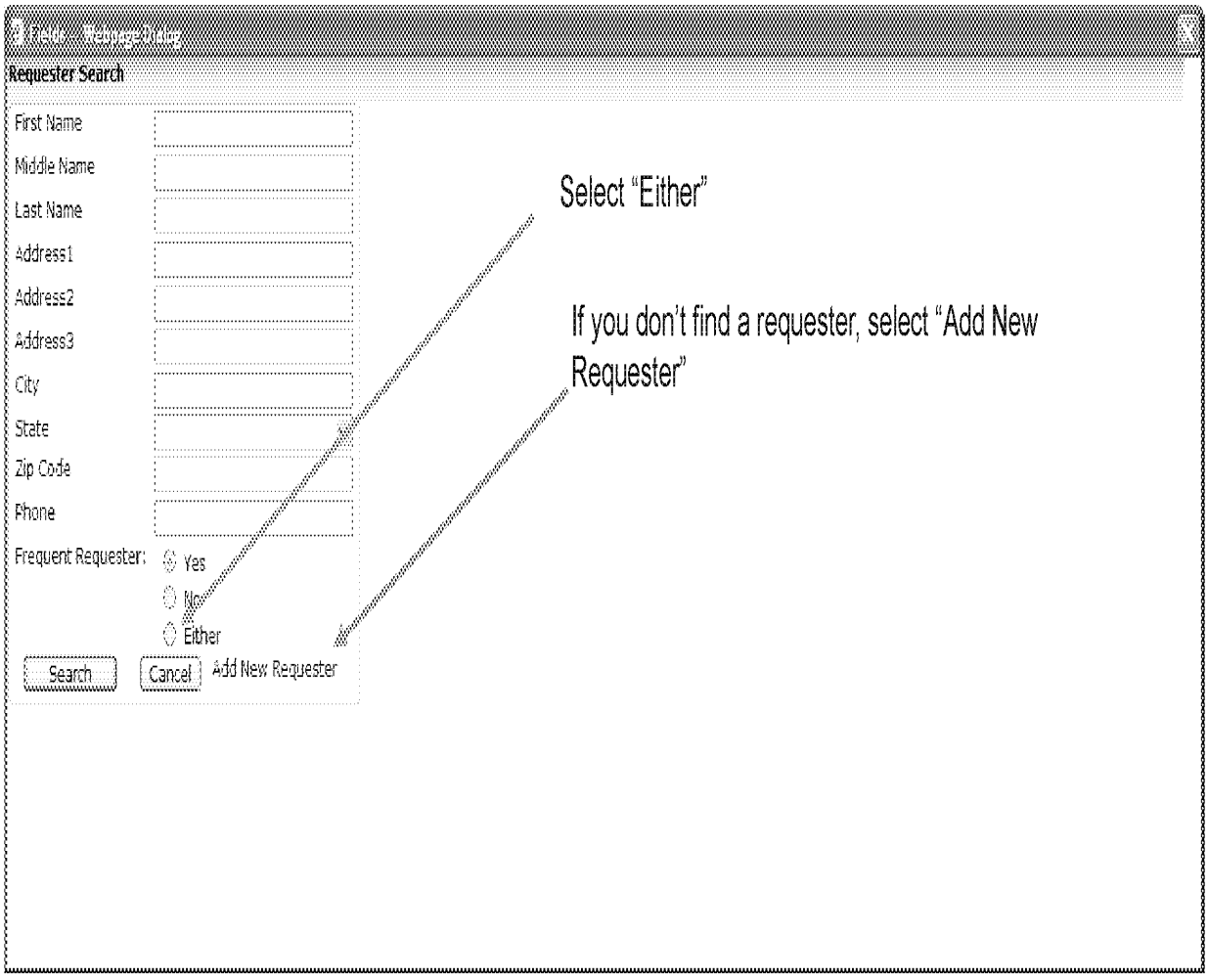
REQUESTER NAME AND ADDRESS

Use the address of the requester on the G-639. The requester may be an individual or an attorney/representative.

Delinquent Requesters

FIPS will automatically conduct a search for delinquent fees owed by the requester, using the last name of the requester.
If a delinquent case is found the box shown below will pop-up.
Because the search criteria used is the last name the results are not always an exact match.

Search for a Requester



Track III

- To have a Track III request, the subject of the file must have been served with a charging document and have a future hearing scheduled before an Immigration Judge.
- The subject must provide us with a copy of that notice to appear or document showing a future scheduled hearing.

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Cover sheets

- Cover sheets have been created to help you identify cases.
  - Expedited
  - Track III

Track III Cover sheet

- Track III Requested
- APPROVED _____
- _____
- _____
- **********
- DENIED_____
- CC: Please prepare acknowledgment letter and Track III denial letter.
- IJ Decision entered on _____.
- Decision: _____ _____.
- Appeal of IJ decision does not meet track III criteria.
- No supporting documents attached.
- Supporting documents not attached as stated in
- requester letter.
- No hearing date set – cc - check EOIR (on 9101 screen press F11 to see EOIR) for hearing date update.
- _____
- _____
- _____
- Per: _____ Date:_____

Expedited

- To be considered an expedited request one of the following criteria must exist.
  - A circumstance that poses an imminent threat to the life or physical safety of an individual or
  - An urgency to inform the public about a federal government activity, if made by an individual who disseminates information (the media).

Expedited

- Using the word expedited in the request letter does not mean the requester is seeking expedited treatment.
  - It is all in the wording and the placement of the word.

- Please expedite my FOIA/PA request,": This is an expedited request.
- "Thank you for expeditiously handling my case,": This is not an expedited request.
- "Request that you expedite my case because my client has a hearing.": This is not considered an expedited request, and we will treat it as a Track 3 request.

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Expedited Cover sheet

- **EXPEDITED TREATMENT REQUESTED**
- APPROVED_____
- DENIED_____
- CC: Please prepare acknowledgement letter with expedited treatment denial.
- Remarks: _____
  _____
  _____
  _____
  _____
- **Per: _____ Date:_____**

What is Agreement?

- Approval or permission as to some act or purpose, esp. given voluntarily by a competent person. (Black's Law Dictionary)

- 6 CFR § 5.21(f): If you are making a request for records concerning an individual ... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

- 5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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Certification of Agreement

- If the requester is not the same as the subject of record, Block 3 of Form G-639 is Consent to Release Information.

- Do they have to complete Block 3?
  Not necessarily: 6 CFR § 5.3(a) says: If you are making a request for records about another individual, either a written authorization signed by that individual permitting disclosure of those records to you or proof that individual is deceased ... must be submitted.

Form G-28?

- Is Form G-28 certification of agreement? Yes.
- On Form G-28, at the place where the Subject of Record signs, is the following statement:
  - Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to the named Attorney or Accredited Representative of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.
- With Form G-28, we have a valid agreement to release information, but we still must have Verification of Identity.

Verification of Identity

- The following is an excerpt from the Instructions for Form G-639:
  - **Verification of Identity by Mail:**
  - Requesters wanting access to their records must identify themselves by name, current address, date and place of birth.
  - A notarized signature of the requester or a sworn declaration under penalty of perjury must also be provided (Form G-639 may also be used).

U.S. Citizenship and Immigration Services

Verification of Identity:

- 6 CFR § 5.21(d) says you must provide us:
  - Full Name
  - Mailing address
  - Date of Birth
  - Place of Birth

- And it also says: You must sign your request and your signature must either be notarized or submitted by you under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

VOI and Agreement

- We will cover this in detail later.
- Section 7 of the FOIA/PA Assistant's Guide is all about VOI and Agreement.

U.S. Citizenship and Immigration Services

Reasonable Description

- If a requester gave us name, mailing address, date of birth and place of birth, but said alien number unknown, several things could happen:
  - If he or she asked for the alien file and we discover one (only one) exact match, we have a reasonable description of the records being sought.
  - The same is true if he or she asked for a petition.
  - We might find no match. In such a case, the requester did not reasonably describe records being sought and we must request additional information.
  - The same is true if we find several exact matches.

Requesting More Information

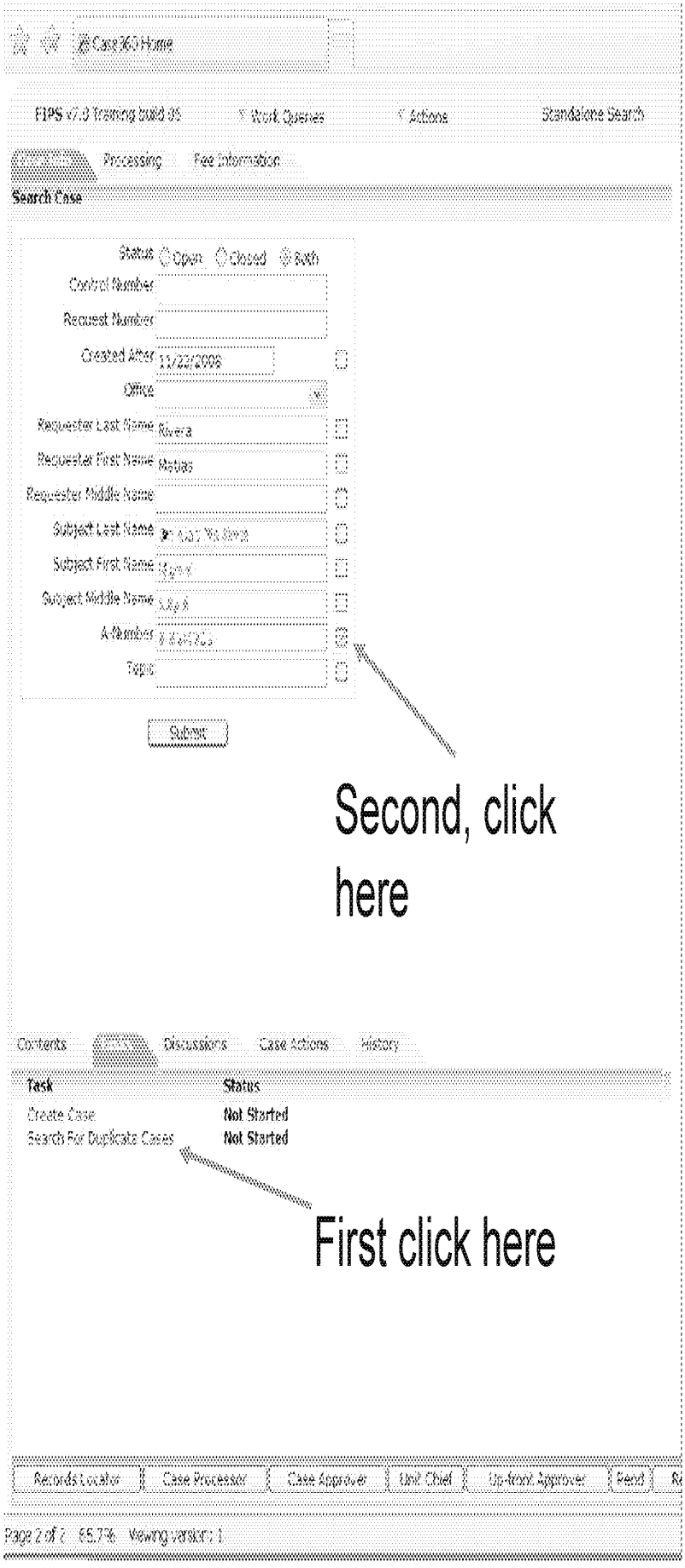
- We will ask for these items of information only if we need them. In the earlier scenario, we said the requester gave us name, address, date of birth, place of birth, but no A-number, and we got multiple matches or no match at all.

- We will request A-number, Application or Petition number, parents' names, other names the subject may have used, and other information that may be in CIS and would help us identify the correct file.

- If you request more information, do not staff for the file. Pend.

Time to Search

- Search for Duplicate or similar cases.
- Usually you search by Alien Number
- It is a good idea to copy the A-number from CIS and paste.
- The A-Number field must be nine digits. Add a leading zero if you have to.



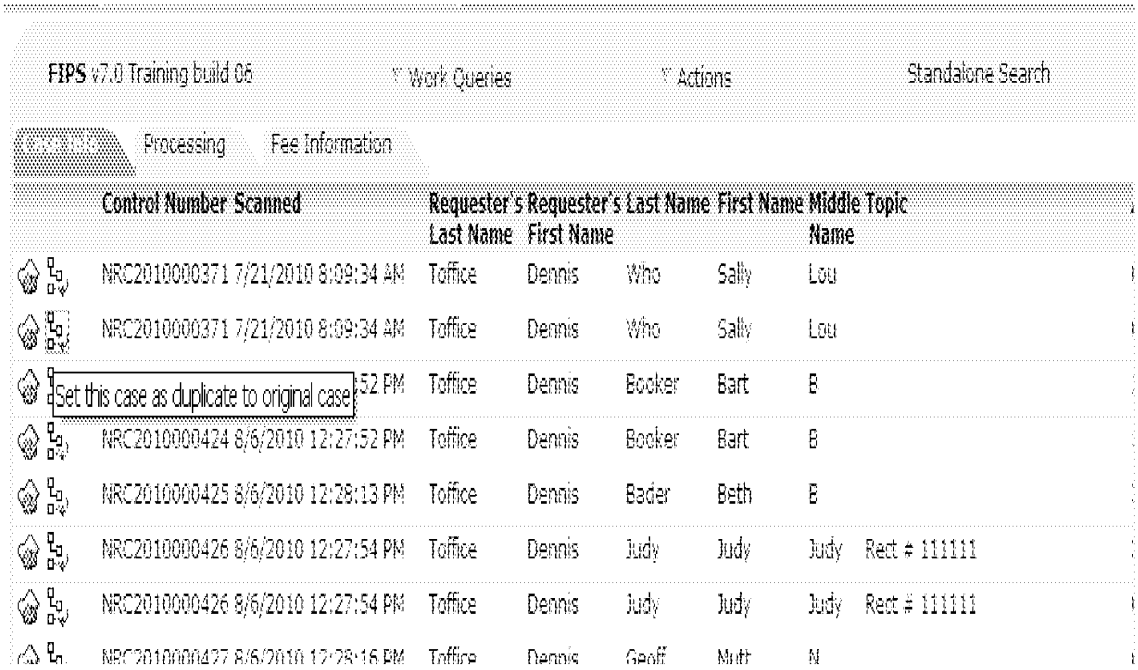
U.S. Citizenship and Immigration Services

Not a duplicate or similar case

- Usually, you get a notification like this:

- In that case, you simply click “Search Complete” and FIPS assigns an NRC control number to your case. You are ready to staff or to send a request for more documentation.
- If this is going to be a multiple case, select “Create Additional Cases.”

What if it is a duplicate?



- First, look at the case by clicking the edit logo (to the left – it looks like a folder with a gear in front of it.)
- Second, if it is a dup, click on the second logo to set the case as a duplicate.

Closing a Duplicate Case

- Next, under tasks, click on Final Action Letter.
- Choose “ER: Created in Error” as the final action code.
- Be sure to create a Discussion explaining what you did and why.
- Send the case to Up-front Approver. You are finished with that case.

Additional Cases?

- If the case you are creating will be a multiple, do the following, in this order:
  1. Create the case (but do not create letters or staffings before you create additional cases).
  2. Create additional cases.
  3. Prepare the acknowledgment letter.
  4. Prepare the staffing (s) (if applicable).

- The additional cases will be waiting for you. You may not be staffing for every file. You should treat each case individually.

U.S. Citizenship and Immigration Services

Requests

- What does the requester want?
- Complete copy of the A-file
- Receipt file
- Application/Petition and supporting documents

Staffing

- Staffing means the same thing as requesting a file.
- The most complex part of creating a case.
- It's why you are in here for two weeks.
- Management Support Branch (MSB) has to get the file after you create the staffing.
- If you have not met the people in MSB yet, take the time to meet them.
- They will always be happy to help you.

Discussions

- Any time you are sending a case to Up-front Approver, you must create a Discussion.
- Any time there is something unusual.
- You will create a Discussion more often than you do not.
- The only time you do not create a Discussion is when you have a standard request with all required VOI & Certification and it is a normal staffing.
- A good Discussion can save you some tears.

FOIA/PA Assistant's Guide

- Section 6 is Creating the Case
- Section 7 is Certification of Agreement, VOI and reasonable description
- Section 8 addresses unusual requests and situations
- Section 9 is Referrals and Redirections
- Section 12 is Staffing

U.S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services

Objective

To become familiar with CIS, CLAIMS and PCQS searches.

U.S. Citizenship and Immigration Services

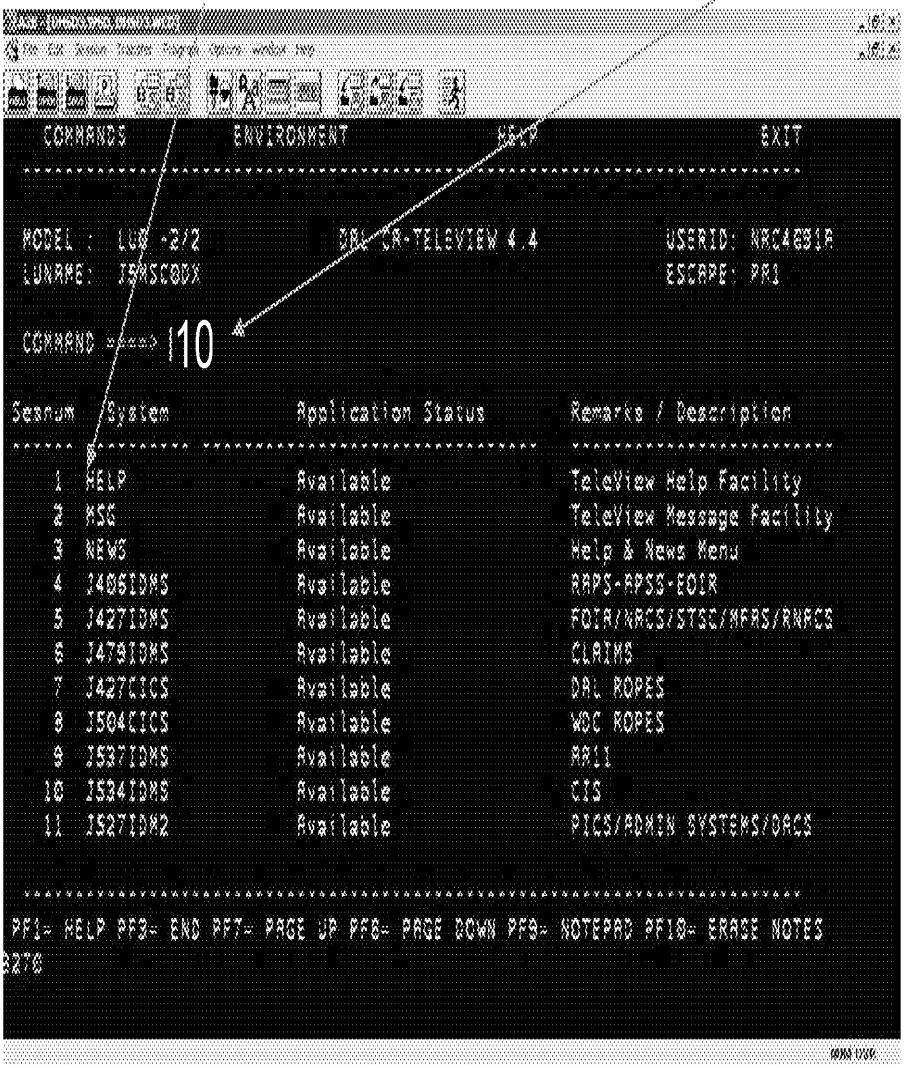
Warning

- This training module uses real data so that you will be able to practice it for yourself.
- You should not discuss any PII in the case studies outside the class.
- If you print these slides, treat them as sensitive FOUO. Keep them locked, and shred all the case studies when you no longer need them.

Central Index System (CIS)
CA-Teleview Screen

This shows the systems you have access to

Enter the system number that you have access to at the command line, press Enter.



Use PF8 To Page Up & PF9 To Page Down

U.S. Citizenship and Immigration Services

COMMAND: JUMP

Where in CIS do you find what commands you can use?

JUMP MENU

U.S. Citizenship and Immigration Services

JUMP MENU

- 91 Search Menu
- 92 Display Menu
- 93 Add Menu
- 94 Maintenance Menu
- 95 Transfer Menu

U.S. Citizenship and Immigration Services

JUMP MENU

```
C MJUMP          DEPARTMENT OF HOMELAND SECURITY - USCIS          02/17/09
COMMAND: JUMP       CENTRAL INDEX SYSTEM - JUMP MENU             08:38:15

JUMP CODE DESCRIPTION     JUMP CODE DESCRIPTION     JUMP CODE DESCRIPTION
.......................   .......................   .......................
91   SEA  (SEARCH MENU)   9223 CRDH CARD HISTORY    9322 DA   DENY CREW LAND
9101 ID   ID NUMBER       9224 DRHL RLSE HIST LIST  9323 ST   STOWAWAYS
9102 SL   SOUND-LIKE NAME 9225 DRAL RLSE AGENCY LIS 9324 CD   CREW DESERTS
9103 EX   EXACT NAME                                9331 BCC  BORDER CROSSING
9104 AKA  ALIAS NAME      93   ADD  (ADD MENU)      9332 CMBR BCC DENIAL
9105 LAPS LAPS EXACT NAME 9301 NF   NEW FILE ADD    9341 AN   APPREHENSION
9105 SDOB SOUNDEX W/DOB   9302 VERF VERIFY FILE     9342 CIVS CRIMINAL IMM
9115 ARR  A# RPT REQUEST  9303 AAKA ADD ALIAS       9344 DE   FAIL TO DEPART
                          9311 NS   NATZ STUB       9345 PR   PROSECUTION
92   DIS  (DISPLAY MENU)  9312 DR   DERIV CITIZEN
9201 PER  PERSONAL DATA   9313 CH   ENTRY CHILD
9202 DAKA DISPLAY ALIAS   9314 XP   EXPATRIATION
9212 EARM DATA FROM EARM  9315 RP   REPATRIATION
9213 EADS DATA FROM EADS  9316 COA  STATUS CHANGE
9221 HIST STATUS/HISTORY  9317 REVN REVOKE NATZ
9222 CARD CARD DATA       9321 CU   CREWMAN LANDING

   CLEAR EXIT     PF1 PAGE AHEAD      PF5 HELP       PF6 VAN MENU
SELECT JUMP CODE (EITHER NUMERIC OR CHARACTER CODE) AND PRESS ENTER.
```

U.S. Citizenship and Immigration Services

JUMP MENU (CONTINUED)

```
C MJUMP          DEPARTMENT OF HOMELAND SECURITY - USCIS          02/17/09
COMMAND:           CENTRAL INDEX SYSTEM - JUMP MENU               09:06:49

JUMP CODE DESCRIPTION     JUMP CODE DESCRIPTION     JUMP CODE DESCRIPTION
------------------------  ------------------------  ------------------------
94   NM   (MAINT MENU)     95   FTS  (TRANSFER MENU)  9999 NEWS CIS NEWS
9402 XCON CONSOLIDATION    9501 FTR  REQUEST
9403 SFCO SUB FILE CREATE  9502 FTI  INDICATION
9411 NPER PERSONAL DATA    9503 FTC  CONFIRMATION
9412 NAKA CHANGE ALIAS     9504 FTD  DISPLAY
9413 NHIS STATUS/HISTORY   9505 FTM  MAINTENANCE
9414 DNZN DELETE NATZ NO.  9506 FTP  PRIVILEGED
9421 DEL  DELETE PERSON    9507 BIN  TO/FROM FRC
9425 ARM  A# RPT MAINT     9508 FTF  FORWARD
9426 CRHM CARD HISTORY
```

9504 is the only file transfer function you would use as a processor.

U.S. Citizenship and Immigration Services

No A-Number?

- Usually we can find a person based on a name and date of birth.
- There could be variations in spellings.
- There could be aliases.
- There could be typographical errors on names and dates of birth.

Case Study # 1

- Last name Dominguez-Bandera
- First name Jose
- Middle name Antonio
- He has written his DOB as [redacted]
- POB [redacted] (b)(6)
- In this case study, you will learn
  - European date notation
  - Garbage In – Garbage Out

U.S. Citizenship and Immigration Services

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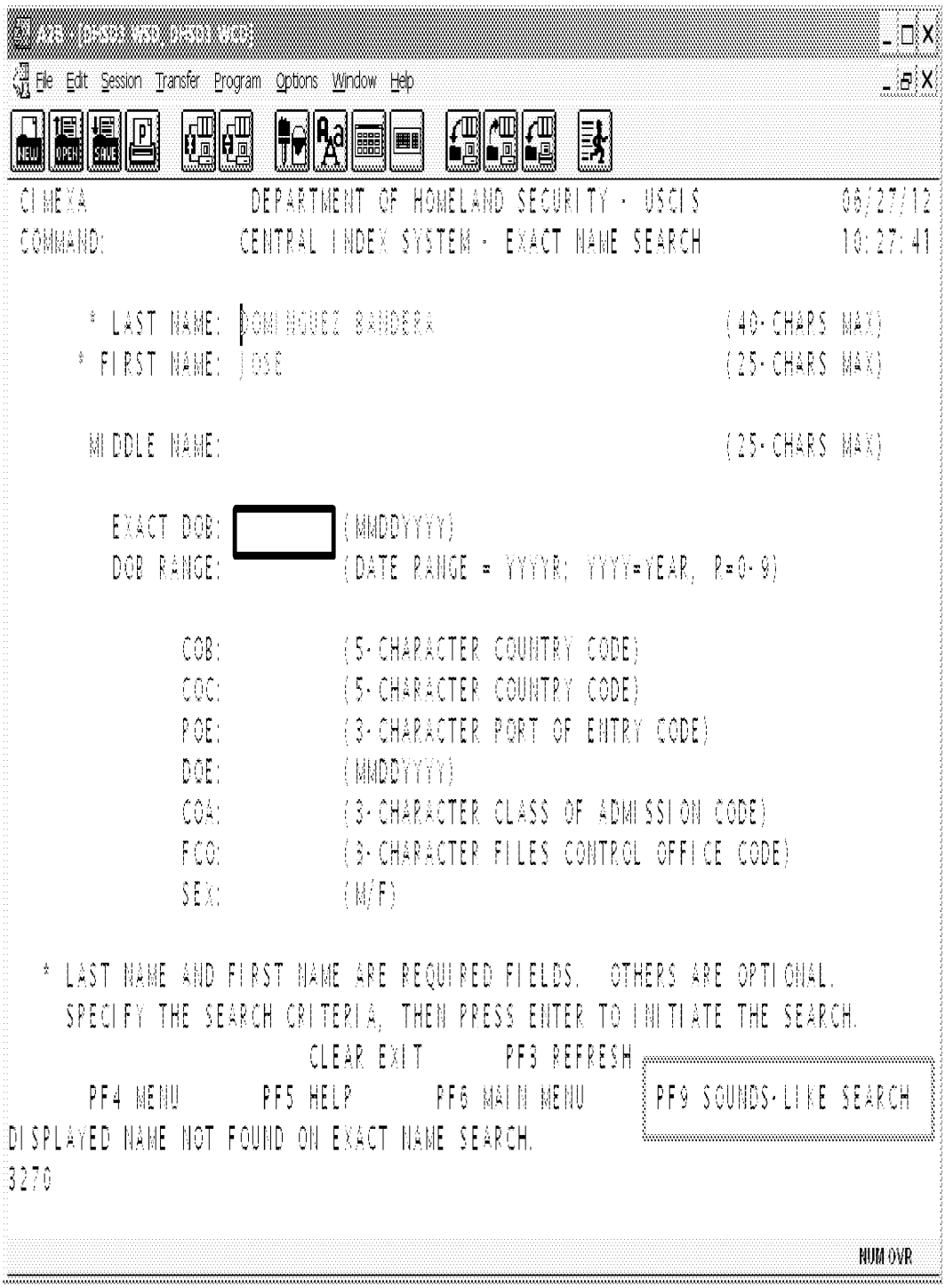
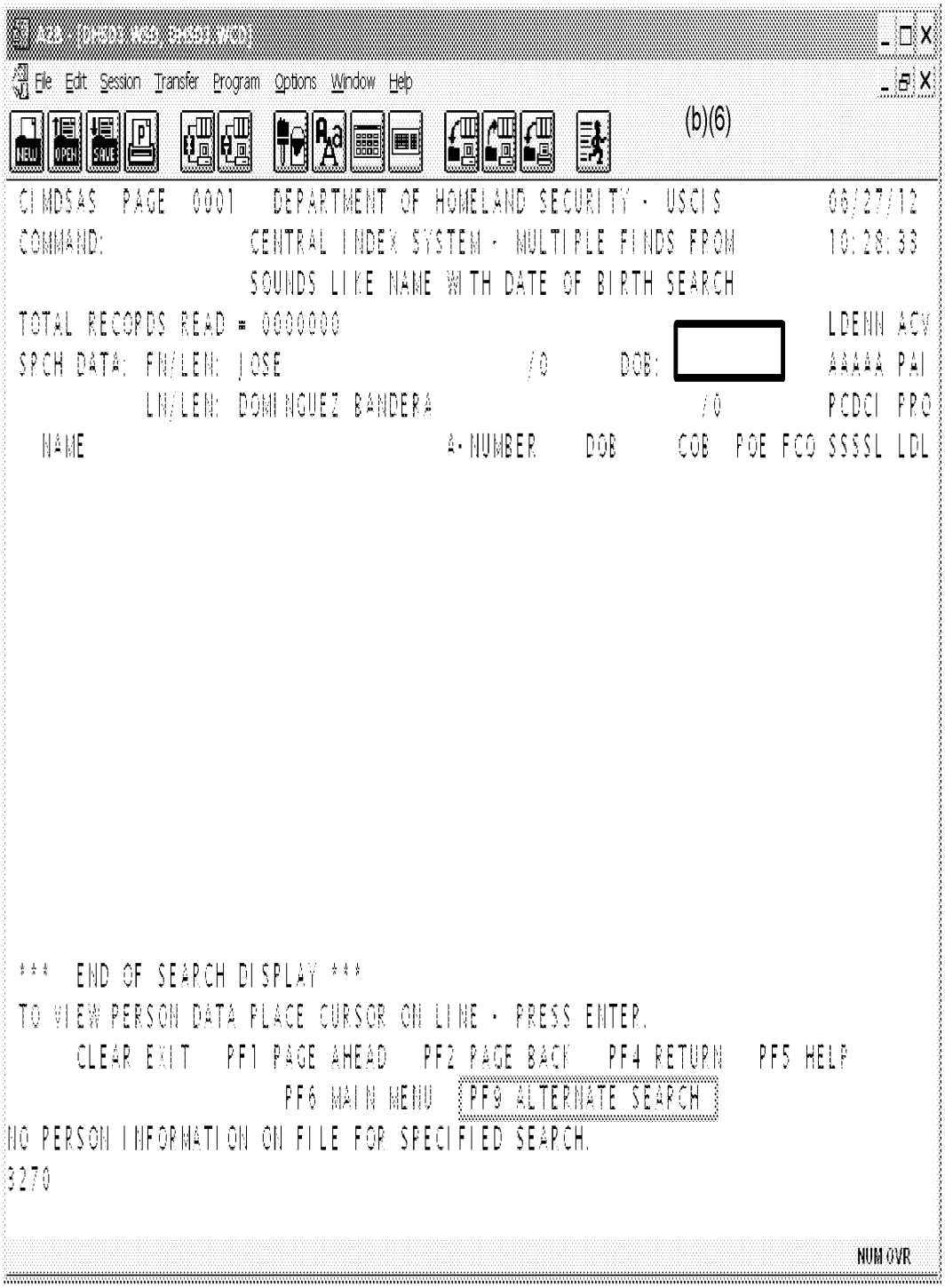
9103

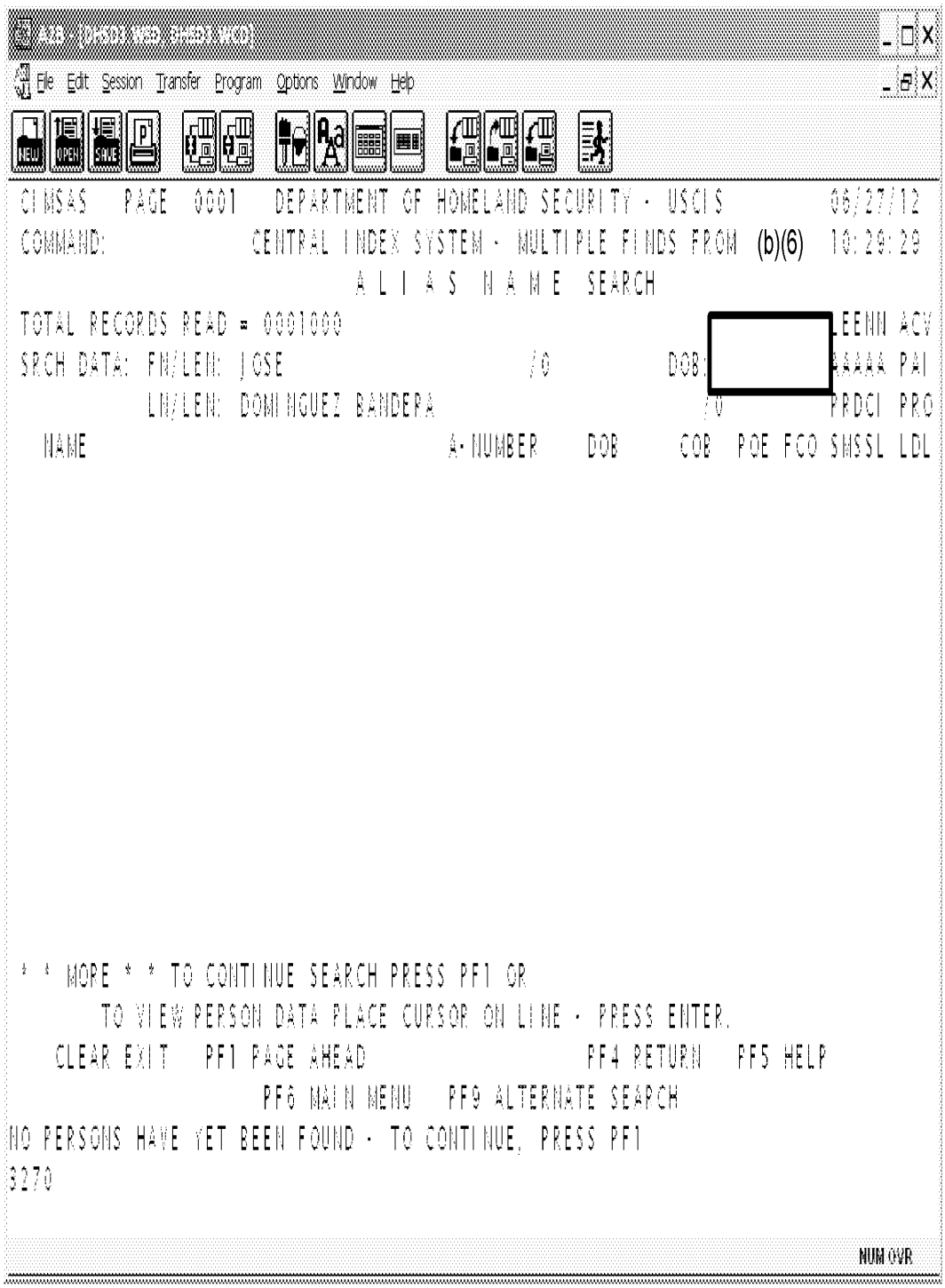
(b)(6)


File Edit Session Transfer Program Options Window Help
CIMEXA DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12
COMMAND: CENTRAL INDEX SYSTEM - EXACT NAME SEARCH 10:27:41
* LAST NAME: DOMINGUEZ BANDERA (40 CHARS MAX)
* FIRST NAME: JOSE (25 CHARS MAX)
MIDDLE NAME: (25 CHARS MAX)
EXACT DOB: (MMDDYYYY)
DOB RANGE: (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)
COB: (5-CHARACTER COUNTRY CODE)
COC: (5-CHARACTER COUNTRY CODE)
POE: (3-CHARACTER PORT OF ENTRY CODE)
DOE: (MMDDYYYY)
COA: (3-CHARACTER CLASS OF ADMISSION CODE)
FCO: (3-CHARACTER FILES CONTROL OFFICE CODE)
SEX: (M/F)
* LAST NAME AND FIRST NAME ARE REQUIRED FIELDS. OTHERS ARE OPTIONAL.
SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
CLEAR EXIT PF3 REFRESH
PF4 MENU PF5 HELP PF6 MAIN MENU PF9 SOUNDS-LIKE SEARCH
DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.
3270
NUM OVR

F9 for Sounds-Like

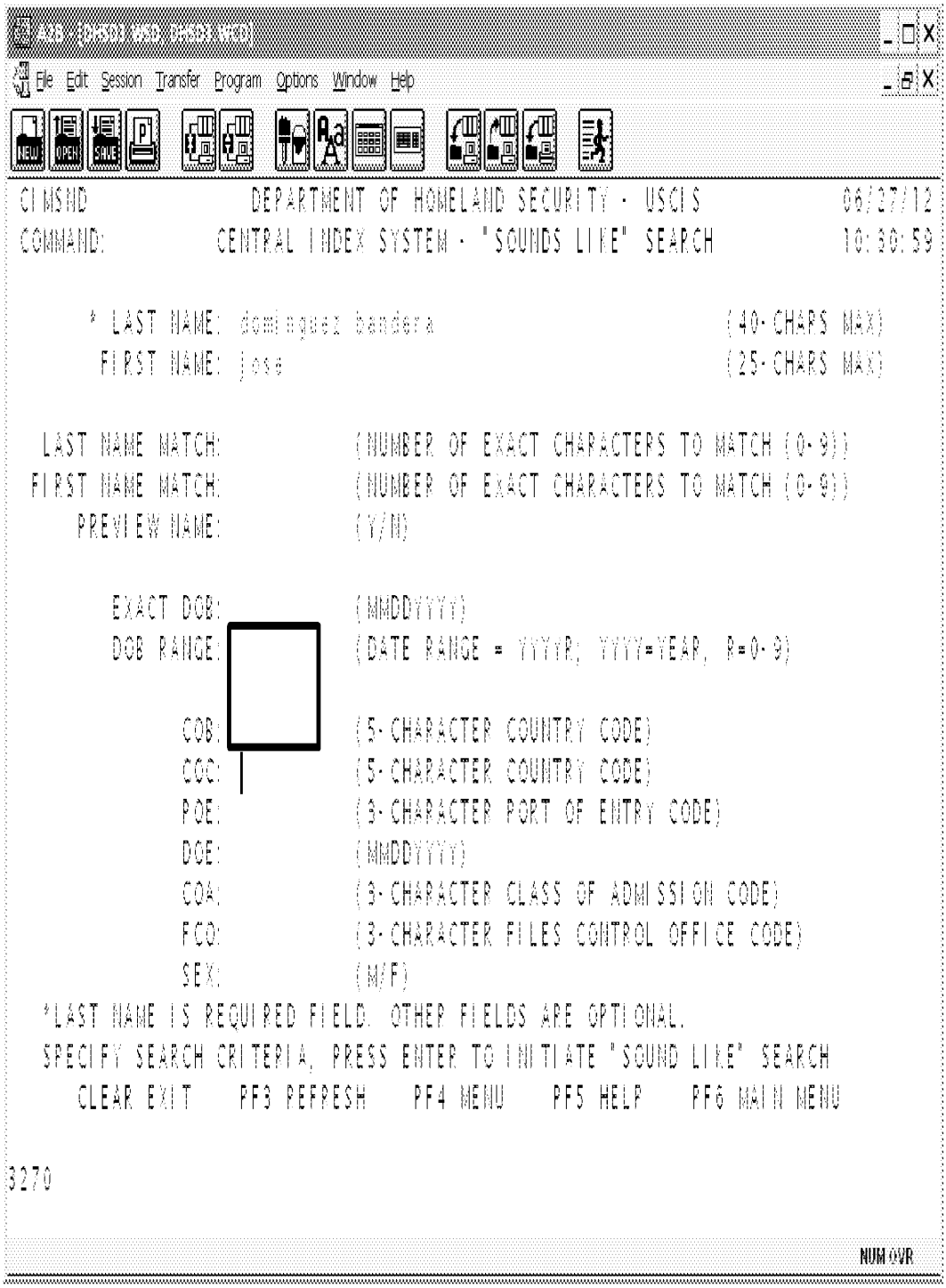


F9 Again for Alias Search

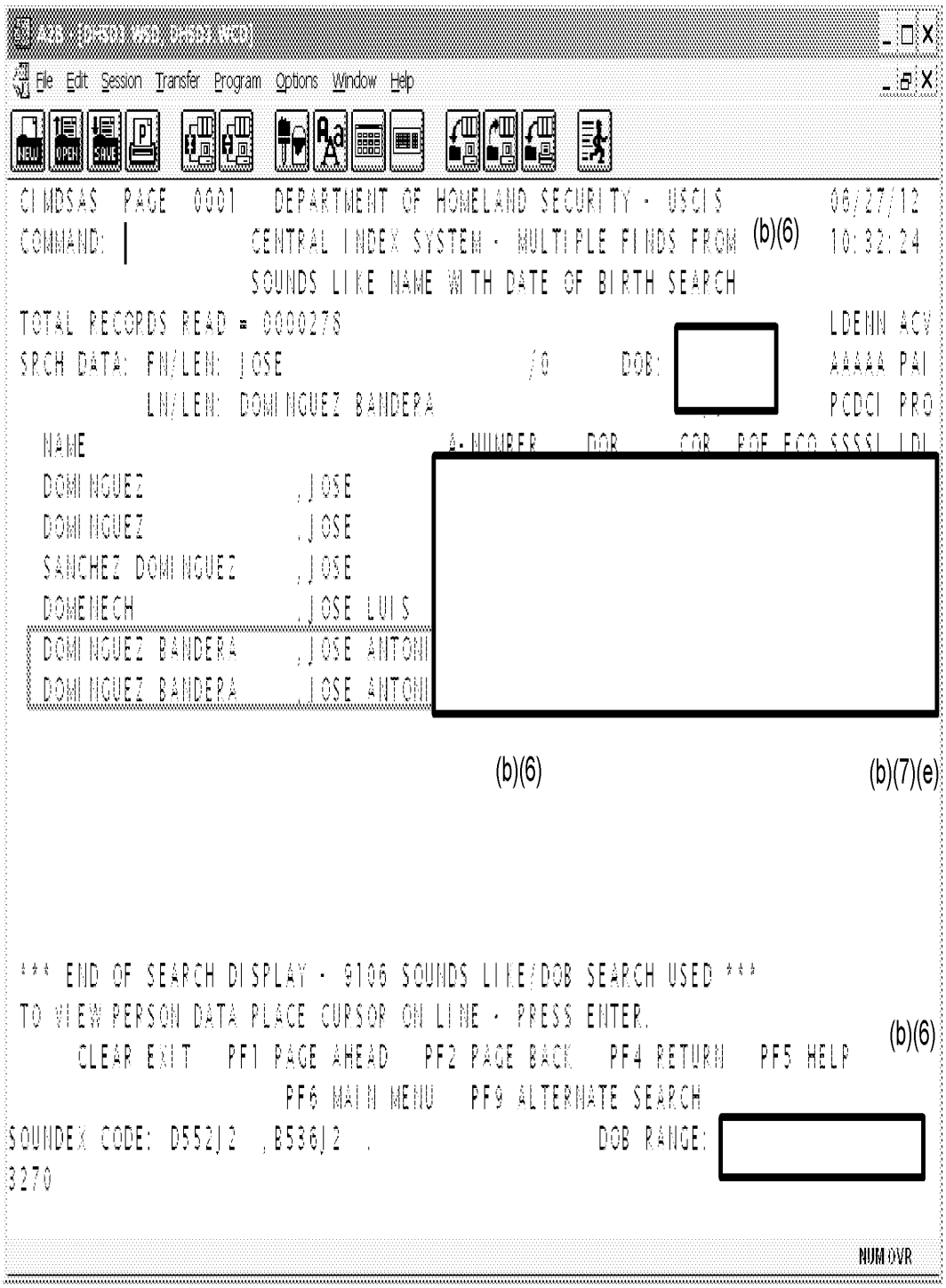


9102 with DOB range and COB

(b)(6)



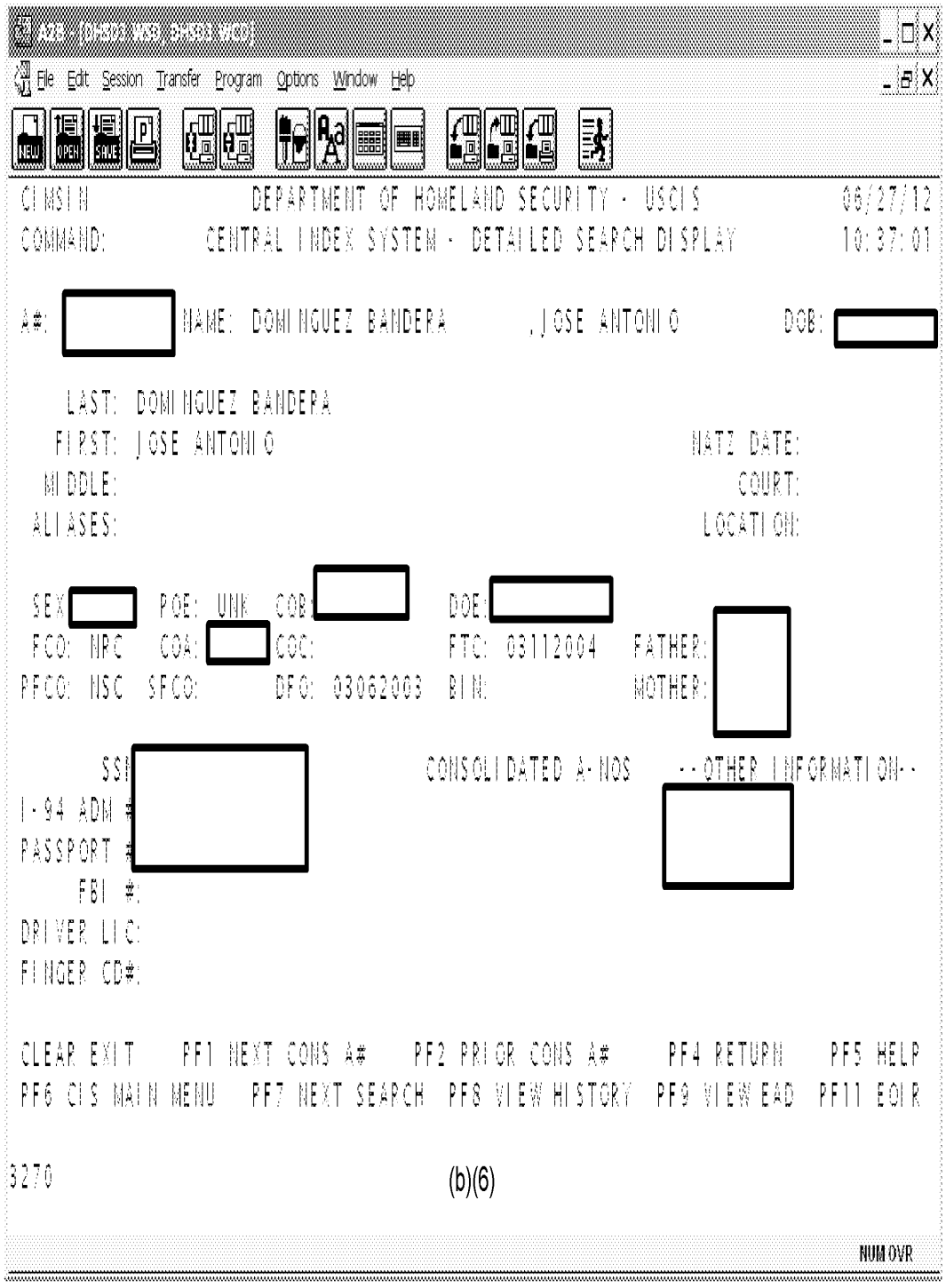
And we find him:



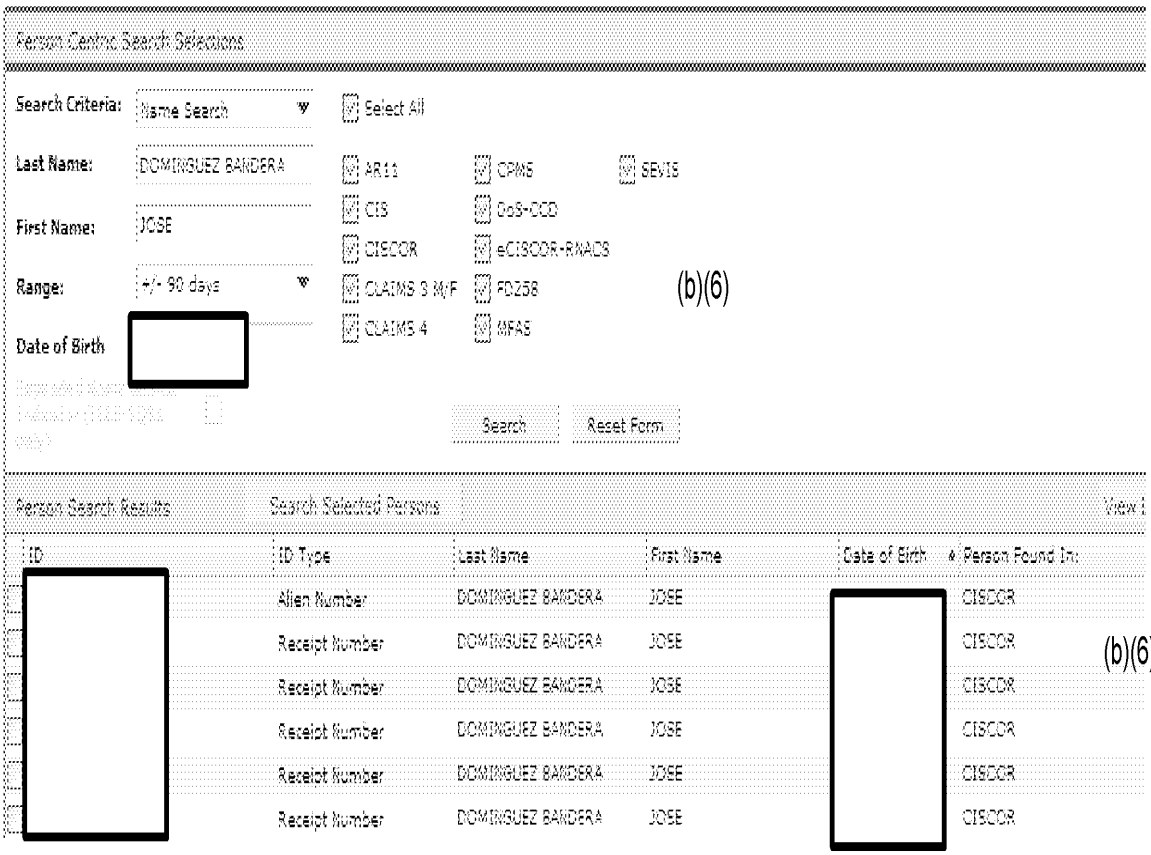
(b)(6)

Why didn't we find him first time?

- GARBAGE IN-GARBAGE OUT: First and middle names are both entered as first name.
- Date notation [redacted] to him means [redacted]



More about date format:



USCIS people have created records listing his date of birth as both [redacted] and [redacted] because of this date-format thing. A search using + / - 90 days found everything.

But what if his DOB was [redacted]? ?

We could try Exact Date and try both [redacted] and [redacted]

(b)(6)

Case Study # 2

- Last name Oyervides
- First name Reynol
- Born [redacted] (b)(6)
- Parents names not provided.
- Did not provide A-Number
- Signs his name “Reynol Oyervides F.”

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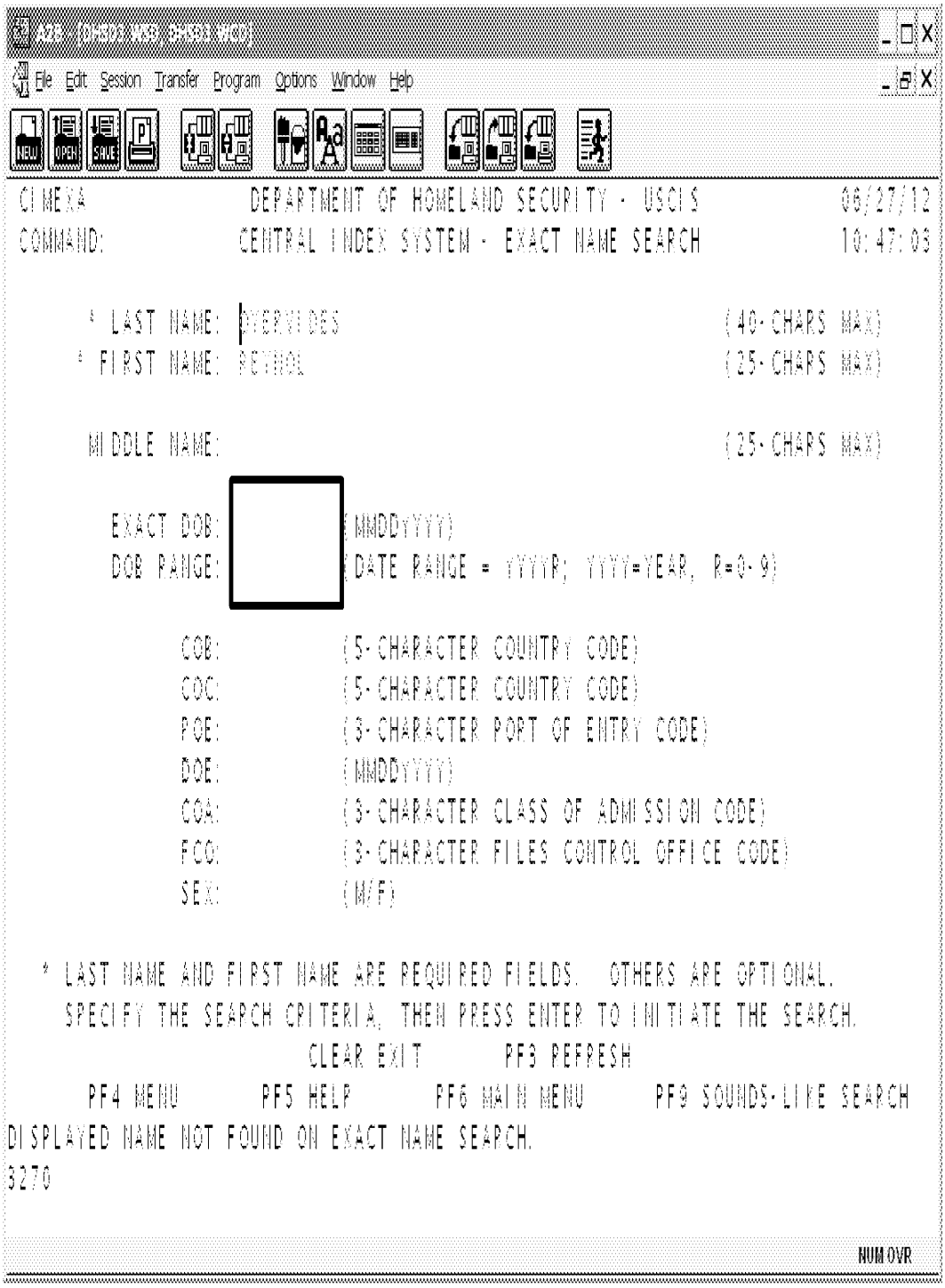
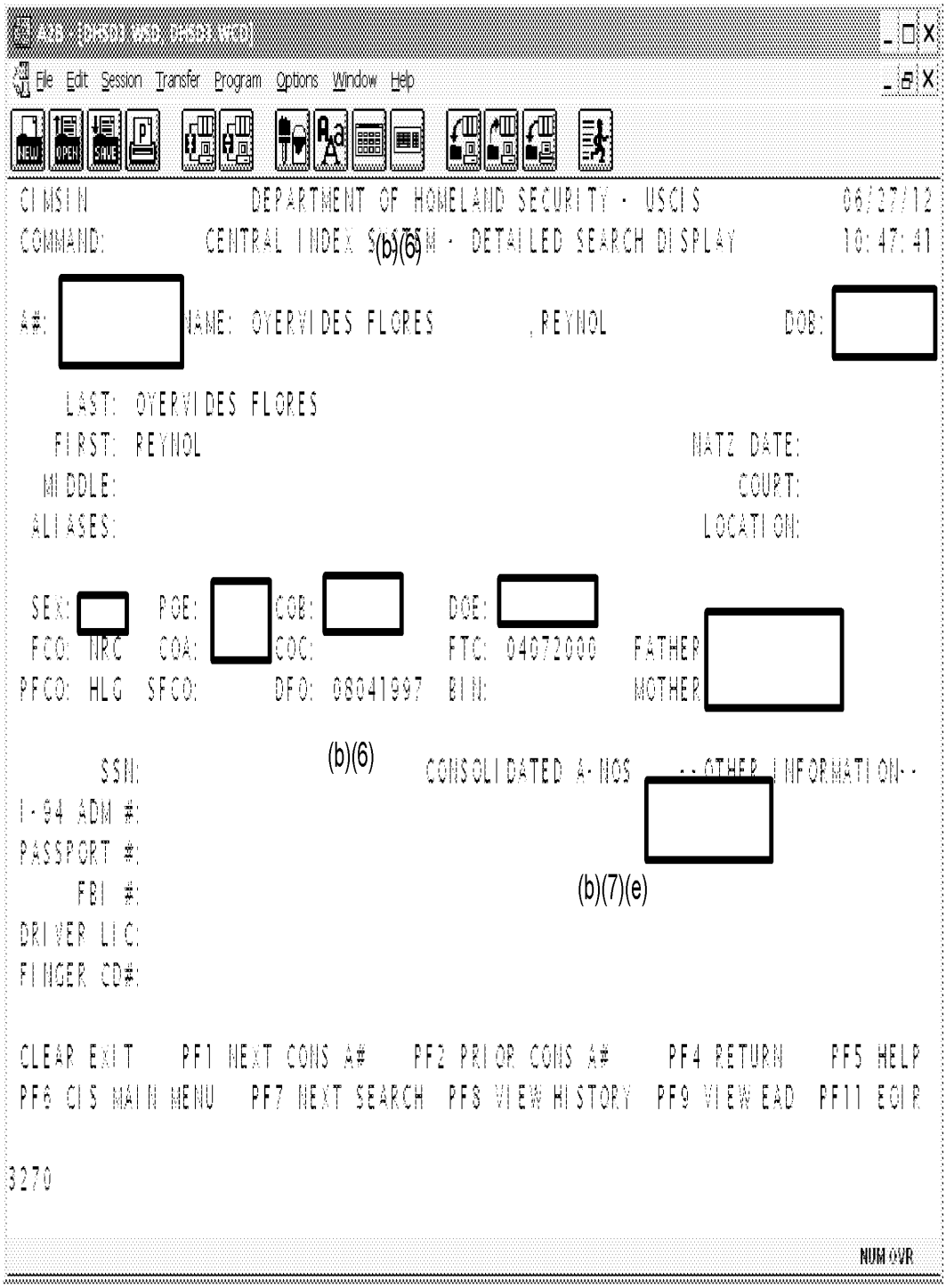
Exact name search with DOB

(b)(6)



F9 – and:

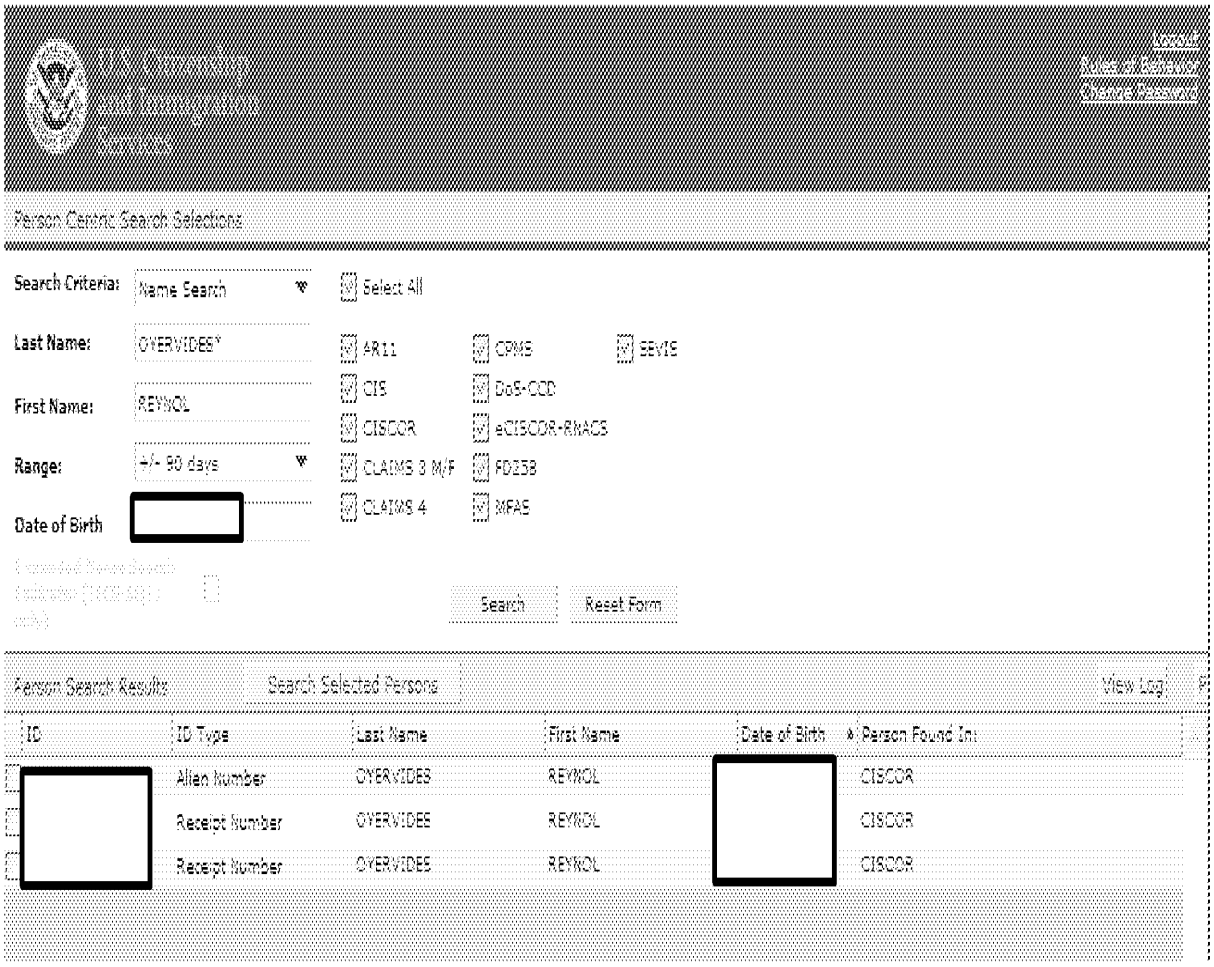
YESS.


File Edit Session Transfer Program Options Window Help
CIMSIN DEPARTMENT OF HOMELAND SECURITY - USCIS 06/07/12
COMMAND: CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY 10:47:41
(b)(6)
A#: NAME: OYERVIDES FLORES ,REYNOL DOB:
LAST: OYERVIDES FLORES
FIRST: REYNOL NATZ DATE:
MIDDLE: COURT:
ALIASES: LOCATION:
SEX: POE: COB: DOE:
FCO: NRC COA: COC: FTC: 04072000 FATHER
PFCO: HLG SFCO: DFO: 08041997 BIN: MOTHER
(b)(6)
SSN: CONSOLIDATED A-NOS --OTHER INFORMATION--
I-94 ADM #:
PASSPORT #:
FBI #:
DRIVER LIC:
FINGER CD#:
(b)(7)(e)
CLEAR EXIT PF1 NEXT CONS A# PF2 PRIOR CONS A# PF4 RETURN PF5 HELP
PF6 CIS MAIN MENU PF7 NEXT SEARCH PF8 VIEW HISTORY PF9 VIEW EAD PF11 EOIR
3270
NUM OVR

Wildcards

- PCQS found only those instances of "oyervides" in CISCOR because CIS won't support a wildcard search in PCQS.

(b)(6)



(b)(6)

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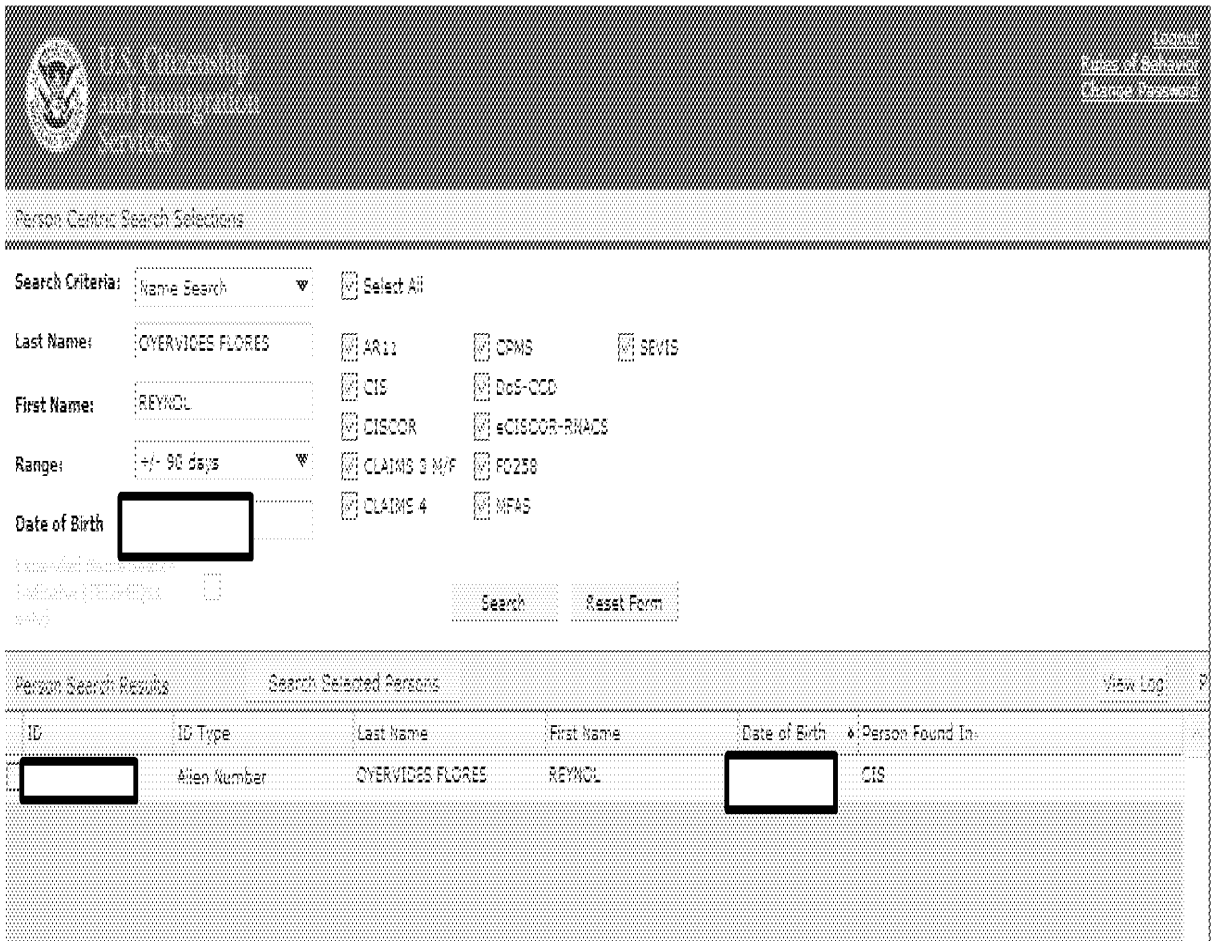
Exact name

- When I enter the exact name, it finds ONLY the CIS record:

(b)(6)



(b)(6)

Try Both

- In CLAIMS you cannot use a wildcard, but in PCQS, you can find CLAIMS and CISCOR records with a wildcard.

- In CIS, you can find "sounds-like" matches, but in PCQS, you cannot use a wildcard to find CIS records.

Discussion

- Since he did not give us an A-number, we have to create a Discussion to the CP saying we staffed on best available information.

Case Study # 3

- Last name Ruiz-Lopez
- First name Blanca
- Middle name de Jesus
- (b)(6) Born [redacted]
- Mother's name [redacted], father's name (b)(6) [redacted]
- She gave us two A-Numbers: [redacted] or [redacted] (b)(6)

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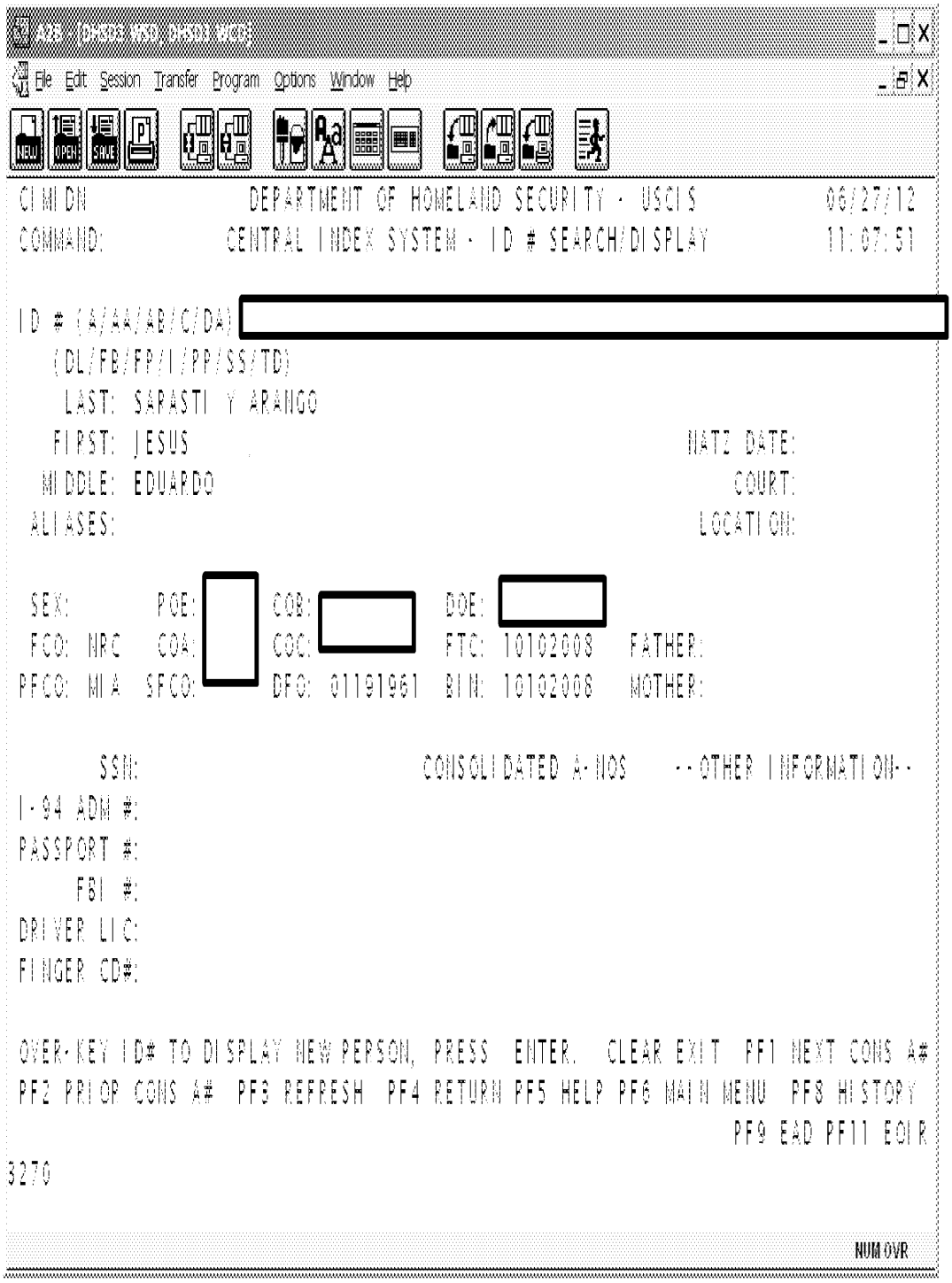
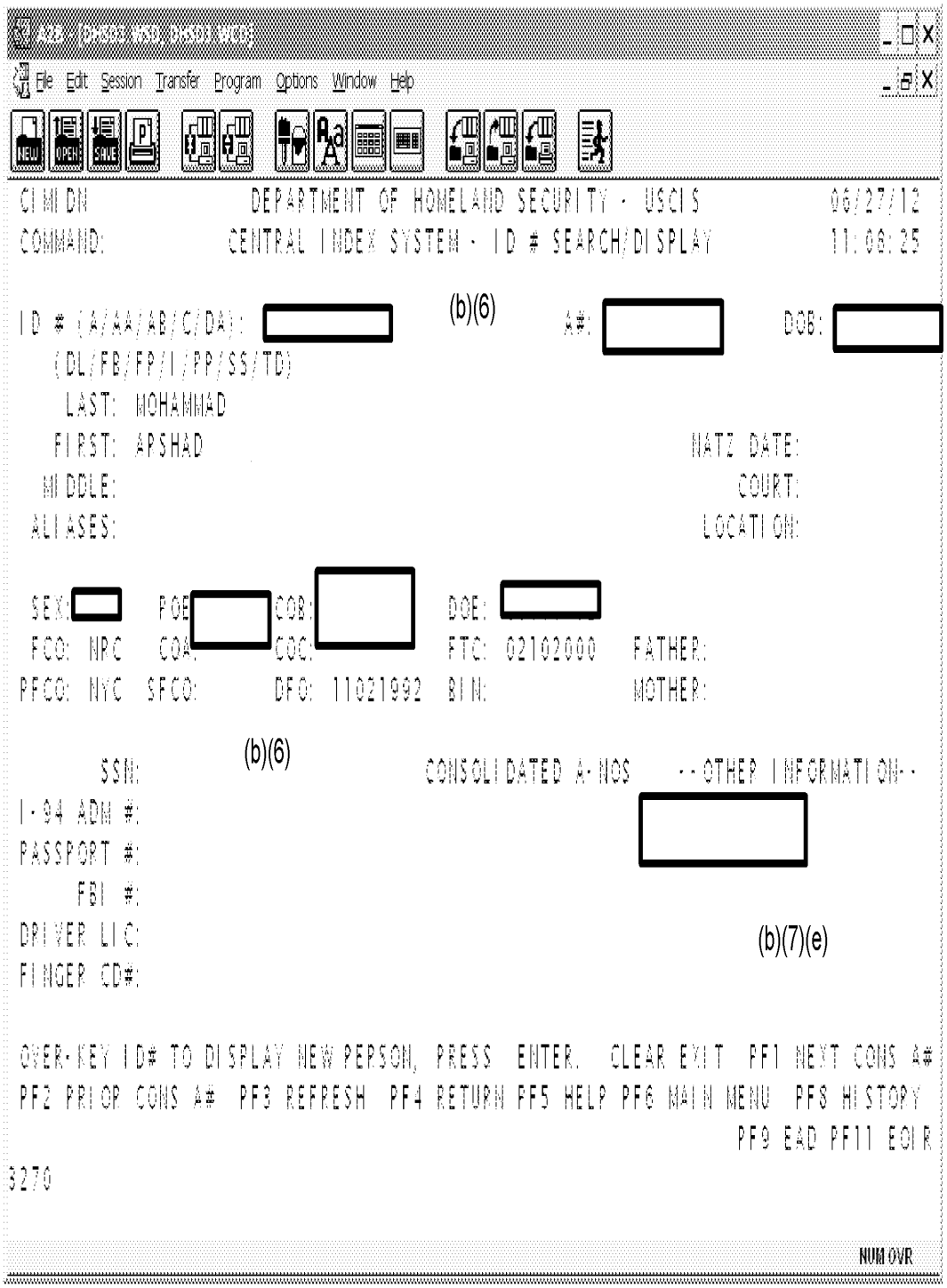
First A-Number: No way

(b)(6)

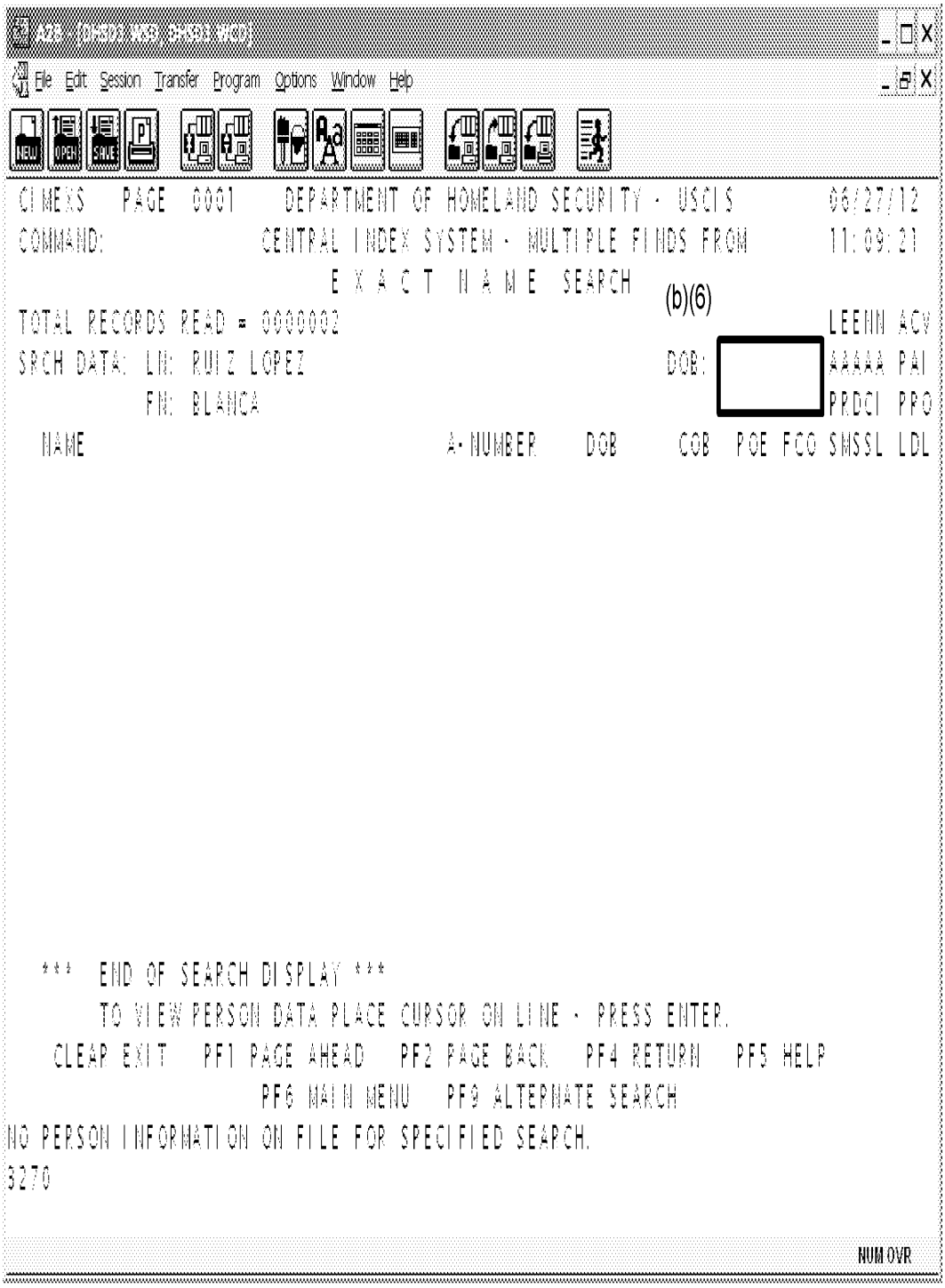
(b)(6)



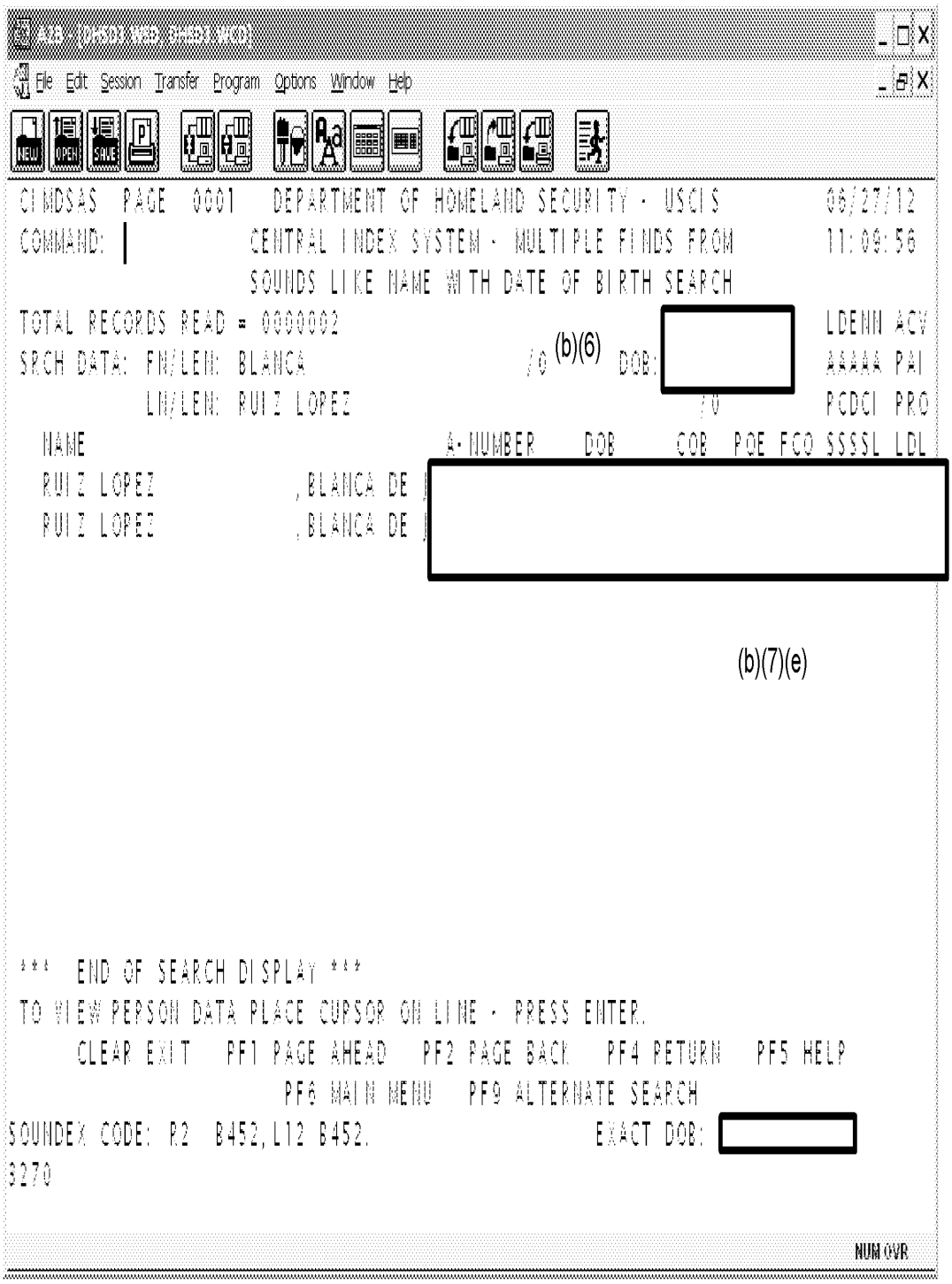
Second A-Number: Forget it



We'll try 9103

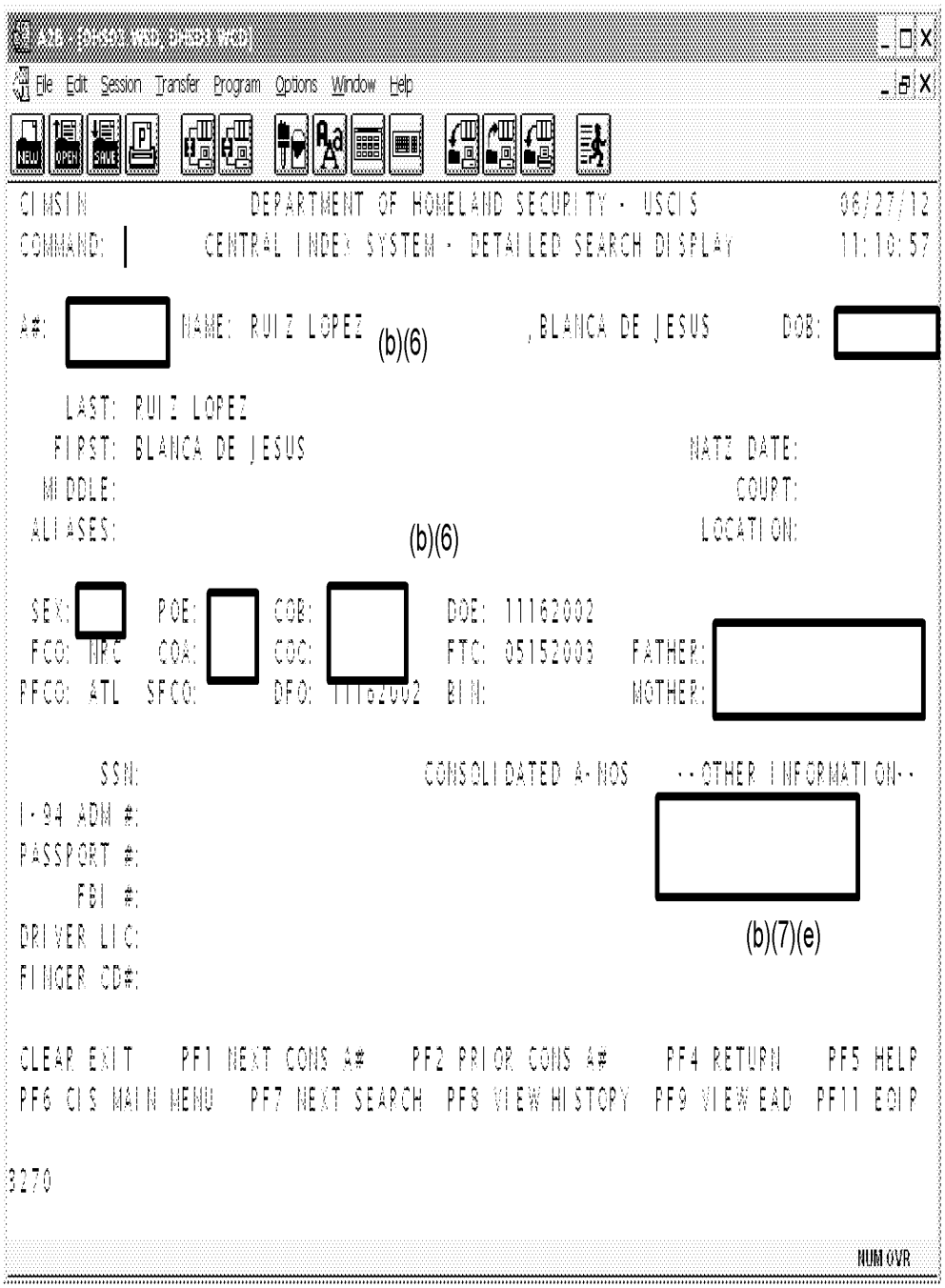


F9 and – wait for it –



Got her –

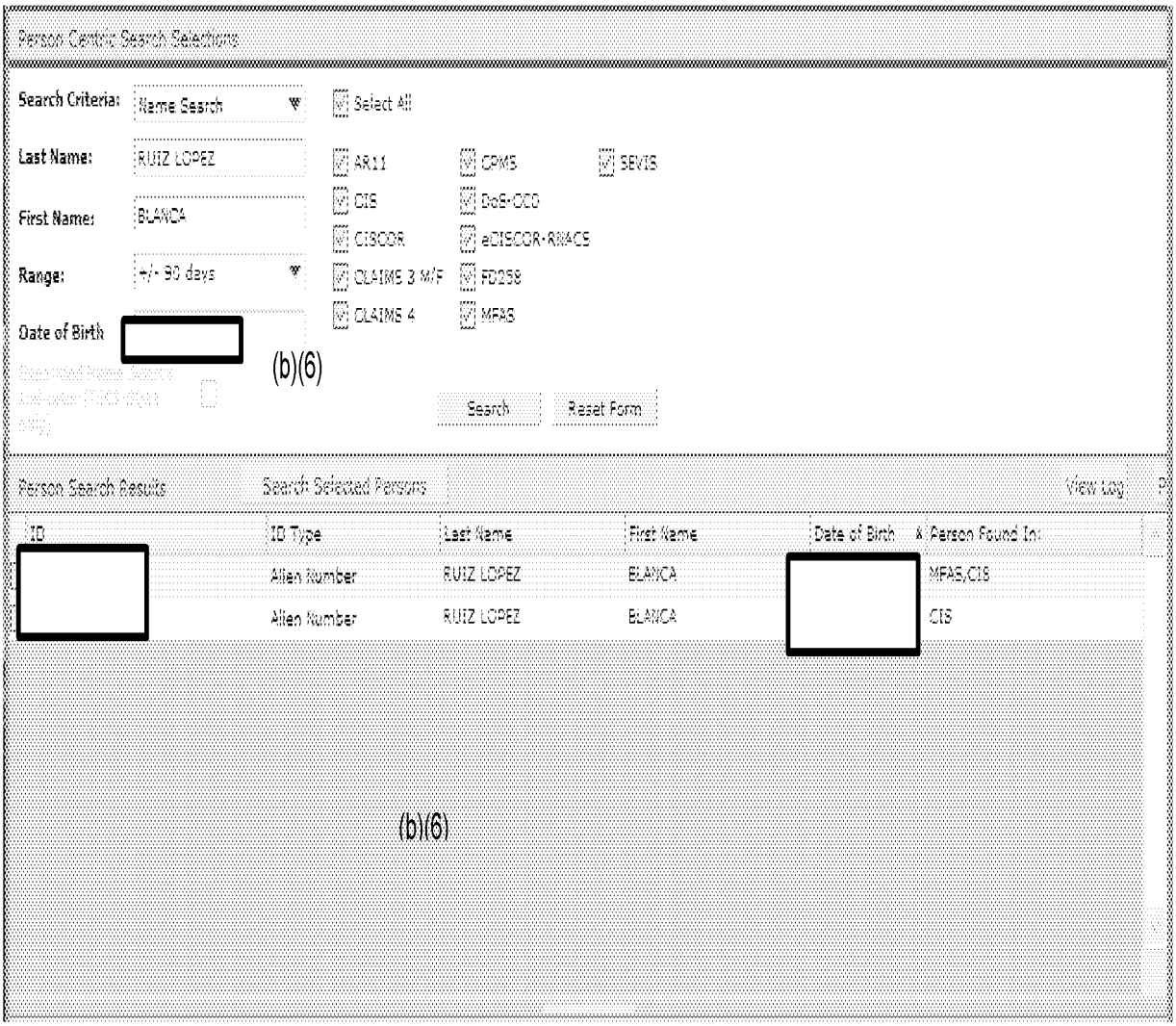
- Garbage In – Garbage Out: Her first and middle names were entered as her first name.
- Mother's name was Blanca and father's name was Marco.
- A quick word about Chinese names – the two given names constitute a first name.



PCQS did NOT find her:

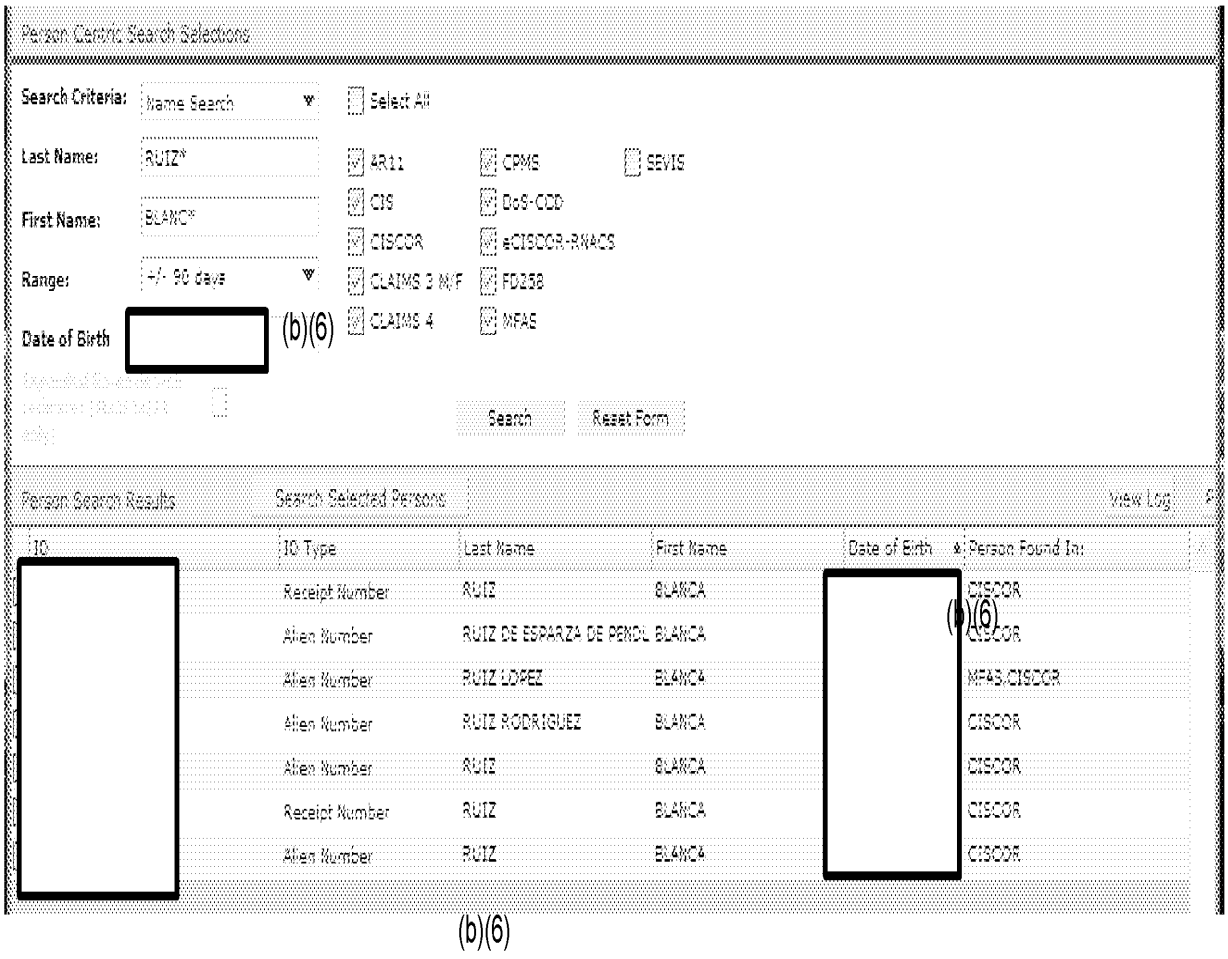
The person PCQS found *does not* have the same DOB, and the mother's and father's names are different.

(b)(6)



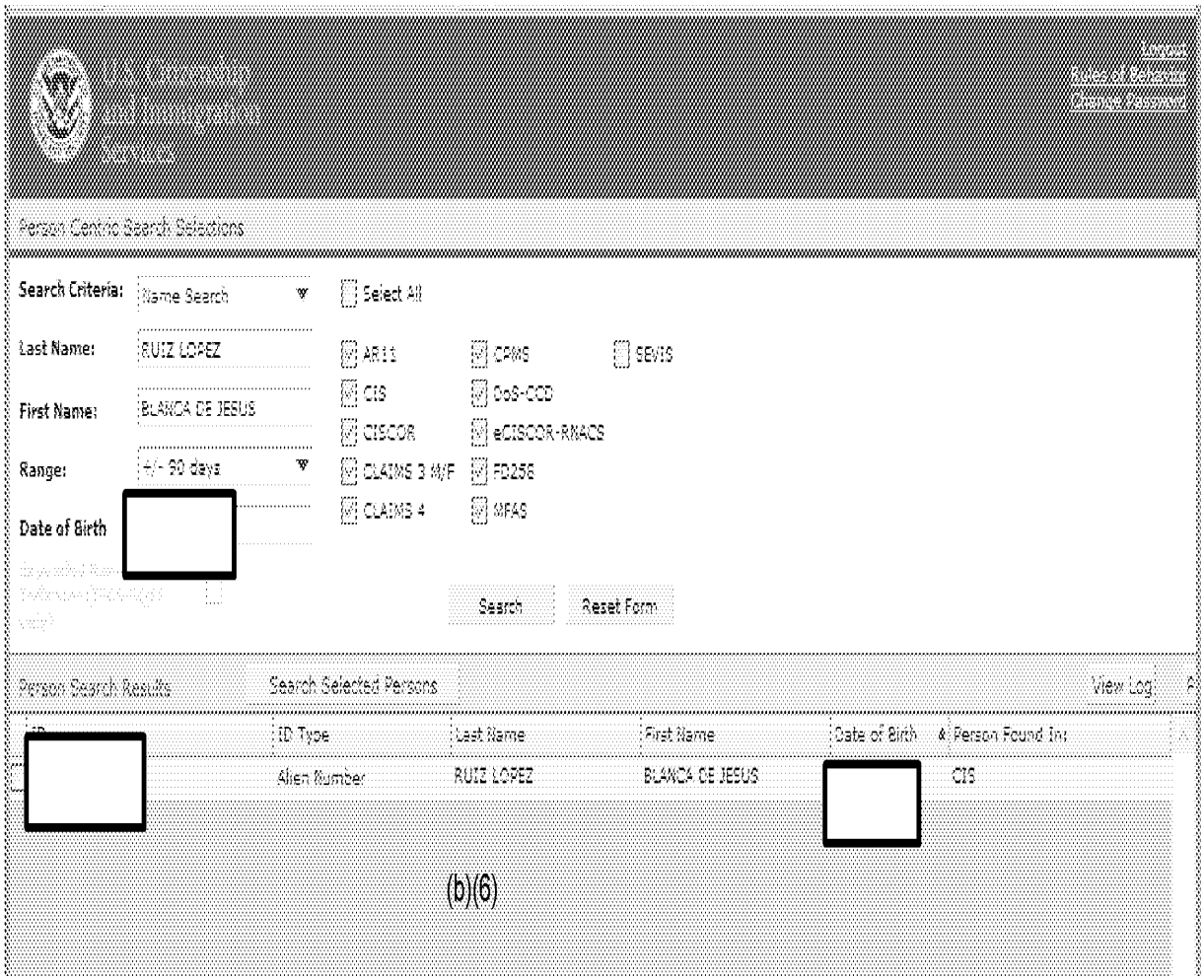
With wildcards, PCQS did not find her:

Again, PCQS found people with names like her, but a check of those records would convince you that it's a different person.



But if I search her exact name:

(b)(6)



Why did CIS find her but PCQS almost didn't? PCQS does a better job of searching for receipts – unless you have the exact name.

Case Study # 4

- Last name Dang
- First name Khanh
- Middle name Van
- Born [redacted]
- Gave us [redacted] (b)(6)
- Father's name [redacted]
- Mother's name [redacted]
- In this case study, we will learn 2 up, 2 down and DOB range

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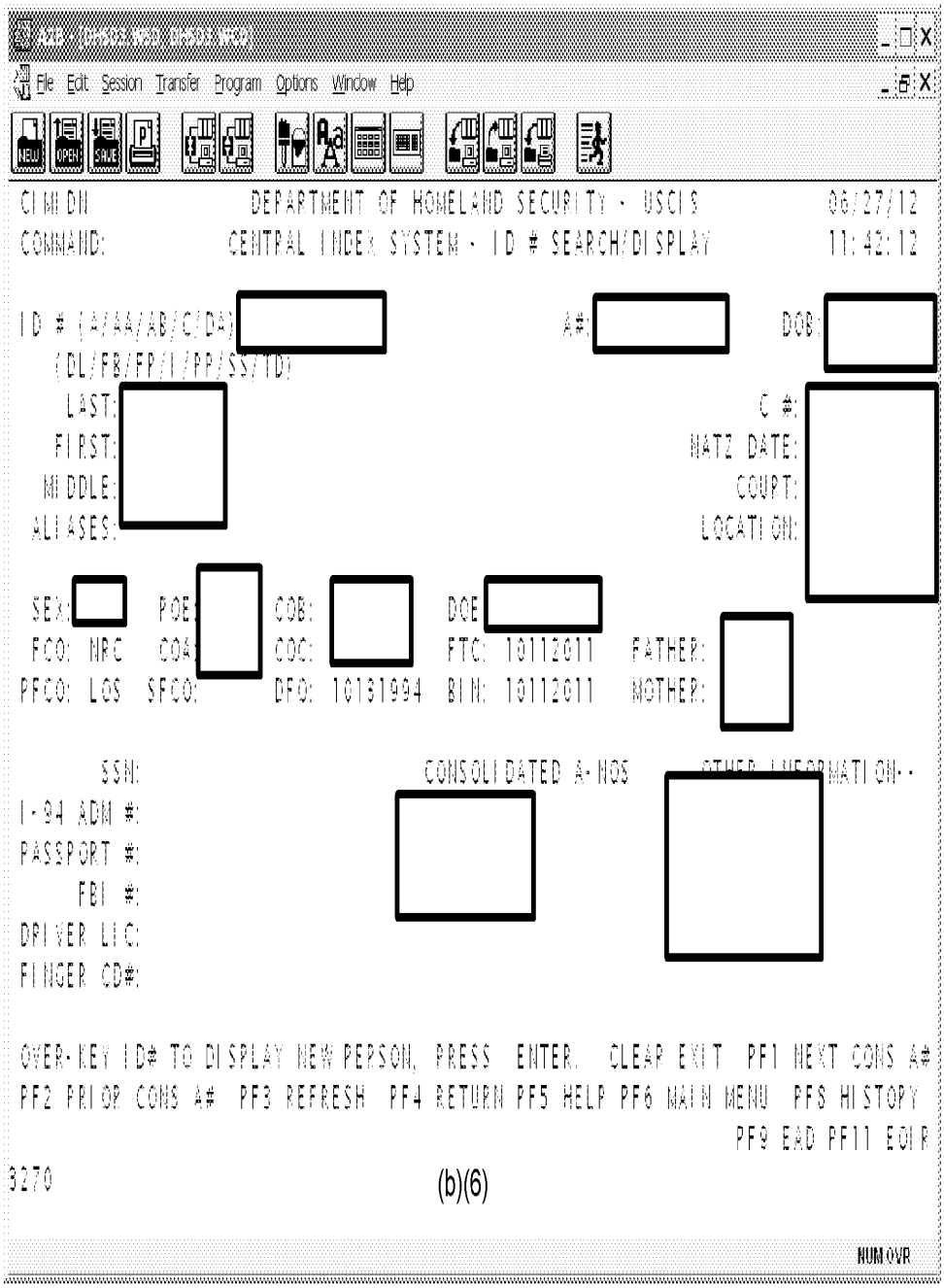
First, try the A-Number

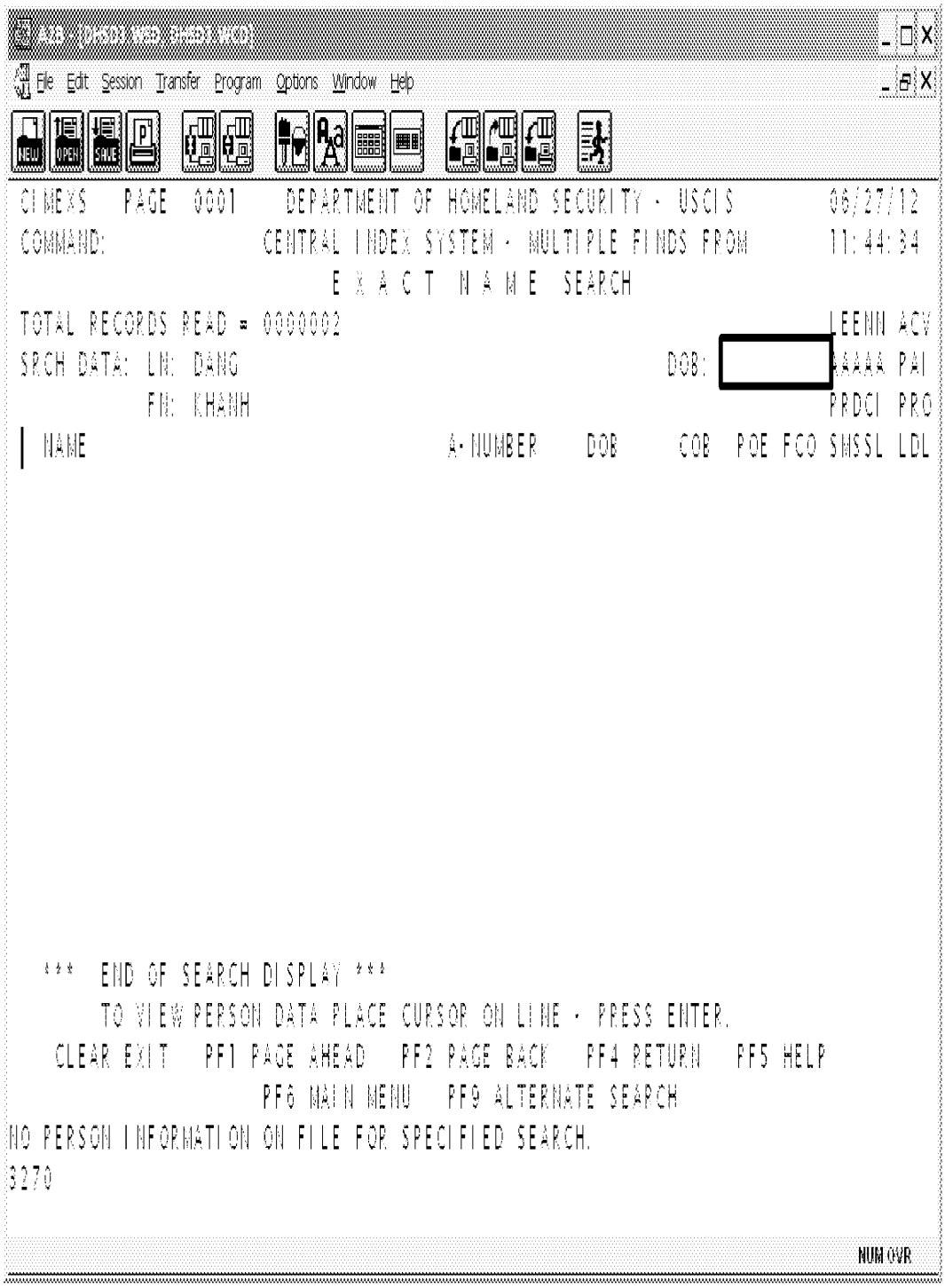
(b)(6)

- (b)(6) [redacted] was her mother's name! By comparing the request, we can figure out this is probably her mother's A-Number.
- What should we do next?

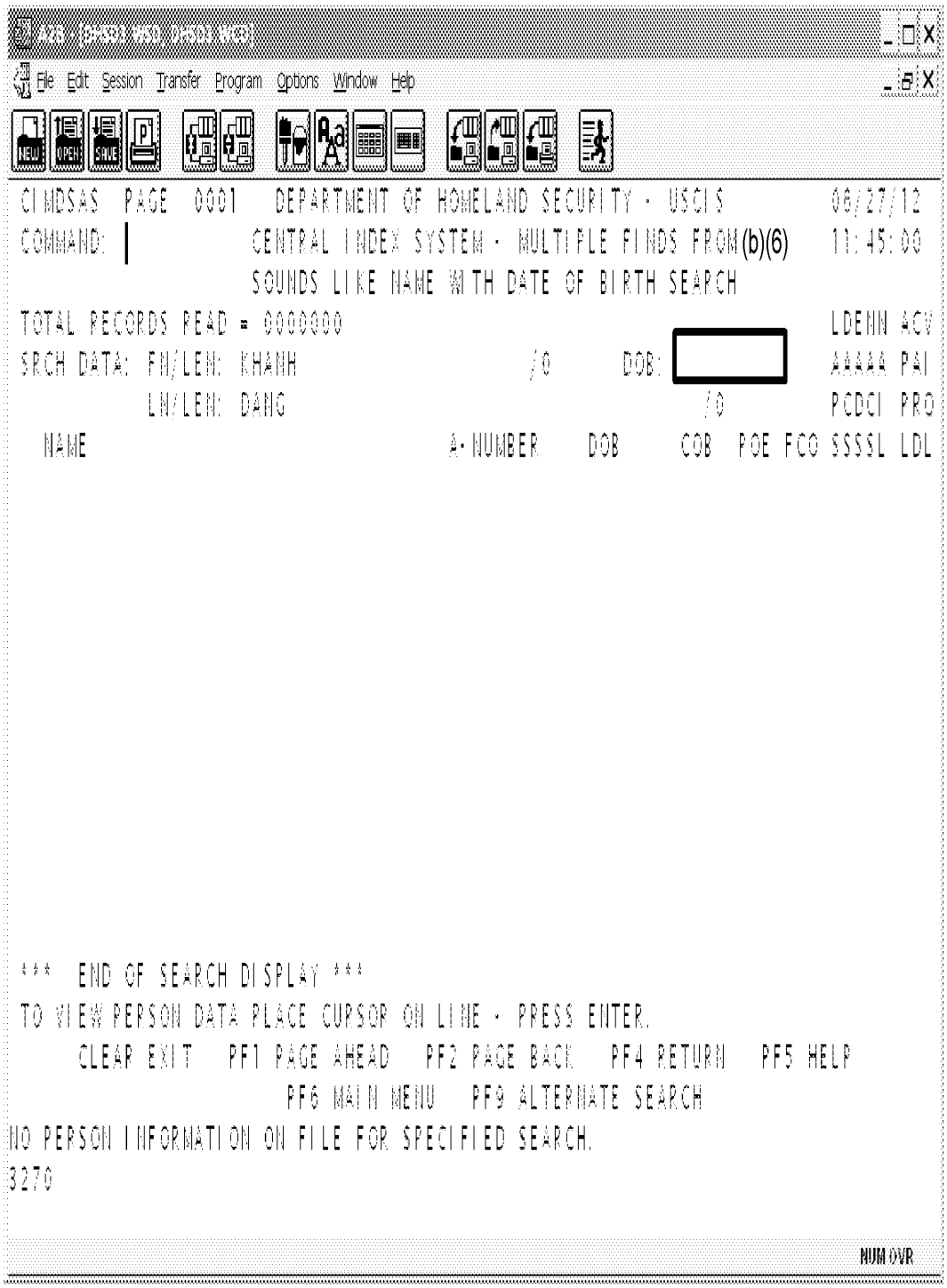


(b)(6)

9103

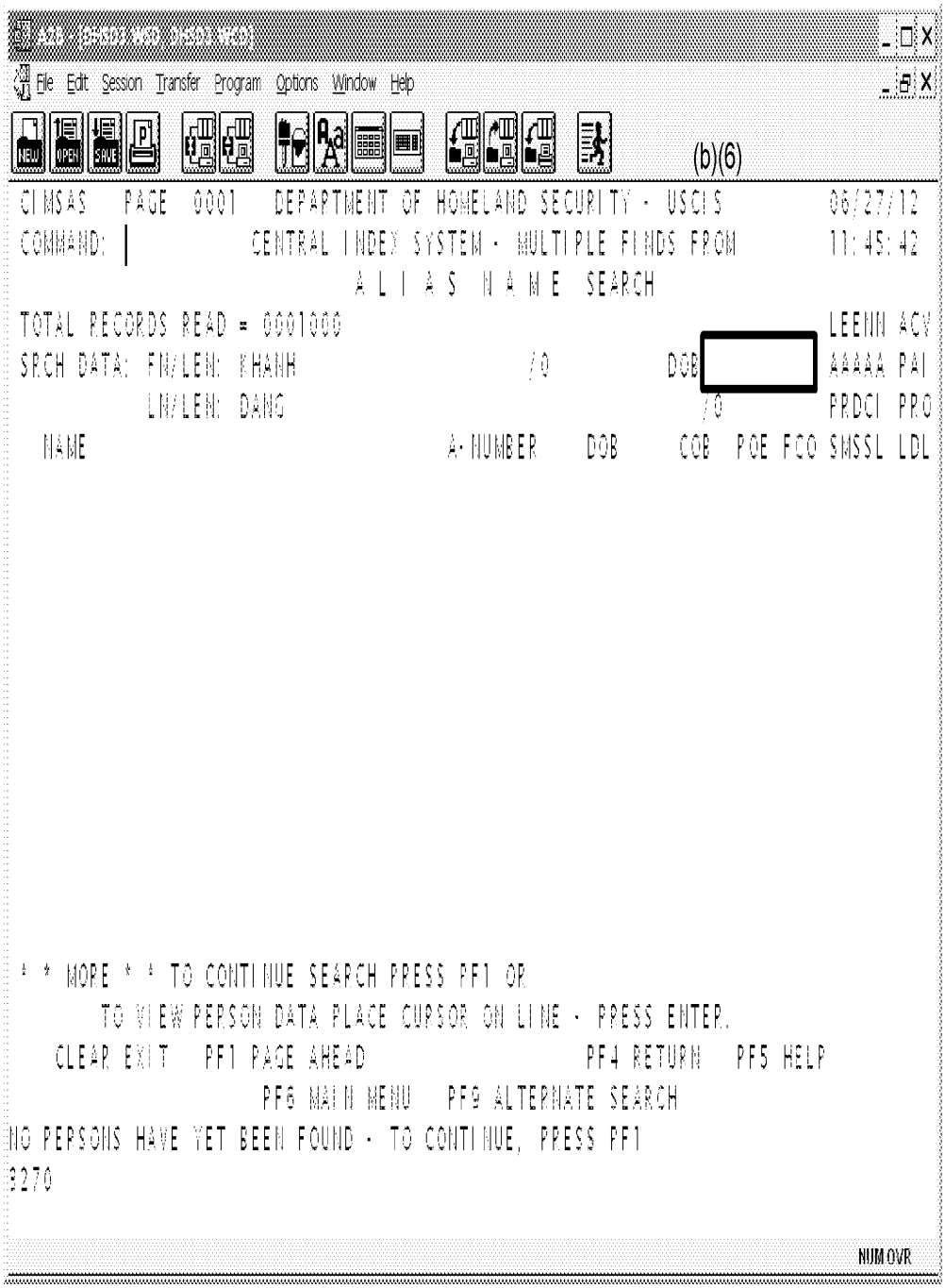

File Edit Session Transfer Program Options Window Help
CIMEXS PAGE 0001 DEPARTMENT OF HOMELAND SECURITY - USCIS 06/27/12
COMMAND: CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM 11:44:34
E X A C T N A M E SEARCH
TOTAL RECORDS READ = 0000002
SRCH DATA: LN: DANG
FN: KHANH
DOB:
NAME A-NUMBER DOB COB POE FCO SMSSL LDL
*** END OF SEARCH DISPLAY ***
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.
CLEAR EXIT PF1 PAGE AHEAD PF2 PAGE BACK PF4 RETURN PF5 HELP
PF6 MAIN MENU PF9 ALTERNATE SEARCH
NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.
3270
NUM OVR

F9 for Sounds Like



F9 again for aliases:

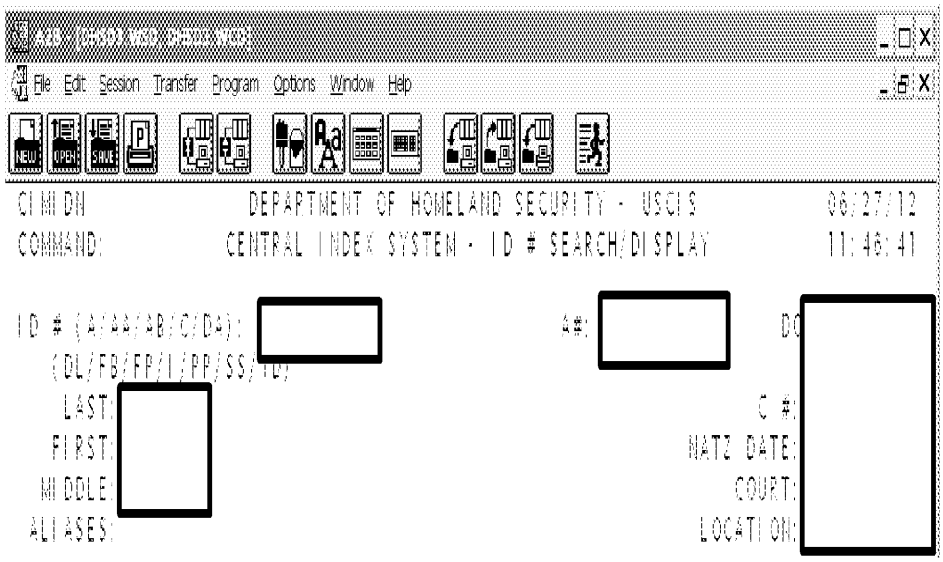
And we did not find her.



2 up

(b)(6)

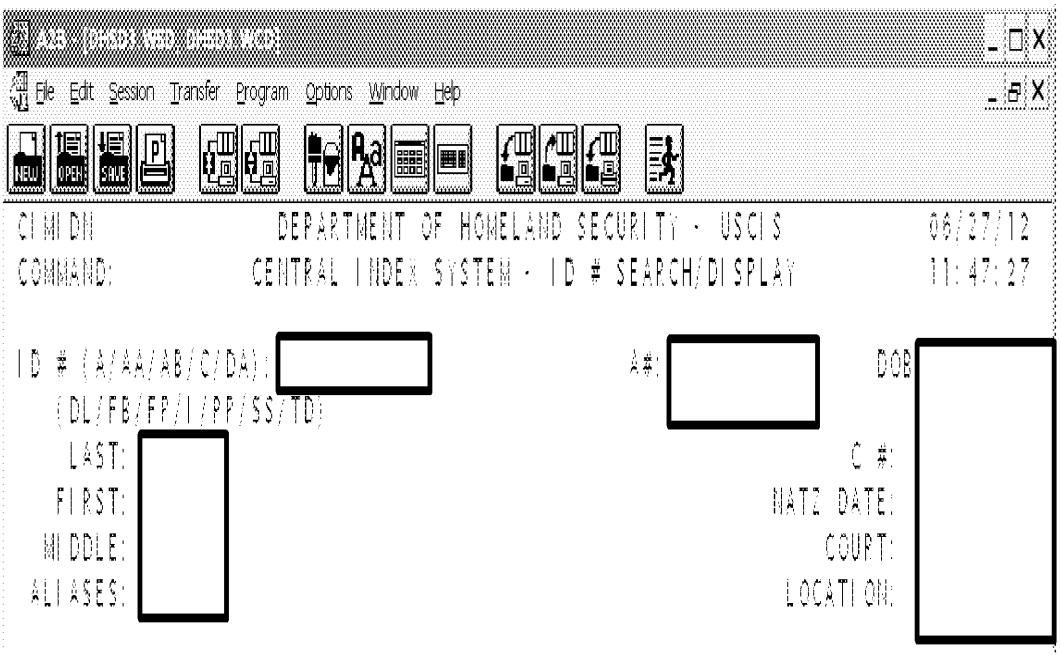
This is nobody related:



(b)(6)

(b)(6)

was her father's name! This looks good. We'll try 2 down now.



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(b)(6)

2 down

These two are not the right person, but we found a pattern!!

Dad was [redacted]

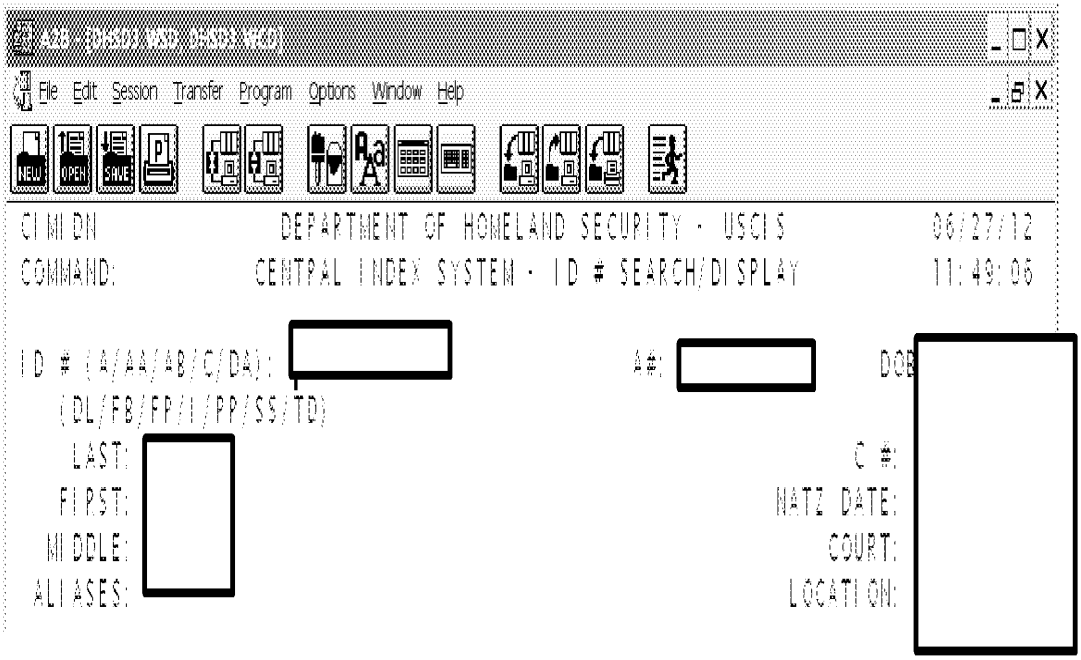
(b)(6)

Mom was [redacted]

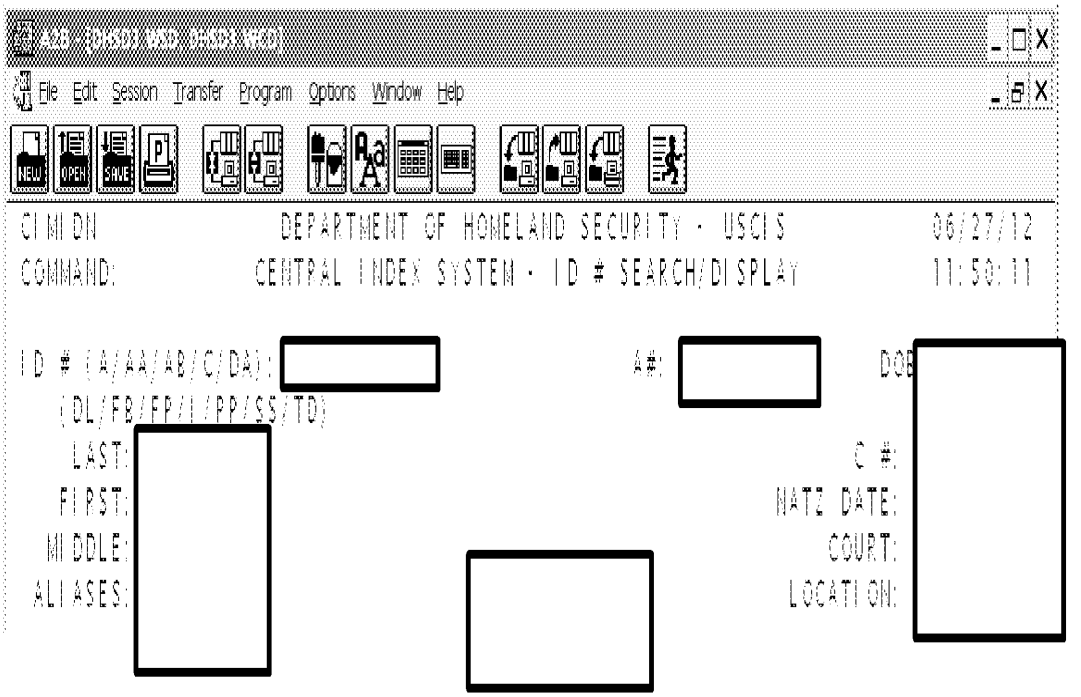
Child born in [redacted] is [redacted]

Child born in [redacted] is [redacted]

Let's try one more!!



(b)(6)



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(b)(6)

1 more down and –

She gave us an alias, Khanh Van Dang.

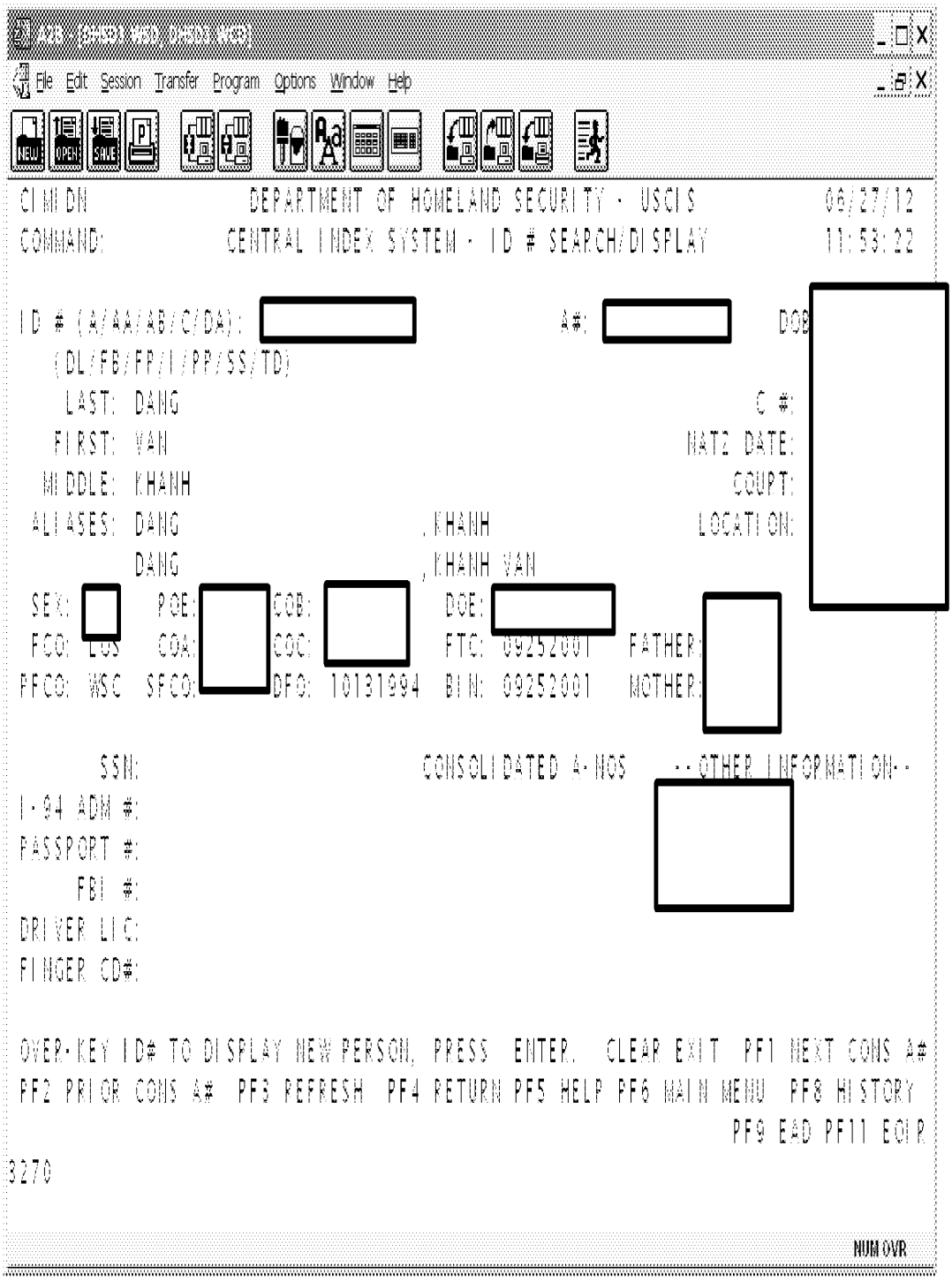
She gave us a DOB of [redacted]

(b)(6)

That's one year different exactly.

It would be hard to find by name search.

She has a fairly common name.



(b)(6)

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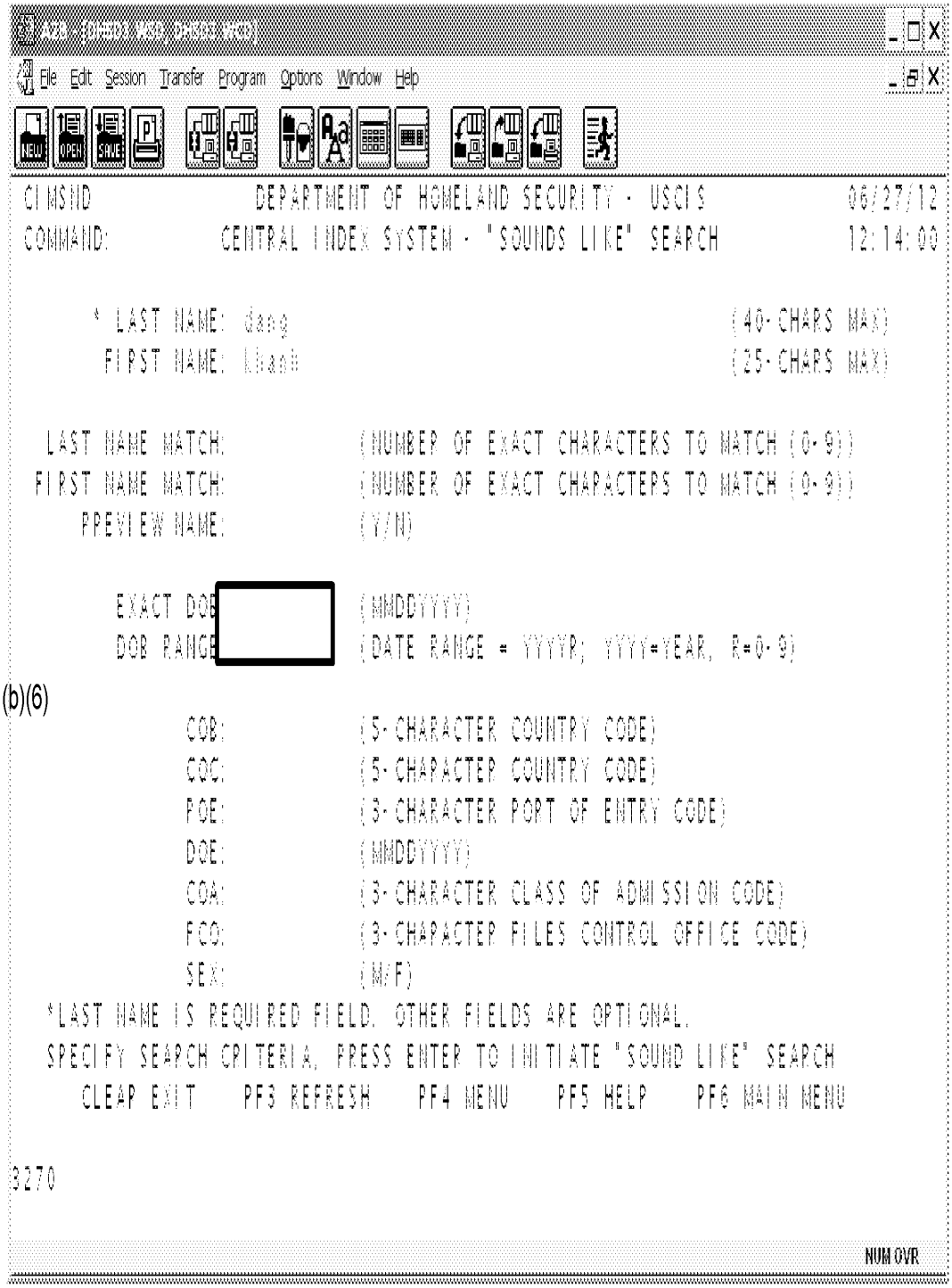
(b)(6)

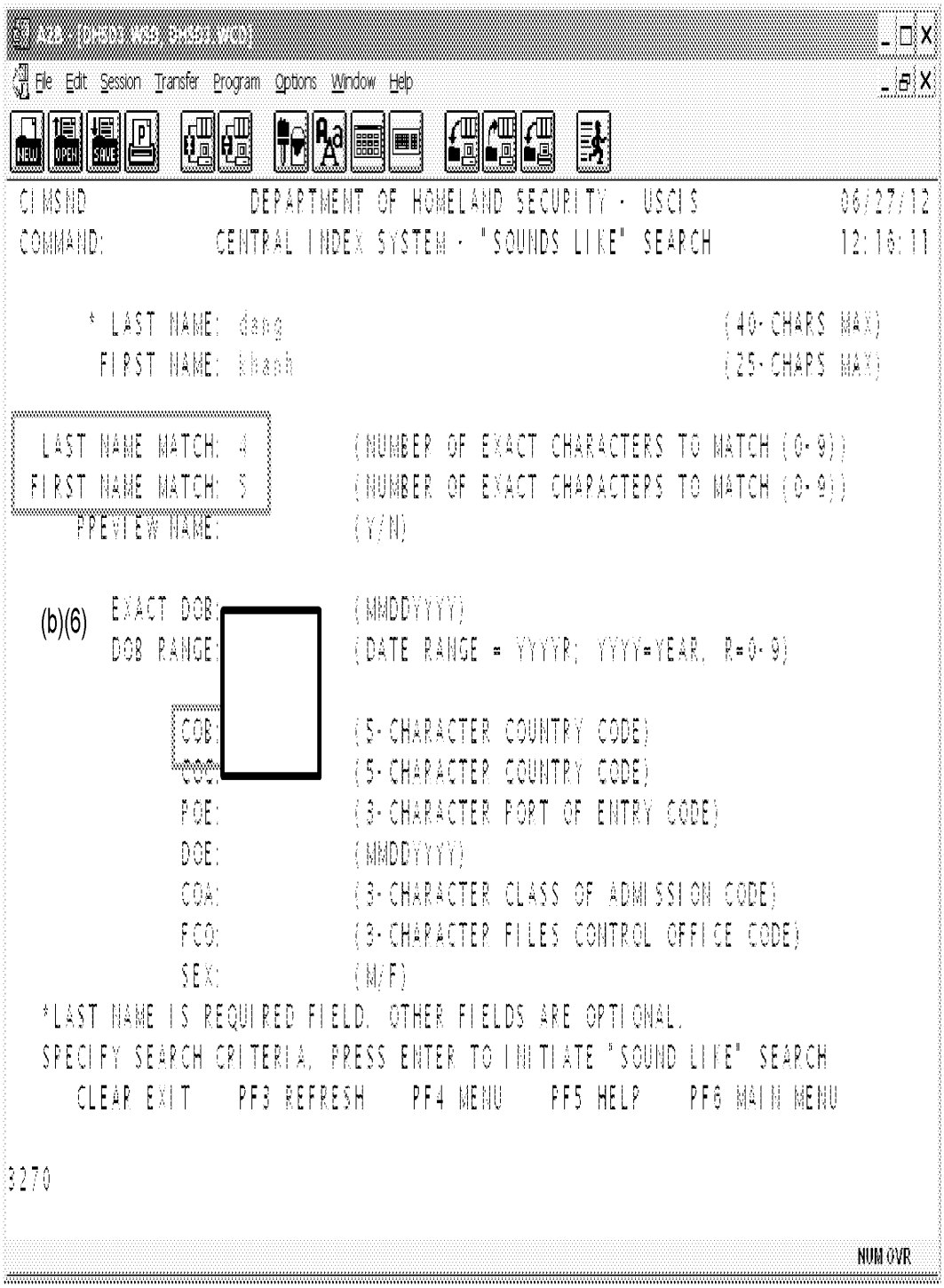
We could have tried 9102

This search has too many wild cards.
We will get hundreds of possible matches.



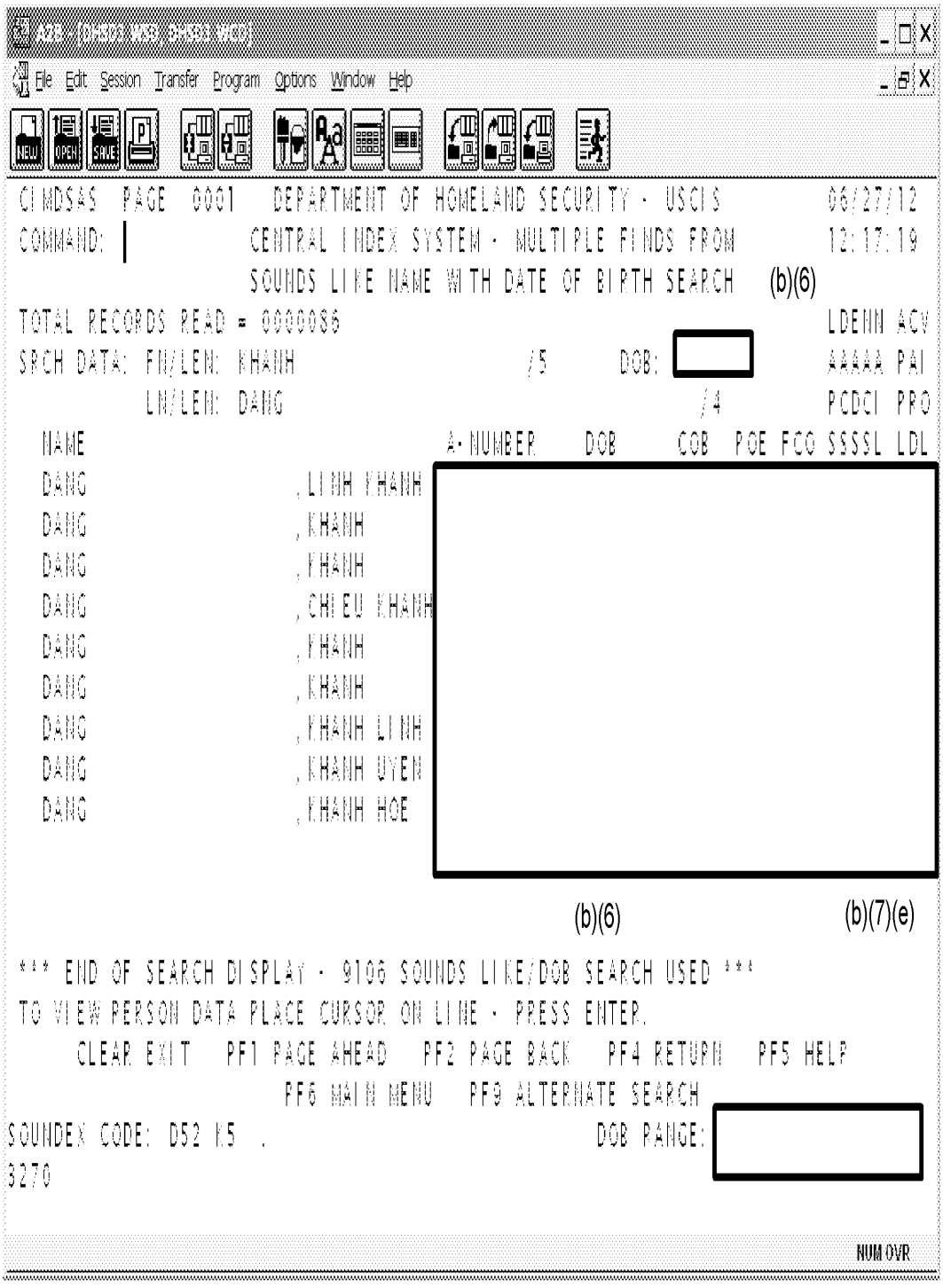
Exact Character Match/COB

Because I know this is a fairly common name, I can specify number of exact characters to match and specify COB.



“Sounds-like” did not find her

In my experience, if the month, day and year are all off, it’s never the right person. We might come back to this, but ***let’s try aliases*** first, just in case we get something.



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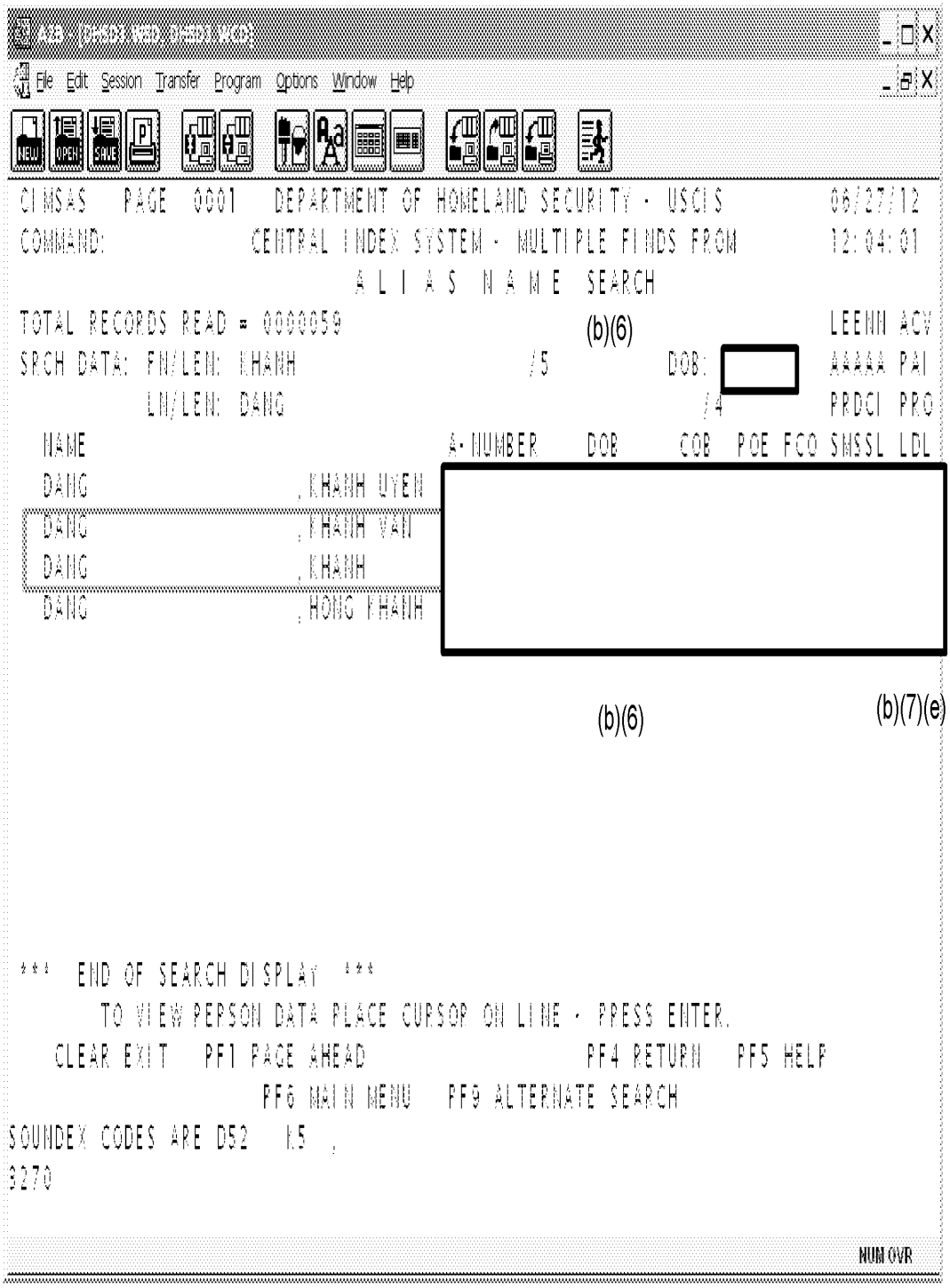
And we found her the long way:

CIS lists her possible aliases as Khanh Van and Khanh (by itself). Also, we see the DOB is exactly one year off.
By selecting the second or third line, we can verify that it's her.



Discussion

- In a situation like that, we must add a discussion, something like this:

(b)(6)

CP

Subject provided DOB [redacted] CIS DOB is [redacted] Subject provided [redacted] Subject's record appears to be [redacted] Father's and mother's name match, COB matches, and the A-Number was 3 away from the one he provided. Please verify the file relates to the subject. Thank you.

Lost in the System

- We could have easily gotten lost with our example from [redacted] (b)(6)
- If you have a fairly common name, try to limit your variables and don't look at every possible match.
- If a person lists several aliases and dates of birth, we can do 9102 with F9 for each of them, but we should move on if we do not have a really good match.

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Questions?

U.S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services

Objective

- To define Verification of Identity by 6 C.F.R. § 5.21(d)
- To define Certification of Agreement to Release Information by 6 C.F.R. § 5.21(d)

U.S. Citizenship and Immigration Services

Verification of Identity

- The following is an excerpt from the Instructions for Form G-639:
  - **Verification of Identity by Mail:**
  - Requesters wanting access to their records must identify themselves by name, current address, date of birth and place of birth.
  - The subject of the record must also provide a notarized signature or an unsworn declaration under penalty of perjury (Form G-639 may also be used).

U.S. Citizenship and Immigration Services

Verification of Identity:

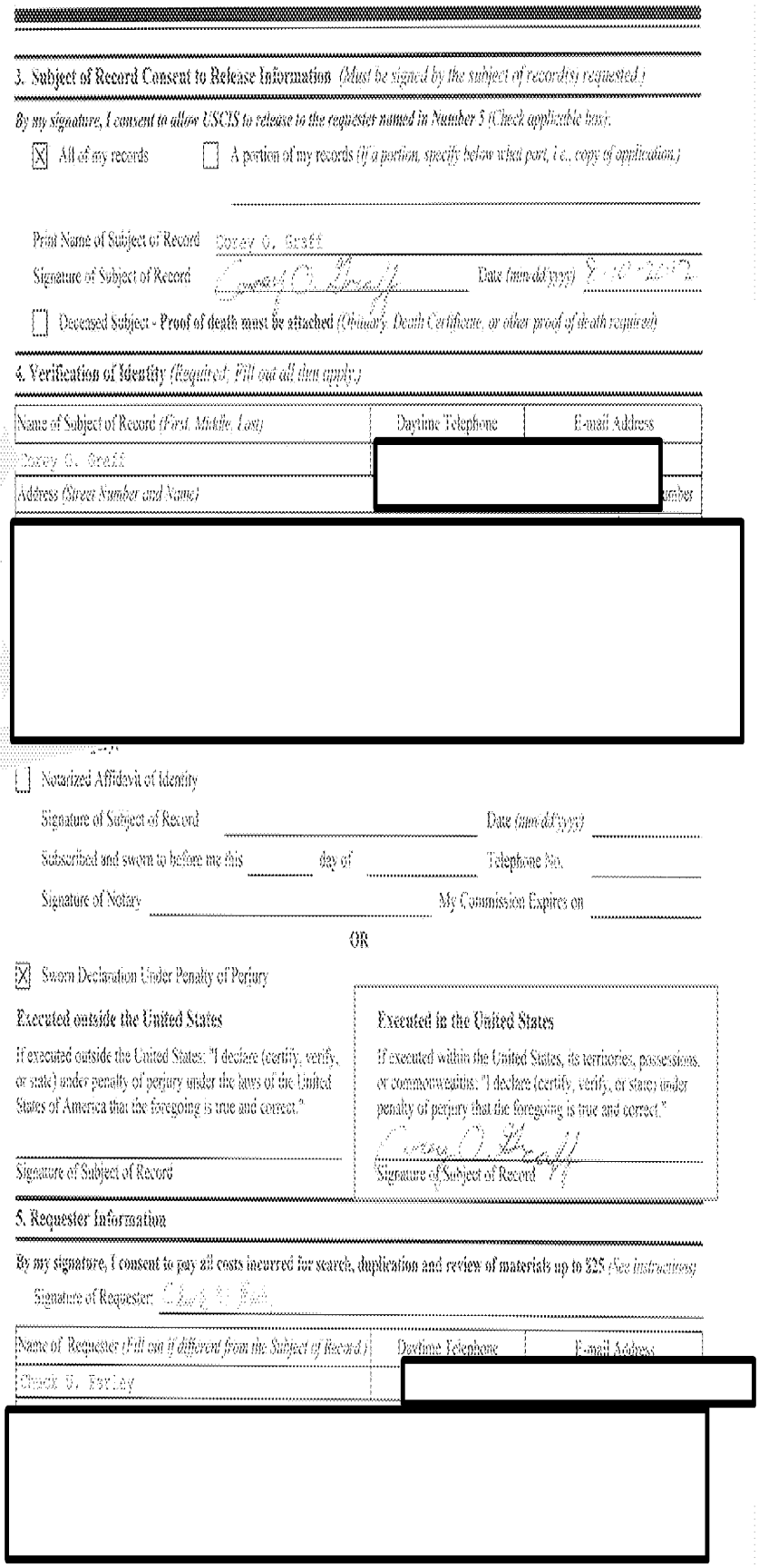
- 6 CFR § 5.21(d) says you must provide us:
  - Full Name
  - Mailing address
  - Date of Birth
  - Place of Birth

- And it also says: You must sign your request and your signature must either be notarized or submitted by you under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

U.S. Citizenship and Immigration Services

VOI

- Name
- Address
- Date of Birth
- Place of Birth
- Proper signature



3. Subject of Record Consent to Release Information *(Must be signed by the subject of record(s) requested.)*

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

☒ All of my records ☐ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey C. Graff

Signature of Subject of Record: [signature] Date *(mm-dd-yyyy)*: 8-10-2012

☐ Deceased Subject - **Proof of death must be attached** *(Obituary, Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey C. Graff	[redacted]	
Address *(Street Number and Name)*		[redacted]

(b)(6) [redacted]

☐ Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm-dd-yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

☒ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

_____
Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

[signature]
Signature of Subject of Record

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25 (See instructions)

Signature of Requester: [signature]

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck D. Farley	[redacted]	

(b)(6) [redacted]

Form G-639 (01/29/12) N Page 3

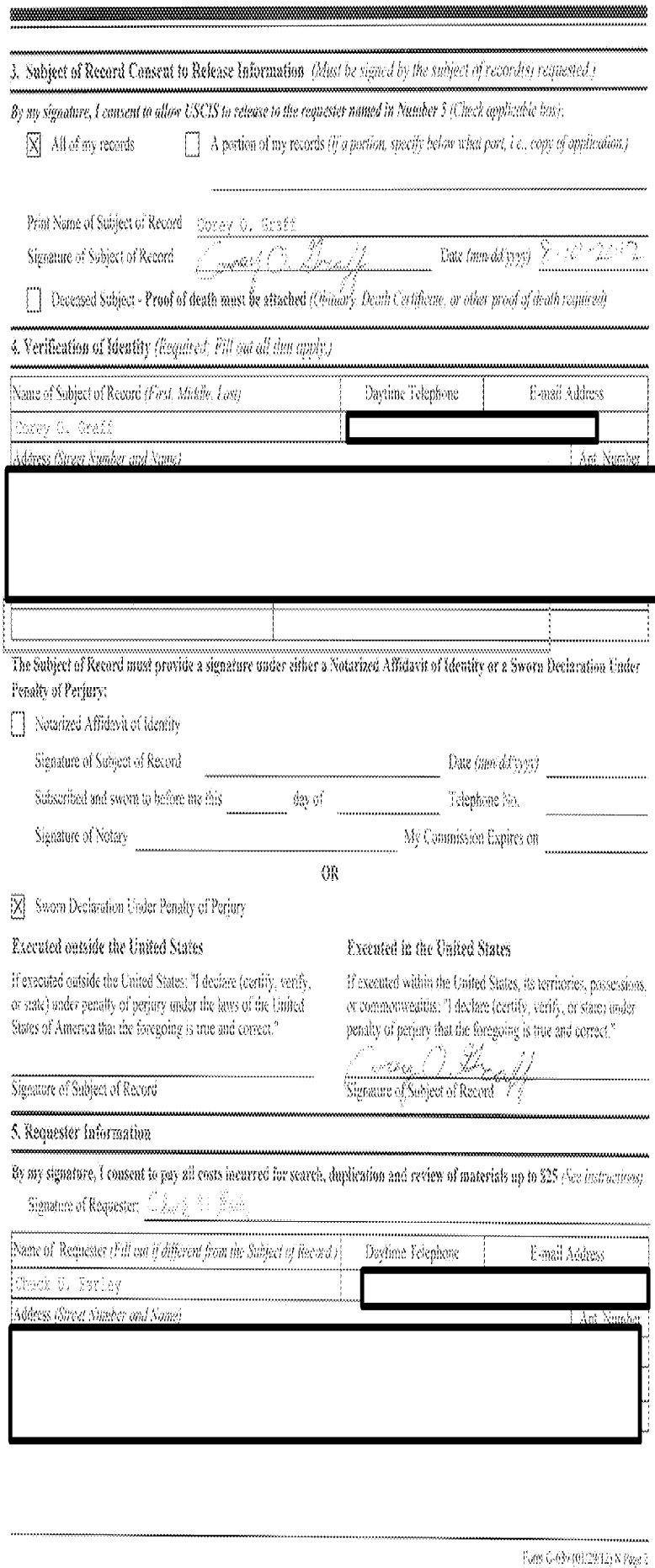
U.S. Citizenship and Immigration Services

DOB/POB

- If date of birth and place of birth are blank, look on the front of the G-639. If the person in block 2 is the same as block 4, you can use that data.
- Look to see if they provided documentation with DOB and POB accompanied by a Jurat or Affidavit.
- Otherwise, we have inadequate VOI.

(b)(6)

(b)(6)



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By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

☒ All of my records ☐ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey C. Graff

Signature of Subject of Record: Corey C. Graff Date *(mm-dd-yyyy)*: 8-10-2012

☐ Deceased Subject - Proof of death must be attached *(Obituary, Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey C. Graff	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

☐ Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm-dd-yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

☒ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record: Corey C. Graff

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25 *(See instructions)*

Signature of Requester: Chuck D. Farley

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck D. Farley	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

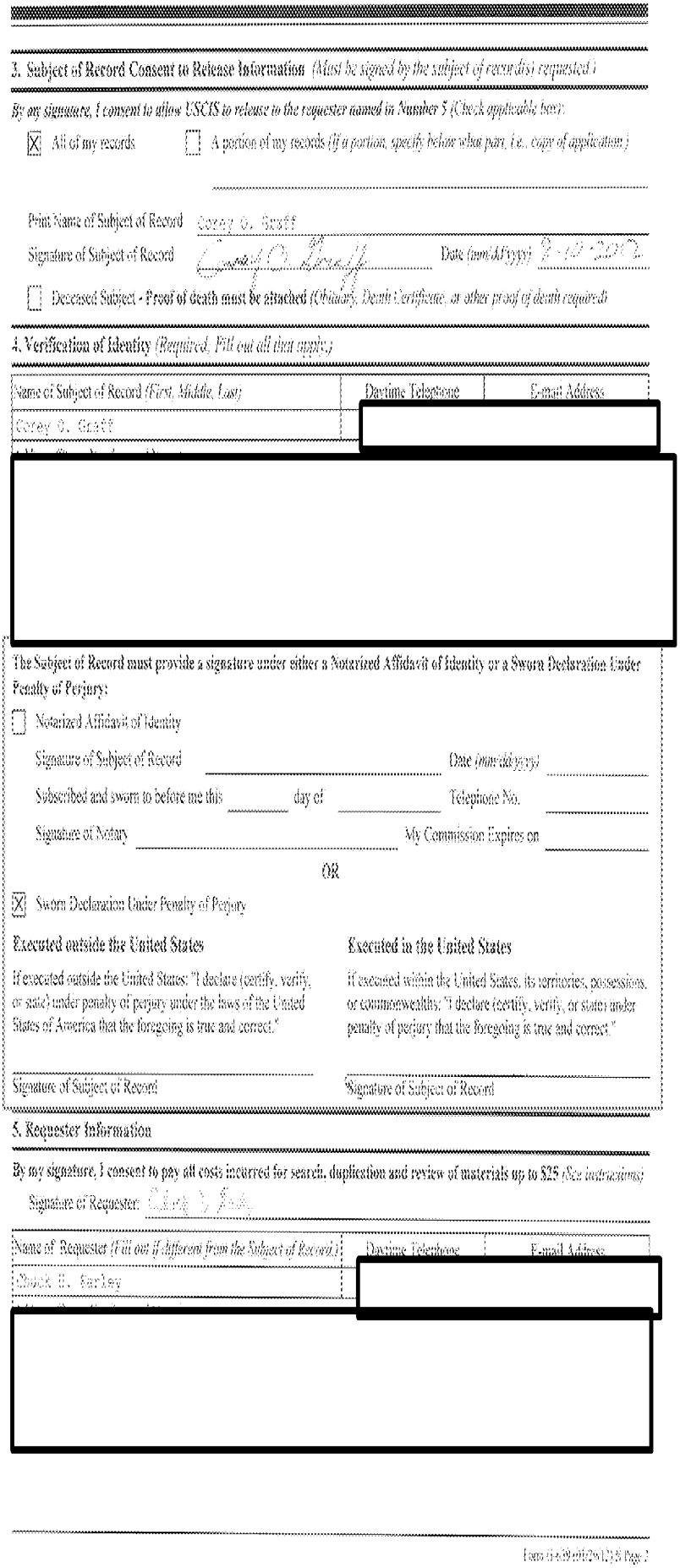
Form G-639 (01/29/12) N Page 3

U.S. Citizenship and Immigration Services

No Signature?

- Look for another document that provides VOI, such as a DOJ 361 or a written letter that meets the requirements.
- Otherwise, you have inadequate VOI.

(b)(6)



3. Subject of Record Consent to Release Information *(Must be signed by the subject of record(s) requested.)*

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

[X] All of my records [ ] A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey O. Graff

Signature of Subject of Record: Corey O. Graff Date *(mm/dd/yyyy)*: 8-10-2012

[ ] Deceased Subject - Proof of death must be attached *(Obituary, Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey O. Graff	[redacted]	

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

[ ] Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm/dd/yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

[X] Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25 (See instructions)

Signature of Requester: Chuck E. Farley

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck E. Farley	[redacted]	

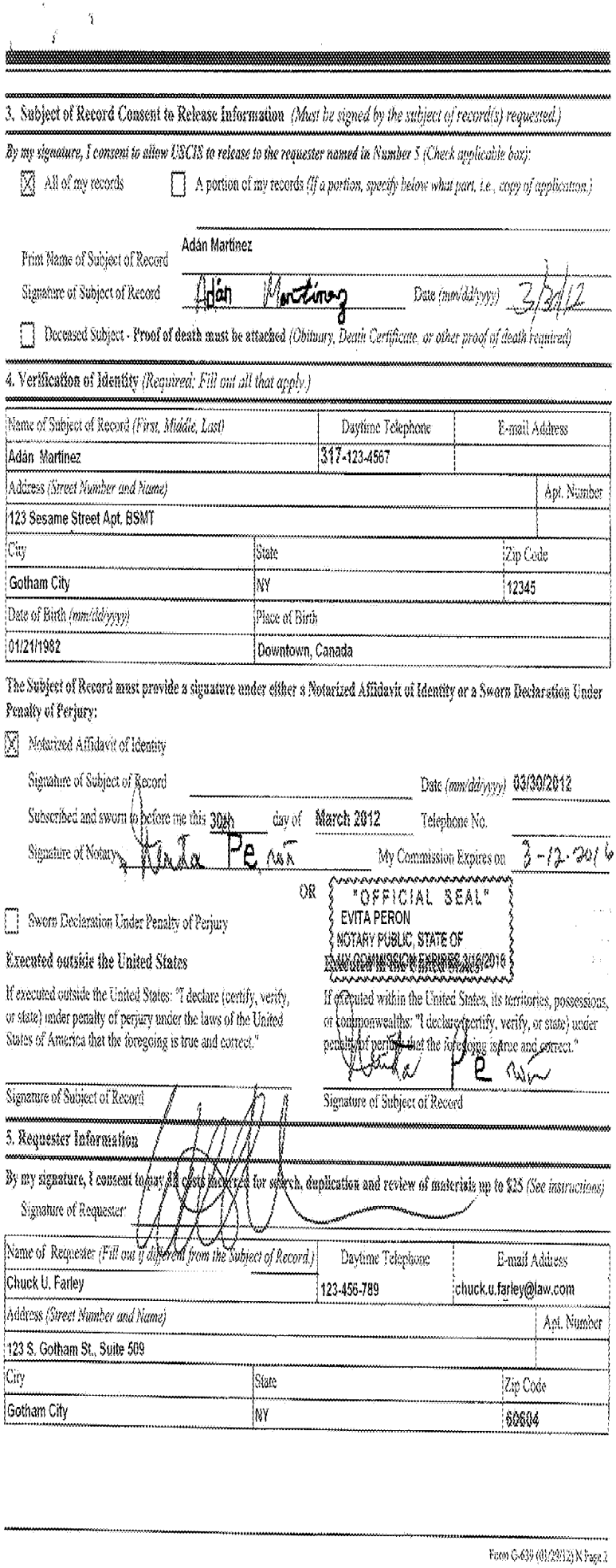
(b)(6)

Form G-639 (01/26/12)NI Page 2

U.S. Citizenship and Immigration Services

Bad news:

- The subject of record has not provided a VOI signature on this page.
- If the subject does not provide VOI someplace else, you have inadequate VOI.



3. Subject of Record Consent to Release Information *(Must be signed by the subject of record(s) requested.)*

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

☒ All of my records ☐ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Adán Martinez

Signature of Subject of Record: Adán Martinez Date *(mm/dd/yyyy)*: 3/30/12

☐ Deceased Subject - **Proof of death must be attached** *(Obituary, Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required: Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Adán Martinez	317-123-4567	

Address *(Street Number and Name)*	Apt. Number
123 Sesame Street Apt. BSMT	

City	State	Zip Code
Gotham City	NY	12345

Date of Birth *(mm/dd/yyyy)*	Place of Birth
01/21/1982	Downtown, Canada

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

☒ Notarized Affidavit of Identity

Signature of Subject of Record: Date *(mm/dd/yyyy)*: 03/30/2012

Subscribed and sworn to before me this 30th day of March 2012 Telephone No.

Signature of Notary: My Commission Expires on: 3-12-2016

OR

"OFFICIAL SEAL"
EVITA PERON
NOTARY PUBLIC, STATE OF
MY COMMISSION EXPIRES 3/12/2016

☐ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record

Signature of Subject of Record

5. Requester Information

By my signature, I consent to pay all cost incurred for search, duplication and review of materials up to $25 *(See instructions)*

Signature of Requester:

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck U. Farley	123-456-789	chuck.u.farley@law.com

Address *(Street Number and Name)*	Apt. Number
123 S. Gotham St., Suite 509	

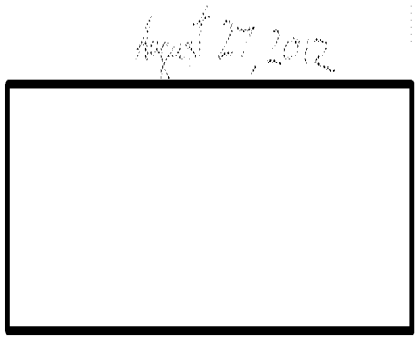
City	State	Zip Code
Gotham City	NY	60604

Form G-639 (01/29/12) N Page 2

U.S. Citizenship and Immigration Services

Other documents:

(b)(6)



August 27, 2012

To whom it may concern,

Please send a copy of my file. My name is Corey O. Graff, I was born in [redacted] and my date of birth is [redacted]. I declare under penalty of perjury that the information I provided is true and correct.

Corey O. Graff

(b)(6)

- If the G-639 is not correctly filled out, look for other documents that would fulfill the CFR requirements.
- This letter is good enough.

U.S. Citizenship and Immigration Services

Citing the law is enough

- The law that permits unsworn statements under penalty of perjury is 28 U.S.C. § 1746.
- The person does not have to use the words “I declare under penalty of perjury that the foregoing is true and correct.”
- The person could say “I declare this to be true under the provisions of 28 U.S.C. 1746,” and we will accept it.

U.S. Citizenship and Immigration Services

Privacy Act / FOIA

- 6 CFR § 5.21(d) specifically deals with Privacy Act requests, doesn't it?
- Yes, but the FOIA requester gets referred right back to the PA section -
- 6 CFR § 5.3 (Requirements for making a FOIA request): If you are requesting records about yourself or another individual, you have to meet the requirements of section 5.21(d).

U.S. Citizenship and Immigration Services

Verification of Guardianship

6 CFR § 5.21(e)

1. A parent or guardian must establish the identity of the subject of record with name, address, date of birth and place of birth.
2. The parent or guardian must prove the relationship by providing a birth certificate or a court order that establishes parenthood or guardianship.
3. Finally, the parent or guardian must establish that they are acting on behalf of the individual by making the request.

U.S. Citizenship and Immigration Services

VOI is important

- Plaintiff has the burden of demonstrating that an unauthorized disclosure by the agency has occurred.
- If we have no VOI signature, the plaintiff has a sound legal basis for claiming we made an unauthorized disclosure.

U.S. Citizenship and Immigration Services

Inadequate Verification of Identity?

- You may not have good Verification of Identity when you open a case.
- When you are processing, you should
  - create a Discussion,
  - copy the Discussion to an e-mail to your supervisor, with the subject of the e-mail being the NRC case number, then
  - send the case to Records Locator.
- Don't process unless you have VOI. If the requester does not respond, the case will close as FC, and your supervisor will return the case for you to remove all redactions.

U.S. Citizenship and Immigration Services

What is Certification of Agreement?

- Consent (generally) Agreement, approval or permission as to some act or purpose, esp. given voluntarily by a competent person. (Black's Law Dictionary)

- 6 CFR § 5.21(f): If you are making a request for records concerning an individual ... You must also provide a statement from the individual *certifying the individual's agreement* that records concerning the individual may be released to you.

- 5 U.S.C. § 552a(b) No agency shall disclose any record ... except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

U.S. Citizenship and Immigration Services

Certification of Agreement

- If the requester is not the same as the subject of record, Block 3 of Form G-639 is Agreement to Release Information.

- **Does the requester have to agree to release of information?** Maybe.

  If the record is about a person, and if somebody besides that person is the requester, then yes. 6 CFR § 5.21(f) says: If you are making a request for records concerning an individual on behalf of that individual, you must provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you. But – a self-requester does not have to sign an agreement with himself or herself to obtain his or her own record.

U.S. Citizenship and Immigration Services

Can that be a handwritten note?

- Yes. The CFR does not require the subject of record to sign consent on the G-639.
- The subject of record could provide a separate statement certifying agreement to release information to the other person.

U.S. Citizenship and Immigration Services

Can Agreement be a Form G-28?

- Yes.
- On Form G-28, at the place where the Subject of Record signs, is the following statement:
  - Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to the named Attorney or Accredited Representative of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.
- Certification of Agreement does not have to be on Form G-28. It could be on the G-639 or it could be a separate, signed piece of paper giving us permission to release the file to an attorney (or whatever third party).

U.S. Citizenship and Immigration Services

Must an attorney use Form G-28?

- Not for FOIA. If an attorney is representing a person for an immigration benefit petition or application, the attorney must submit Form G-28 along with it.
- Some attorneys submit a G-28 along with the FOIA request because they treat the FOIA the same as an immigration petition or application.
- It's possible some attorneys do not know USCIS does not require a Form G-28 for a FOIA request.
- But it doesn't hurt. A properly signed G-28 gives us adequate certification of agreement to release records.

U.S. Citizenship and Immigration Services

Agreement and Attorneys of Record

- 3rd, 5th, 8th, 9th, 10th, 11th and DC Circuits, as well as the Supreme Court, have all held that no unauthorized disclosure under the Privacy Act has occurred if the communication is to a person who is already aware of the information.
- On the other hand, the DC Circuit has found that "Implied consent is never enough." (Taylor v. Orr, 1983).

U.S. Citizenship and Immigration Services

G-28 in the File

- We used to say "if it's the same attorney, and if there's a G-28 in the file ..."
- Now we say "you must have agreement to release under FOIA for the file you are processing right now."
  - First: OMB Guidelines caution that "the consent provision was not intended to permit a blanket or open-ended consent clause."
  - Second: Perry v. FBI (1985), disclosure can be upheld if consent is not vague or general, and if [plaintiff] knew what he was authorizing.
- The chances we'd get sued might be small, but if it did happen, we would have no legal defense for releasing

U.S. Citizenship and Immigration Services

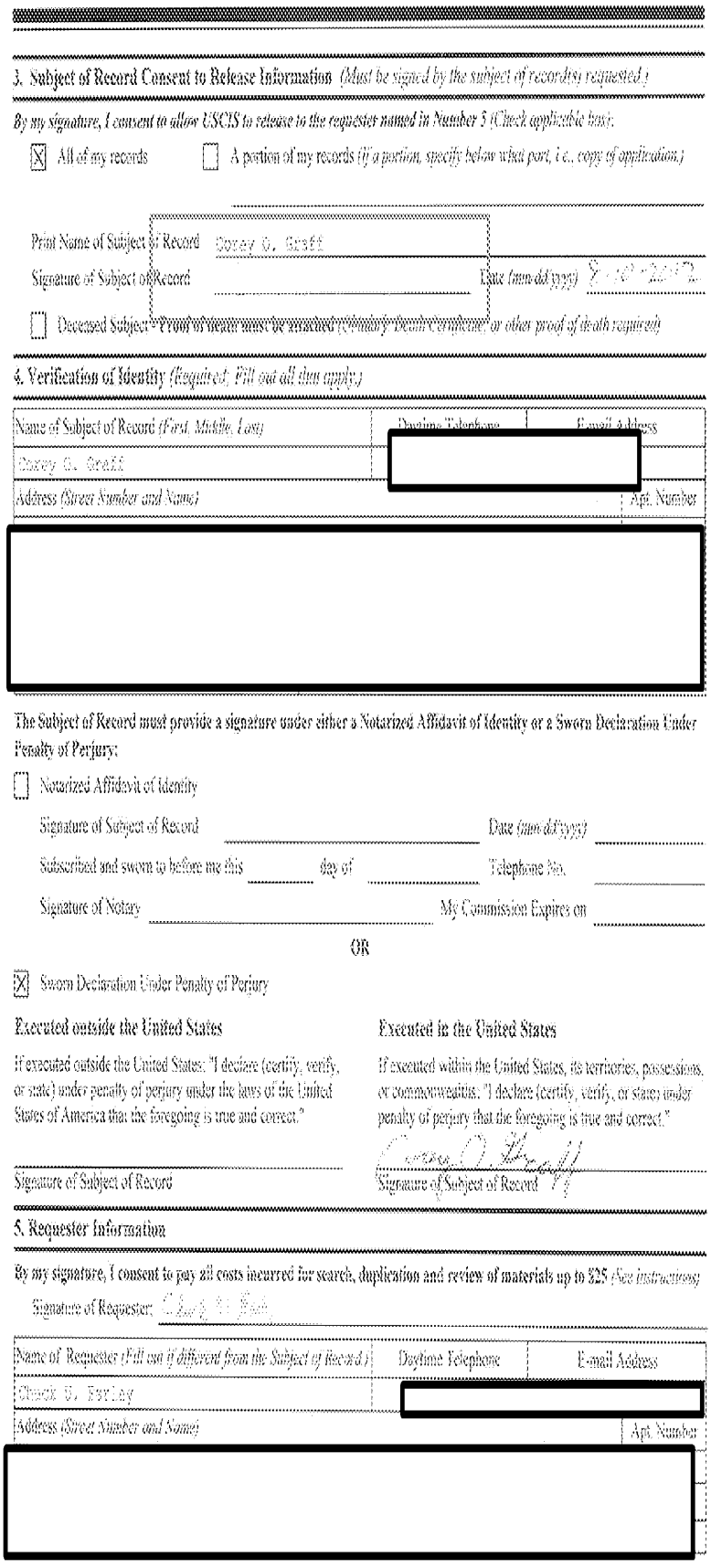
Missing?

- If you do not see a signature permitting us to release information to the requester, always look for a G-28 or something else that permits release.

- If there's nothing else there, you do not have adequate certification of agreement.

(b)(6)

(b)(6)



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By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

[X] All of my records [ ] A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey C. Graff

Signature of Subject of Record: _____ Date *(mm-dd-yyyy)*: 8-10-2012

[ ] Deceased Subject *Proof of death must be attached (e.g., notary record, coroner, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey C. Graff	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

[ ] Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm-dd-yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

[X] Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

_____

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Corey C. Graff

Signature of Subject of Record

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25 (See instructions)

Signature of Requester: Chuck D. Farley

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck D. Farley	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

Form G-639 (01/29/12) N Page 3

U.S. Citizenship and Immigration Services

You need both signatures:

- We used to say "the subject would never have signed VOI if he or she did not want to send the file to the attorney."
- Even though that logic is *probably* good, we would have no legal standing if a person ever claimed he or she did not want us to release the information to the attorney (or whatever third party).
- If this is an attorney request, or any third party request, we must have both a VOI signature and a certification of agreement signature. On a G-639, that's two signatures.
- If they include all VOI information and certification of agreement information in a single letter, and sign under perjury or sign notarized, that will fulfill all the requirements.

U.S. Citizenship and Immigration Services

It could happen

- Owens v. Merit Systems Protection Board – Owens' attorney filed a FOIA. Later, Owens ended his relationship with the attorney. MSPB sent the responsive record to the ex-attorney. Owens noted he had signed verification of identity, but not consent, and filed suit.
- The court eventually found in favor of MSPB: Mailing of the agency decision affirming employee's removal to his former attorney was held not to be a "disclosure" under the Privacy Act, as the "attorney was familiar with the facts of [the employee]'s claim" and "no new information was disclosed to him."
- BUT – that litigation took time, and it was expensive.

U.S. Citizenship and Immigration Services

Two

(b)(6)

3. Subject of Record Consent to Release Information *(Must be signed by the subject of record(s) requested.)*

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

☒ All of my records ☐ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey C. Graff

Signature of Subject of Record: Corey C. Graff Date *(mm-dd-yyyy)*: 8-10-2012

If Deceased Subject - Proof of death must be attached *(Original Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey C. Graff	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

☐ Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm-dd-yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

☒ Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record: Corey C. Graff

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25 *(See instructions)*

Signature of Requester: Chuck B. Farley

(b)(6)

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck B. Farley	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

U.S. Citizenship and Immigration Services

I-129F, I-130, I-140, & affidavits of support:

- If they have not been consolidated into the beneficiary's A-file, the petitioner may have a copy without the beneficiary's certification of agreement.
- If they have been consolidated into the beneficiary's A-file, the petitioner must have the beneficiary's certification of agreement.

U.S. Citizenship and Immigration Services

Inadequate Certification of Agreement?

- You may not have certification of agreement when you open a case.
- When you are processing, you should
  1. Change the case category to "Third Party No Agreement."
  2. Go to Tasks, click Final Action Letter and choose code TD-Total Denial.
  3. Paste in the Total Denial letter language.
  4. Add a discussion, "Third Party, No Agreement."
  5. Send the case to an approver. – Case approver if you are processing, Up-front approver if you are creating.
- Processors - do not make any redactions to the responsive record.

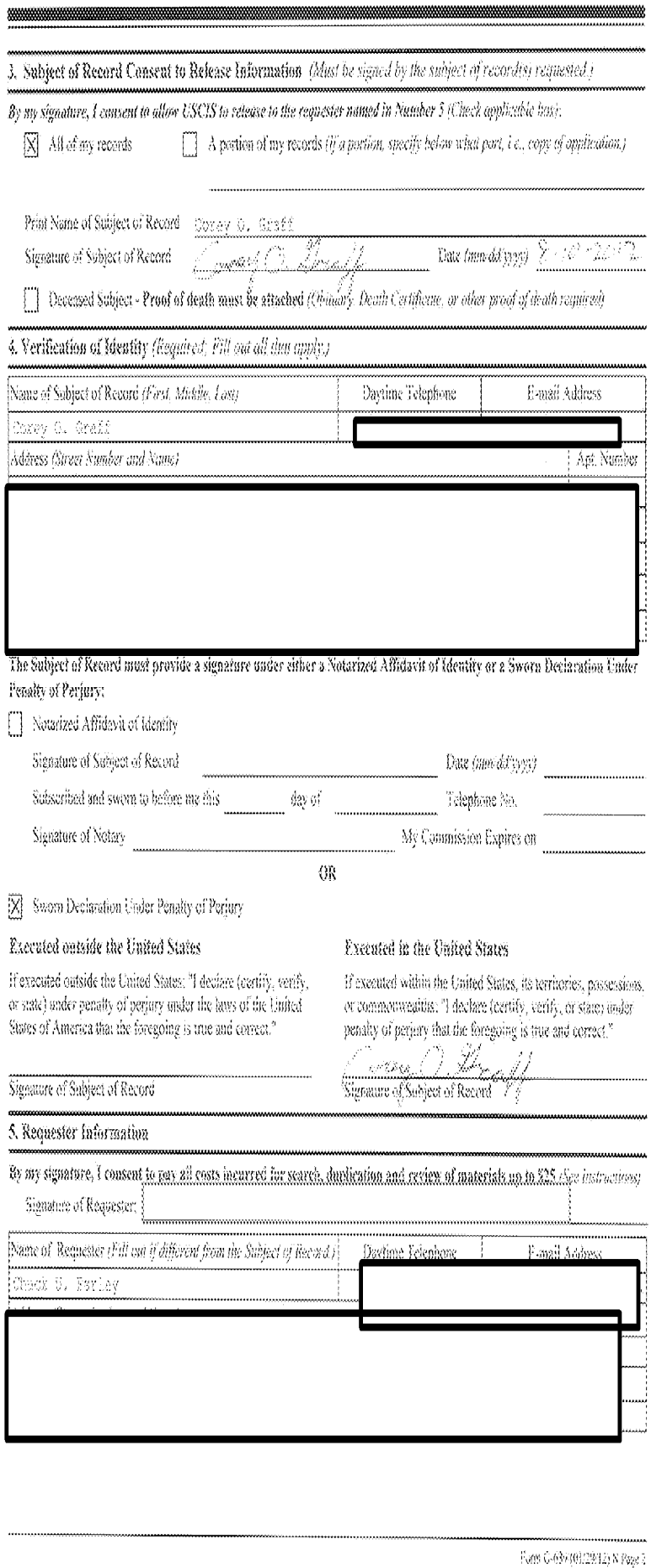
U.S. Citizenship and Immigration Services

Agreement to pay:

- The requester *should* sign agreement to pay.
- But if there's no signature, it will not get us in legal trouble ... why? I'm glad you asked.

(b)(6)

(b)(6)



3. Subject of Record Consent to Release Information *(Must be signed by the subject of record(s) requested.)*

By my signature, I consent to allow USCIS to release to the requester named in Number 5 (Check applicable box):

[X] All of my records [ ] A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

Print Name of Subject of Record: Corey C. Graff

Signature of Subject of Record: Corey C. Graff Date *(mm-dd-yyyy)*: 8-10-2012

[ ] Deceased Subject - Proof of death must be attached *(Obituary, Death Certificate, or other proof of death required)*

4. Verification of Identity *(Required. Fill out all that apply.)*

Name of Subject of Record *(First, Middle, Last)*	Daytime Telephone	E-mail Address
Corey C. Graff	[redacted]	
Address *(Street Number and Name)*		Apt. Number
[redacted]		

The Subject of Record must provide a signature under either a Notarized Affidavit of Identity or a Sworn Declaration Under Penalty of Perjury:

[ ] Notarized Affidavit of Identity

Signature of Subject of Record _____ Date *(mm-dd-yyyy)* _____

Subscribed and sworn to before me this _____ day of _____ Telephone No. _____

Signature of Notary _____ My Commission Expires on _____

OR

[X] Sworn Declaration Under Penalty of Perjury

Executed outside the United States

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct."

Signature of Subject of Record

Executed in the United States

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct."

Signature of Subject of Record: Corey C. Graff

5. Requester Information

By my signature, I consent to pay all costs incurred for search, duplication and review of materials up to $25. *(See instructions)*

Signature of Requester:

Name of Requester *(Fill out if different from the Subject of Record.)*	Daytime Telephone	E-mail Address
Chuck D. Farley	[redacted]	
[redacted]		

Form G-639 (01/29/12) N Page 3

U.S. Citizenship and Immigration Services

Agreement to pay:

- First, the acknowledgment letter says “your request constitutes an agreement to pay up to $25.00.”
- The requester has an opportunity to write back and say “No I do not agree to pay!” We close the case FC if the requester specifically states refusal to pay.
- If the requester owes money, we do not send the record until we receive payment.
- Finally, if we’re printing to CD, we don’t charge them anyway.
- Therefore, no signature in agreement to pay does not mean you stop processing the case.

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Questions?

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Services

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Services

U.S. Citizenship and Immigration Services

Receipt Files: Researching and Staffing

February 20, 2013

U.S. Citizenship and Immigration Services

Objective

- To better understand:
  - Why people request receipt files
  - How to find them
  - What to do in different circumstances

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U.S. Citizenship and Immigration Services

A little bit of background

Family and Employment based immigrants must have an approved petition before they get permanent residence.

- I-129F Petition for Alien Fiancé(e)
- I-130 Petition for Alien Relative
- I-140 Immigrant Petition for Alien Worker
- I-360 Petition for Amerasian, Widow(er), or Special Immigrant

U.S. Citizenship and Immigration Services

I-130/I-129F and I-485

- The immigrant files Form I-485, Application to Register Permanent Residence or Adjust Status.
- If the immigrant is a spouse or fiancé(e) and if the petitioner is a United States Citizen, then a visa is immediately available. They file the petition and the I-485 at the same time.

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Family Based Preference

- The petitioner might be a Lawful Permanent Resident petitioning for a family member,
- or a United States Citizen petitioning for somebody other than spouse and minor children,
- In those situations, Congress sets numbers on how many people may immigrate from each country each year. State Department is in charge of allocating the immigrant visa numbers.
- Even though the petition is approved, the immigrant may not file the I-485 until a visa is available.

U.S. Citizenship and Immigration Services

Preference Categories

- F1 – Unmarried Sons and Daughters of United States Citizens
- F2A – Spouses and Children of Permanent Residents
- F2B – Unmarried Sons and Daughters (21 years and older) of LPR's
- F3 – Married Sons and Daughters of United States Citizens
- F4 – Brothers and Sisters of Adult U.S. Citizens

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Standing in Line

- Because of congressional limits by country, the National Visa Center grants that number by each country each year in order of when USCIS received the petition.
- If there are more people than visas, everybody else stands in line.
- Some countries have very long lines. Some people have been standing in line for years.

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Visas Available (as of 2/10/2014)

Family-Sponsored	All Charge-ability Areas Except Those Listed	CHINA-mainland born	INDIA	MEXICO	PHILIPPINES
F1	01FEB07	01FEB07	01FEB07	15OCT03	15AUG01
F2A	08SEP13	08SEP13	08SEP13	15APR12	08SEP13
F2B	01SEP06	01SEP06	01SEP06	01MAY93	08JUN03
F3	15JUN03	15JUN03	15JUN03	08JUN93	15FEB93
F4	08NOV01	08NOV01	08NOV01	15NOV96	01SEP90

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Want to know more?

- If you are ever curious about immigrant visa availability, here is a link you can go to:

http://www.travel.state.gov/visa/bulletin/bulletin_1360.html

- Oh – and in case you didn't know, Congress also sets limits by country by year for employment based immigrant visas. It's all at the link above.

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For Example

- Juana, an LPR from Mexico filed a petition for her husband, Gustavo, in Mexico, on the 4th of June, 2012.
- On the 12th of June, she got a Form I-797, Notice of Action, from USCIS saying USCIS received the petition on June 8th.
- The receipt date is the date she uses for reference to the State Department website.
- Spouses and children of permanent residents are F2A.

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F2A, Mexico

Family-Sponsored	All Charge-ability Areas Except Those Listed	CHINA-mainland born	INDIA	MEXICO	PHILIPPINES
F1					
F2A				15APR12	
F2B					
F3					
F4					

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Keep Checking:

- If USCIS received Juana's petition on or before the 15th of April, 2012, NVC would have an available visa number now.
- If the visa is available, Gustavo may now file Form I-485 with USCIS.
- Since USCIS received her petition on the 8th of June, 2012, she knows his number is coming up soon.
- Gustavo can't file the 485 yet. They keep checking the website.

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Why would she file a FOIA?

- Maybe she has not heard anything in a long time.
- Maybe she never got an approval notice.
- Maybe she lost her copies.
- Maybe she is changing attorneys and the attorney wants to see everything associated with the petition.

U.S. Citizenship and Immigration Services

Petition at Service Center

- You may see the petition at a service center, with a responsible party like “Adjudication” or “Post-decision Review.”
- Always check to see if it has been consolidated. If it has been consolidated into the beneficiary’s A-file, we have a consent issue.
- If it is unconsolidated, you can staff for it.

U.S. Citizenship and Immigration Services

After Time Passes:

- We may have approved it and sent it to NVC. NFTS may tell you, or you may ask NVC if they have that petition. RD.
- If two years pass after visa becomes available and the husband does not show up at the designated consulate, NVC sends the file back to USCIS, and it goes to Harrisonburg. If it is available in records, you can staff for the receipt from Harrisonburg.
- If the petition is not used, Harrisonburg destroys the petition 3 years after a visa number became available. We can print out the record in PCQS as well as the screen from NFTS that shows the receipt was destroyed. That will be a RAFACS staffing.

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Want to know more?

- Some records we keep fall under the General Schedule of Records.
- National Archives and Records Administration is responsible for providing General Schedule guidance.
- Agencies have some records that are unique to them.
- They have to file SF 115 with NARA to get approval for disposing of records.
- Some records are permanent. Some are not.

U.S. Citizenship and Immigration Services

Record Disposition

- You can read the disposition authority for I-129F, I-130 and I-140 at:

http://connect.uscis.dhs.gov/org/ESD/RD/Policy/RecordsOfficers/Documents/N1_85_96_01.pdf

- If the petition is not used, it is to be disposed of 3 years after a visa number becomes available.
- If the petition is denied, an A-File is created and the petition becomes a permanent part of the alien's A-File.

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(b)(6)

FOIA Request #1

- Manuel A. Redondo, born [redacted]
- Father's name [redacted] Mother's name [redacted] We have Manuel's notarized signature for VOI and Manuel lists himself as the requester.
- Address:

  [redacted] (b)(6)
- "*I need a copy of the petition I filed for my wife, Sandra.*"
- We do not have Sandra's consent.

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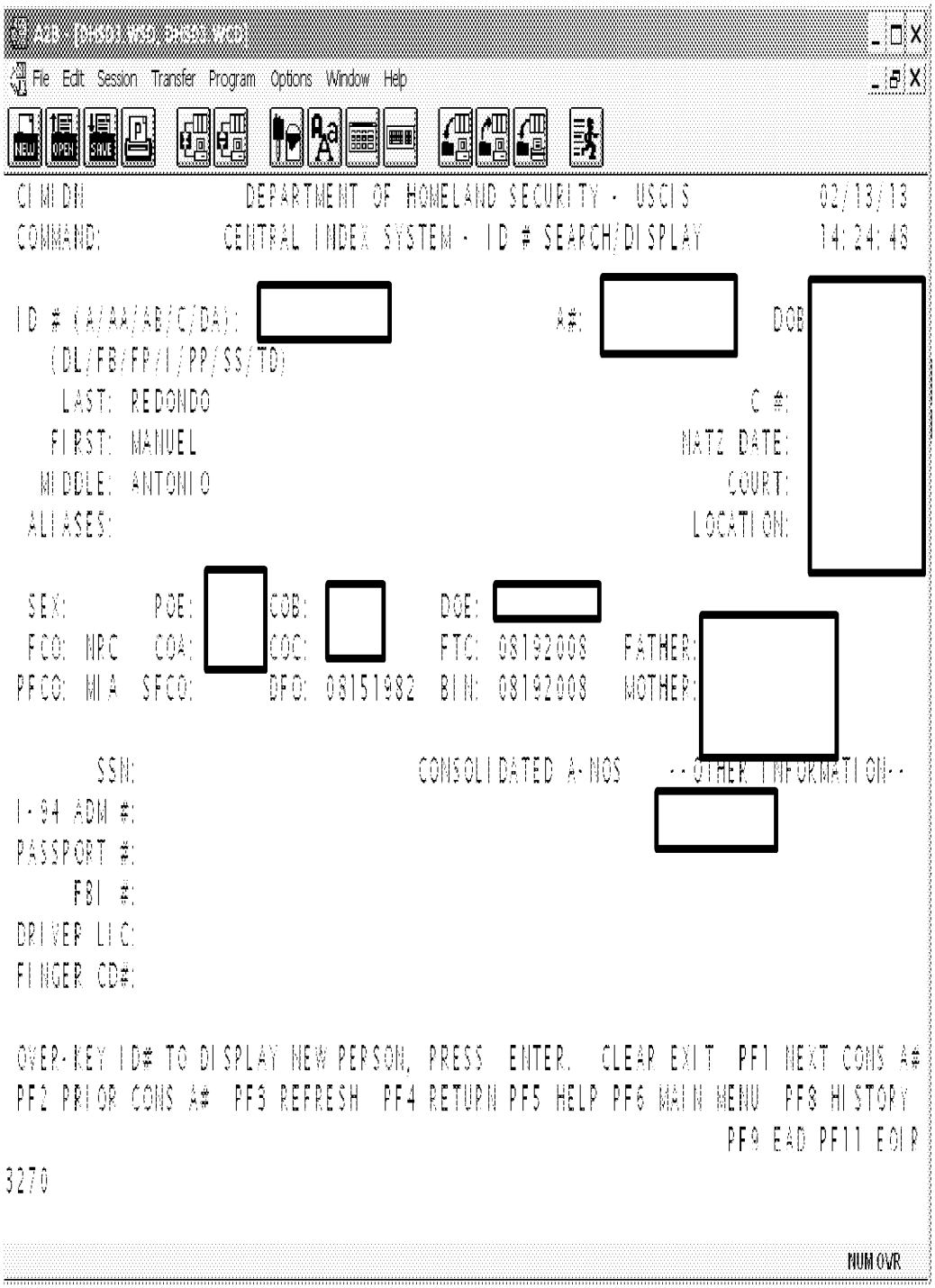
He gave us his A-Number:



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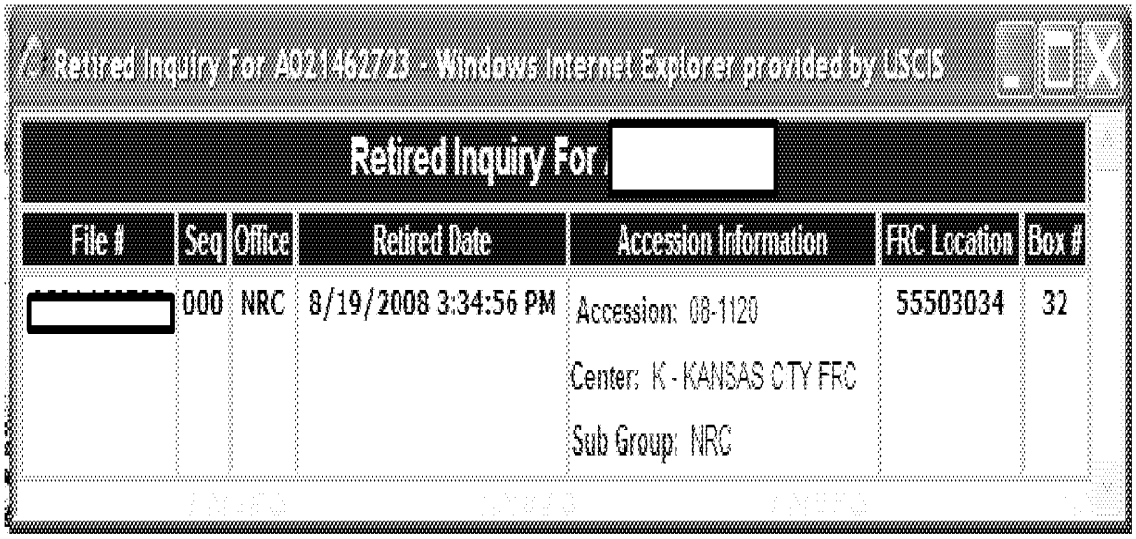
It is at the KC FRC

(b)(6)



Should I staff for it?

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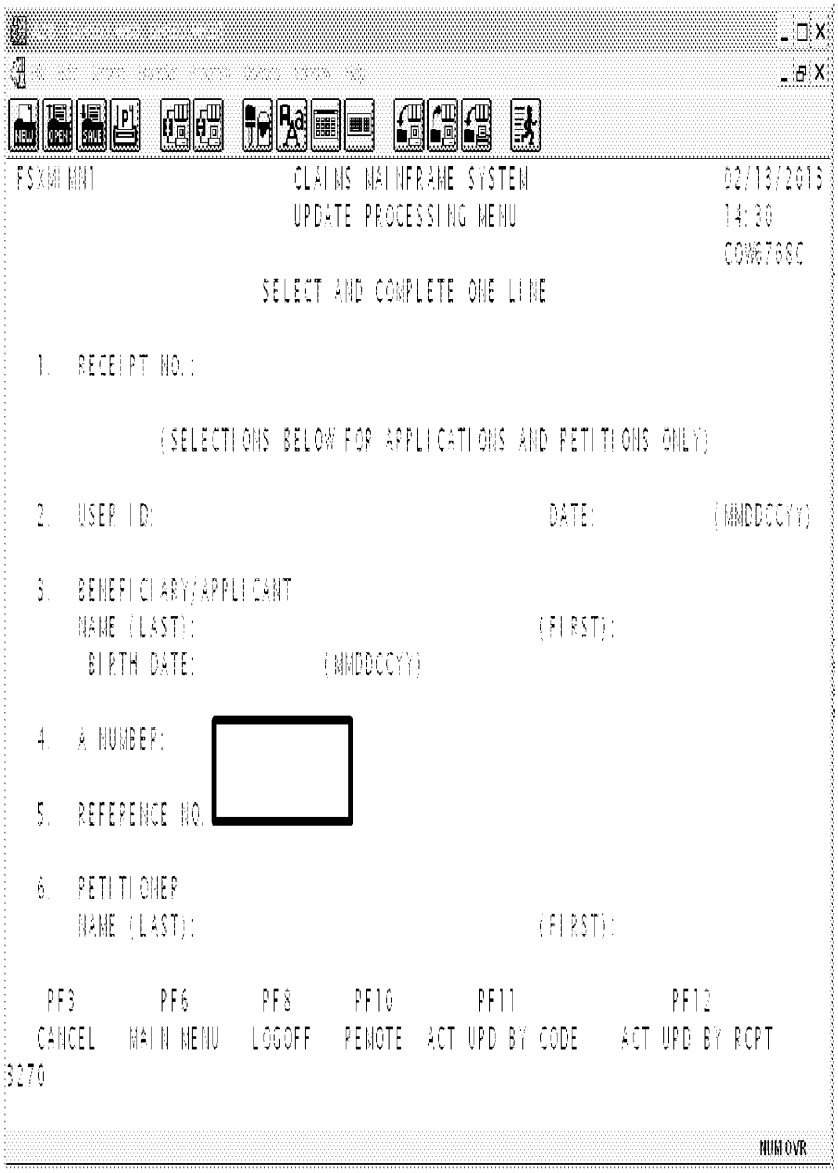
One Possibility

- What if he did ask for a copy of his A-file and a copy of the petition he filed for his wife, Sandra?
- I would have to create two cases. I cannot staff for an A-file and a receipt file on the same FOIA request. *Section 6.2.2.4.*
- If he only asked for the petition, then you are almost certainly not going to request his file.

What do we need?

(b)(6)



- One way to search is go to CLAIMS and enter his A-number.

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Found an I-130 – PF1=BENF

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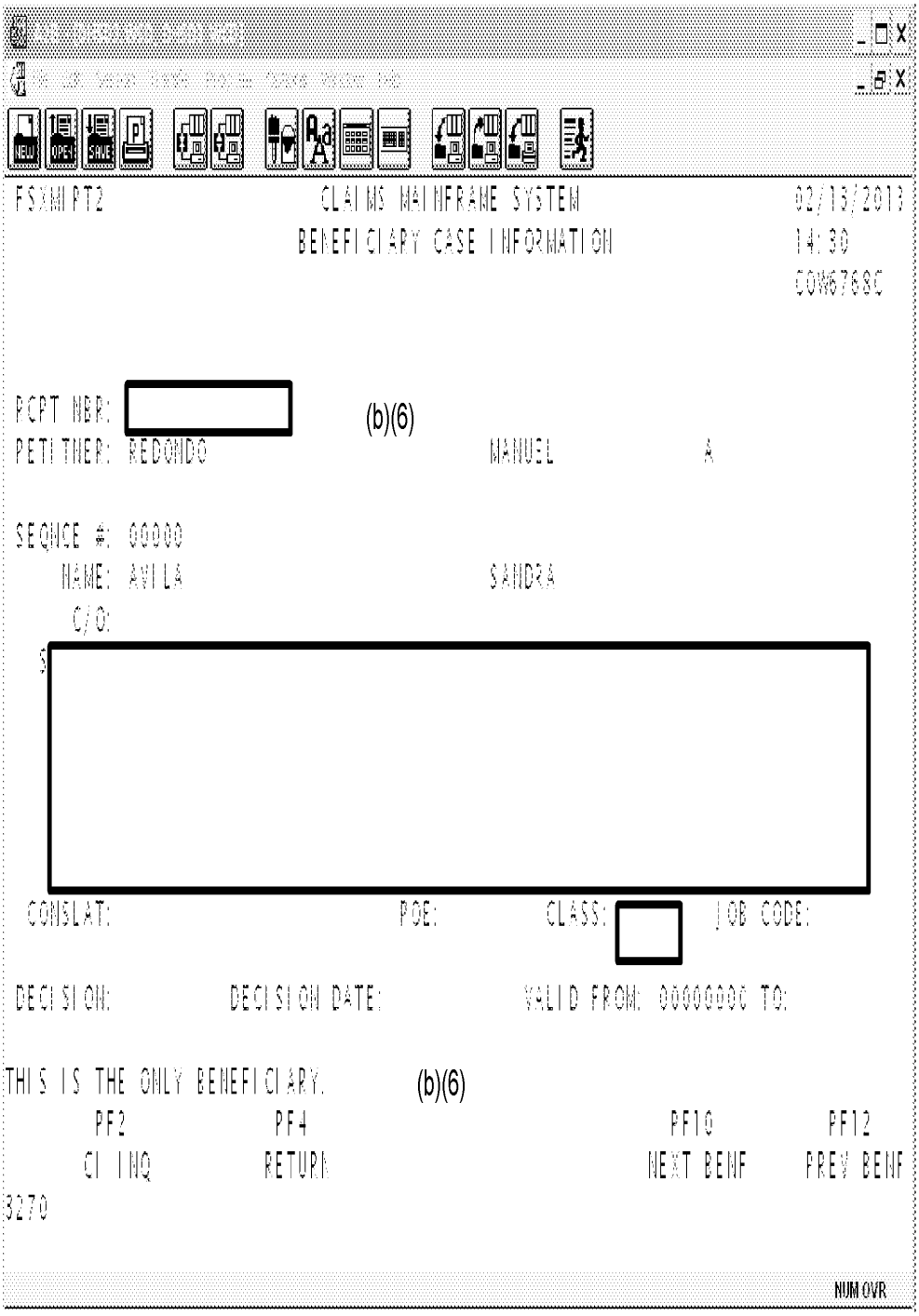
Right I-130?



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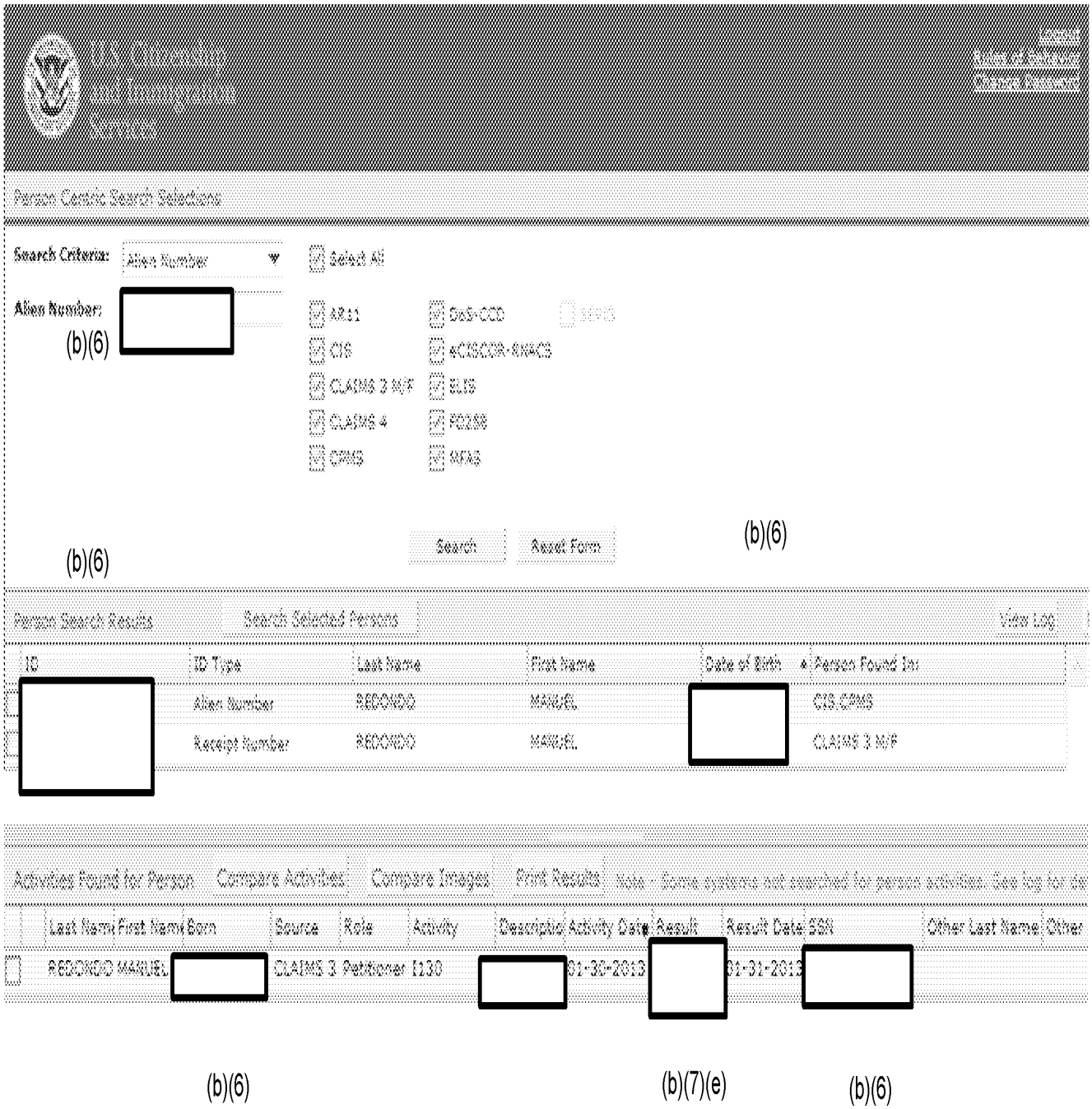
Another way to search:



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And check the details:

Details for Person

Claims	
Receipt Number	[redacted] (b)(6)
Mail Room Received Date	01-28-2013
Activity Type	I130
Activity Description	Petition for Alien Relative
*** Petitioner Information ***	
Petitioner Last Name	REDONDO
Petitioner First Name	MANUEL
Petitioner Middle Name	A
Petitioner Date of Birth	[redacted] (b)(6)
Petitioner Country of Birth	
Beneficiary	
Beneficiary Last Name	AVILA
Beneficiary First Name	SANDRA
Beneficiary Middle Name	
Beneficiary Date of Birth	[redacted] (b)(6)
Beneficiary Country of Birth	
Beneficiary Alien Number	N/A

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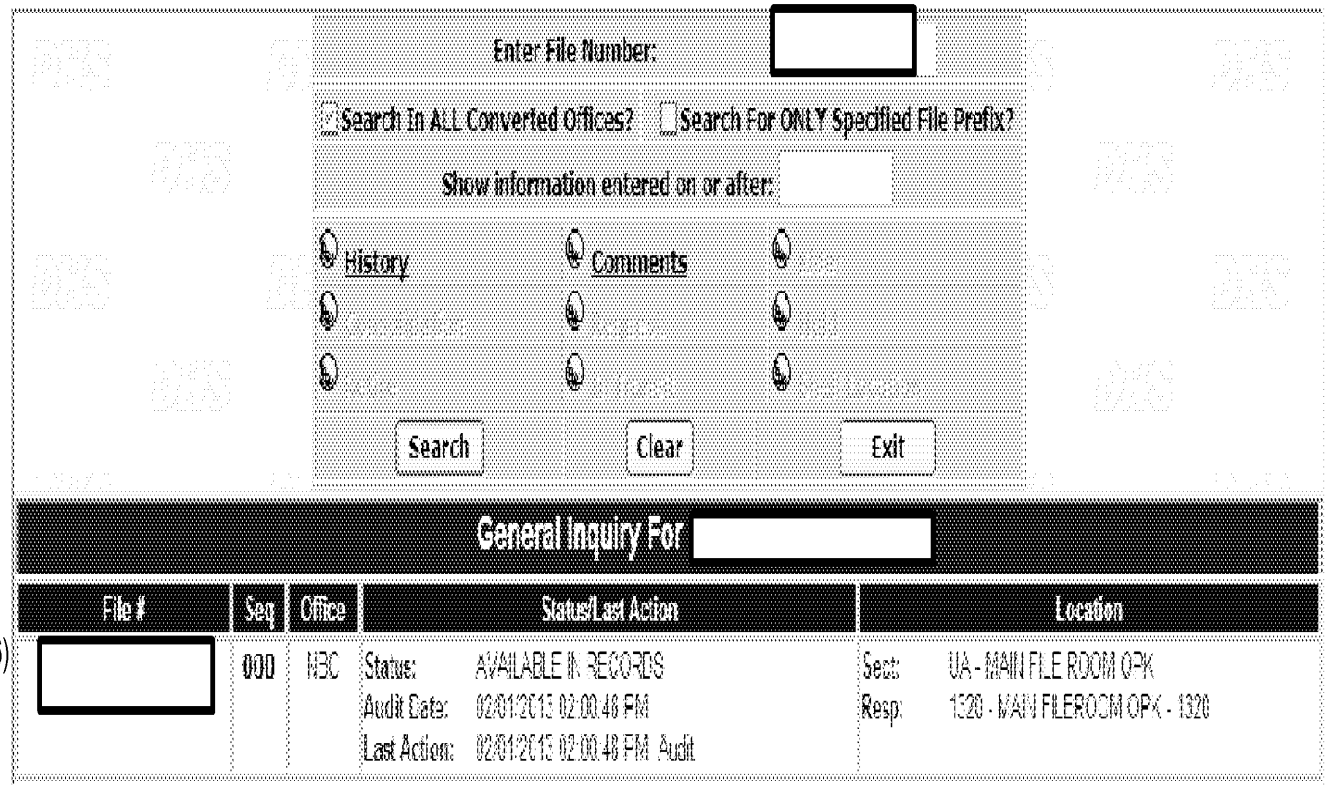
Has it been consolidated into a file?

(b)(6)



(b)(6)

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Other Possibilities

- If it had been consolidated into the beneficiary's A-file, we would need consent from the beneficiary. *Section 6.2.1.*
- *Section 9.2* tells you what to do if the petition has been sent to NVC.

More Tips

- If you find a social security number, you may put that into PCQS and search. Case creators have found petitions that way.
- If NFTS shows "deleted," call NVC and ask if they have it. "Deleted" does not mean "destroyed."
- Put the language of their specific request in a Discussion. It will serve as a memory jog when you change the acknowledgment letter, and you can copy and paste it.
- If you discover the petition has been consolidated into the petitioner's A-File, and you staff for the A-File, make sure your Discussion explains why you did that.

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Staff and Acknowledge

- Before making the staffing, I need to get rid of Manuel's A-number if I already typed it in.
- I need to enter the MSC number in the Topic field. *Section 6.2.2.4.*
- Next, I can staff for it.
- This is going to be Track 1, Specific Documents. *Section 6.3.1.1.*
- In the acknowledgment letter, we change "SPECIFIC DOC INFORMATION" to "a copy of the petition you filed for your wife, Sandra." *Section 6.3.1.1.1*

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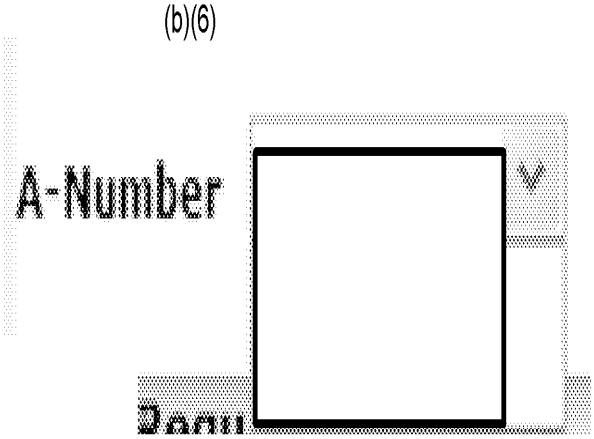
What if I saved the A-number?

- If you already saved, you will not be able to delete the A-number from the A-number field.
- That's not a problem.
- First, enter the receipt number in the Topic field.
- When you do the staffing, you can select the "null field" for the A-Number:

(b)(6)



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FOIA Request # 2

- Last name Mago
- First name Meseret
- Middle name Waldesenbet
- (b)(6) Born [redacted]
- Did not provide parents' names
- Request is for all records

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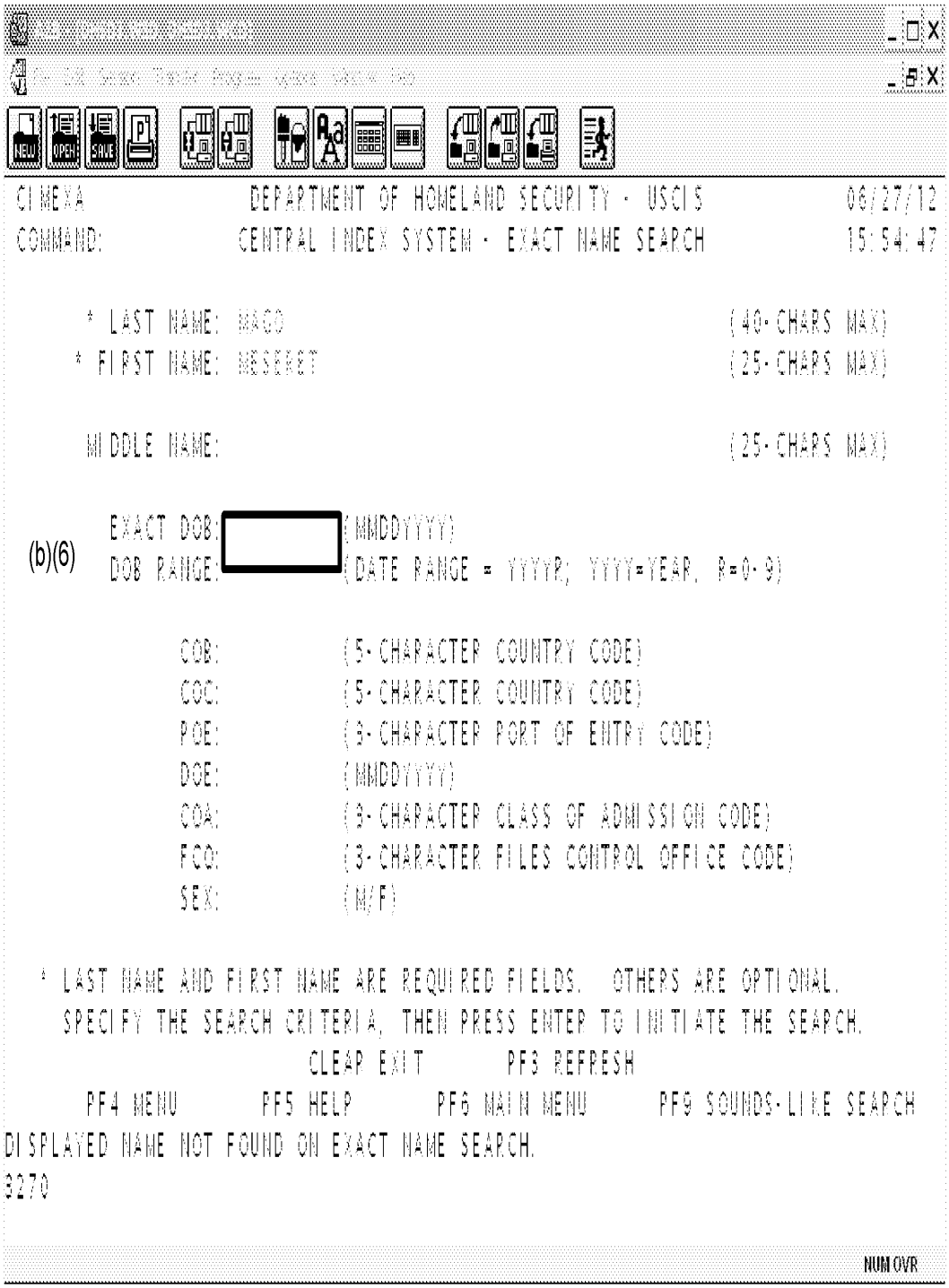

```
CIMEXA              DEPARTMENT OF HOMELAND SECURITY - USCIS              06/27/12
COMMAND:            CENTRAL INDEX SYSTEM - EXACT NAME SEARCH            15:54:47

     * LAST NAME: MACO                                          (40-CHARS MAX)
    * FIRST NAME: MESERET                                       (25-CHARS MAX)

     MIDDLE NAME:                                               (25-CHARS MAX)

(b)(6)  EXACT DOB:          (MMDDYYYY)
        DOB RANGE:          (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)

              COB:          (5-CHARACTER COUNTRY CODE)
              COC:          (5-CHARACTER COUNTRY CODE)
              POE:          (3-CHARACTER PORT OF ENTRY CODE)
              DOE:          (MMDDYYYY)
              COA:          (3-CHARACTER CLASS OF ADMISSION CODE)
              FCO:          (3-CHARACTER FILES CONTROL OFFICE CODE)
              SEX:          (M/F)

  * LAST NAME AND FIRST NAME ARE REQUIRED FIELDS.  OTHERS ARE OPTIONAL.
    SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIATE THE SEARCH.
                        CLEAR EXIT      PF3 REFRESH
     PF4 MENU      PF5 HELP      PF6 MAIN MENU      PF9 SOUNDS-LIKE SEARCH
DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.
3270

                                                                    NUM OVR
```

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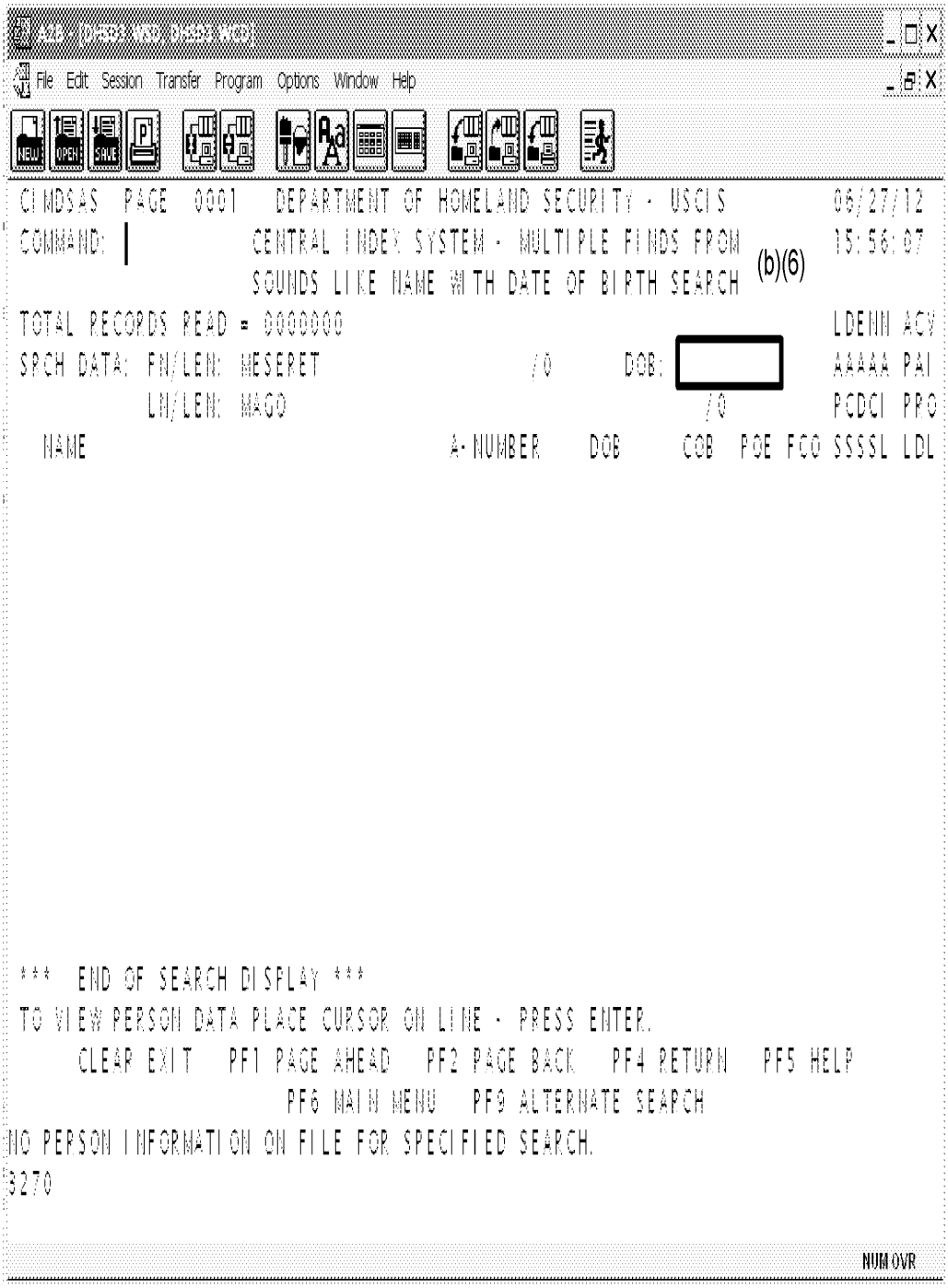
F9 – Sounds Like



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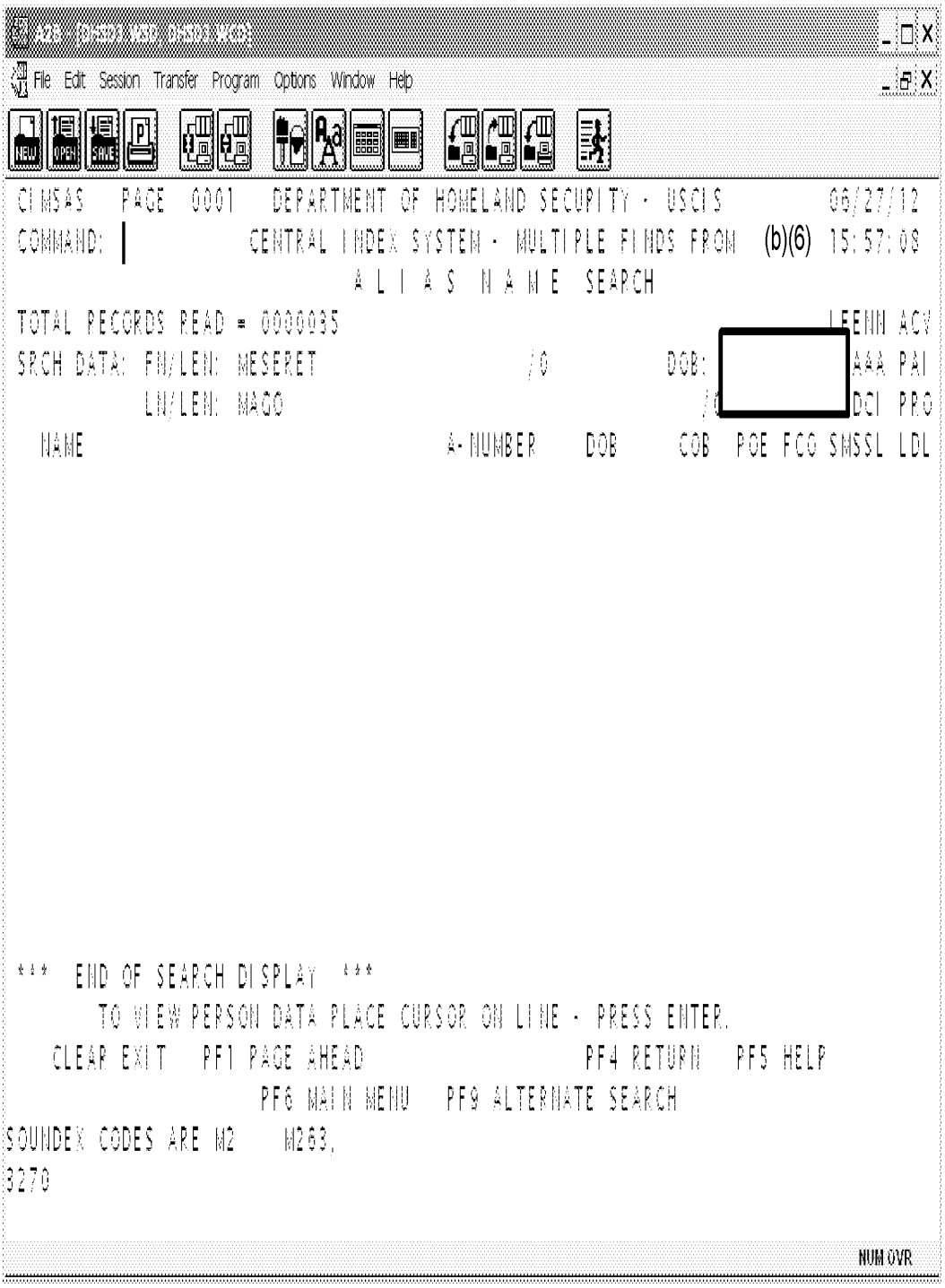
F9 again - Alias

And she's not there.



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Some thoughts

- I could try a date of birth range or variations of the name,
- I could go to CLAIMS immediately,
- Or I could go to PCQS next.
- If I don't find something in the first system, I'll still look in second system – and vice versa.

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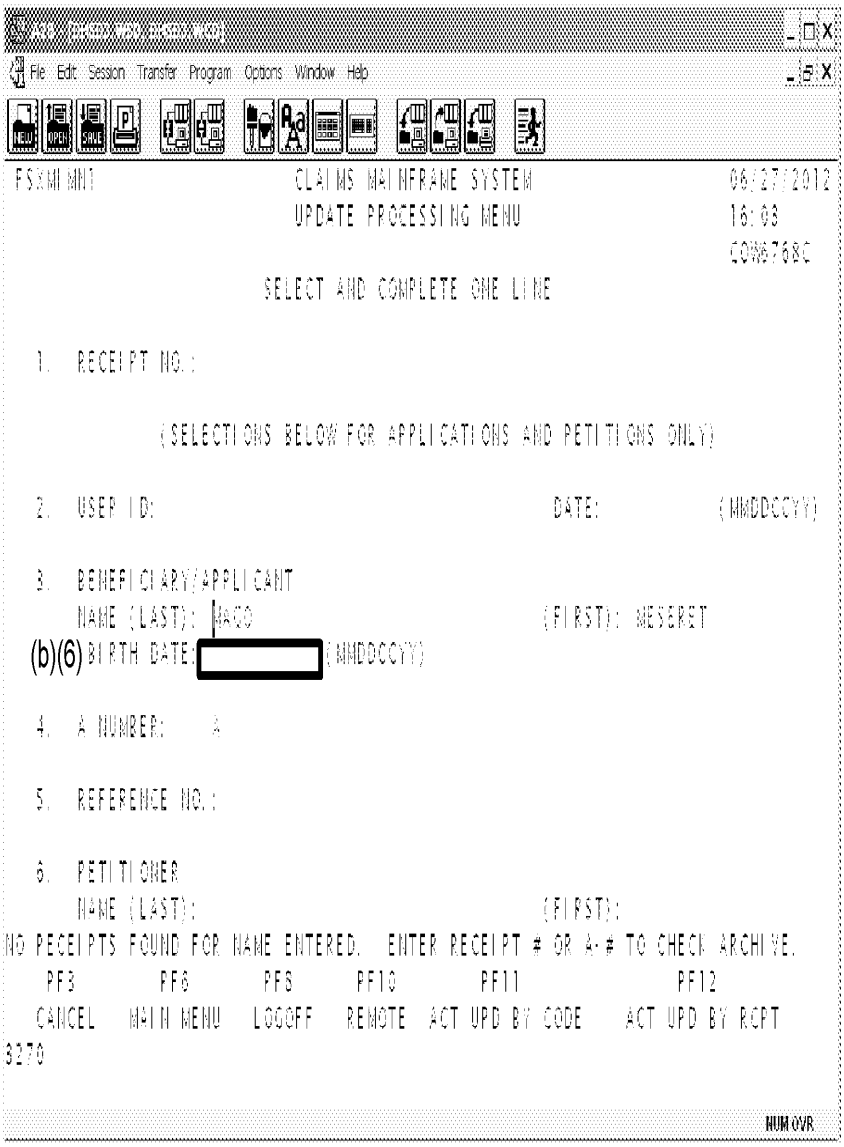
Notice CLAIMS says no receipt:



Now I'm going to enter the EXACT SAME info in PCQS and look:

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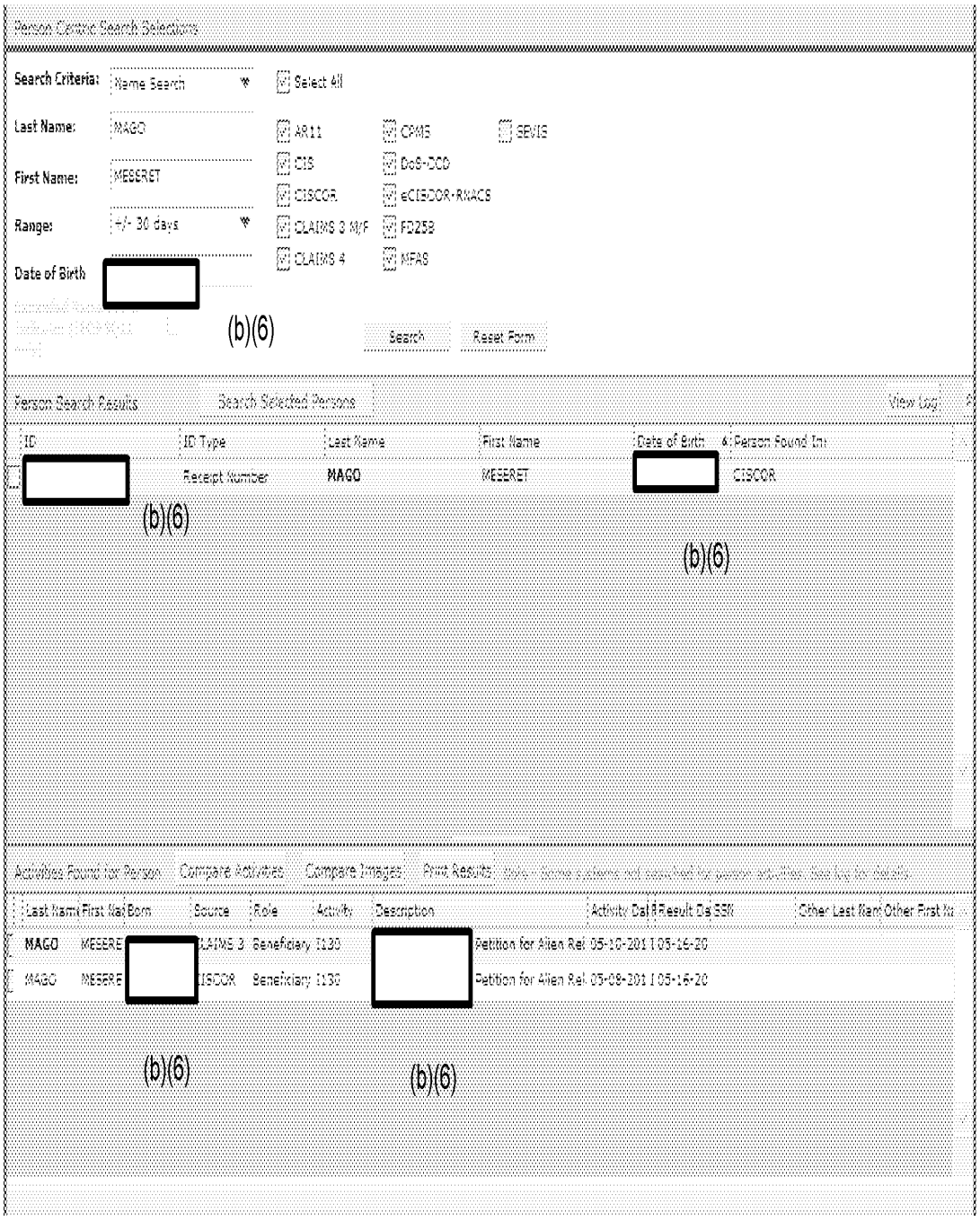
We found just a petition:



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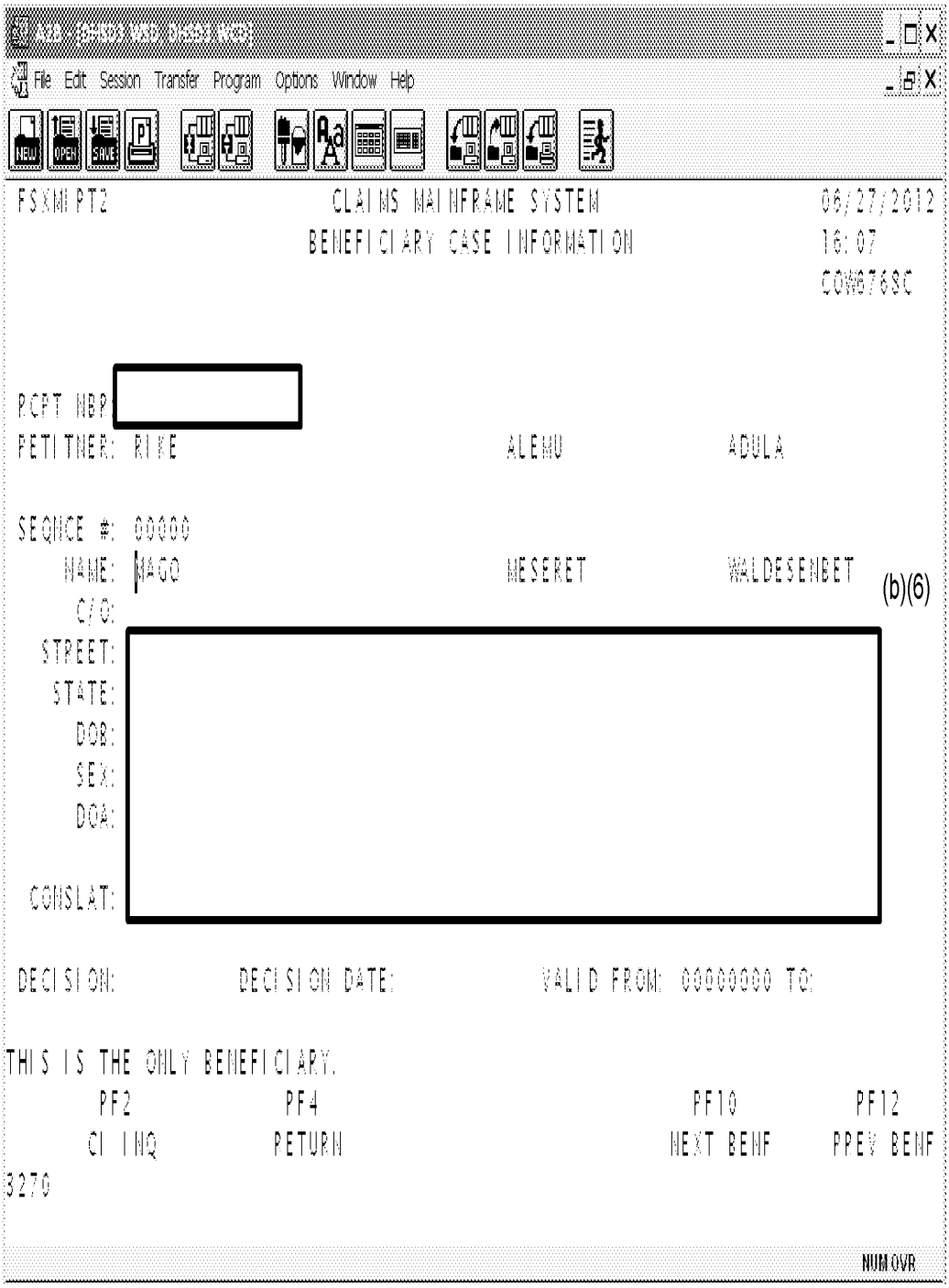
I can enter the petition number

That's the correct middle name and the correct date of birth and country of birth.

It's also the only record we found in PCQS.

Why did PCQS find it, but CLAIMS didn't?



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Another tip:

- CLAIMS might not like dates of birth. If I have an unusual name like hers, I can enter the name without any date of birth, and it is much more likely to find it:

(b)(6)

(b)(6)

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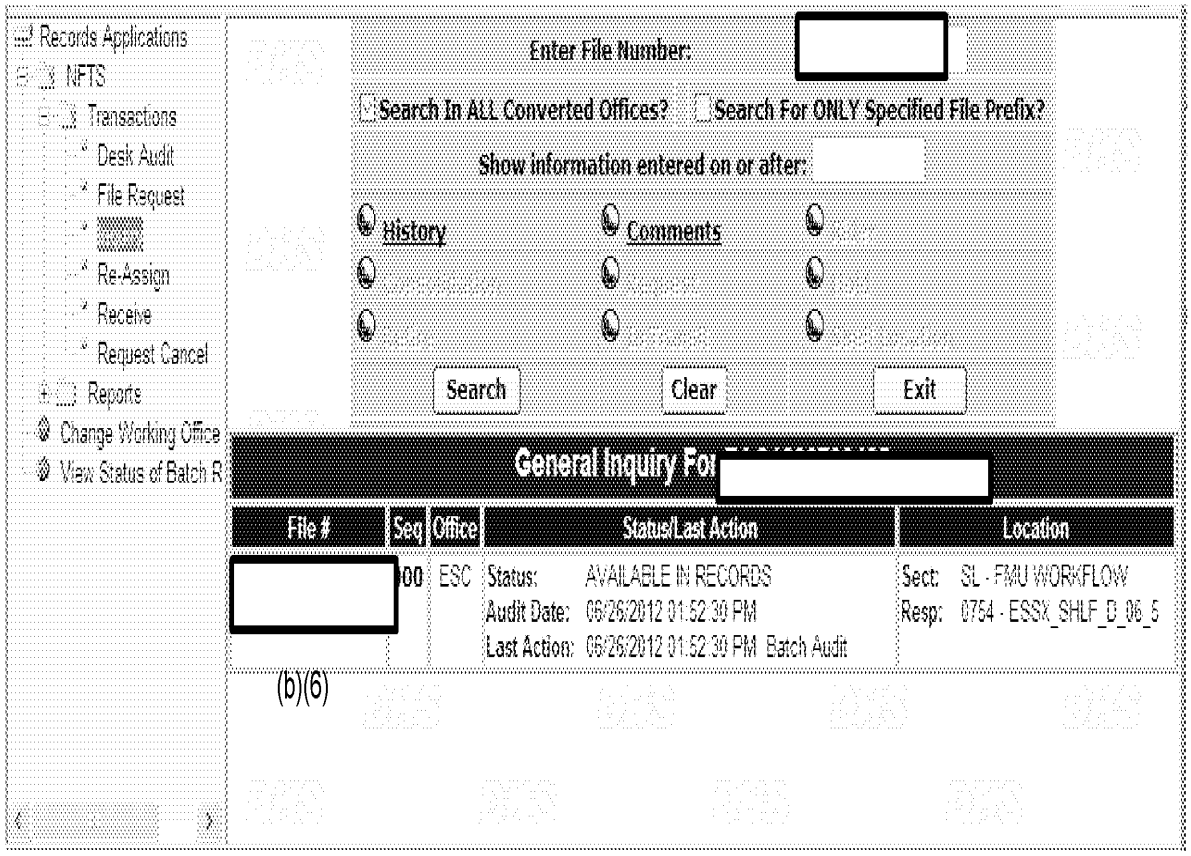
It's not consolidated

(b)(6)



We'll staff for it and we'll create a Discussion to say we're staffing on best available information.

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Questions?

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Services

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U.S. Citizenship and Immigration Services

Lost Files: Serious Business

Lost Files: Serious Business

Our Job

- If USCIS has lost a file, we have a duty –
  - To conduct a diligent search for the file
  - To give the requester what we can find if we cannot find the A-file, and
  - To advise the requester of his or her legal rights

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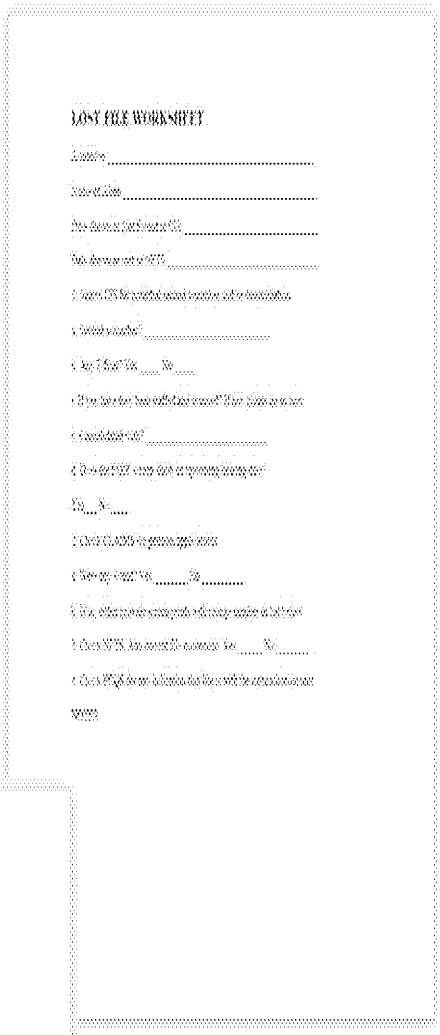
Before You Start

- Have some lost file worksheets handy.
- And while you're at it, have some Scan As sheets handy or save a copy to your desk top for easy access.



LOST FILE WORKSHEET

SCAN AS

NRC2012

NEW REQUEST

CSD

REQUESTER DOCS

RESPONSIVE RECORDS

REMARKS:

DATE:
NAME:
EXT.
Pages:

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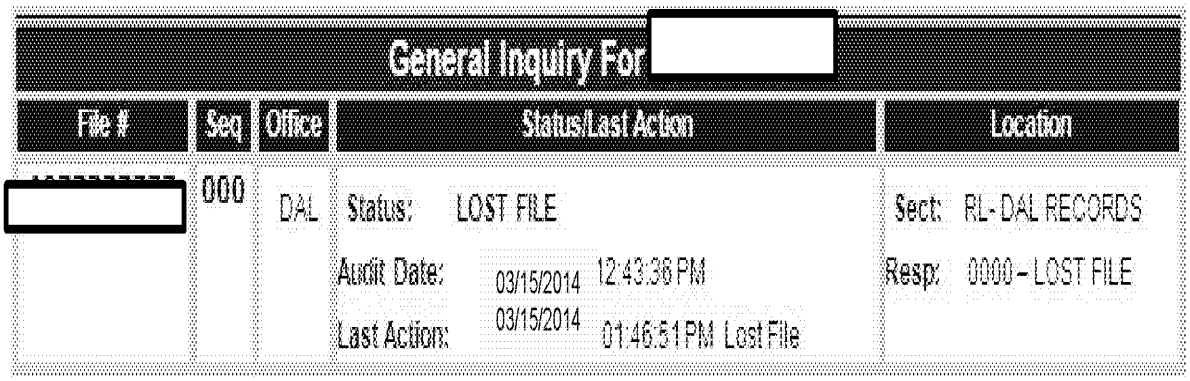
Then "It" Happens

- You look for it in NFTS and … oh no:

(b)(6)

(b)(6)



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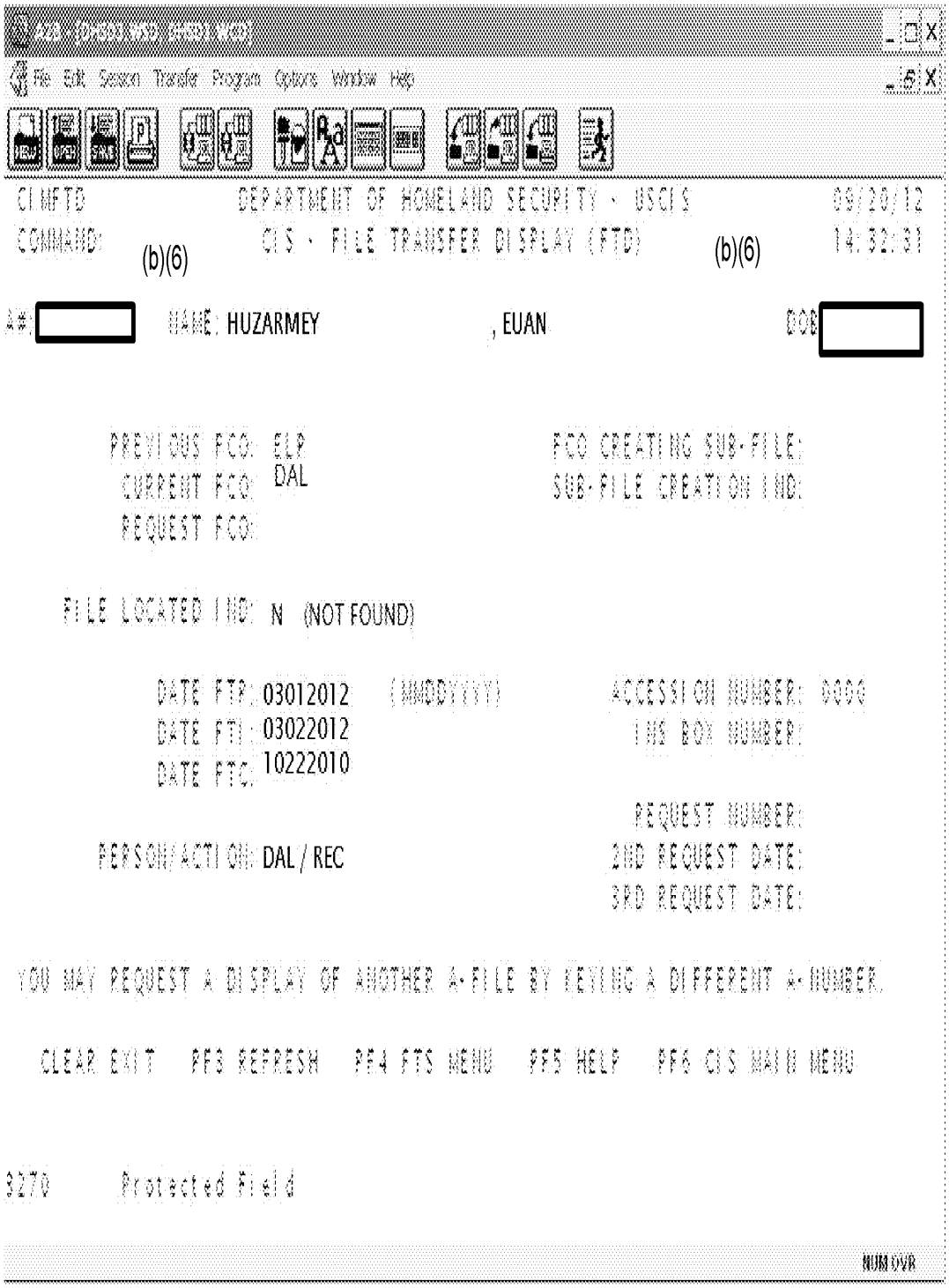
Go Back to CIS

Review the 9504 Screen. Both should say the file is lost.

If this screen does not say the file is lost, then staff with this screen.



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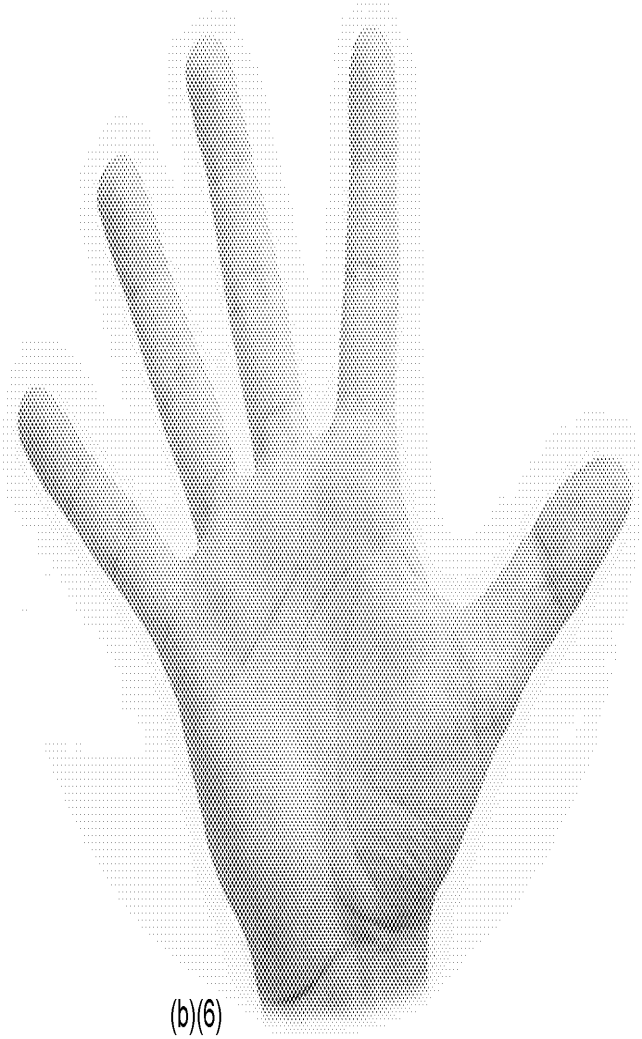
Add 60 days to the date it was lost

- This file was lost in March, so ...



(b)(6)

(b)(6)

General Inquiry For / [redacted]

File #	Seq	Office	Status/Last Action	Location
[redacted]	000	DAL	Status: LOST FILE Audit Date: 03/15/2014 12:43:36 PM Last Action: 03/15/2014 01:46:51 PM Lost File	Sect: RL - DAL RECORDS Resp: 0000 – LOST FILE

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Pretend Today is April 6th

- March 15 + 60 days = May 14, so on May 14, the file will be lost for two months.

(b)(6)

(b)(6)

General Inquiry For [redacted]

File #	Seq	Office	Status/Last Action	Location
[redacted]	000	DAL	Status: LOST FILE	Sect: RL - DAL RECORDS
			Audit Date: 03/15/2014 12:43:36 PM	Resp: 0000 – LOST FILE
			Last Action: 03/15/2014 01:46:51 PM Lost File	

It has not been lost for more than 60 days, so we go to the < 60 day Flowchart.

Now we just follow Appendix H, FOIA/PA Assistant's Guide

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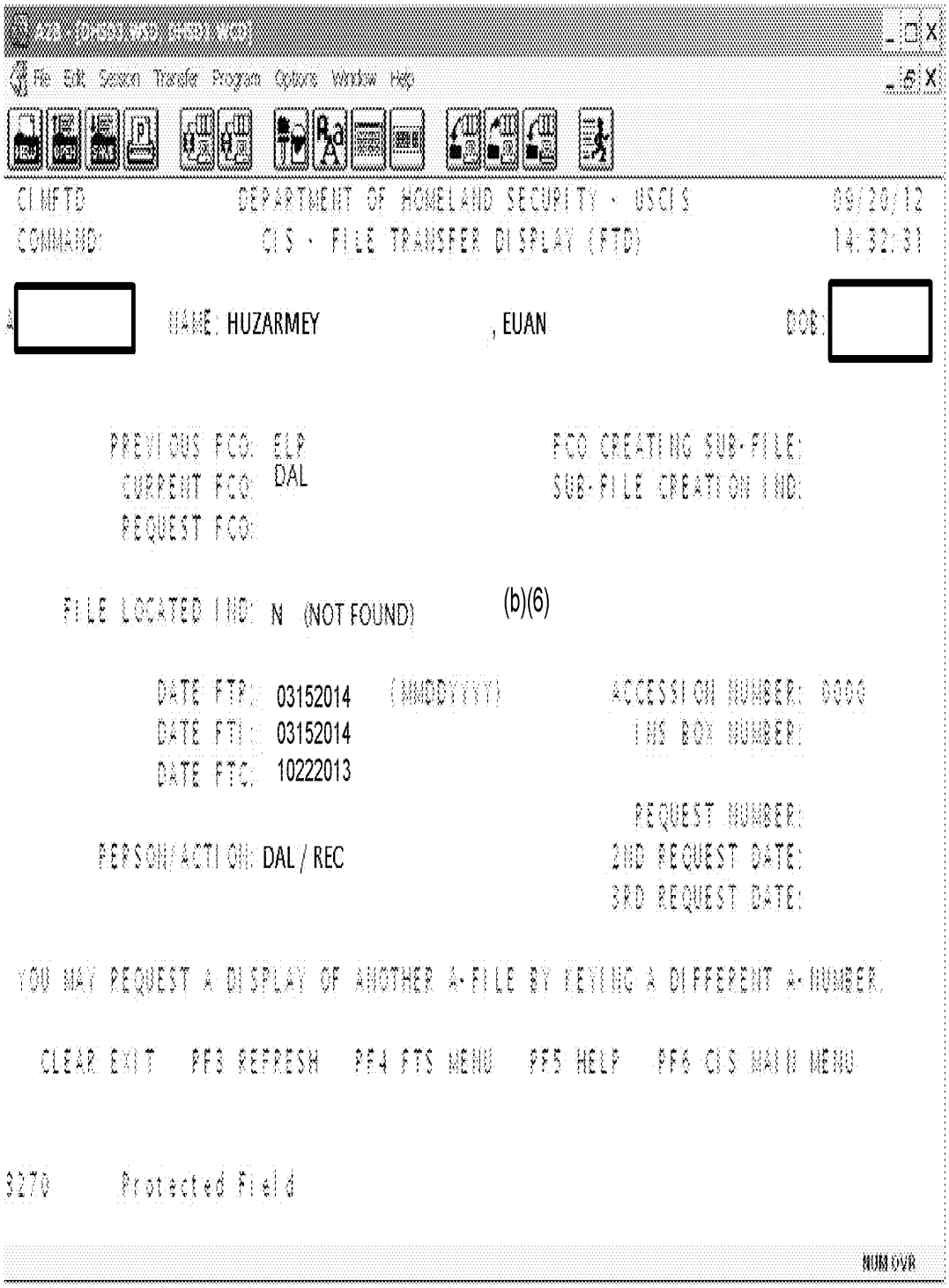
If it is not in NFTS:

(b)(6)

Use the 9504 Screen.

We would use DATE FTI because that's the last time we knew where the file was.



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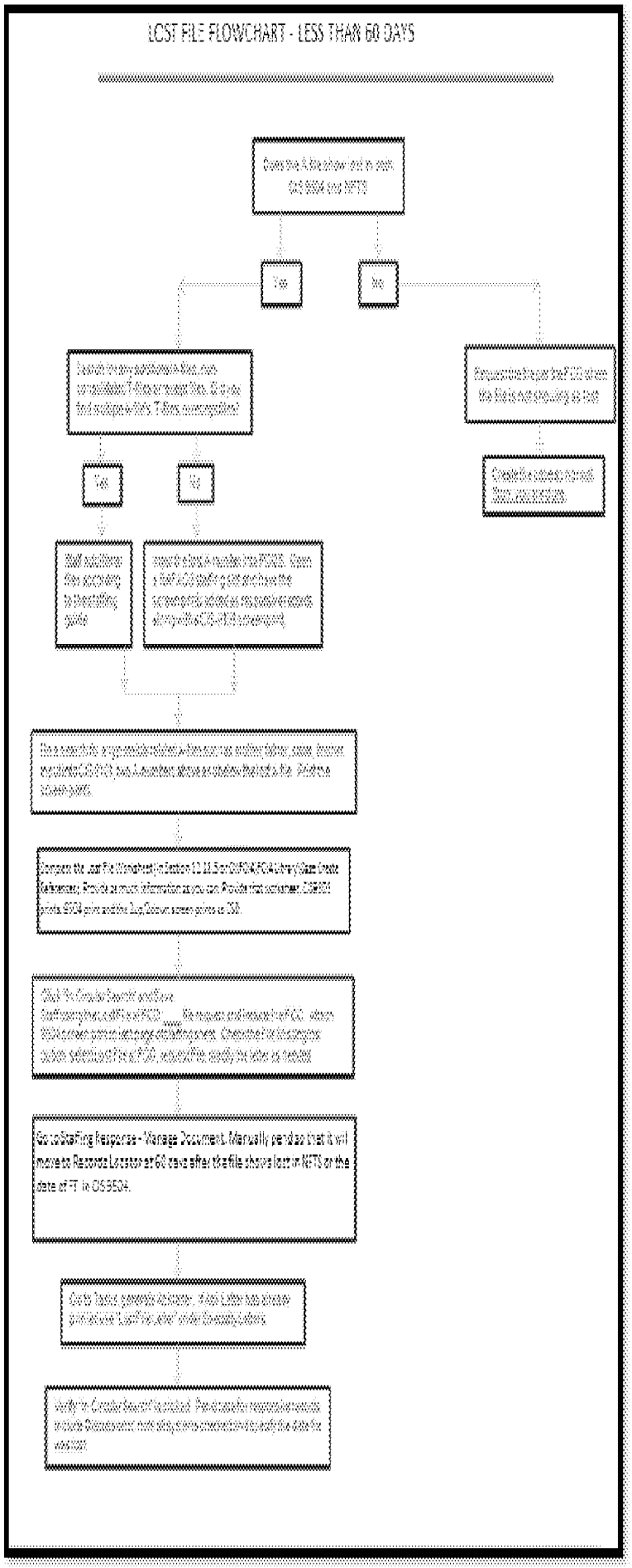
Scenario: Less Than 60 Days

Since the file was lost less than 60 days ago, we will go to Lost File Flowchart < 60 Days in Appendix H.



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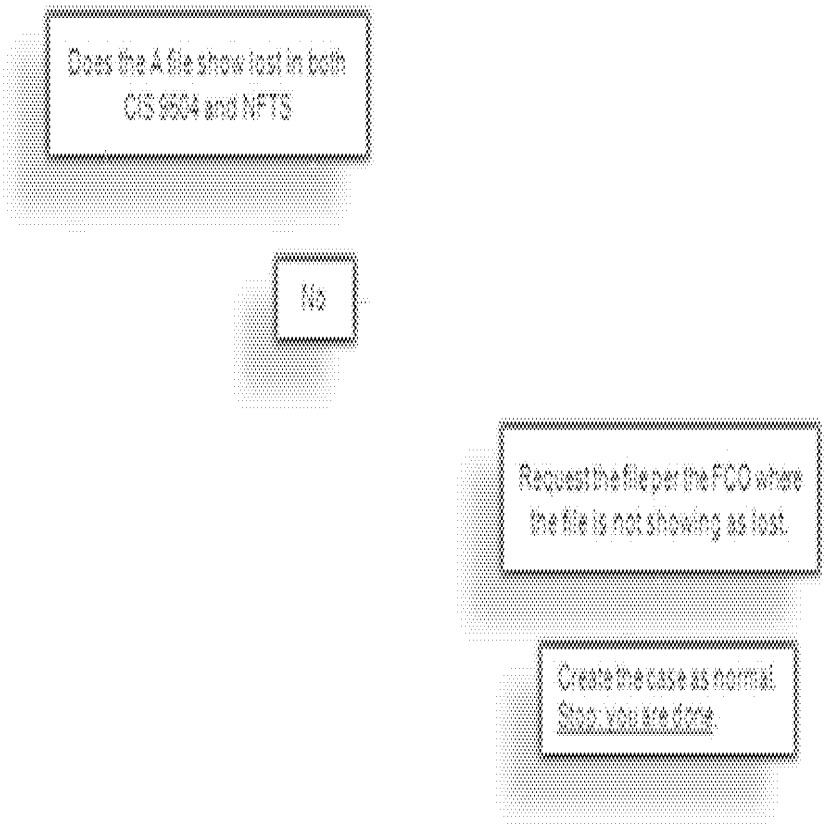
What if ?

Suppose it was lost in NFTS but not in CIS:



You will staff by doing a screen print of the 9504 screen. The quickest way to do that is Snag-It.

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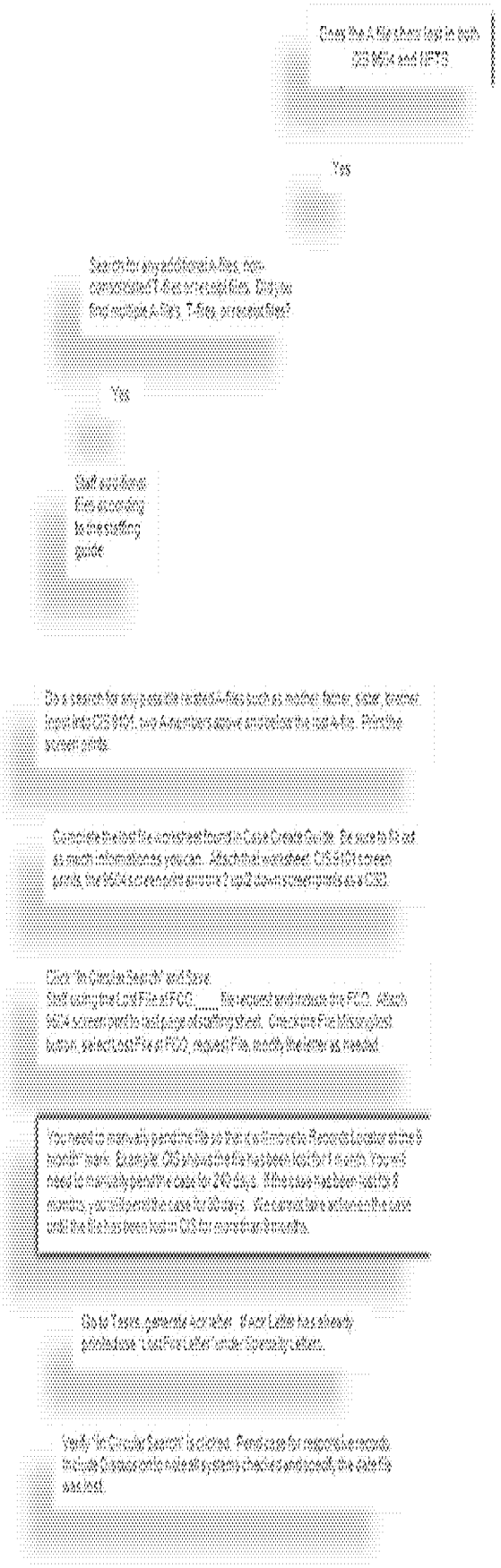
Other Files- Yes

- If we found any T-file, unconsolidated A-file, or any receipt file, we staff for that, do screen prints and then move on down the flow chart.



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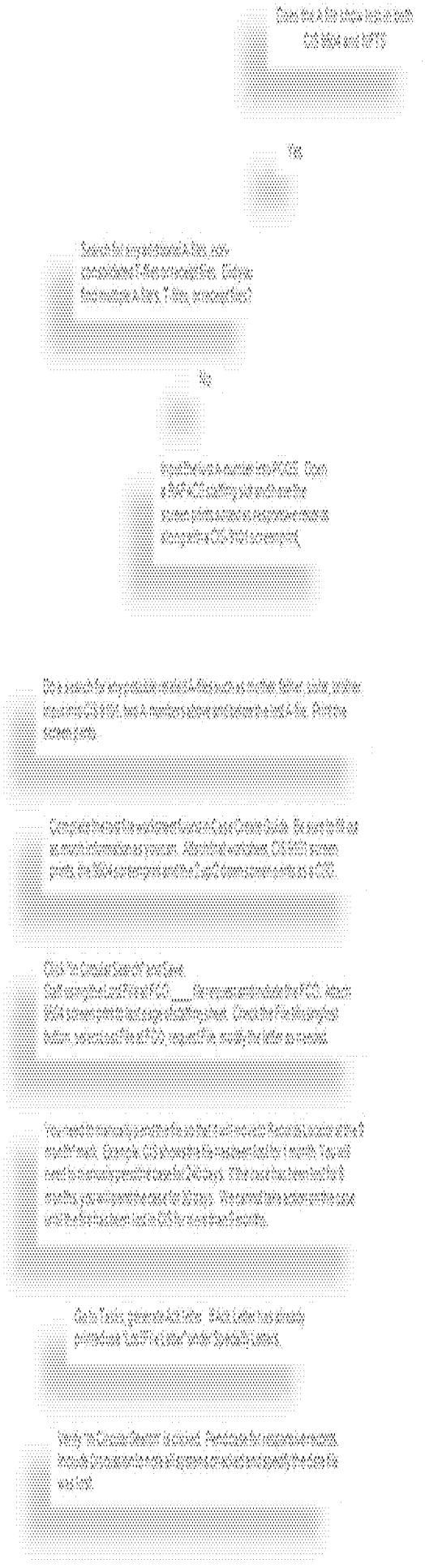
Other Files- No

- If we did not find any other files, we have to do the search screen prints, just like a No Records search then move on down the flow chart.



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Search Again

- Do a two-number above and below search and print those screen prints.
- See – you need that Scan As sheet no matter what!

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Lost File Worksheet

- Fill it in as completely as possible.
- The requester may appeal, and if it goes to court, the Lost File Worksheet could become an exhibit.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation

a. Second a-number? _____

b. Any T-files? Yes ____ No ____

i. If yes, have they been staffed and scanned? If not, please do so now.

c. Consolidated with? _____

d. Does the EOIR screen show an upcoming hearing date?

Yes__ No ___

2. Check CLAIMS for petition/applications

a. Were any found? Yes _____ No _____

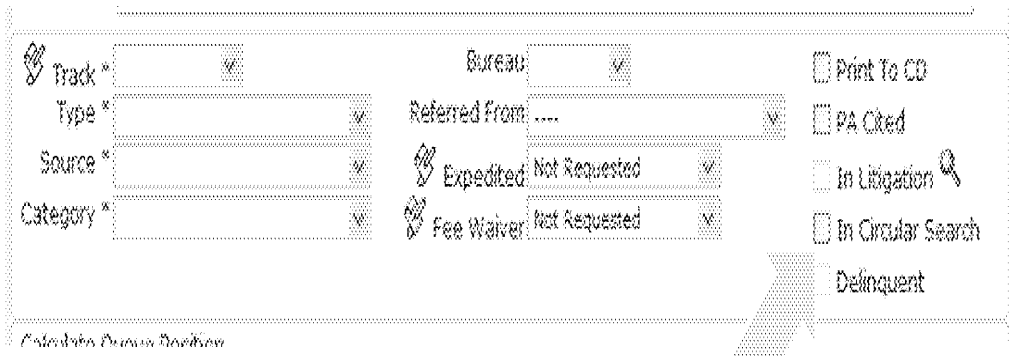
b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

Get Ready to Staff



Check "In Circular Search"

Save

When you staff, "File Missing/Lost" will automatically be checked. If you staff and that box is not automatically checked, then you must go back and check Circular Search.

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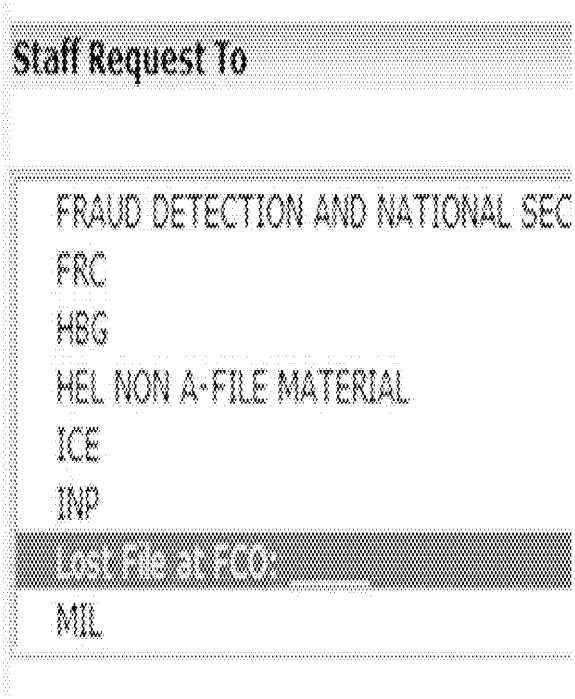
Now Staff

Lost File at FCO:



And fill in the blank on the staffing sheet:

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

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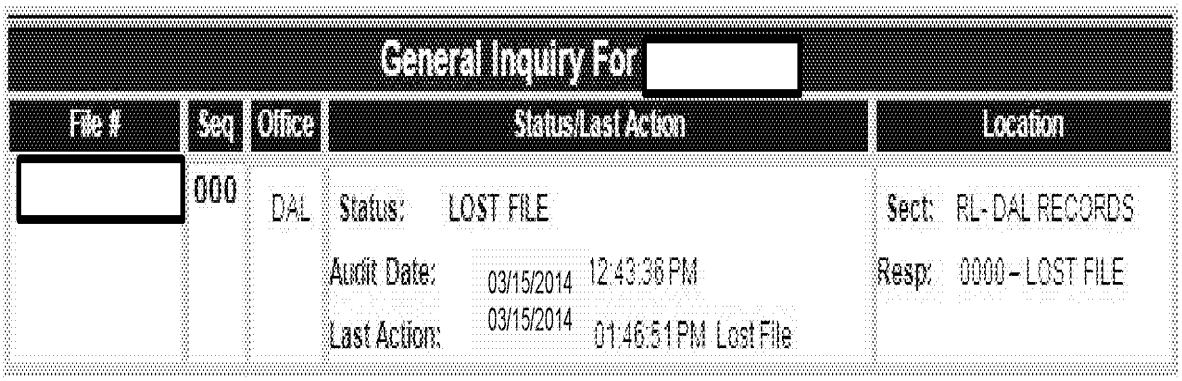
Manually Pending

- For our example, we are pretending today is April 6,
- The last action on the file was March 15. (b)(6)

(b)(6)



We have to set the suspense so this case goes to Records Locator when the "Lost Time" is more than 60 days.

Why?

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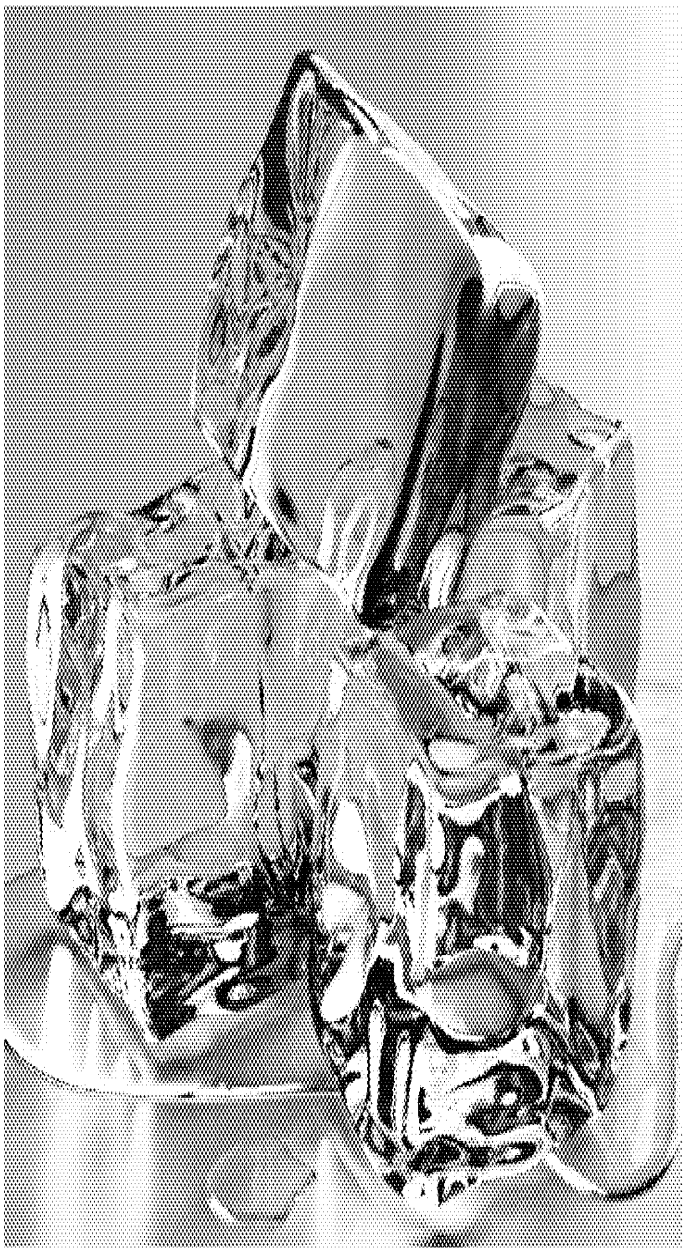
Why Manually Pend?

- We are waiting to see if we find the file. We do occasionally find the file.



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Giving It a Chance

- If you staffed for something else such as a receipt file or T-file, We give the A-file 60 days to show up.
- If the lost status goes over 60 days, we want to cancel the slot and send what we have to the case processor.
- If you did not find anything else and the lost status goes over 60 days, we will print what electronic records we have and send the case to the case processor.

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How many days?

- Let's say the file was lost March 15th.
- We want the file to hit Records Locator on or about May 14th.
- Today is April 6th.
- How do you figure out the number of days?
- Use http://www.easysurf.cc/ndate2.htm

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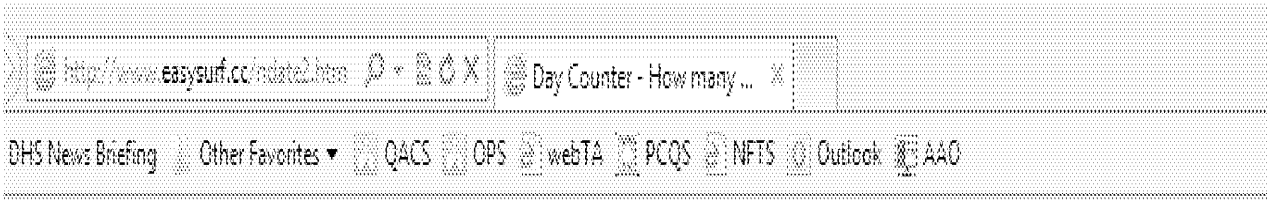
http://www.easysurf.cc/ndate2.htm



Easysurf | Home | Site Map | E-Mail | Help

Day Counter - How many days and/or weeks between two dates

	Month	Day	Year	Era
From:	April	6	2014	A.D.
To:	May	14	2014	A.D.

Click to Calculate — 38 Days -- or -- 5 Weeks and 3 Days

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The answer is 38 Days.

There are other ways to figure it out

- OK Google “How many days until May 14?”
- If you just like to do math, there is a Julian Date calendar at Appendix H.
- Fingers. Take shoes off for more complicated math.

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How to Manually Pend

- "Manually Pend" means the same as "Change the Due Date"
- Go back to the "Contents" tab
- Click on "Responsive Records" and wait
- You will get a drop-down box that says "Manage Document"
- Click that and it will send you to another screen

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Now Change the Due Date

- Enter 38 in "Days to Pend" and then click *Update Due Date*
- That should change the due date to the day we want it to hit RL

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Before We Move On:

- You can experiment –
- When you enter the number in Days to Pend then click Update Due Date – the Due Date changes.
- If you don't like that Due Date, just change the number and update again until you *do* like it.

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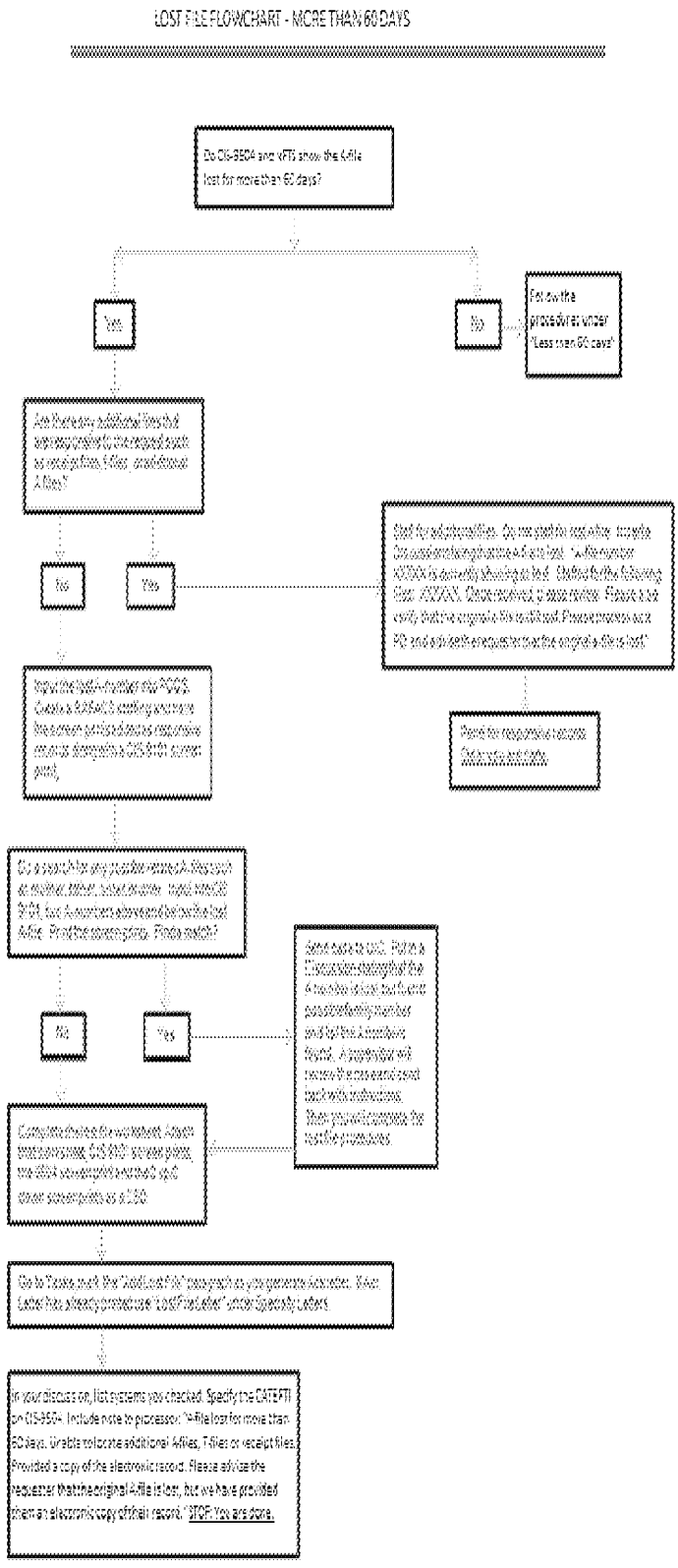
Scenario: More Than 60 Days

If it has been more than 60 days, we go to the Lost File Flowchart > 60 days and follow the instructions.



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Unit Chief

- If you have a > 60 day scenario
- And you find possible related A-files
- Then you print the screen prints and send the case to Unit Chief
- Why?

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Unit Chief might search

- Unit Chief may be able to order the file(s) and review them to see if there are misfiled documents belonging to your subject.
- If we cannot find anything else, we will print our what electronic records we have and scan that into a RAFACS slot.
- Finally, you must check “Add Lost File Paragraph” when you create the Acknowledgement Letter.

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Questions?

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Staffing Topics

U.S. Citizenship
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Services

FOIA Program Office
National Records Center

Objective

- To better understand:
  - Multiple Staffing
  - Staffing for T-files
  - The Scanning Bar Code

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Common Staffing Errors:

- A-file number in FIPS does not match the NFTS screenshot - usually by not using the dropdown box, and occasionally by using a screenshot totally unrelated to the case.
- Cropped NFTS screenshots.
- "Multiple Staffing" when the A & T files are at different FCO's.
- "Multiple Staffing" when there is an A file and a receipt.

Some other Staffing Errors:

- Circular search box not checked and/or not saved prior to staffing for lost files.
- Staffing for an A files or receipt files that NFTS shows in "Consolidation Area." Usually, the Consolidation button is blued-in, and you can see it has already been consolidated.
- Staffing for an A file at an outside FCO and a T file that is at NRC.
- Staffing for FRC files using RAFACS/CIS staffing sheets.

Save a Little Time

- Some case creators have been typing the specific documents on staffing sheets of Track 1 cases. (example: "Requester needs Naturalization Certificate only")
- Save your time. The contractor scans in the whole file.
- Imagine a busy store with long lines. Imagine a customer at the store purchasing a package of multicolored napkins. The customer says to the checker, "My child only wants the purple napkins." What will the checker do?
- Case processors and supervisors need your insight – Discussions are good. Adding comment to a staffing sheet? Not so good.

Records Locator:

- If you see a file request from an outside FCO, and you look in NFTS and see the file at NRC, do not cancel that staffing and re-staff to RAFACS/CIS.
- That means we will most likely have to pay for a second scan and the responsive records are going to show up twice.
- If you see a file request from an outside FCO, and you look in NFTS and see the file is now at ANOTHER outside FCO, then yes, cancel the staffing and re-staff.
- If you are not sure about the situation, talk to MSB. They are very happy to help!

When to type "MULTIPLE STAFFING"

IF

- A person has more than one A-File.

AND

- Those A-Files are not consolidated.

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Let's Pretend

- Staffing for an A-file in Chicago and a T-file in Milwaukee? That's more than one staffing, but it does not fit our term "Multiple Staffing." Pretend – let's call that "Condition Blue."
- Staffing for an A-file and an unconsolidated application? That is two staffings, but does not fit our term "Multiple Staffing." Pretend – let's call that "Condition Blue."
- Now let's pretend that you have two unconsolidated A-files that you have to staff for. Let's call that "Condition Red."
- The ONLY time you type "Multiple Staffings" is during "Condition Red."

Are these multiple staffings?

- Person has A-File and receipt file, and those files are at two different places. Is it?
- Person has an A-File and a T-File at two different places. Is it?

(b)(6)

Requester gave us two A-numbers

```
CIMIDN              DEPARTMENT OF HOMELAND SECURITY - USCIS          07/24/12
COMMAND:          CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY        14:51:47

ID # (A/AA/AB/C/DA)
   (DL/FB/FP/I/PP/SS/TD)
    LAST: ALVAREZ
   FIRST: DENNY                                          NATZ DATE:
  MIDDLE: A                                                COURT:
 ALIASES: ALVAREZ CASTELLANOS      ,DENNY                 LOCATION:

  SEX:     POE:      COB:        DOE: 00000000
  FCO: NRC  COA:     COC:        FTC: 08252011   FATHER:
 PFCO: MIA SFCO:     DFO: 06142011 BIN:          MOTHER:

       SSN:                          CONSOLIDATED A-NOS    --OTHER INFORMATION--
I-94 ADM #:
PASSPORT #:
     FBI #:
DRIVER LIC:                              (b)(6)
FINGER CD#:

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS  ENTER.  CLEAR EXIT  PF1 NEXT CONS A#
PF2 PRIOR CONS A#  PF3 REFRESH  PF4 RETURN PF5 HELP PF6 MAIN MENU  PF8 HISTORY
                                                          PF9 EAD PF11 EOIR
```

3270

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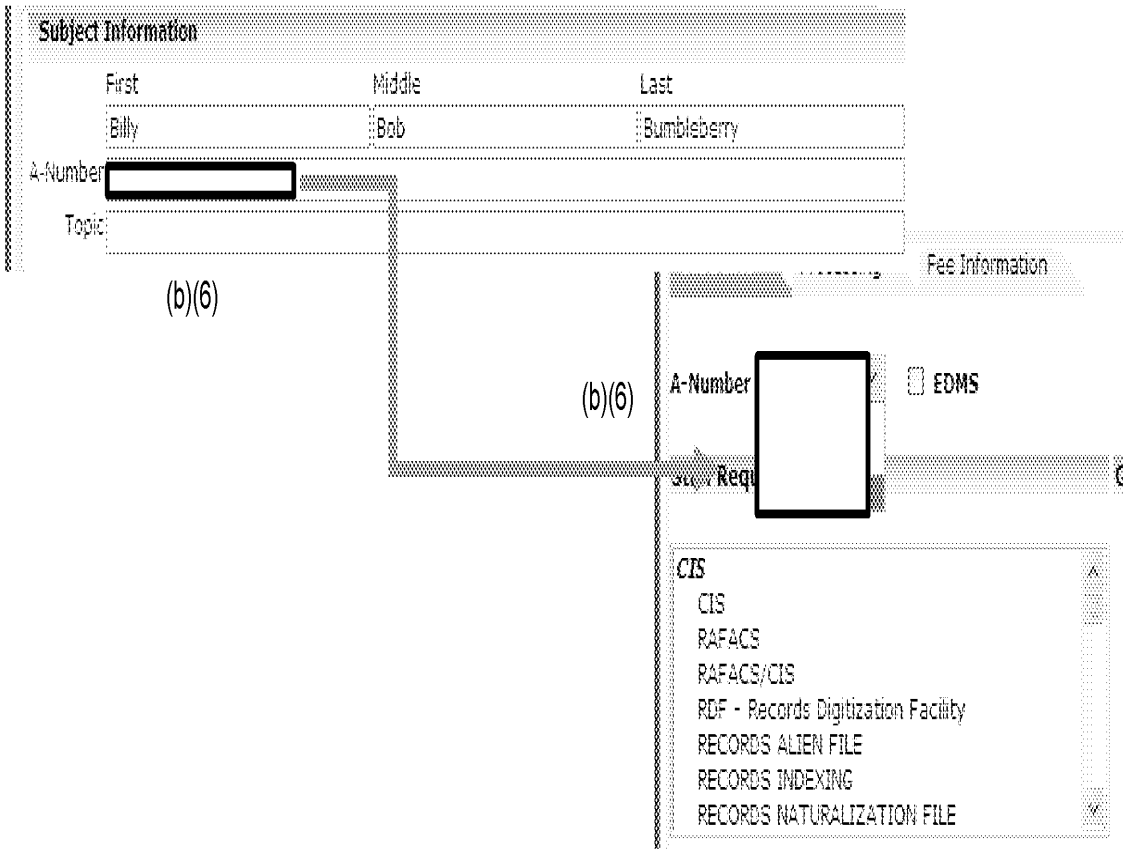
Is this the same person? (b)(6)

```
CIMIDN              DEPARTMENT OF HOMELAND SECURITY - USCIS          07/24/12
COMMAND:            CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY      15:01:34

ID # (A/AA/AB/C/DA):
   (DL/FB/FP/I/PP/SS/TD)
    LAST: ALVAREZ
   FIRST: DENNY                                          NATZ DATE:
  MIDDLE: ALEXANDER                                        COURT:
 ALIASES:                                                LOCATION:

 SEX:       POE:        COB:          DOE: 00000000
 FCO: NRC   COA:        COC:          FTC: 07102009   FATHER:
PFCO: ESC  SFCO:        DFO: 03182009 BIN:            MOTHER:

       SSN:                          CONSOLIDATED A-NOS    --OTHER INFORMATION--
I-94 ADM #:
PASSPORT #:
     FBI #:
DRIVER LIC:
FINGER CD#:

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS  ENTER.  CLEAR EXIT  PF1 NEXT CONS A#
PF2 PRIOR CONS A#  PF3 REFRESH  PF4 RETURN PF5 HELP PF6 MAIN MENU  PF8 HISTORY
                                                          PF9 EAD PF11 EOIR
3270
```

FOUO

Staffing for more than one A #?

- Use the **Drop-down Box** in FIPS to create the file request.



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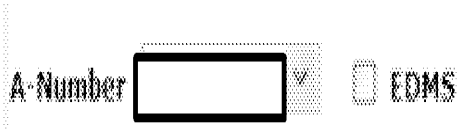
(b)(6)

The Drop-down Box



- The subject asked for "all my records" and has two unconsolidated A-Files.
- You must add the second A-number to the A-number field on the FIPS worksheet.
- When you staff for the second file, you must select the second A-number from the drop-down box. If the number on the staffing sheet does not match, you cannot type the correct number onto the staffing sheet. That will not solve the problem.
- (b)(6) If you staff for [redacted] but the A-Number on the FIPS worksheet is [redacted], the contractor will not be able to locate the file, your staffing sheet will come up on the Problem Files report, and ... (b)(6)
- The staffing will get sent back to you for correction.

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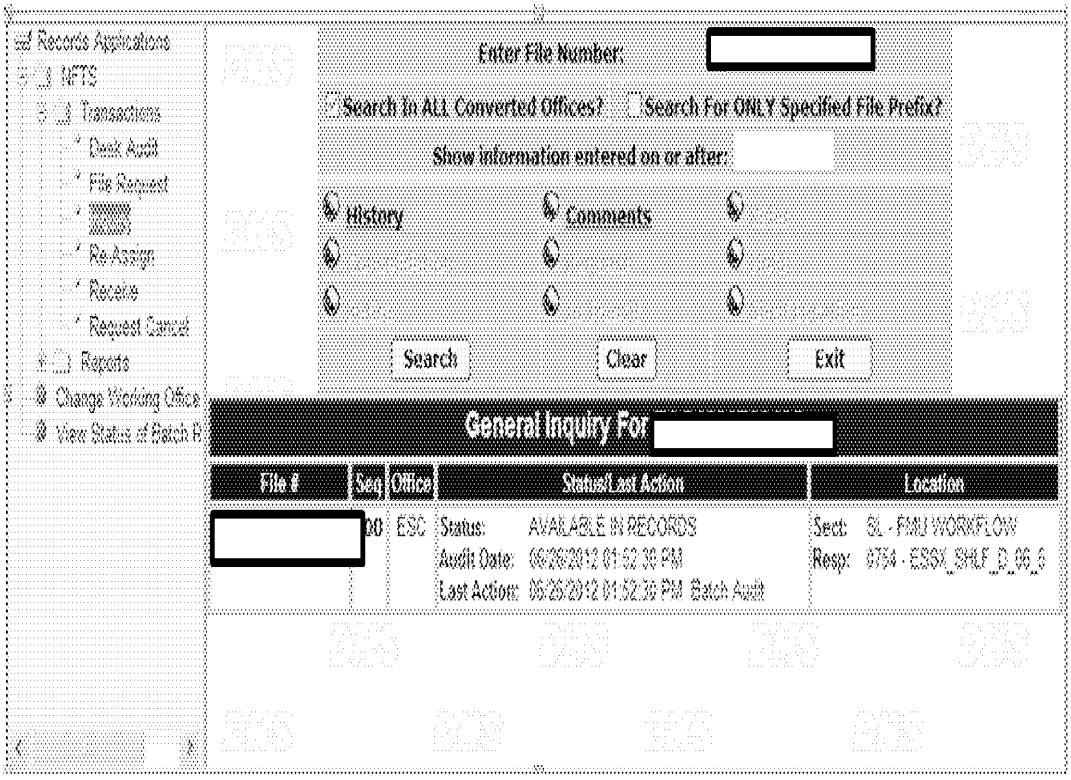
Unconsolidated Receipt?

- This person has an A-number and an unconsolidated receipt.
- Is this a multiple staffing? (b)(6)



It's two staffings, but it is not Condition Red.

Consolidated A-File

DANGER WILL ROBINSON: If he gave us A75812830 AND we find it in NFTS AND it shows it is in "Consolidation Area" – watch out!

```
CIMIDN              DEPARTMENT OF HOMELAND SECURITY - USCIS          07/24/12
COMMAND:          CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY        16:10:43

ID # (A/AA/AB/C/DA):
   (DL/FB/FP/I/PP/SS/TD)
    LAST: KUMAR
   FIRST: SANJIV                                        NATZ DATE:
  MIDDLE:                                                 COURT:
 ALIASES:                                               LOCATION:

 SEX:     POE:     COB:     DOE:
 FCO: NRC CGA:     COC:     FTC: 02082012   FATHER:
PFCO: LNY SFCO:    DFO: 06022005 BIN:       MOTHER:

       SSN:                        CONSOLIDATED A-NOS    --OTHER INFORMATION--
I-94 ADM #:
PASSPORT #:
     FBI #:
DRIVER LIC:
FINGER CD#:                    (b)(6)

OVER-KEY ID# TO DISPLAY NEW PERSON, PRESS  ENTER.  CLEAR EXIT  PF1 NEXT CONS A#
PF2 PRIOR CONS A#  PF3 REFRESH  PF4 RETURN PF5 HELP PF6 MAIN MENU  PF8 HISTORY
                                                          PF9 EAD PF11 EOIR
```

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Well now, this is a worthless staffing:

(b)(6)

General Inquiry Fo [redacted]

File #	Seq	Office	Location
[redacted]	000	NBC	Sect: ZY - SYSTEM AREA Resp: 8888 - CONSOLIDATION AREA

CIS told us this file is consolidated into

(b)(6)

[redacted]. The case creator cannot staff for – it doesn't exist.

MSB will send it back to the case creator to fix.

T-files – will a physical A file be here?

- A-file at RDF and T-file at NRC, yes staff for both.
- A-file at any service center besides NBC (i.e. ESC, NSC, SSC or WSC) and T-file at NRC, yes staff for both.
- A-file at ZMI and T-file at MIA, yes, staff for both.
- A-file at NBC and T-file at NRC, no, do not staff for the T-file, but include the screen shot.
- A-file at FRC and T-file at NRC, no, do not staff for the T-file, but include the screen shot.
- A-file at CHI and T-file at NRC, no, do not staff for the T-file, but include the screen shot.

Next Subject:

Lost Files

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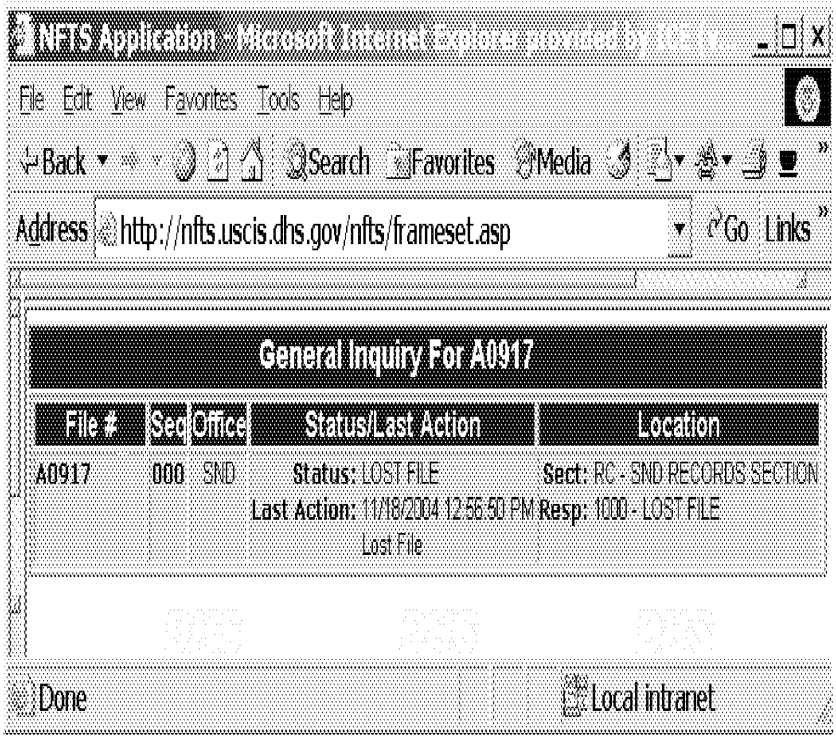
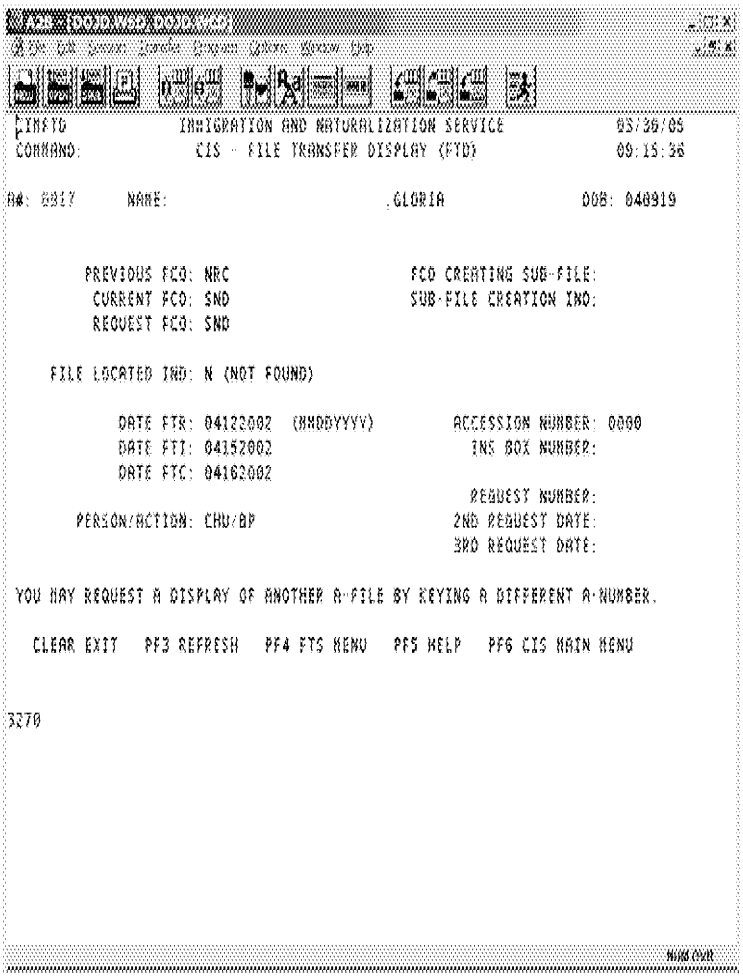
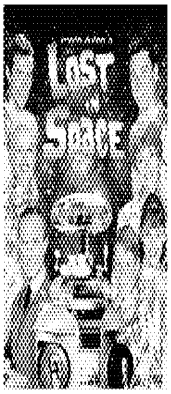
National Records Center





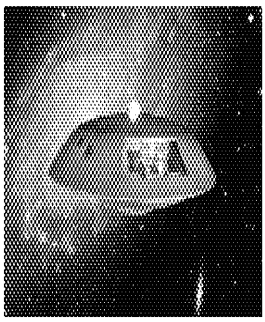
Lost File



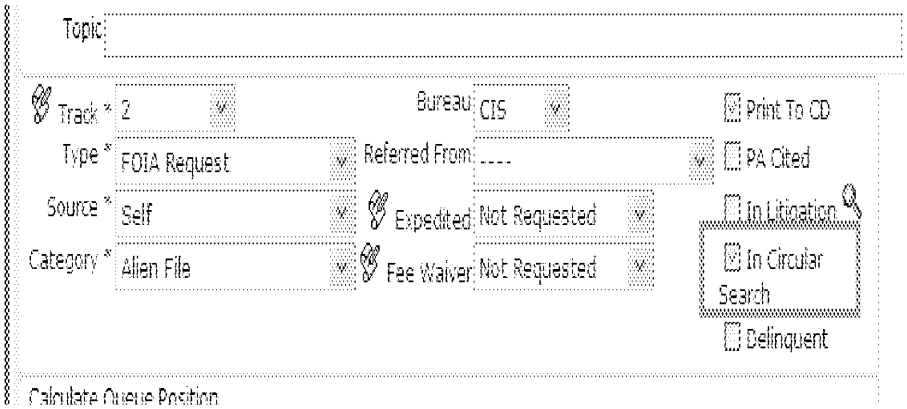
- Check both CIS and NFTS – they both have to say the file is lost.
- Before you create the file request letter
  - Check the "In Circular Search" Box
  - Click "Save"
- And then create the file request letter.

U.S. Citizenship and Immigration Services

Where's the File?
"In Circular Search"



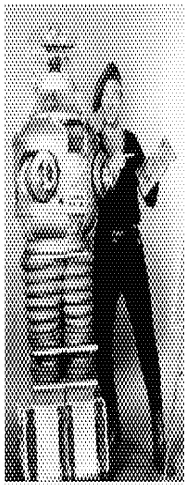
- Before you create the file request letter
  - Check the "In Circular Search" Box
  - Click "Save"



- When you create the file request letter
  - Make sure the "File Missing/Lost" box is checked.
  - Then click on Create File Request.

U.S. Citizenship and Immigration Services

Speaking of Unnecessary Artwork:



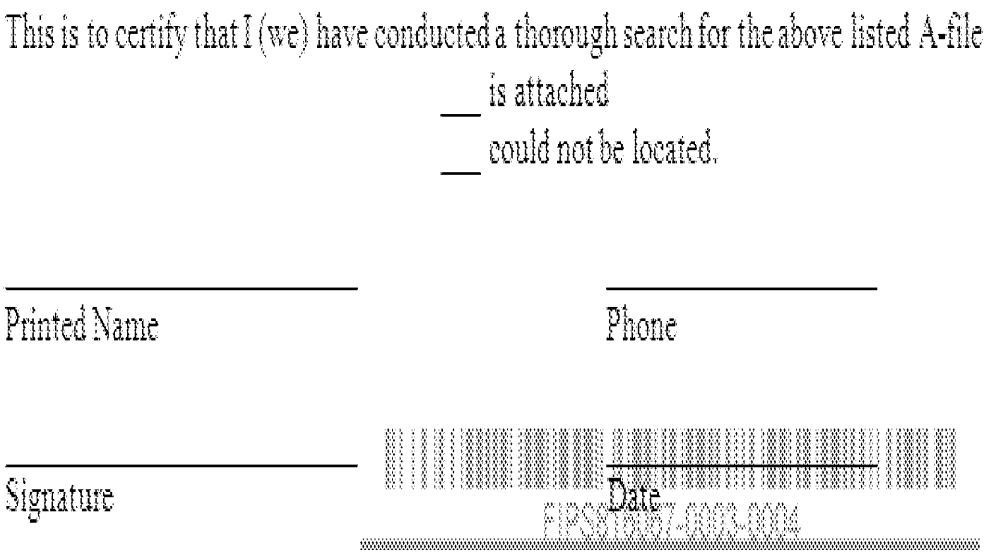
- Please don't crop the top.
- You might think you are helping, but unfortunately, this only causes confusion.
- This staffing will come back to the case creator for correction:

A040000000 000 NRC	Sect:	AN - FILE ROOM NUMBER 1 LL N
	Resp:	4260 - ROW AN SHELF 4260 - AN4260

U.S. Citizenship and Immigration Services

Interference with the bar code

- This will cause a scanning problem. If you notice typing has somehow gotten bumped down into the bar code area, please move it back up.



This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:

__ is attached
__ could not be located.

Printed Name _____ Phone _____

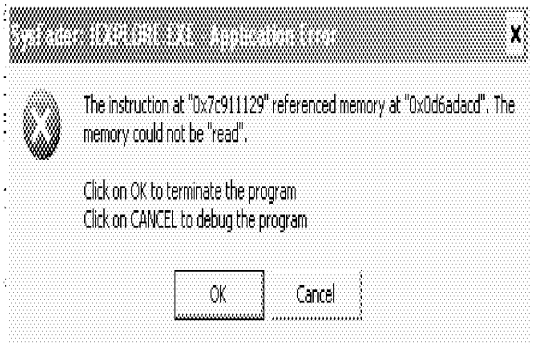
Signature _____ Date _____

FIPS 10-07-0003-0004

U.S. Citizenship and Immigration Services

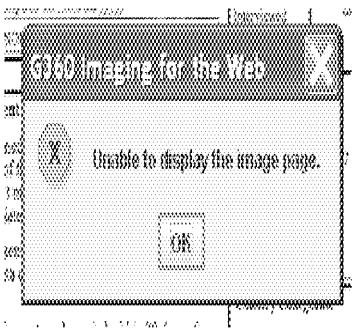
FOIA Program Office
National Records Center

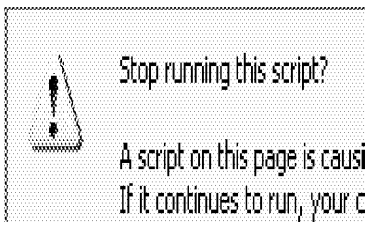
Next subject: FIPS Crash



- They're investigating what causes FIPS Crash.
- If you search and get back 200 or more hits, you could possibly be contributing to a FIPS Crash – so:

  - Always search with a number if you have a number
  - If they gave you a number, and it checks out, conduct your search with that number and you're done.
  - If they didn't give you a number – this could be a way to avoid FIPS Crash – specify "created after" and make it not greater than one year.





U.S. Citizenship and Immigration Services

FOIA Program Office
National Records Center

Questions?

U.S. Citizenship and Immigration Services

FOIA Program Office
National Records Center

U.S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services

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Objectives

To read instructions scanned in with the request.

To search diligently enough to find a file, if there is one.

To catch the hidden Expedited Treatment and Fee Waiver requests.

To double-check the A-number on the staffing sheet.

U.S. Citizenship and Immigration Services

Warning

- This training module uses real data so that you will be able to practice it for yourself.
- You should not discuss any PII in the case studies outside the class.
- If you print these slides, treat them as sensitive FOUO. Keep them locked, and shred all the case studies when you no longer need them.

U.S. Citizenship and Immigration Services

The problem:

- Not everybody knows his or her Alien Number.
- Not everybody has a good command of English.
- Sometimes their writing is messy.
- Not everybody is easy to find.
- Is it important to find them?

U.S. Citizenship and Immigration Services

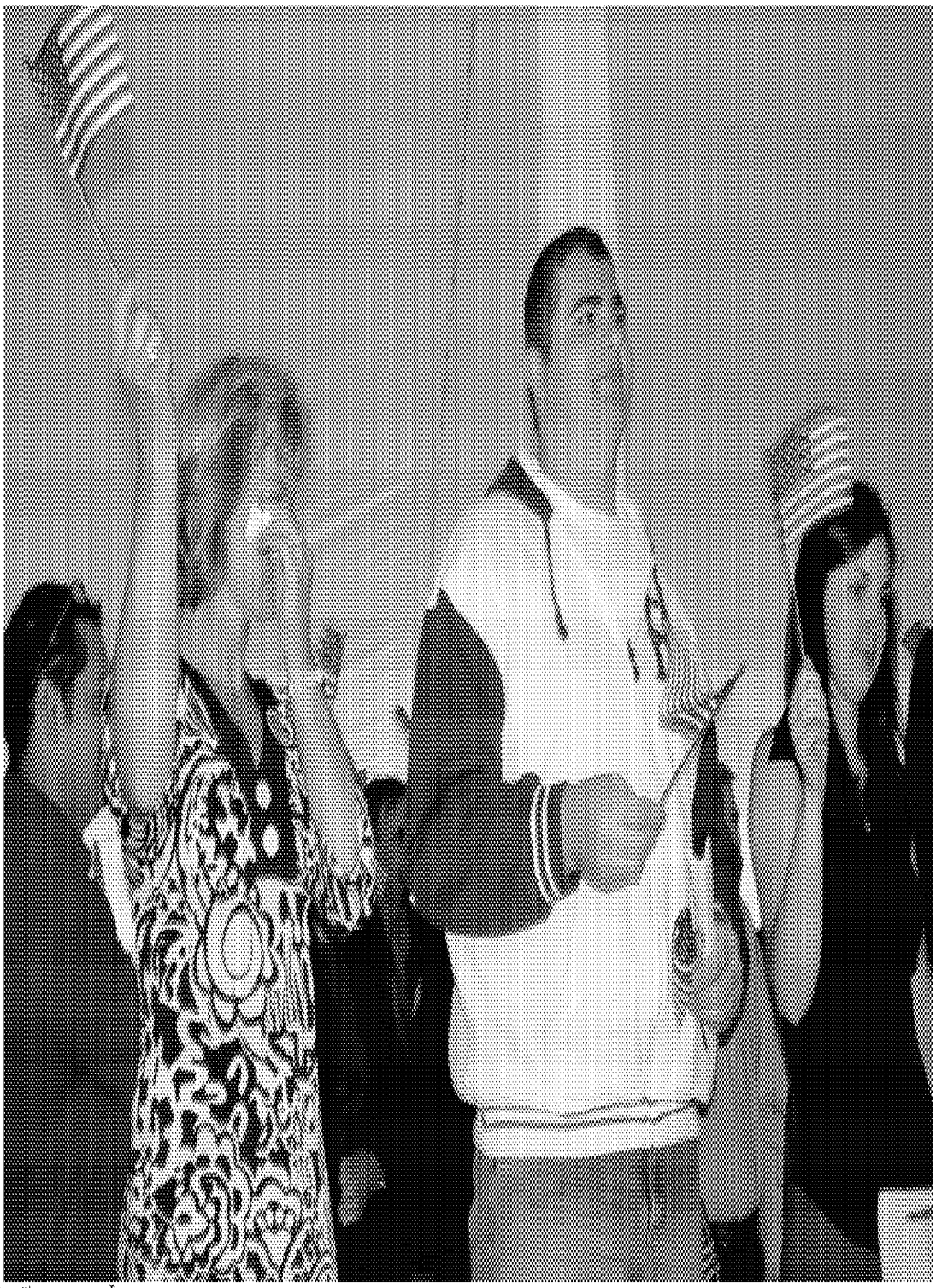
We owe them a diligent search.

U.S. Citizenship and Immigration Services

We owe them a diligent search.

U.S. Citizenship and Immigration Services

Is your job important?



U.S. Citizenship and Immigration Services

No A-Number?

- Usually we can find a person based on a name and date of birth.
- There could be variations in spellings.
- CIS might have entered the date of birth incorrectly.
- There might be aliases.
- There could be typographical errors on names and dates of birth.

U.S. Citizenship and Immigration Services

Case Study

- We will look at a situation involving real PII.
- The pages are marked FOUO.

- The case was difficult. We closed it NR.
- We easily found a record in PCQS, and we got lucky and found her in CIS, but it is too late.

U.S. Citizenship and Immigration Services

The Request

Family Name *(Last Name)*	Given Name *(First Name)*	Middle Name
Nacionales	Marie	Curie

Other Names Used *(if any)*	Name at time of entry into the U.S.	I-94 Ad
Marie Nacionales Mori	Marie Curie Nacionales	

Alien Registration Number *(A#)*	Petition or Claim Receipt #	Country of Birth	Date of Birth *(mm*
		[redacted]	

(b)(6)

This looks straightforward.

She asked for "All my records."

U.S. Citizenship and Immigration Services

Straightforward?

```
CIMEXA              DEPARTMENT OF HOMELAND SECURITY - USCIS
COMMAND:          CENTRAL INDEX SYSTEM - EXACT NAME SEARCH

      * LAST NAME: NACIONALES
     * FIRST NAME: MARIE

      MIDDLE NAME:     (b)(6)

        EXACT DOB:            (MMDDYYYY)
        DOB RANGE:            (DATE RANGE = YYYYR; YYYY=YEAR,

              COB:            (5-CHARACTER COUNTRY CODE)
              COC:            (5-CHARACTER COUNTRY CODE)
              POE:            (3-CHARACTER PORT OF ENTRY CODE
              DOE:            (MMDDYYYY)
              COA:            (3-CHARACTER CLASS OF ADMISSION
              FCO:            (3-CHARACTER FILES CONTROL OFFI
              SEX:            (M/F)

   * LAST NAME AND FIRST NAME ARE REQUIRED FIELDS.  OTHERS A
     SPECIFY THE SEARCH CRITERIA, THEN PRESS ENTER TO INITIA
                          CLEAR EXIT      PF3 REFRESH
       PF4 MENU       PF5 HELP       PF6 MAIN MENU      PF9
DISPLAYED NAME NOT FOUND ON EXACT NAME SEARCH.
```

Maybe not.

Let's try the two F9's.

No. Nothing.

(b)(6)

```
CIMDSAS  PAGE  0001   DEPARTMENT OF HOMELAND SECURITY - USCIS
COMMAND:               CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM
                       SOUNDS LIKE NAME WITH DATE OF BIRTH SEARCH
TOTAL RECORDS READ = 0000000
SRCH DATA: FN/LEN: MARIE                    /0      DOB:
           LN/LEN: NACIONALES                           /0
  NAME                              A-NUMBER    DOB     COB  POE
```

```
CIMSAS   PAGE  0001   DEPARTMENT OF HOMELAND SECURITY - U
COMMAND:               CENTRAL INDEX SYSTEM - MULTIPLE FIND
                                 A L I A S  N A M E  SEARCH
TOTAL RECORDS READ = 0000027
SRCH DATA: FN/LEN: MARIE                    /0          I
           LN/LEN: NACIONALES
  NAME                              A-NUMBER    DOB
```

```
***  END OF SEARCH DISPLAY ***
TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.
     CLEAR EXIT   PF1 PAGE AHEAD   PF2 PAGE BACK   PF4 RETURN   P
                       PF6 MAIN MENU   PF9 ALTERNATE SEARCH
NO PERSON INFORMATION ON FILE FOR SPECIFIED SEARCH.
****
```

```
***  END OF SEARCH DISPLAY  ***
      TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS I
   CLEAR EXIT   PF1 PAGE AHEAD                  PF4 RETU
                       PF6 MAIN MENU   PF9 ALTERNATE SEARCH
SOUNDEX CODES ARE N254  M6  .
```

Close this case NR? We did.

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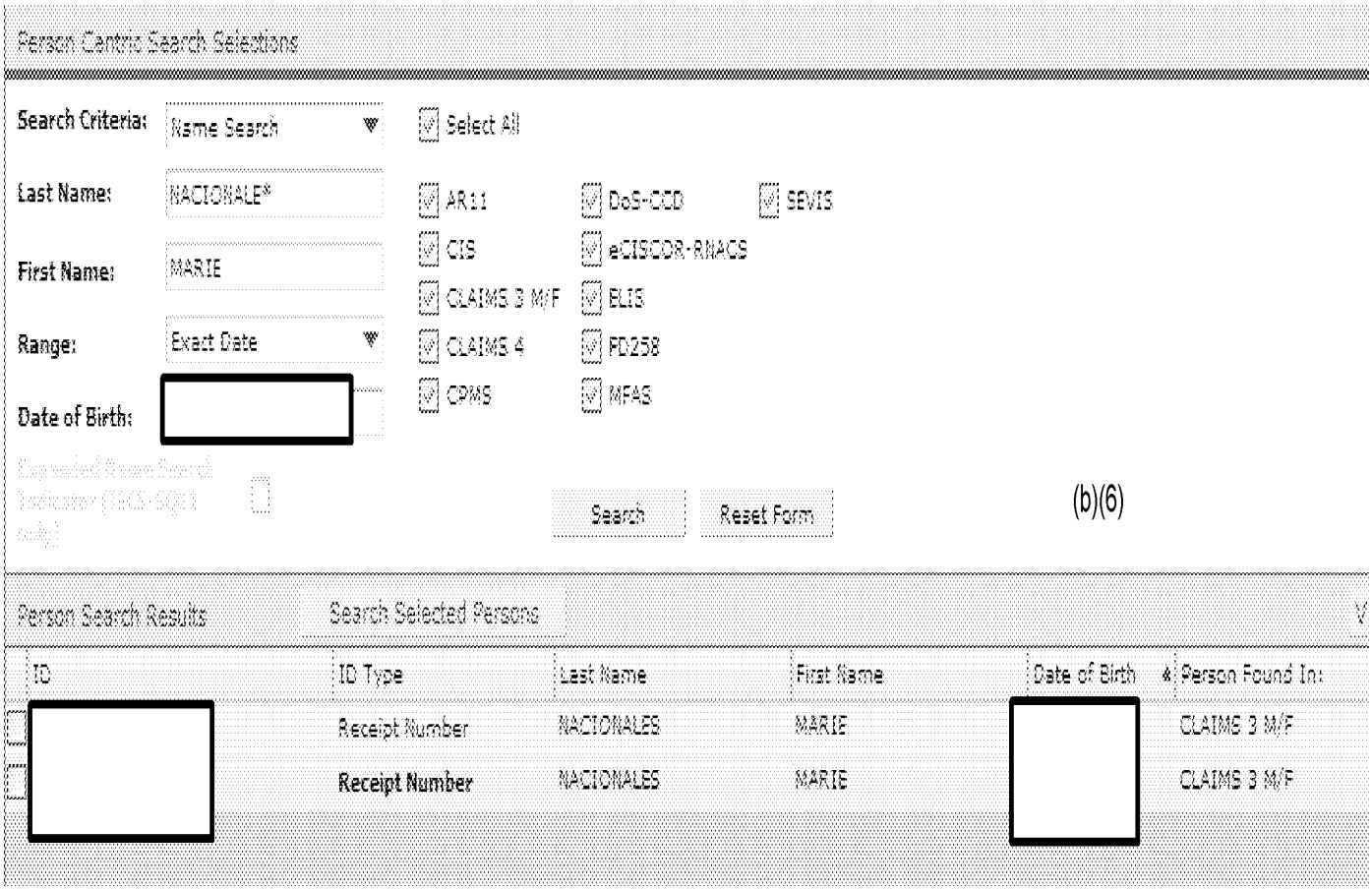
PCQS



We found two I-102's, so if she requested "all my records," we do not have a No Record.

Parameters

- I can say I want name results to match up to 9 exact characters.
- I can specify the whole year [redacted] by entering in DOB RANGE: [redacted] or if I want it to look one year either way, [redacted] Maximum 9 years plus or minus. (b)(6)
- How did you find country codes?

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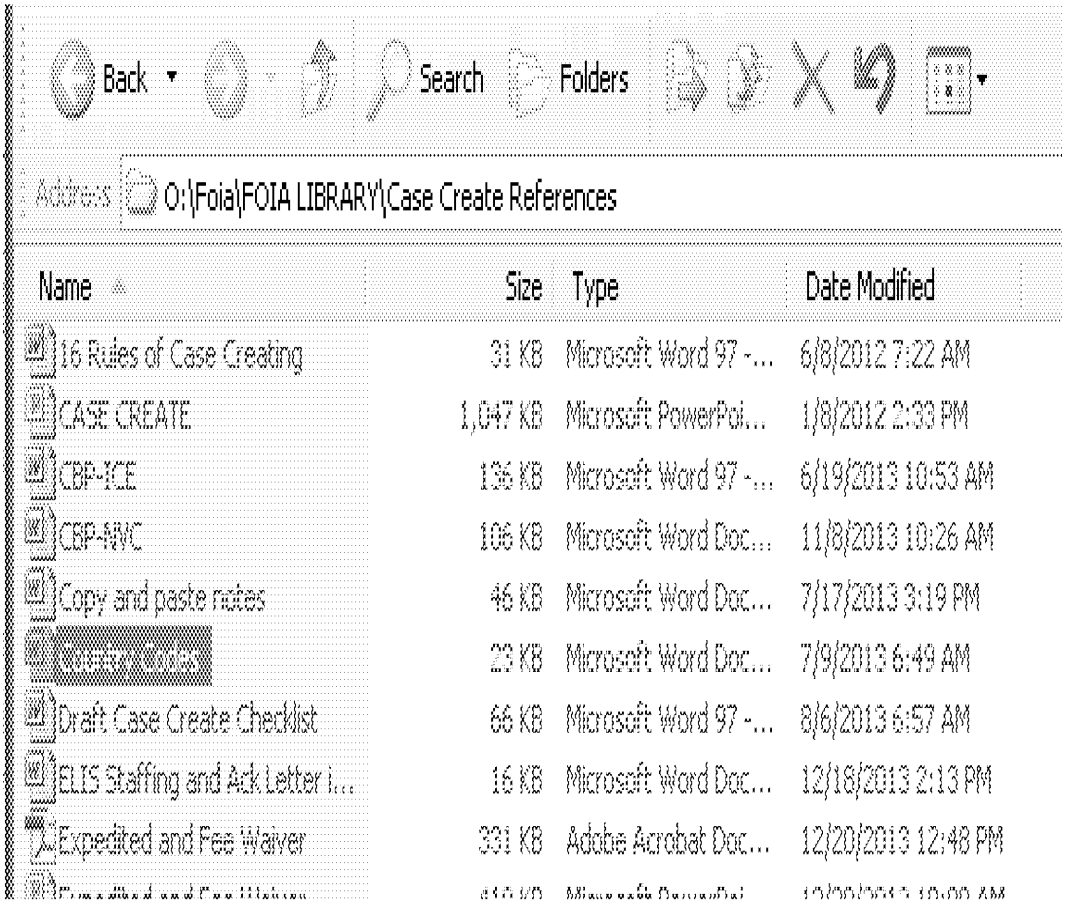

Open the Word document and look:

PAPUA	PAPUA NEW GUINA
PARAG	PARAGUAY
PERU	PERU
PHILI	PHILIPPINES
PITCA	PITCAIRN ISLANDS
POLAN	POLAND

U.S. Citizenship and Immigration Services

9102 with Parameters

```
CIMSND              DEPARTMENT OF HOMELAND SECURITY - USCIS              02/04/14
COMMAND:        CENTRAL INDEX SYSTEM - "SOUNDS LIKE" SEARCH              14:03:09

      * LAST NAME: nacionales                                  (40-CHARS MAX)
       FIRST NAME:                                             (25-CHARS MAX)

  LAST NAME MATCH: 9          (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
 FIRST NAME MATCH:            (NUMBER OF EXACT CHARACTERS TO MATCH (0-9))
    PREVIEW NAME:             (Y/N)
                    (b)(6)

         EXACT DOB:           (MMDDYYYY)
         DOB RANGE:           (DATE RANGE = YYYYR; YYYY=YEAR, R=0-9)

               COB:           (5-CHARACTER COUNTRY CODE)
               COC:           (5-CHARACTER COUNTRY CODE)
               POE:           (3-CHARACTER PORT OF ENTRY CODE)
               DOE:           (MMDDYYYY)
               COA:           (3-CHARACTER CLASS OF ADMISSION CODE)
               FCO:           (3-CHARACTER FILES CONTROL OFFICE CODE)
               SEX:           (M/F)
 *LAST NAME IS REQUIRED FIELD. OTHER FIELDS ARE OPTIONAL.
 SPECIFY SEARCH CRITERIA, PRESS ENTER TO INITIATE "SOUND LIKE" SEARCH
   CLEAR EXIT    PF3 REFRESH    PF4 MENU    PF5 HELP    PF6 MAIN MENU
```

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9102 – Hit Enter

```
CIMSAS   PAGE  0001   DEPARTMENT OF HOMELAND SECURITY - USCIS          02/04/14
COMMAND: |          CENTRAL INDEX SYSTEM - MULTIPLE FINDS FROM        13:56:34
                          S O U N D S - L I K E  SEARCH
TOTAL RECORDS READ = 0001000                                          LEENN ACV
SRCH DATA: FN/LEN:                          /0          DOB: 11041965 AAAAA PAI
           LN/LEN: NACIONALES                             /0          PRDCI PRO
  NAME                                  A-NUMBER    DOB     COB  POE FCO SMSSL LDL
  NACIONALES MARIE      ,CURIE          [redacted]                    NRC [redacted]
```

(b)(6)

(b)(7)(e)

```
* * MORE * * TO CONTINUE SEARCH PRESS PF1 OR
       TO VIEW PERSON DATA PLACE CURSOR ON LINE - PRESS ENTER.
   CLEAR EXIT   PF1 PAGE AHEAD                    PF4 RETURN   PF5 HELP
                     PF6 MAIN MENU   PF9 ALTERNATE SEARCH
SOUNDEX CODES ARE N254      ,
0279
```

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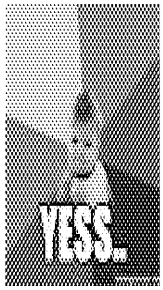
And GOT HER!



(b)(6)

```
CIMSIN              DEPARTMENT OF HOMELAND SECURITY - USCIS          02/04/14
COMMAND:        CENTRAL INDEX SYSTEM - DETAILED SEARCH DISPLAY       11:47:17

A#:[        ] NAME: NACIONALES MARIE       ,CURIE                DOB:[      ]

    LAST: NACIONALES MARIE
   FIRST: CURIE                                          NATZ DATE:
  MIDDLE:                                                  COURT:
 ALIASES:                                                LOCATION:

 SEX:[ ]   POE:[  ]  COB:[    ]   DOE:[      ]
 FCO: NRC  COA:[  ]  COC:[    ]   FTC: 01282014   FATHER:
PFCO: WSC  SFCO:     DFO: 05041988 BIN:          MOTHER:

       SSN:[         ]          CONSOLIDATED A-NOS    --OTHER INFORMATION--
I-94 ADM #:                                          [      ]
PASSPORT #:
     FBI #:
DRIVER LIC:
FINGER CD#:                          (b)(6)

CLEAR EXIT    PF1 NEXT CONS A#    PF2 PRIOR CONS A#    PF4 RETURN    PF5 HELP
PF6 CIS MAIN MENU  PF7 NEXT SEARCH  PF8 VIEW HISTORY  PF9 VIEW EAD  PF11 EOIR
```

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...but it's too late.

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What Happened?

- It seems ridiculous that somebody entered her first name as her second last name, but ...
- Probably, a long time ago, she filled out some form incorrectly and INS entered it the way she filled it out.
- The processor will see what happened and think "Wow, what a great case creator!"

U.S. Citizenship and Immigration Services

Don’t give up too easily!

- If we have not found the person within 10 minutes, there is a problem.
- Sometimes there is another reason we can’t find them.
- If you are having a problem, contact a neighbor or a supervisor – Sometimes in our lives, we all have pain, we all have sorrow ...

U.S. Citizenship and Immigration Services

Other reasons we can't find her:

- If she said she entered EWI in 2008, and we have no reason to believe she was ever arrested, it is possible she has no file.

- If she said she entered the country in 1960, and we have no reason to believe she had anything to do with INS after 1975, we should prepare a Records Index staffing.

U.S. Citizenship and Immigration Services

READ

- The first requirement of Case Create is READ. For example: "Do not dup to NRC20131XXXXX."

Request was duped to NRC201310 . There is a cover sheet on the request stated to no the case to NRC201310 .

REMARKS- Second print to open a new case. Pending case possible.

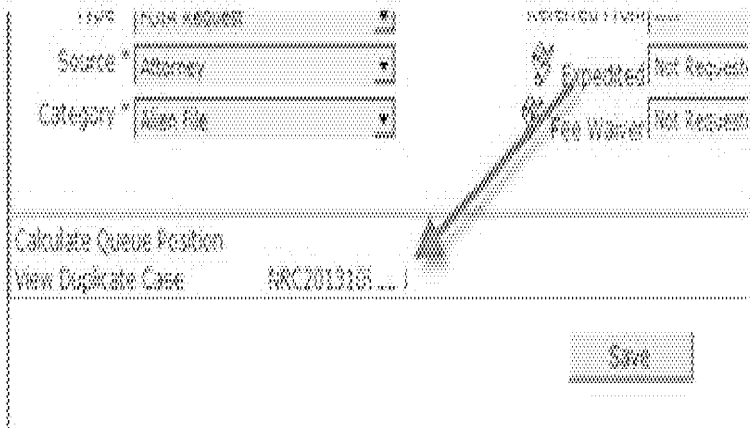
Please first search to see if there's an open pending request, if so send this case to Research to have attached as a CSI, to the open pending case. Thank you.

Please do not DP to NRC201310

DATE: 01/02/13

The cover sheet said:

"Please do not DP to NRC201310XXX"



Case Creator created the case, set NRC201310XXXX as a Duplicate, then closed the case ER and sent it to UFA.

U.S. Citizenship and Immigration Services

READ

- The first requirement of Case Create is READ. For example:

- "Receipt number and the current status of the petition I filed for my son Alberto Reyes."
  - Petition is at NVC. Will screen prints work?
- Petitioner wants: "Copy of petition, supporting documents and Affidavit of Support for [redacted] (b)(6)
  - Petition is consolidated into beneficiary's file. Will screen prints work?

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Your Discussion

- Say what you mean.
- Mean what you say.
- Use Plain English.
- Don't try to sound fancy or official.
- Paste-in sentences are good.
- If you think you wrote something confusing – you probably did.

U.S. Citizenship and Immigration Services

Plain Language

- The Plain Language Act requires federal employees to use plain language on any document that goes to the public.
- It's a good idea to use plain language all the time.

- Want to read the Federal Plain Language Guidelines? There is a copy at O:\Foia\FOIA LIBRARY

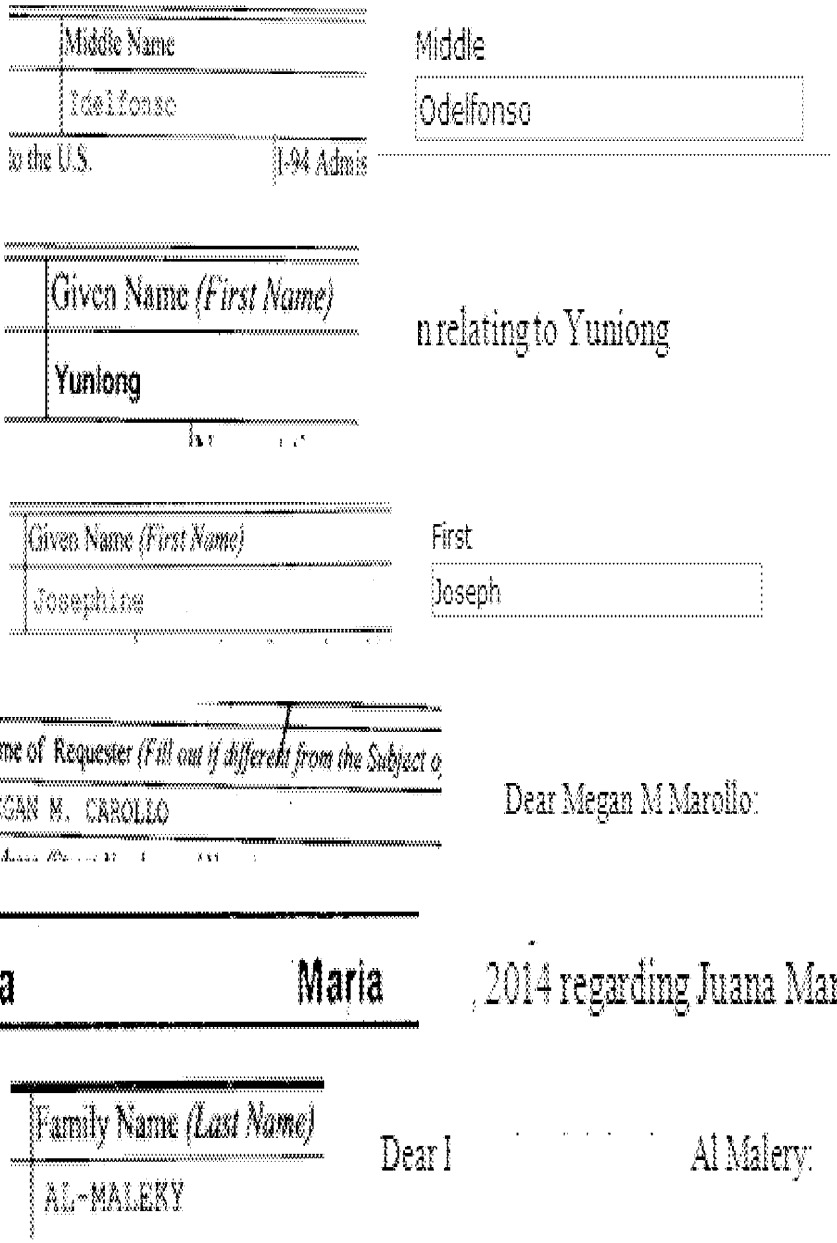
U.S. Citizenship and Immigration Services

Six Real Examples

What if you wrote someplace and they closed your case NR and sent you a letter with your name spelled incorrectly?

How would you feel?

Dear Monk Potter
We have no record of you,
and we looked all over.



U.S. Citizenship and Immigration Services

Attention to Addresses

The case creator clicked on the right attorney's name, but not the correct address, and it went to the wrong address:

Attorney at Law
350 Broadway, Ste. 700
New York, NY 10013

Name of Requester (Fill out if Different from the Subject of Record)	
ATTORNEY AT LAW	
Address (Street Number and Name)	
130 FULTON STREET,	
City	State
NEW YORK	NY

The case creator changed the spelling of the town. If you believe the name of the town is spelled incorrectly, look it up on https://tools.usps.com/go/ZipLookupAction!input.action

Petaluma, CA 94952

City
PETALUMA

PETALUMA CA 94952-

Show Mailing Industry

U.S. Citizenship and Immigration Services

Expedited / Fee Waiver

1. We are missing a few Expedited and Fee Waiver requests.

2. Sometimes we are closing a case FC, TD, RD or RF and leaving the request “Denied” instead of setting it to “Not Requested.”

U.S. Citizenship and Immigration Services

Cover Sheet

- There is supposed to be an Expedited Treatment or Fee Waiver cover sheet.
- That makes it easy. Just read and follow the instructions.

- Problem: Sometimes there is no cover sheet.

- Why? Sometimes the attorney adds "Please expedite" or "Please waive fees" at the very end of the letter, and mentions the request nowhere else.

U.S. Citizenship and Immigration Services

No Cover Sheet

Would like to have this expedited I have an appointment on Friday at my local office and I need this to renew my drivers license which is currently expired.

Thanks

- This counts as an expedite request.
- We did not notice it.

Crouching Lawyer, Hidden Request

- Why would they put a Fee Waiver or Expedited Treatment request in the last sentence of the letter, in small print?

- Why does a boa hold perfectly still on a tree branch over an animal path?

U.S. Citizenship and Immigration Services

Cause for Action

- If we completely ignore a request, the requester has a cause for action. The requester may take us to court and recover "attorney fees."

- Those "fees" come directly out of the USCIS operating budget – NOT out of the US Treasury.

U.S. Citizenship and Immigration Services

READ

- The first requirement of case create is: Read!
- If you catch the hidden request, you potentially save USCIS a lot of money.

- If there is a hidden request, you may
  - Add a discussion and send the case to Unit Chief, or
  - Find a supervisor, get a decision, and take action.

U.S. Citizenship and Immigration Services

Expedited Grant or Denial

- To be considered an expedited request one of the following criteria must exist:
  - A circumstance that poses an imminent threat to the life or physical safety of an individual or
  - An urgency to inform the public about a federal government activity, if made by an individual who disseminates information (the media).

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Expedited

- Using the word expedited in the request letter does not necessarily mean the requester is requesting expedited treatment.
  - "Thank you for expediting my request" is not a request.
  - "Please expedite this request" is a request.

U.S. Citizenship and Immigration Services

Fee Waiver

- To be considered for Fee Waiver:

  1. The disclosure of the requested information must be in the public interest,
  2. AND the disclosure of the information is not primarily in the commercial interest of the requester.

U.S. Citizenship and Immigration Services

The Fee Waiver Request

- He doesn't have any money – can he get a fee waiver?
  - No.
- What if he writes that he does not intend to pay anything?
  - We have to close it FC. He cannot declare an intention not to pay.
- Even though he probably wouldn't pay anything?
  - Yes, even though.
- What if he includes a financial statement showing that he has no money?
  - That does not count as a request. He has to ask. If there is not a specific request, his financial statement is meaningless.

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Sending to Unit Chief

- If you send a case to UC for clarification, change the "Expedited" or "Fee Waiver" status to "*Requested*."

- Always send an e-mail to your supervisor saying you did that.

- Why?
- Because "*Requested*" starts a clock.

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Sending to Up-front Approver

- If you send a case to Up-front Approver, you MUST change "Expedited" or "Fee Waiver" request status to "*Not Requested*."

- Why?
- If we close a case, we are neither approving nor denying a request for Expedited or Fee Waiver.

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Discussions

- Sometimes, supervisors will give you verbal guidance to deny or approve Fee Waiver or Expedited Treatment requests.
- If that is the situation, we need a discussion saying so.

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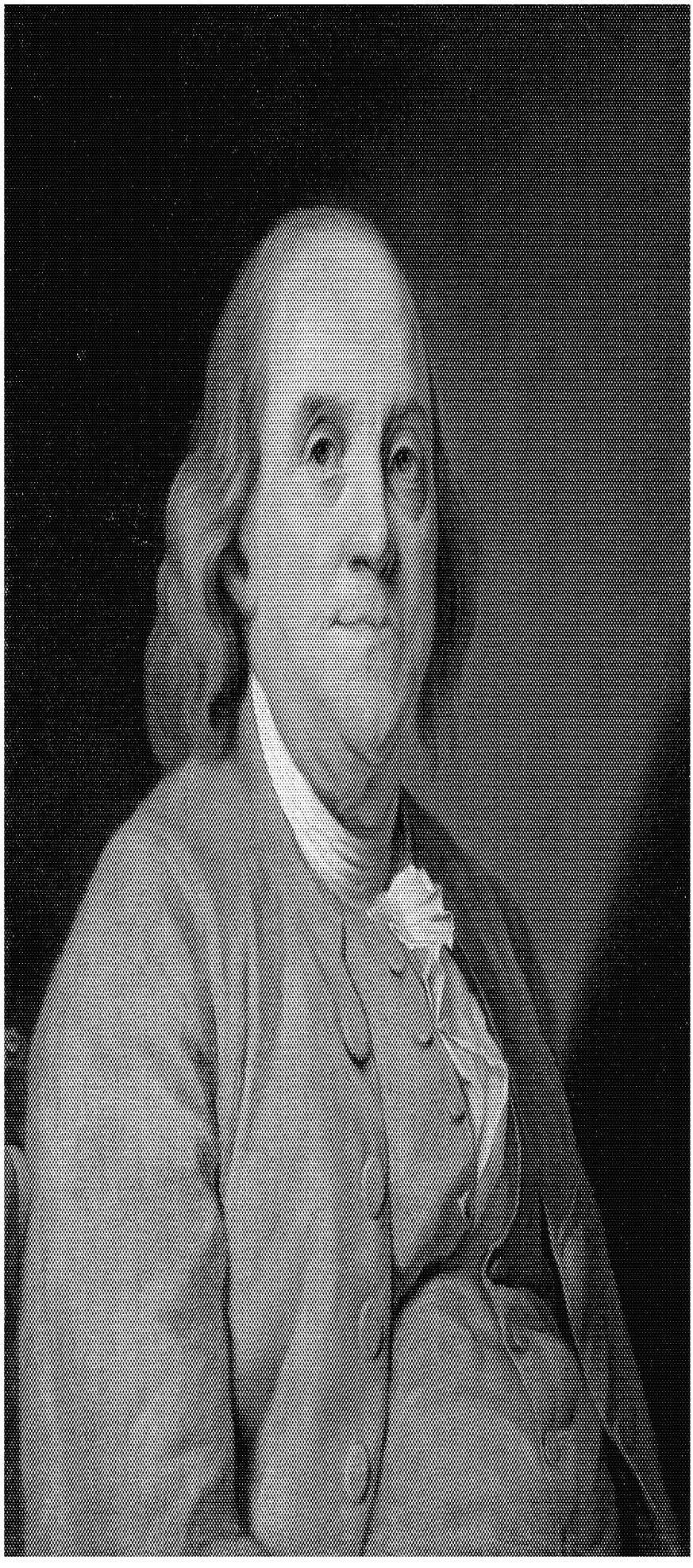
"The noblest question in the world is: *What Good may I do in it?*"

– *Poor Richard's Almanack*, 1737



U.S. Citizenship and Immigration Services

A common staffing error

- The A# on the staffing sheet does not match the A# on the NFTS screen print.
- There are two main reasons
  1. Typing in the A# instead of copying and pasting.
  2. Not using the drop-down box if staffing for more than one file.

U.S. Citizenship and Immigration Services

Copy and Paste

- Verify (or find) the A-number in CIS or PCQS.

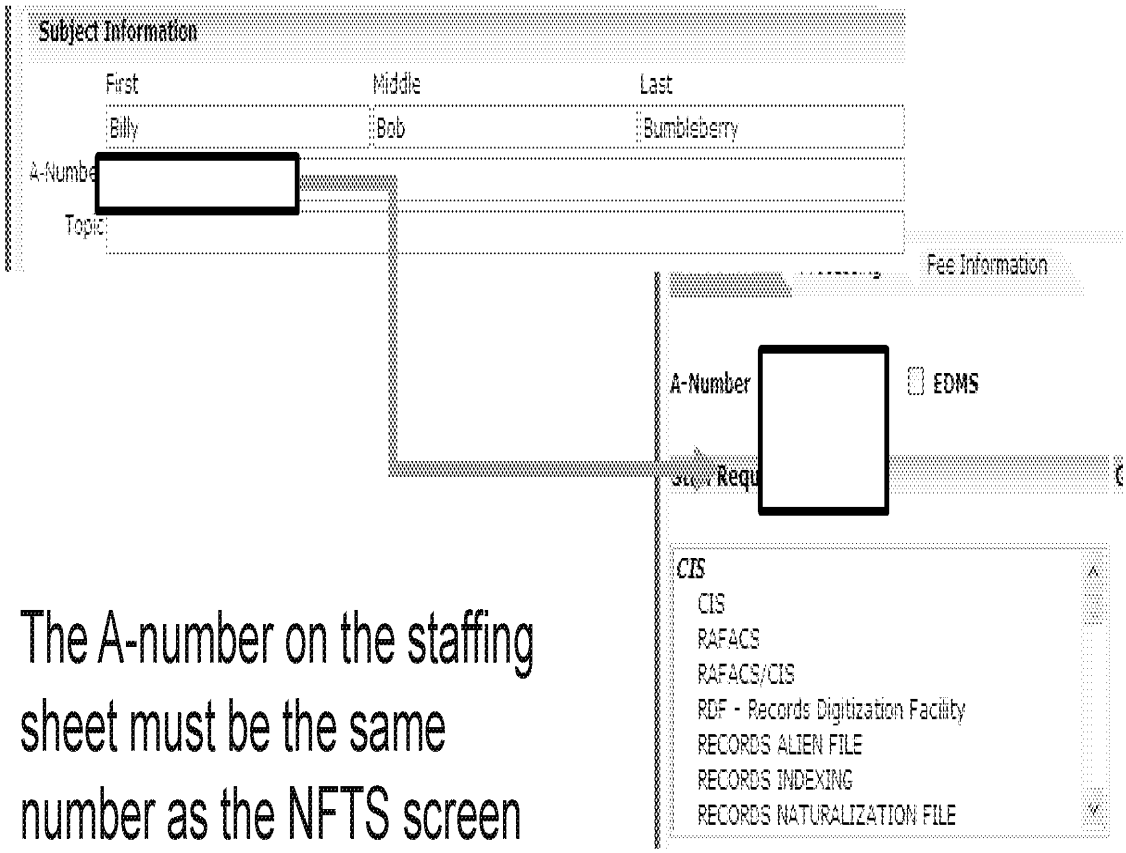
- Once you know the A-number relates to the subject, copy and paste the A-number into FIPS.

U.S. Citizenship and Immigration Services

Staffing for more than one A #?

- Use the **Drop-down Box** in FIPS to create the file request.

(b)(6)

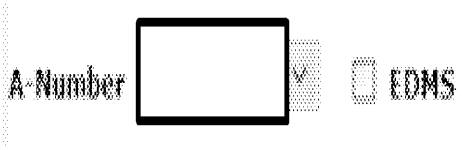


The A-number on the staffing sheet must be the same number as the NFTS screen print.

If the numbers are different, you have to start over.

U.S. Citizenship and Immigration Services

The Drop-down Box

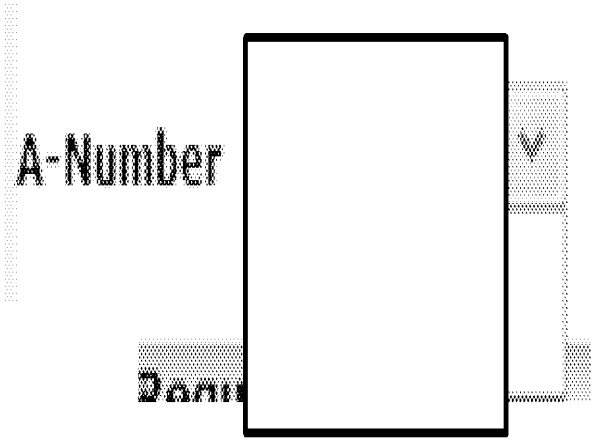


- The subject asked for "all my records" and has two unconsolidated A-Files.
- You must add the second A-number to the A-number field on the FIPS worksheet.
- When you staff for the second file, you must select the other A-number from the drop-down box. If the number on the staffing sheet does not match, you cannot type the correct number onto the staffing sheet. That will not solve the problem.
- If you leave it the way it is, the contractor will not be able to locate the file, your staffing sheet will come up on the Problem Files report, and ...
- ☹ The staffing will get sent back to you for correction.

U.S. Citizenship and Immigration Services

Unconsolidated Receipt

- If you staff for an unconsolidated receipt, you should not have any A-number on the staffing sheet.
- If you already saved, you will not be able to delete the A-number from the A-number field.
- That's not a problem.
- First, enter the receipt number in the Topic field.
- When you do the staffing, you can select the "null field" which is immediately above the A-Number: (b)(6)



U.S. Citizenship and Immigration Services

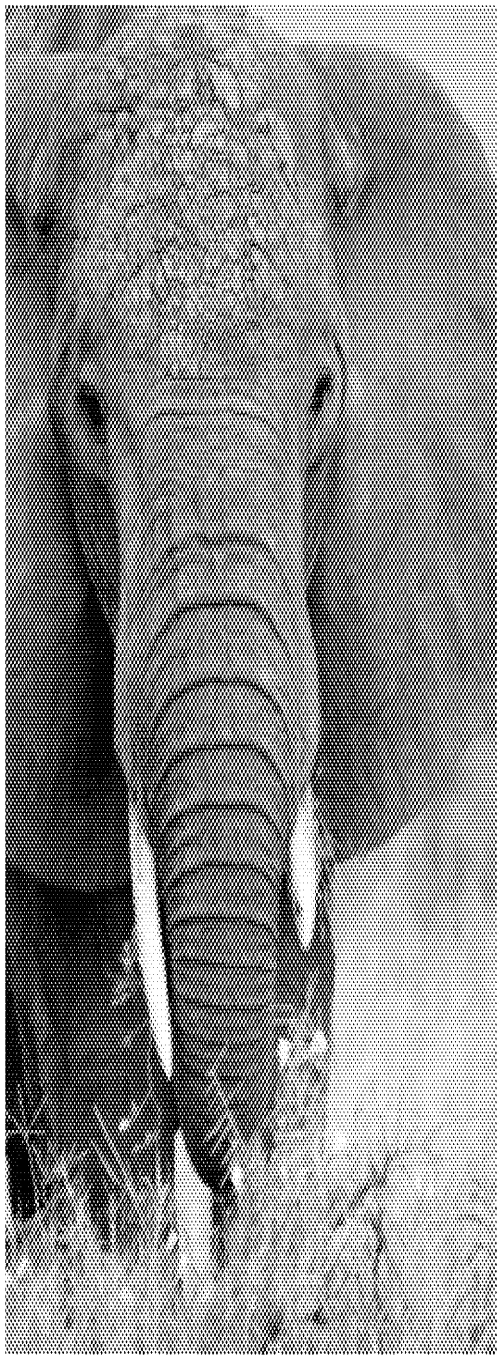
FOIA Support Team

- Staffing question? Talk to FST.
- They would rather have a good staffing the first time.
- They get no joy from sending a case back to you to fix a staffing.
- They are always happy to discuss the best way to staff for something.

U.S. Citizenship and Immigration Services

Always Remember Everything!

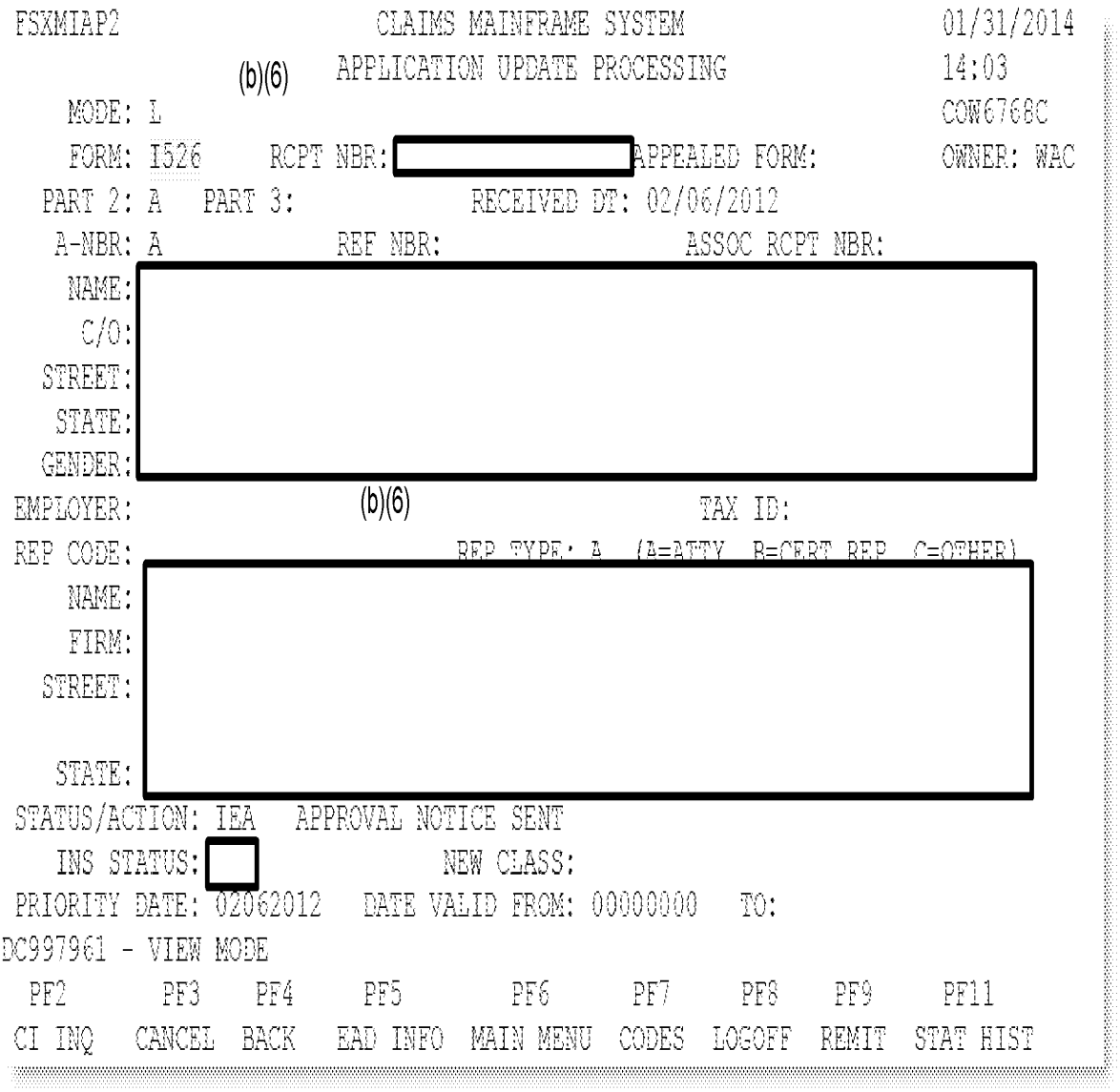
- Vietnam adoptions, prospective adoptive parents,
- ELIS staffing,
- Track 3 staffings
- Bracero requests,
- DACA,
- RPC of RK at COW,
- RPC of ZW,
- RMOB Program



U.S. Citizenship and Immigration Services

Here is one more thing:

- If you discover in CLAIMS or PCQS that a petition is I-526 or I-829, please send the case to SIG. (Section 12.7.12.5)



U.S. Citizenship and Immigration Services

One Last Question:

What is the first requirement of Case Create?

U.S. Citizenship and Immigration Services

Questions?

U.S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services

For Official Use Only - USCIS FOIA Program Office

U.S. Citizenship and Immigration Services

Researching, Staffing and Redacting ELIS Information from PCQS, Part 1

May 27, 2014

*All PII has been fabricated or sanitized; no actual data used

USCIS Electronic Immigration System (ELIS)

System allows applicants to:

- Set up and manage their accounts.
- Electronically submit applications and supporting documents
- Receive and respond to notices and decisions electronically
- Make payments online; and
- Access real-time information about the status of their cases.
- http://www.uscis.gov/uscis-elis/requesting-benefits-using-uscis-elis

U.S. Citizenship and Immigration Services

Purpose

- Understand how to create a USCIS ELIS file request
  - Know the search criteria to find the IOE number
  - Understand when to staff for ESC or SSC
  - Determine if the Case State is open or closed
  - Where and when to add the correct information to the Staffing and Acknowledgement letters

Overview

- Creator checks PCQS for ELIS info, gets IOE number
- Copy “IOE” and number to Topic section of FIPS worksheet
- Self-request or Atty-Rep-Others? Case open or closed?
- Staff to ESC or SSC - no NFTS screen print – insert language in Staffing letter (one exception)

U.S. Citizenship and Immigration Services

Overview

- Also staff for NFTS location – NFTS Screen print
- Compose Ack letter – insert language (exception)
- ESC or SSC scans ELIS data into FIPS
- Processor analyzes and redacts

U.S. Citizenship and Immigration Services

PCQS

U.S. Citizenship
and Immigration
Services

Check PCQS for ELIS in Every Case
No Exceptions

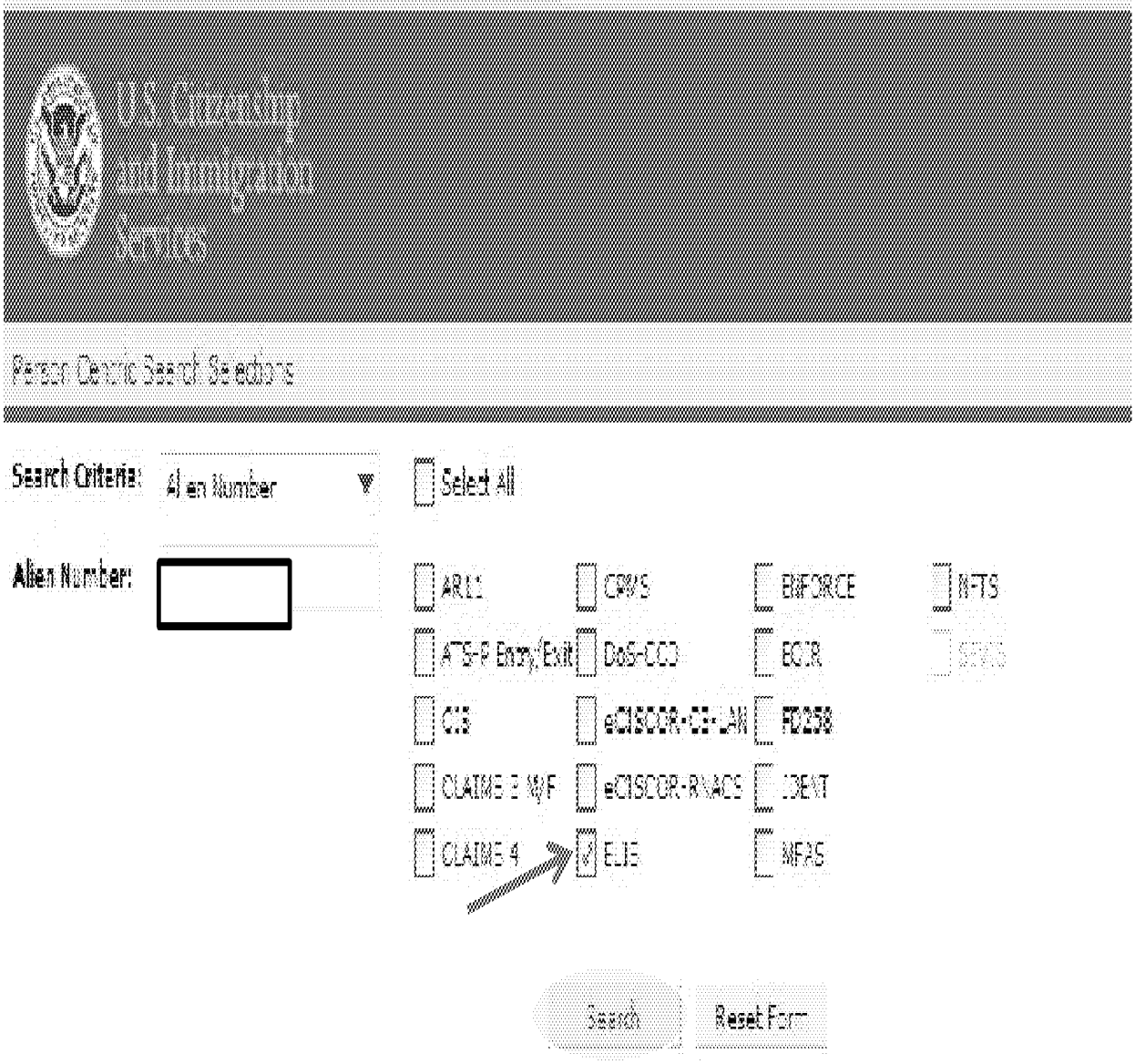
U.S. Citizenship
and Immigration
Services

Four Methods to Access ELIS Data:

1. A Number
2. Name Search
3. USCIS Account ID
4. IOE Number Provided (change "Alien" to IOE and replace A number on ESC or SSC staffing letter)

U.S. Citizenship and Immigration Services

Alien Number Search

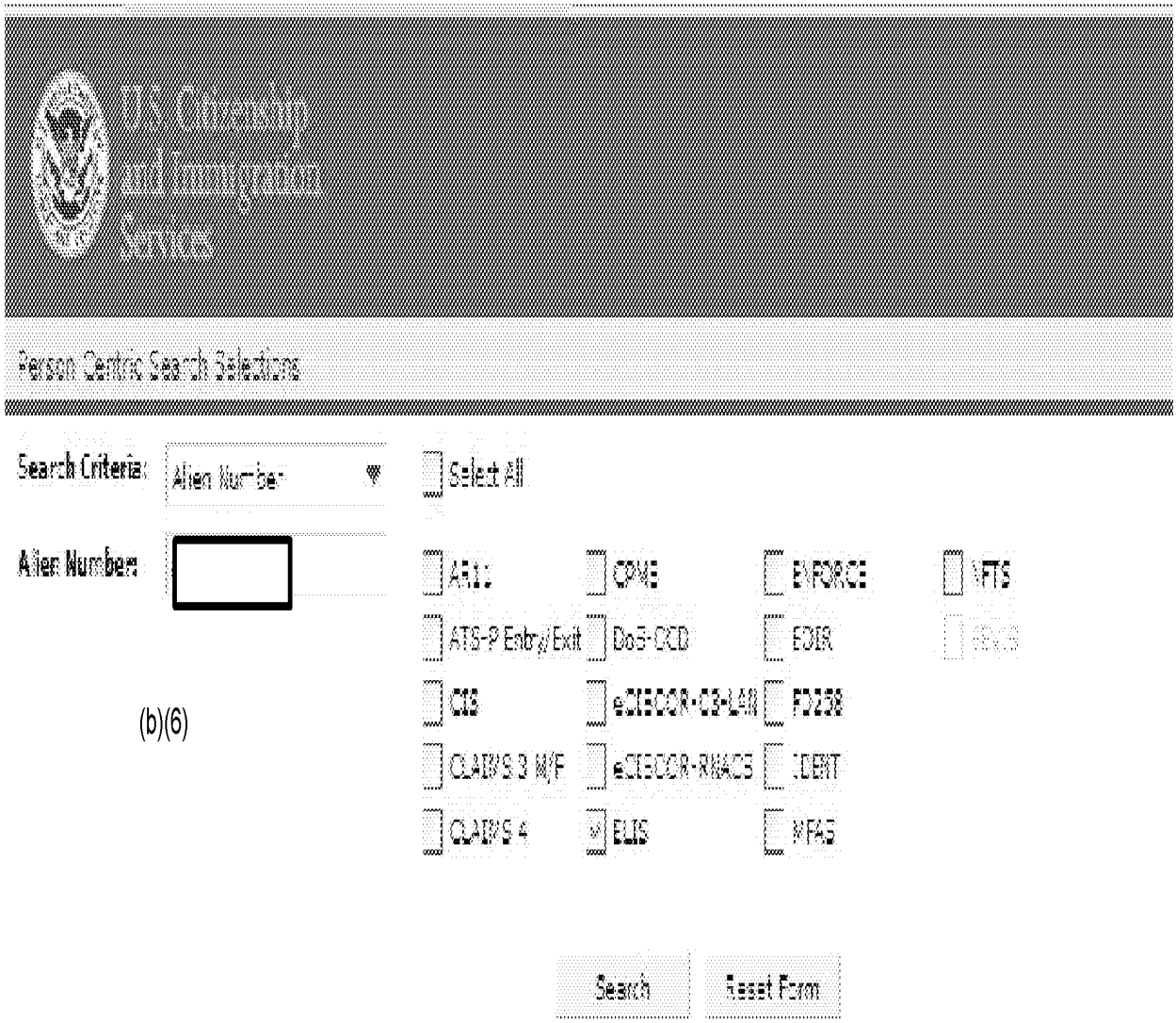


(b)(6)

U.S. Citizenship and Immigration Services

Click ELIS, then Search

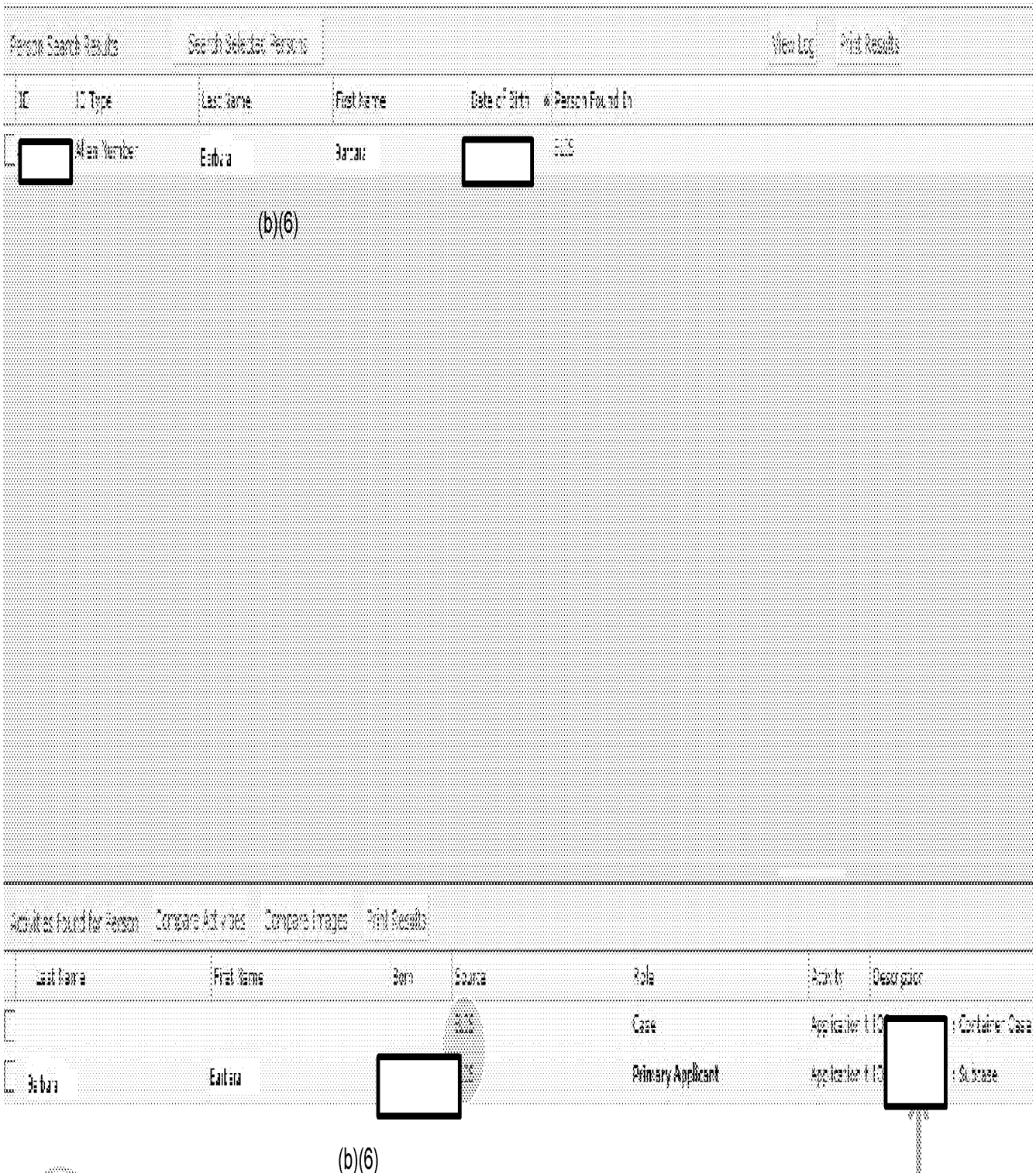
Alien Number Search



U.S. Citizenship and Immigration Services

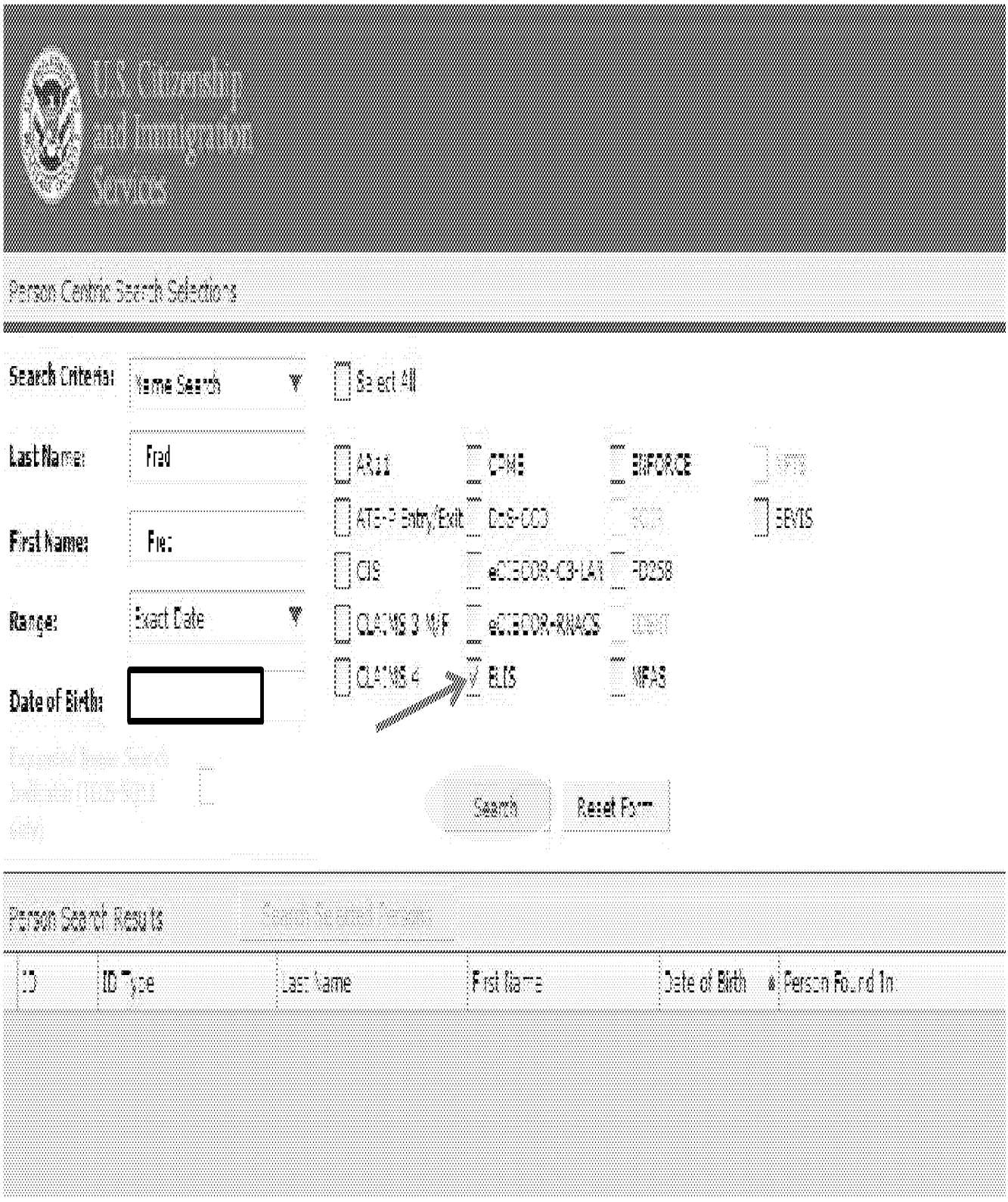
Click twice

Copy IOE Receipt Number



U.S. Citizenship and Immigration Services

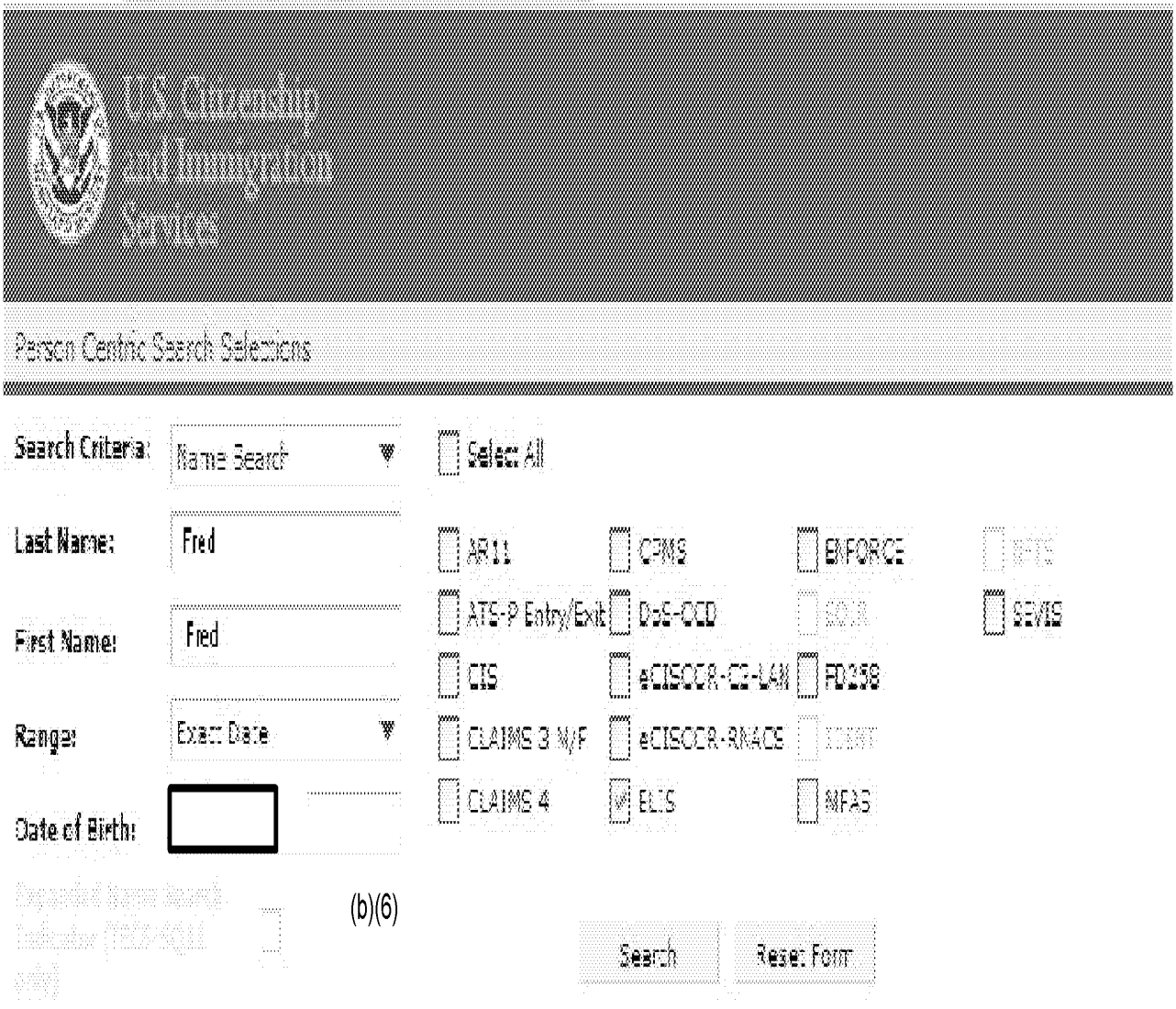
Name Search



U.S. Citizenship and Immigration Services

Click ELIS, then Search

Name Search results

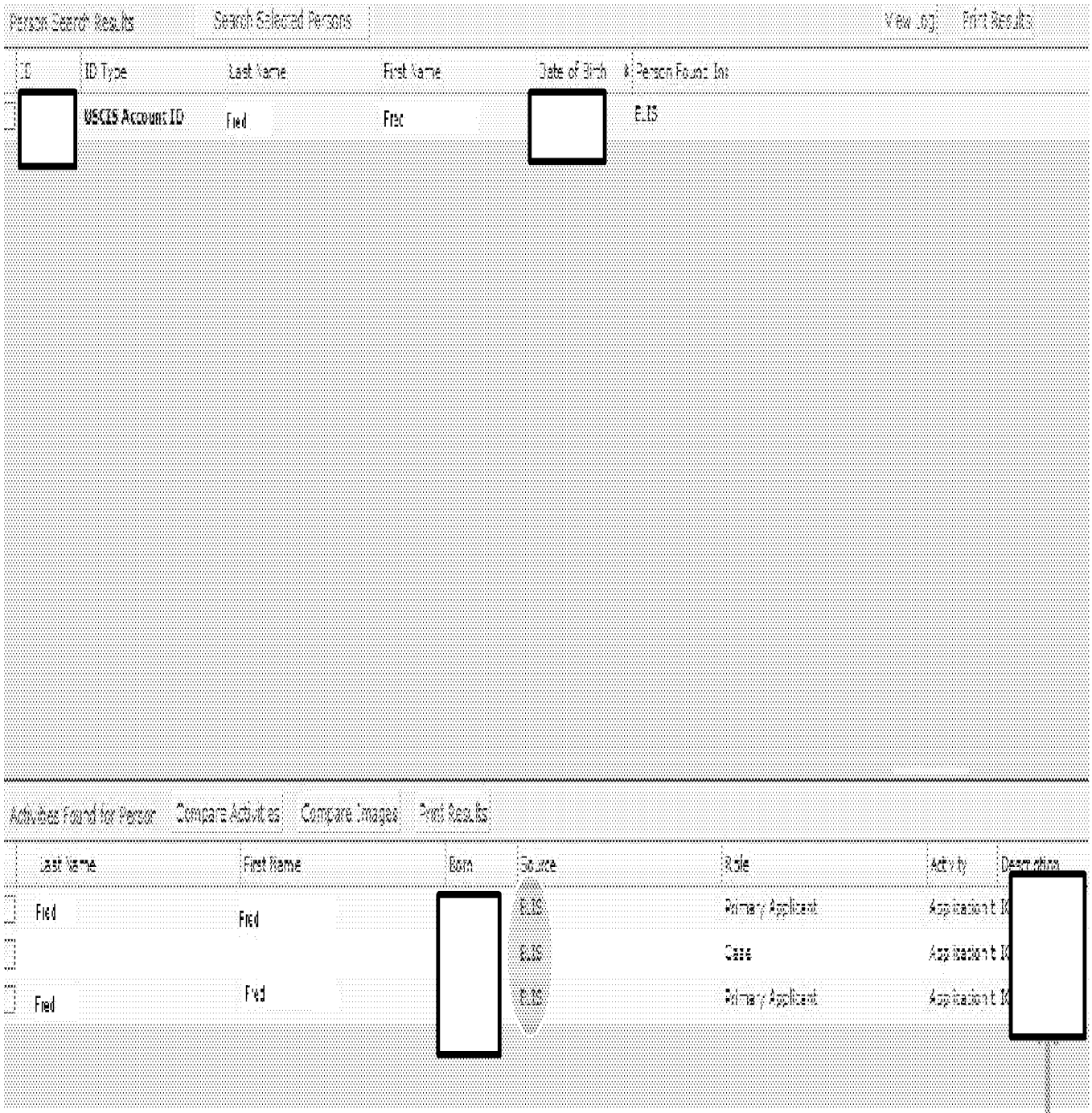


U.S. Citizenship and Immigration Services

Click twice

Copy IOE Receipt Number

(b)(6)

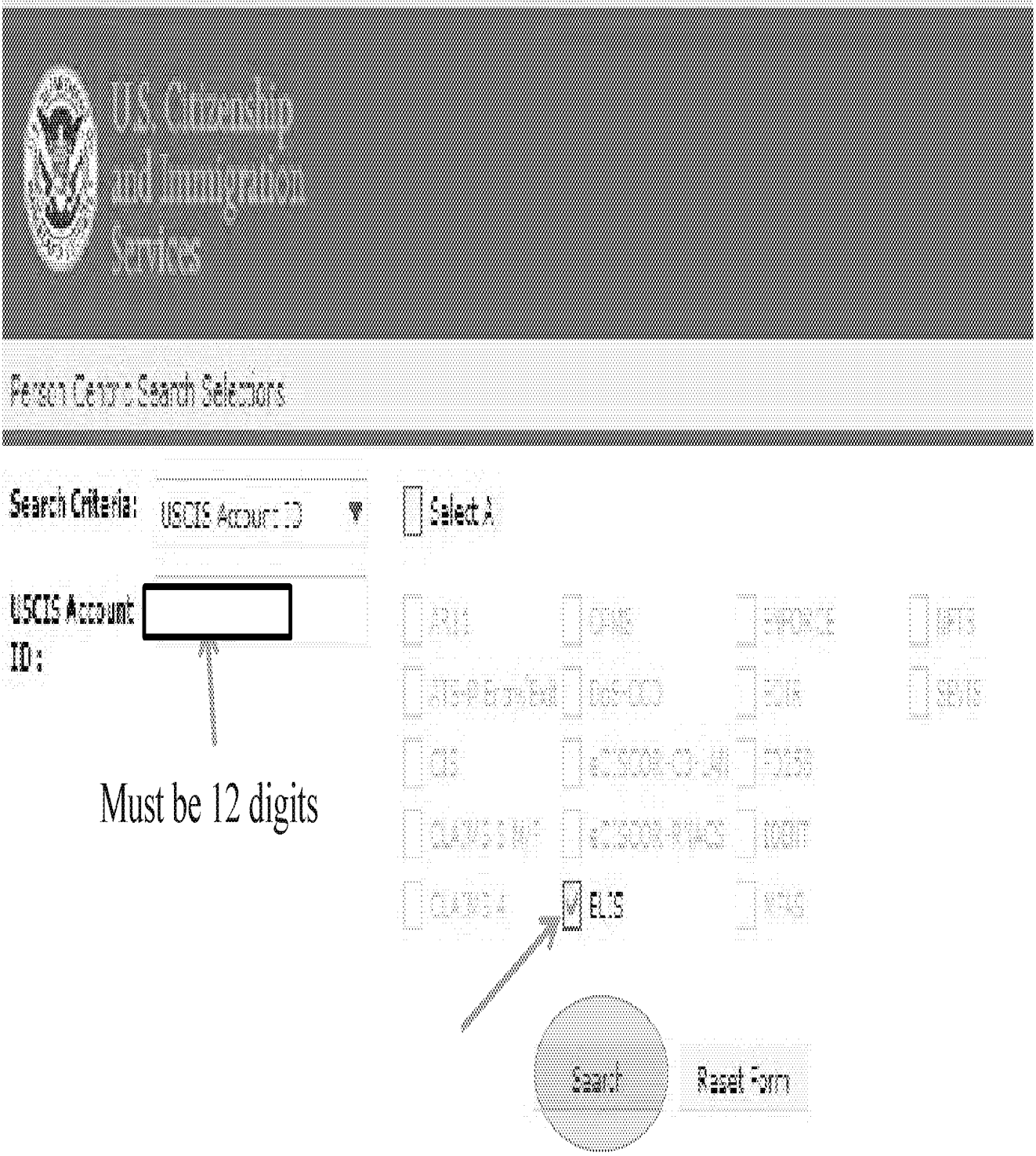


(b)(6)

U.S. Citizenship and Immigration Services

IOE Number

USCIS Account ID Provided



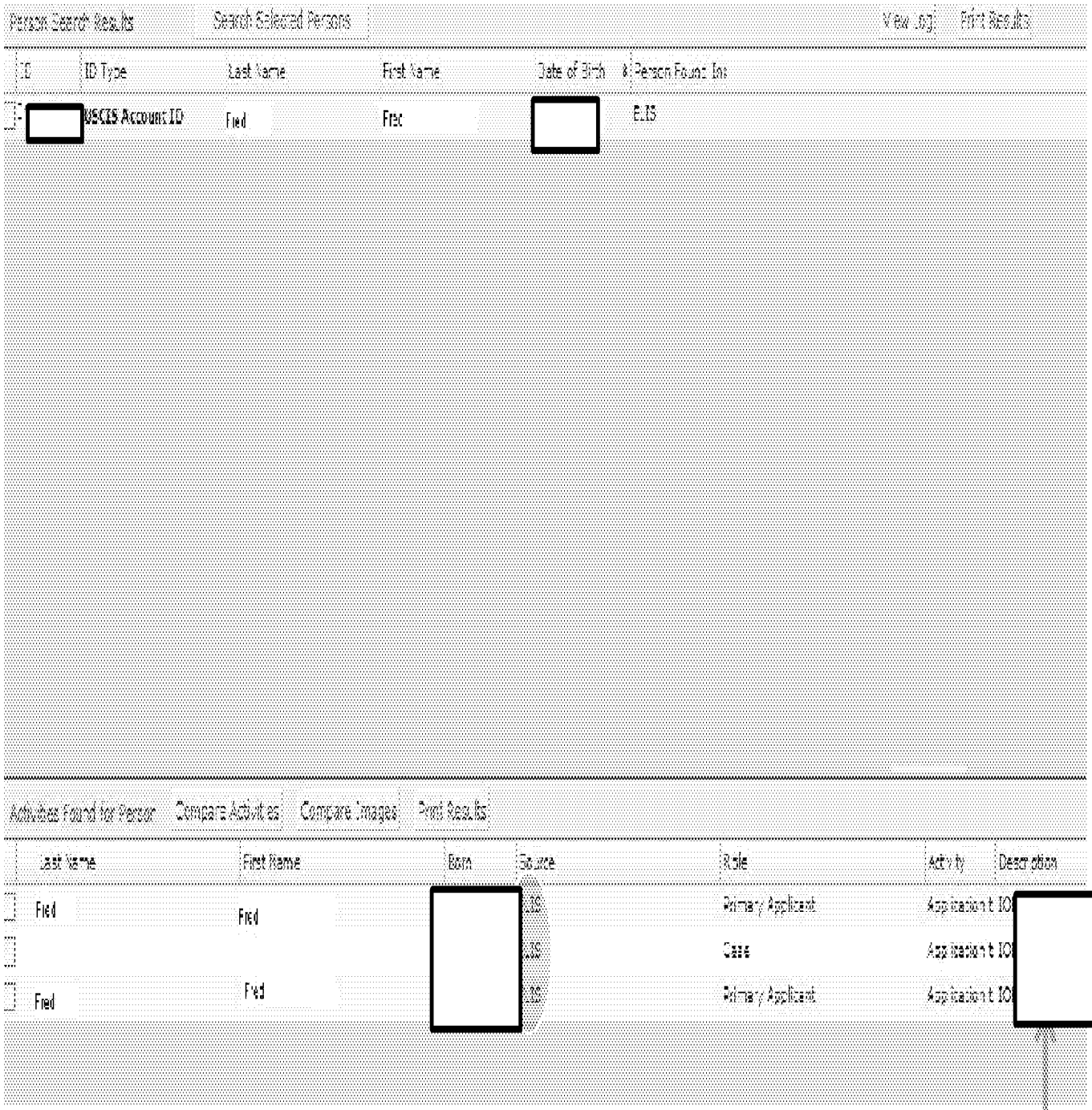
(b)(6)

U.S. Citizenship and Immigration Services

Click ELIS, then Search

(b)(6)

Copy IOE Receipt Number



(b)(6)

U.S. Citizenship and Immigration Services

IOE Number

Staff to ESC or SSC?

- If the Alien number is between 30 million and 70 million, staff to SSC (Immigrant Visa case, Form OS-155A)

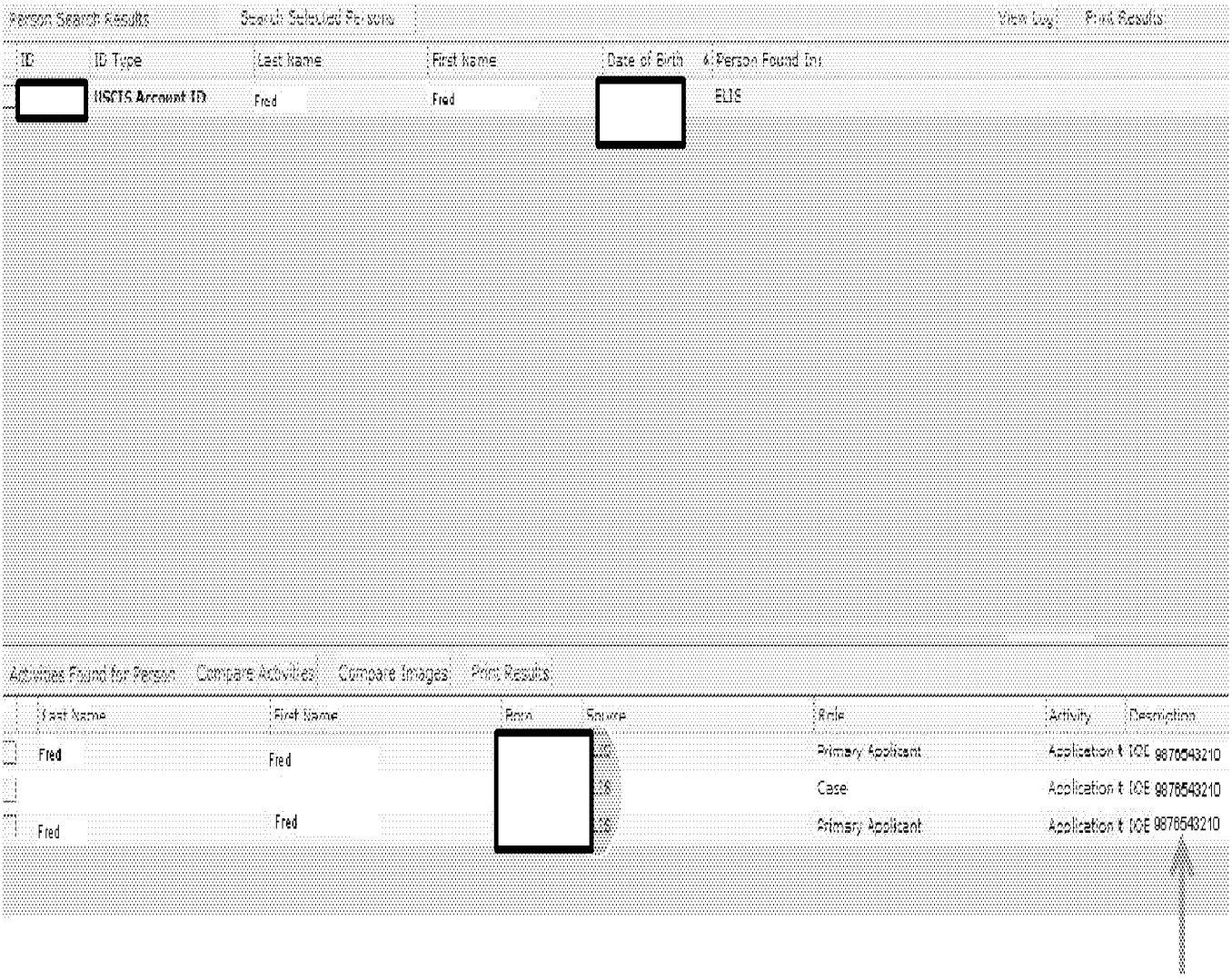
- Any other Alien number (for now), staff to ESC (Form I-539, Application to Extend or Change Nonimmigrant Status)

- The first ELIS case was for an I-539, the rest (11) have been IV cases.

U.S. Citizenship and Immigration Services

Is the case open or closed?

(b)(6)



Click on the case...

U.S. Citizenship and Immigration Services

"Primary Applicant Summary" is the default screen – Please click on "Case Info"

ELIS - OS155A

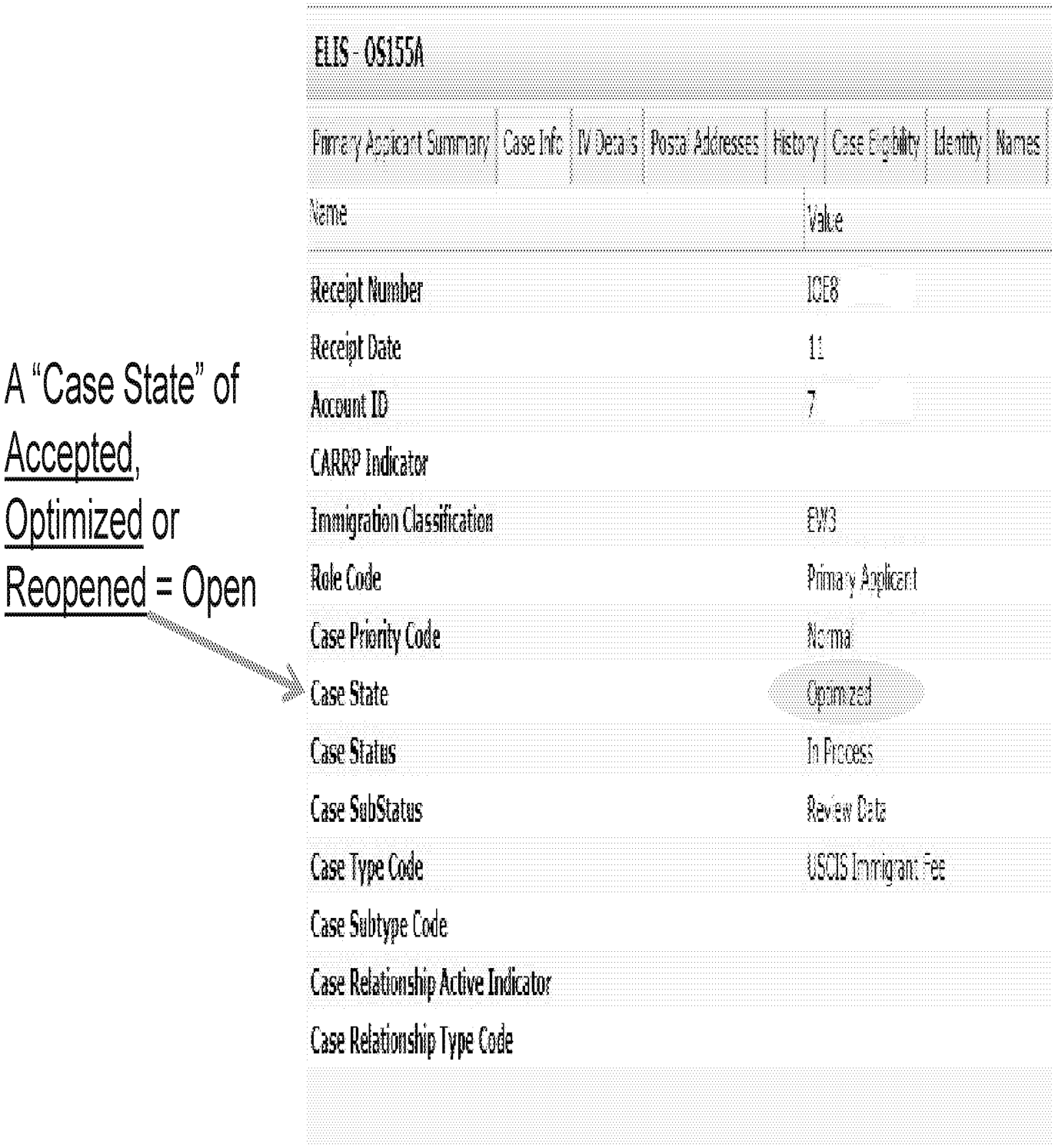
Primary Applicant Summary	Case Info	IV Details	Postal Addresses	History	Case Eligibility	Identity	Names

Name	Value
Account ID	7
Last Name	G
First Name	Ken
Middle Name	
Birthdate	10-
Race	
Country of Citizenship	Foreign
Passport Number	
Passport Issuing Country	Foreign
Alien Number	A0
Admission ID	
Social Security Number	NONYA
Receipt Number	IOE3

U.S. Citizenship and Immigration Services

"ELIS-speak" for an open case

A "Case State" of Accepted, Optimized or Reopened = Open



U.S. Citizenship and Immigration Services

Closed means closed

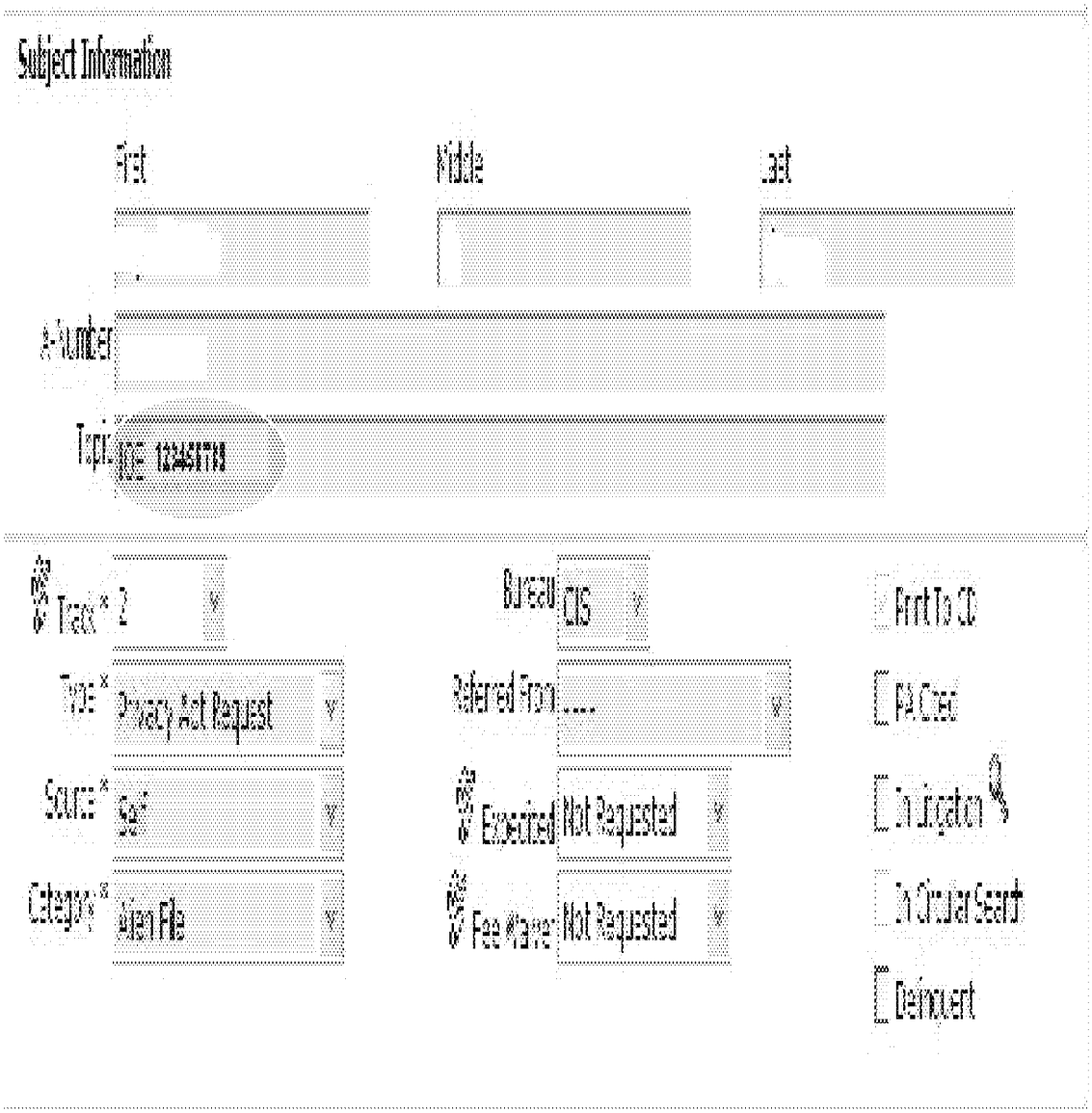
ELIS - OS155A

Primary Applicant Summary | Case Info | IV Details | Sponsor - 1 | History | Case Eligibility | Identity | Names

Name	Value
Receipt Number	IOE5
Receipt Date	06
Account ID	1
CARRP Indicator	
Immigration Classification	R5
Role Code	Primary Applicant
Case Priority Code	Normal
Case State	Closed
Case Status	Card Produced
Case SubStatus	
Case Type Code	USCIS Immigrant Fee
Case Subtype Code	
Case Relationship Active Indicator	
Case Relationship Type Code	

U.S. Citizenship and Immigration Services

FIPS Worksheet



Insert "IOE" and number in Topic field as shown here

U.S. Citizenship and Immigration Services

ELIS Staffing Procedure (FIPS)

U.S. Citizenship and Immigration Services

Select ESC or SSC – Just Type "E" or "S"

U.S. Citizenship and Immigration Services

Request File

Staffing Letter: Self-requests

Open or Closed

Self-requesters **are able** to download **some** of their ELIS content.

U.S. Citizenship and Immigration Services

What language do you insert into the staffing letter?

- Staffing letter language, (For an open or closed self-request, or an Atty-Rep-Others request only when the case is open:

- Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office.

U.S. Citizenship and Immigration Services

What if the request is from an Attorney/Representative and the case is closed? How do you modify the Staffing letter?

Replace the word “Alien” with “IOE” and replace the A number with the IOE number:

Don’t change the default language:

Send a copy of all responsive documents to the FOIA office in their entirety. **Do not make redactions.**

U.S. Citizenship and Immigration Services

Staffing Letter: Self-requests

Open or Closed

Self-requesters **are able** to download **some** of their ELIS content.

U.S. Citizenship and Immigration Services

Top of Staffing Letter (all self-requests)

MEMORANDUM FOR:
ESC
75 LOWER WELDEN STREET
ST ALBANS, VT 05479-0001

ATTN: via email
VSC.FOIAFILEREQ

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC200200000
~~Alien~~ IOE #: 987654321
Subject Name: Plenty Nonya

Change the word "Alien" to "IOE" and replace the A number with the IOE number

Delete the first part of the second bullet (shown in ~~strikethrough~~) Replace it with the sentence (shown in red)

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsive documents to the FOIA office in their entirety.~~ Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**
- Contact this office should you expect your search time to exceed three hours or the total number of pages to exceed **250.**
- Document the details of your search and the number of hours required to complete it on page 2.

U.S. Citizenship and Immigration Services

Part 2 – Bottom of Staffing Letter (all cases)

Freedom of Information/Privacy Act Request, NRC2021[redacted]

IOE #: [redacted]

Subject Name:

Change the word "Alien" to "IOE," and replace the A number with the IOE number

To: FOIA/PA Officer

From: ESC

Date: _____

___ No responsive documents were located relevant to this request.

___ Attached are all responsive documents/information located in response to this request.

___ Attached is additional information to be used to reply to the requester.

___ Attached is our justification for withholding any responsive material.

___ Hours of clerical search time expended to search for responsive materials.

___ Hours of non-clerical search time were expended to search for responsive materials.

U.S. Citizenship and Immigration Services

Acknowledgement Letter: Self-requesters – Open or Closed

U.S. Citizenship and Immigration Services

Ack Letter for Self-requesters: Open or Closed

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2002000000. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download:

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondences (G-28 Representation or Withdrawal request) from the View My Cases screen; and

(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instruction below to request your USCIS ELIS content.

Please insert (cut and paste) this language below the fees paragraph – tells the requester what he or she can download

U.S. Citizenship and Immigration Services

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

The National Records Center (NRC) has the responsibility to ensure that personally identifiable information (PII) pertaining to U.S. Citizenship and Immigration Services (USCIS) clients is protected. In our efforts to safeguard this information, we may request that additional information be provided to facilitate and correctly identify records responsive to your request. Though submission of this information is voluntary, without this information, your request may be delayed while additional steps are taken to ensure the correct responsive records are located and processed. Further, if we are unable to positively identify the subject of the record we may be unable to provide records responsive to your FOIA request.

No change to second page

You may check the status of your FOIA request online, at www.uscis.gov. Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. If you have any questions concerning your pending FOIA/PA request, or to check the status of a pending application or petition, please call The National Customer Service Center at 1-800-375-5283. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@uscis.dhs.gov.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Citizenship and Immigration Services

Staffing Letter: Atty-Rep-Others Requests

Open Cases only

(same as all Self-requester cases)

U.S. Citizenship and Immigration Services

Top of Staffing Letter: Atty-Rep-Others (Open)

MEMORANDUM FOR:
ESC
75 LOWER WELDEN STREET
ST ALBANS, VT 05479-0001

ATTN: via email
VSC.FOIAFILEREQ

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC200200000
~~Alien~~ IOE #: 987654321
Subject Name: Plenty Nonya

Change the word "Alien" to "IOE" and replace the A number with the IOE number

Delete the first part of the second bullet (shown in ~~strikethrough~~) Replace it with the sentence (shown in red)

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsive documents to the FOIA office in their entirety.~~ Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**
- Contact this office should you expect your search time to exceed three hours or the total number of pages to exceed **250.**
- Document the details of your search and the number of hours required to complete it on page 2.

U.S. Citizenship and Immigration Services

Part 2 – Bottom of Staffing Letter (all cases)

Freedom of Information/Privacy Act Request, NRC2021[redacted]

[redacted]

Subject Name:

Change the word "Alien" to "IOE," and replace the A number with the IOE number

To: FOIA/PA Officer

From: ESC

Date: _____

___ No responsive documents were located relevant to this request.

___ Attached are all responsive documents/information located in response to this request.

___ Attached is additional information to be used to reply to the requester.

___ Attached is our justification for withholding any responsive material.

___ Hours of clerical search time expended to search for responsive material.

___ Hours of non-clerical search time were expended to search for responsive material.

U.S. Citizenship and Immigration Services

Ack Letter: Attorney/Representative/Others Requests

Open Case only

U.S. Citizenship and Immigration Services

Ack Letter for Atty-Rep-Others: Open Only

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2002000000. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

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(2) notices, if any, from the View Messages screen.

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Please insert (cut and paste) this language below the fees paragraph – tells the requester what he or she can download

U.S. Citizenship and Immigration Services

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

The National Records Center (NRC) has the responsibility to ensure that personally identifiable information (PII) pertaining to U.S. Citizenship and Immigration Services (USCIS) clients is protected. In our efforts to safeguard this information, we may request that additional information be provided to facilitate and correctly identify records responsive to your request. Though submission of this information is voluntary, without this information, your request may be delayed while additional steps are taken to ensure the correct responsive records are located and processed. Further, if we are unable to positively identify the subject of the record we may be unable to provide records responsive to your FOIA request.

No change to second page

You may check the status of your FOIA request online, at www.uscis.gov. Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. If you have any questions concerning your pending FOIA/PA request, or to check the status of a pending application or petition, please call The National Customer Service Center at 1-800-375-5283. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

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Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Citizenship and Immigration Services

Staffing Letter: Attorney/Representative Requests

Closed Case (exception)

U.S. Citizenship and Immigration Services

Staffing Letter: Closed case Atty-Rep-Others

MEMORANDUM FOR:
ESC
75 LOWER WELDEN STREET
ST ALBANS, VT 05479-0001

ATTN: via email
VSC.FOIAFILEREQ

Replace the word "Alien" with "IOE" and replace the A number with the IOE number

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information/Privacy Act Request NRC200200000
Alien IOE #: 9876543210
Subject Name: Plenty Nonya

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**
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- Document the details of your search and the number of hours required to complete it on page 2.

U.S. Citizenship and Immigration Services

Second Page of Staffing Letter (Atty-Rep-Others)

Freedom of Information/Privacy Act Request, NRC2013XXXXXX

IOE# XXXXXXXXX

Subject Name

To: FOIA/PA Officer

From: ESC

Date: _____

___ Five responsive documents were located relevant to this request.

___ Attached are all responsive documents/information located in response to this request.

___ Attached is additional information to be used to reply to the requester.

___ Attached is your justification for withholding any responsive material.

___ Excess of clerical search time expended to search for responsive material.

___ Excess of considered search time were expended to search for responsive material.

U.S. Citizenship and Immigration Services

Change the word "Alien" to "IOE," and replace the A number with the IOE number

(same in all cases)

Ack Letter: Attorney/Representative/Others Requests

Closed cases only

There are no changes to the Ack letter!

U.S. Citizenship and Immigration Services

ELIS Staffing / Ack Letter Decision Table

Requester/Case Status?	Staffing Letter	Acknowledgment Letter
Self-Request: Open (Accepted, Optimized or Reopened)	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Self-Request: Closed	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Open	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Closed	Add IOE number only	No change to Acknowledgement Letter

U.S. Citizenship and Immigration Services

Next Steps

ESC or SSC Scans ELIS result into FIPS

Processor analyzes and redacts, if necessary

U.S. Citizenship and Immigration Services

NRC Search – PCQS Result for ELIS Record

Details for Person (b)(6)

Primary Applicant Summary	
Account ID	[redacted]
Last Name	Croaker
First Name	Harold
Middle Name	
Birthdate	[redacted]
Passport Number	
Passport Issuing Country	
Citizenship Certificate Number	
Alien Number	
Admission ID	[redacted]
Social Security Number	
Receipt Number	
Enumerator	
US Passport Number	

Case Details	
Receipt Number	[redacted]
Receipt Date	01-29-2012
Account ID	[redacted]
CARRP Indicator	
Immigration Classification	
Role Code	Primary Applicant
Case Priority Code	Normal
Case State	Optimized
Case Status	In Process
Case SubStatus	Review Abandonment
Case Type Code	[redacted]
Case Subtype Code	COS - Applicant Only
Case Relationship Active Indicator	
Case Relationship Type Code	(b)(6)

Postal Addresses							
Address	Suite	City	State	Province	Zip Code	Postal Code	Country
[redacted]							USA

U.S. Citizenship and Immigration Services

NRC Search – PCQS Result for ELIS Record (cont)

History

Case State	Case Status	Case SubStatus	Audit Timestamp
Optimized	In Process	Review Abandonment	03-02-2012 10:00:26 AM
Optimized	Pending	RFE Response	02-28-2012 04:00:45 PM
Optimized	Pending	RFE Response	01-29-2012 04:41:29 PM
Optimized	In Process	Assigned	01-29-2012 04:39:32 PM
Optimized	In Process	Unassigned	01-29-2012 04:35:03 PM
Accepted	In Process	Conducting Risk Assessments	01-29-2012 04:33:05 PM
Accepted	In Process	Conducting Security/Sys Checks	01-29-2012 03:00:51 PM
Accepted	In Process		01-29-2012 02:59:03 PM
Draft	E-Signed By Representative	Pending Customer Signature	01-29-2012 02:56:45 PM
Draft	In Progress		01-29-2012 02:36:16 PM

Case Eligibility

Attribute Name	Attribute Domain	Attribute Value
Alien Number Available Indicator	Case Eligibility Information	false
Arrival Departure Record Possession Indicator	Case Eligibility Information	true
Current Immigration Classification Code	Case Eligibility Information	[redacted]
Photo Identity Exists Indicator	Case Eligibility Information	true
Principal Alien Status Dependency Indicator	Case Eligibility Information	false
Requested Immigration Classification Code	Case Eligibility Information	[redacted]

(b)(6)

(b)(6)

Identity

Identification Type	Number	Issuing Authority	Issuing Country	Issued Date	Expiration Date	Issuing State	Issuing Province	Source Type	Source Reference	Other Explanation	Other Text
USCIS_ACCOUNT_ID	[redacted]							IOE			
Arrival Departure Record Number			USA		07-19-2012			ELIS			Not Validated
Passport			BRA		09-08-2014			ELIS			Not Validated
Social Security Number			USA					External			Not Validated
Social Security Number			USA					External			Not Validated

Names

Source	Type	Last Name	First Name
ELIS	Legal Name	Croaker	Harold
External	Other	CROAKER	HAROLD

U.S. Citizenship and Immigration Services

What's next for ELIS?

- Fall timeframe – Form I-90 (Application to Replace Alien Registration Card)
- Self-requesters and Attorneys will be able to access less information from ELIS than they can now
- This is tentative and subject to change!

U.S. Citizenship and Immigration Services

Quiz

1. What is the A number range that you staff the request to SSC? Why?

2. What 3 “Case States” tell you that a case is open?

3. How many “Case States” tell you the case is closed? What are they?

4. What is the “exception,” and what do you do differently with the case?

U.S. Citizenship and Immigration Services

Questions?

U.S. Citizenship and Immigration Services

U.S. Citizenship and Immigration Services

U.S. Citizenship
and Immigration
Services

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
February 5, 2010

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PROCESSING THE IBIS RESOLUTION MEMORANDUM

You will often find this document in the file following a Record of IBIS Inquiry (ROIQ) printout. Whoever signs this document (see below) is acting in a law enforcement capacity. Please fully withhold this document (b)(2) if applicable, (b)(7)(C) and (b)(7)(E), if processing under the FOIA. Fully withhold (k)(2), (b)(7)(C) and (b)(7)(E) if processing as a PA.

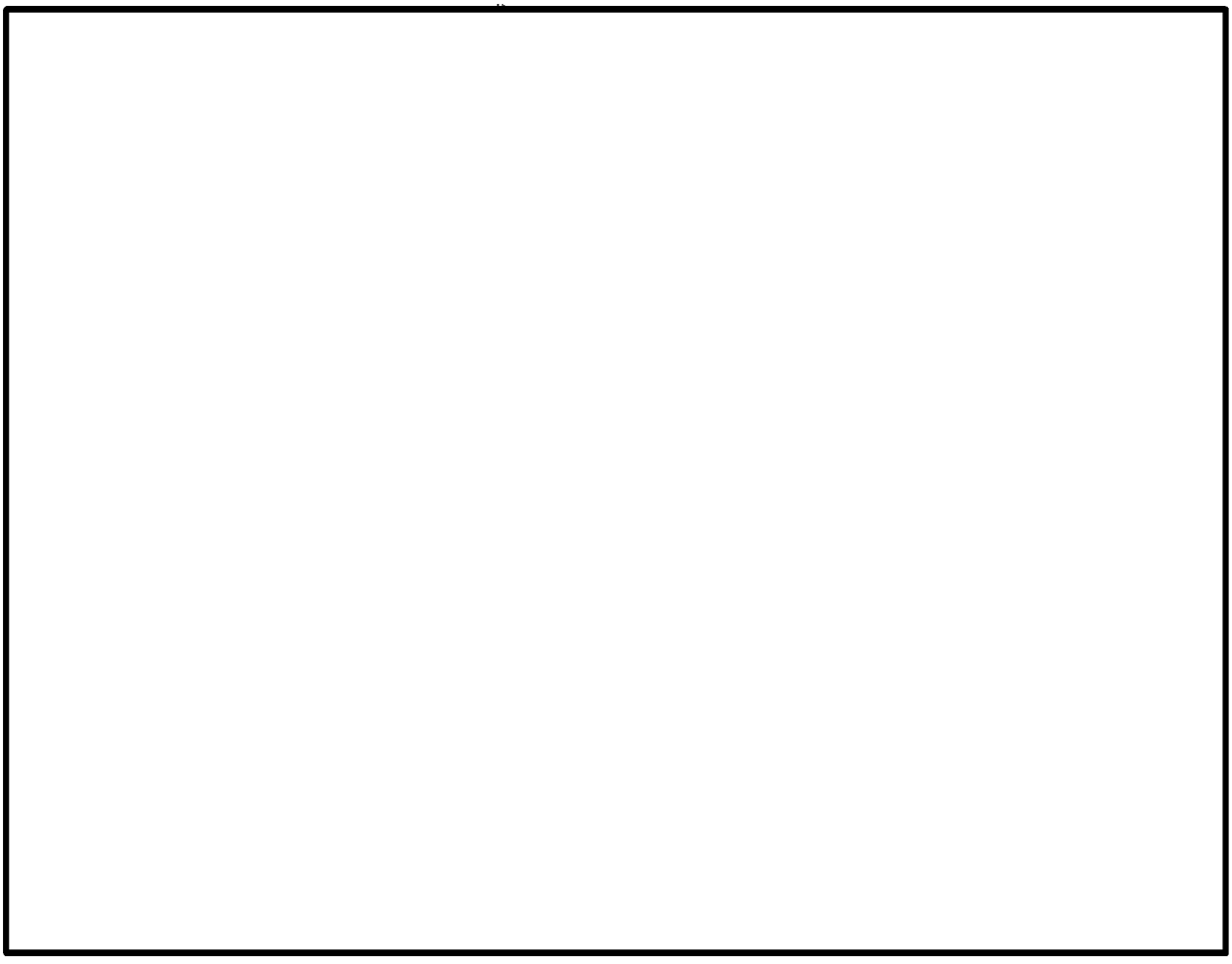
U.S. Department of Homeland Security
P.O. Box 82521
Lincoln, NE 68501-2521

U.S. Citizenship and Immigration Services

February 13, 2008

IBIS RESOLUTION MEMORANDUM

(b)(7)(e)



- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

SUBPOENAS/COURT ORDERS

If you pull a new request that is a subpoena or court order, please close it as an ER (see exception below). Send a message to the NRC, FOIA PROGRAM mailbox providing the REQ number and information indicating the request was a subpoena or court order. These requests are currently being addressed by the NRC Program Office. Any subpoena or court order a creator encounters should be given high priority. NRC, FOIA PROGRAM should be advised as soon as possible, or contact your supervisor for guidance on how to proceed.

EXCEPTION! At times USCIS Chief Counsel directs us to process a subpoena or court order as a normal FOIA/PA request. If that happens, we will attach a "Scan as New" sheet and scan the e-mail from counsel into request supporting documents or case supporting documents. Please review all supporting documents before you close as ER.

- The *USCIS FOIA Case Create Guide* will be updated to reflect this change.

FRAUD REFERRAL SHEET

(b)(7)(e)

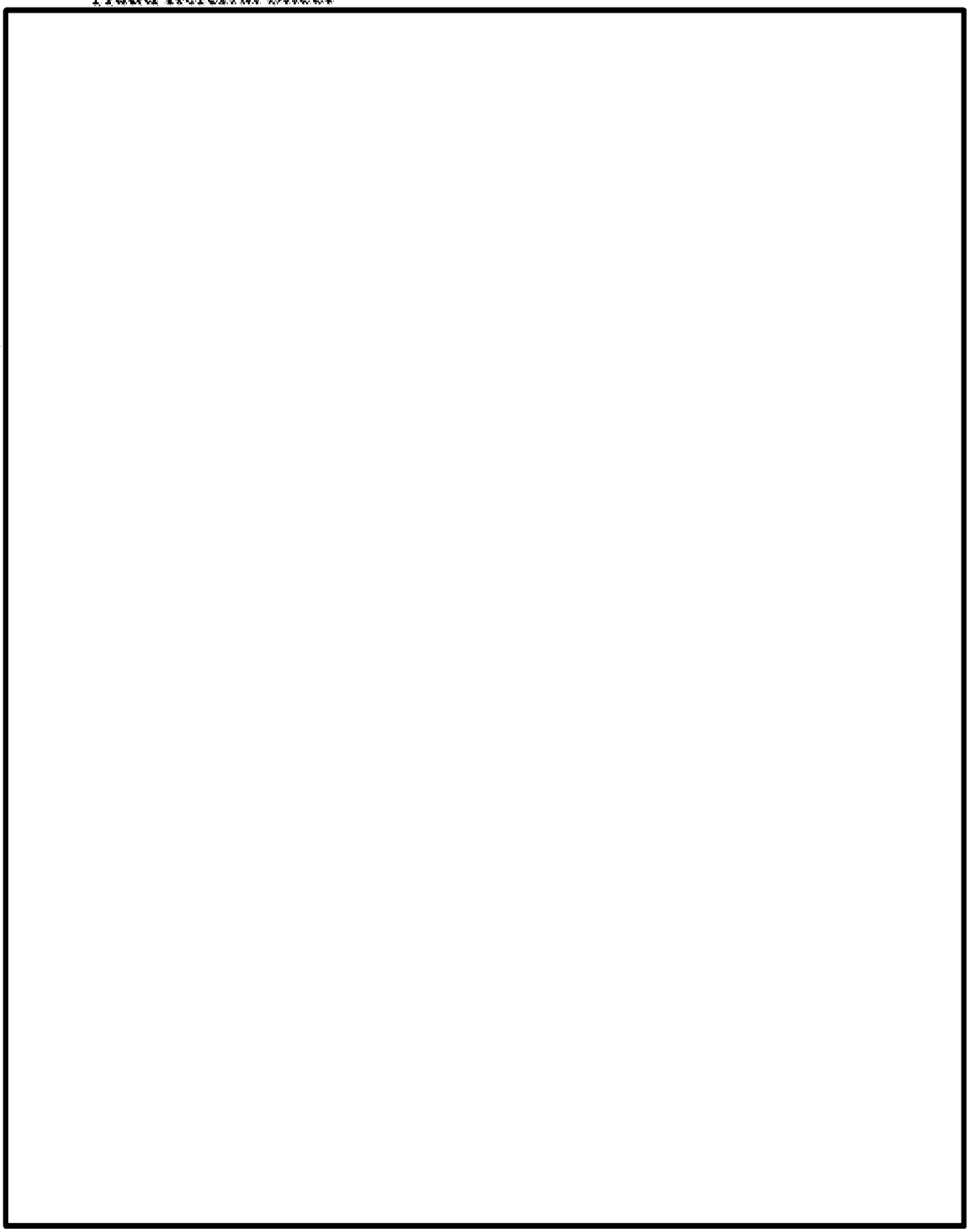
(b)(7)(e)

For Official Use Only

U.S. Department of Homeland Security

U.S. Citizenship and Immigration Services

Fraud Referral Sheet



REFERENCE REQUEST SHEET FOR ARCIS OUT OF SCOPE

Please out of scope the ARCIS Reference Request Sheet if you see it in responsive records (example follows). It is not part of the alien's file.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

OUT OF SCOPE

Reference Request Sheet

ARCIS | Archives and Records Centers Information System

Reference Request # : ARR1-211026883

Request Category : Transfer

Transfer # : K085-60A0503-CH

Container # : 16

Asset # : AAC1-18741235

Asset Location : KLS-01-0K-035-2-085-07-004

Case/File Information : 07 913 103

Whole Container : N Public Request: N

Creation Date : 12/28/2009

Charge Code : 00

Requested By :

U.S. Citizenship and Immigration Service

Assigned To :

Batch #: ARCIS 1229

Ship To :

LEE'S SUMMIT, MO, 64064

Shipping Method : USPS

Shipping Acc # : N/A

Nature of Service : Permanent Withdrawal

Service Level : Standard

Source : Portal

Email :

Agency Comments :

SE30 12

12/28/2009 7:38:26 AM

ARCIS 1229 KLS-01-0K-035-2-085-07-004 12/28/2009

Transfer #: K085-60A0503-CH Box # : 16

ARR1-211026883 Asset #: AAC1-18741235 Whole Container : N

Case/File Info : 07 913 103 C C : 00

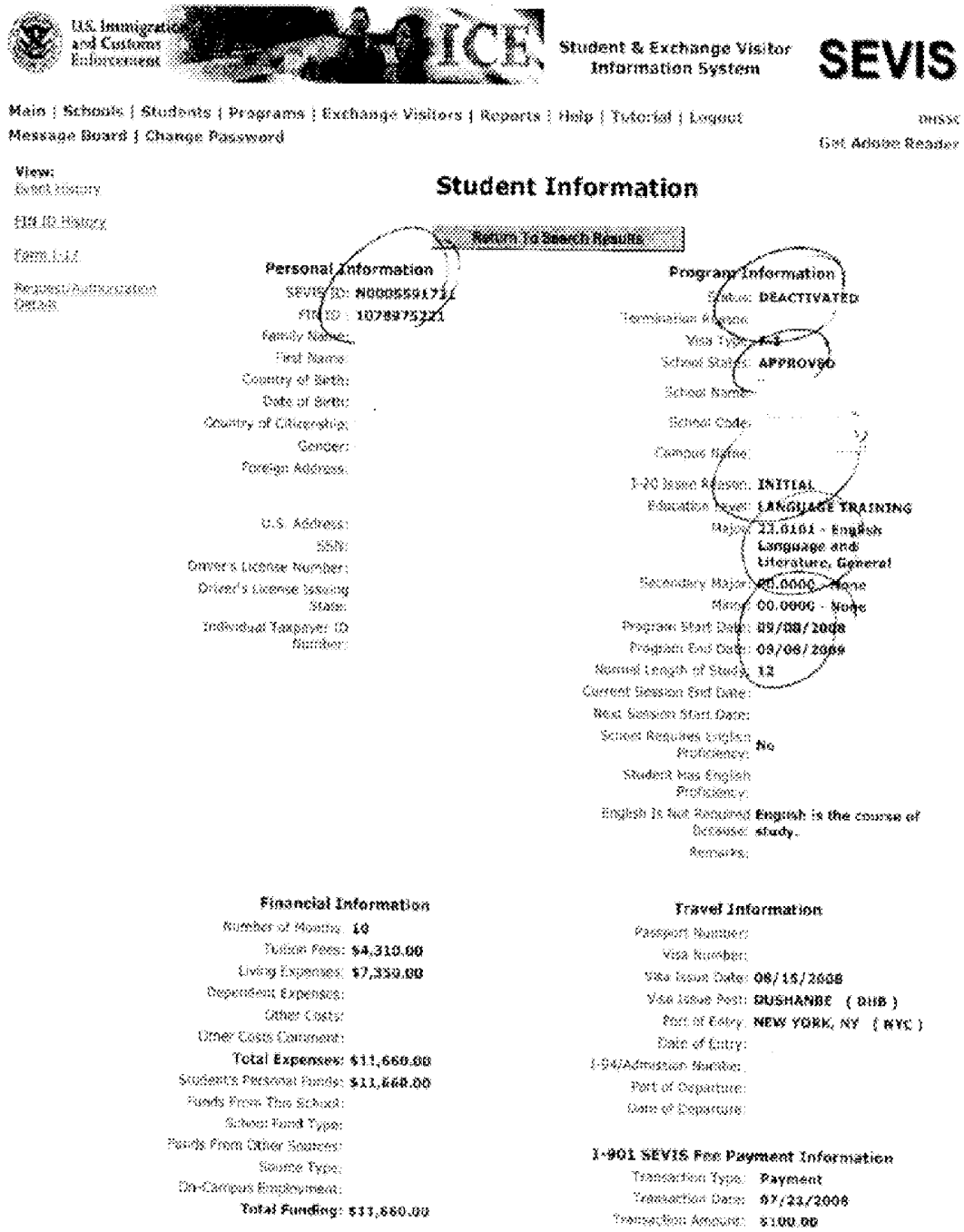
Transfer Permanent Withdrawal

Standard USPS N/A

To :

PROCESSING STUDENT AND EXCHANGE VISITOR INFORMATION SYSTEM (SEVIS) DOCUMENTS

Do not refer SEVIS documents (see example below) to ICE. Please process them accordingly.



- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

SUPPORTING DOCUMENTS OR EXHIBITS SUBMITTED WITH I-129F OR I-130

If you are processing an I-129F or I-130 petition (whether it's in an A-file or a receipt file)

- *with* the consent of the beneficiary,
- but *without* the consent of the petitioner,
- then protect the PII of the petitioner in any attached exhibits the same as you would protect the PII of the petitioner in the left-hand column of the I-129F or I-130, (such as withholding in full the petitioner's Resident Alien Card, or partially withholding the petitioner's W-2's),
- *unless* the FOIA requester is the same attorney as the attorney who filed the petition AND there is a G-28 within the file signed by the petitioner showing representation by that attorney. In such a case, release the PII of the petitioner to the attorney.

Note: Documents filed with the court, or that have been served on the subject or their attorney/representative do not fall under this rule.

This will replace the paragraph entitled **EXHIBITS SUBMITTED WITH PETITIONS OR APPLICATIONS CONTAINING PII** in the USCIS FOIA Processing Guide.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

FINGERPRINT CARD REMINDER

Please do not treat the fingerprint card as an ICE document. Evaluate whether or not the individual taking the prints is a member of law enforcement. If the individual is a member of law enforcement, and the case is processed as a FOIA, please redact the name (b)(7)(C), and (k)(2), (b)(7)(C) in a PA case.

TITLE/SUBJECT TYPE	TYPE OF INFORMATION	FOIA EXEMPTION	PA EXEMPTION
Fingerprint Card	Name of individual taking prints (if law enforcement)	(b)(7)(C)	(k)(2) and (b)(7)(C)

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

FEE WAIVER REQUEST CLARIFICATION

Please ensure that the requester specifically asks for a fee waiver request before checking the fee waiver box. Merely having a DOJ fee waiver form included in the package is not sufficient.

- The *USCIS FOIA Case Create Guide* will be updated to reflect this change.

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
February 12, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

CHANGE TO EXEMPTION (b)(2)

Since the National Records Center no longer redacts records under the "low" portion of Exemption (b)(2), the exemption has been revised to read:

"Exemption (b)(2) as applied by USCIS protects predominantly internal rules, procedures and guidelines, the disclosure of which would present reasonably foreseeable harm to an interest of the United States, such as a significant risk of circumvention of statutes or agency regulations. The types of documents and/or information we have withheld under this exemption may consist of operating rules, guidelines and techniques for identifying law-violators, internal agency security techniques, law enforcement training procedures, or guidelines and manuals of procedures for examiners and adjudicating officers."

This change is effective immediately. If you use auto text, please replace the (b)(2) exemption to reflect the change.

The new exemption can be found at either O:\Foia\FOIA LIBRARY\Case Processing References\Case Processing References/Exemption Phrases or O:\Foia\FOIA LIBRARY\Case Processing References\Case Processing Template Letters/FOIA Final Action.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

PROCESSING US PASSPORTS

Effective immediately, we no longer refer US passports to the Department of State. Please process US passports accordingly.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

REFERRING DOCUMENTS BELONGING TO NVC

Although the letter head on the document below reads United States Department of State, this document was issued by the National Visa Center, and should be referred to them for processing. The NVC's address appears immediately below the State Department address. All other documents with the NVC's address will continue to be referred to the Department of State.

Please don't forget to change the term "another government agency" to the National Visa Center in the Final Action letter. A sample of a referral letter, the referral list dropdown box, and a paragraph from the Final Action Letter are found below.

Referred to: National Visa Center

United States Department of State
Portsmouth Consular Center

National Visa Center
32 Rochester Avenue
Portsmouth, NH 03801-2909

March 18, 20

TO: United States Citizenship and Immigration Services
Vermont Service Center

FROM: National Visa Center - Fraud Prevention Unit

SUBJECT: Return of Petition for Revocation

The National Visa Center (NVC) received the attached petition for review and possible revocation. It appears that the beneficiary is not eligible for the benefit sought.

The petitioner and the beneficiary are married.

Accordingly, the case is being returned to your office with the recommendation that the petition be revoked.

If you need to return this case to a U.S. Embassy/Consulate, please route the file back to the NVC where the case will be tracked and routed back to post. Please forward the case to the attention of the Fraud Prevention Unit at:

National Visa Center
32 Rochester Ave.
Portsmouth, NH 03801

U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

MEMORANDUM FOR:
National Visa Center
Kyla Kelly
Congressional Liaison
Attn: Congressional Unit
31 Rochester Avenue, Suite 100
Portsmouth, NH 03801-2914

FROM: T. Diane Cejka
Director

Subject: FOIA/PA Referral/Consultation
FOIA/PA Control #:

X 1. Documents originated by your agency are being referred to you for review and **direct response** to the requester.

X There are 1 UNCLASSIFIED documents consisting of a total of 1 page.

_ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you **for consultation**. Please review your information that has been outlined.

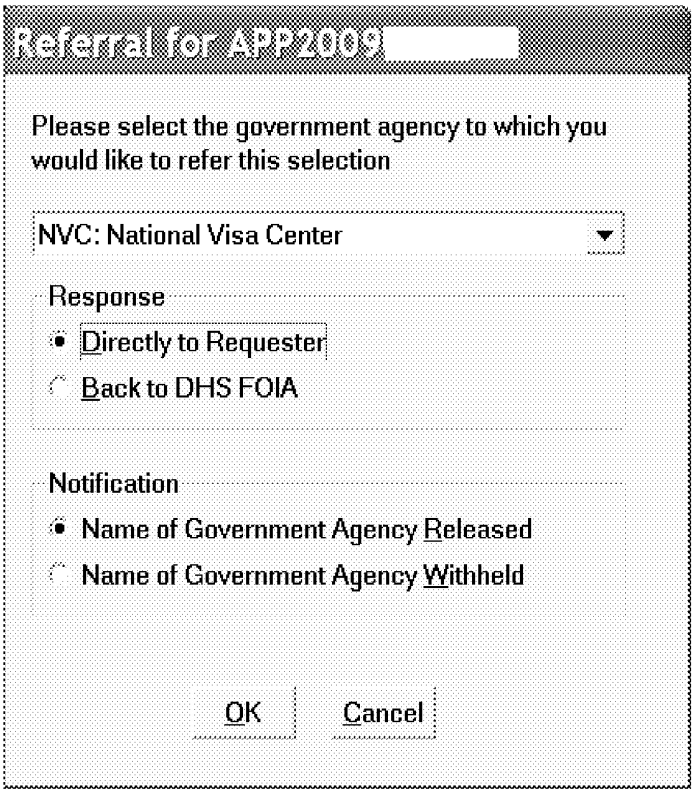
X We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.

X 3. We have advised the requester of this referral to your agency.

_ 4. We have not advised the requester of this referral to your agency.

X 5. A copy of the request is enclosed for your convenience.

_ 6. Please see the attached page(s) for additional information.



We have completed the review of all documents and identified 157 pages which are responsive to your request. Enclosed are 128 pages released in their entirety, and 23 pages released in part. We are withholding 5 pages in full. In our review of these pages we have determined that they contain no reasonable segregable portion(s) of non-exempt information. We have referred 1 page to the National Visa Center for their direct response to you. We have reviewed and determined to release all information except those portions that are exempt pursuant to 5 U.S.C. § 552 (b)(2), (b)(5), (b)(6), (b)(7)(C) and (b)(7)(E) of the FOIA.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
July 9, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

WHAT IS A NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) REQUEST?

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born before 1909, particularly if the request does not meet the criteria for a genealogy case. The complete list of criteria can be found in the section entitled ***Genealogy Program*** in the FOIA/PA Assistant's Guide.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

If NFTS still shows a shelf location within NRC (or any other office), staff for the file accordingly.

- The *USCIS FOIA/PA Processing Guide* will be updated to reflect this change.

PROCESSING THIRD PARTY DOCUMENTS BASED ON G-28 IN THE FILE

A petition submitted for a benefit, if submitted by an attorney, will often be accompanied by a Form G-28 for each party. The G-28 is valid only while the benefit requested is being adjudicated and does not carry over to other actions. As a result, when processing a subsequent FOIA request from the beneficiary, we cannot rely on the previously submitted G-28 in order to release personal information pertaining to the petitioner. Unless the FOIA request contains consent of both parties, the processor must withhold sensitive or personally identifiable third party information.

For example, an attorney files an I-130 with the agency. He represents both the petitioner and the beneficiary in the filing and submits G-28's for both parties with the I-130. He files a FOIA request 12 months later, but includes with his FOIA request consent from the beneficiary only. You cannot release the information of the petitioner to the attorney, even though the petitioner's information was originally submitted by the same attorney.

THIRD PARTY DOCUMENTS BELONGING TO ANOTHER AGENCY

Please out of scope any third party documents that belong to another agency. This policy also applies to other agency's documents that you cannot positively identify as belonging to the subject. For example, if you have a document belonging to Manuel Gonzales (the name matches your subject of record), but the date of birth provided by the requester does not match information in the file, out of scope the document. If USCIS refers documents to an originating agency but the documents do not match the request and consent that are in the request, then the originating agency returns those documents to our office without action. There should be no exception to this rule. If you feel you have a case that would be an exception, please case note it clearly in the file or discuss it with your supervisor.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

WHEN DO WE SEND REQUESTER DOCS OR CSD's WITH REFERRALS?

Case creators review all new requests for legal sufficiency. They ensure that it contains all required documents and information to allow the request to be processed. When a case creator finds missing critical information, the creator will send out for that information. Once we receive that information, OA scans it into the case as either Requester Documentation or a Case Supporting document. These documents are often vital to determining whether consent is present and verifying that the correct records are being processed. However, when a processor refers documents to another agency, only the Request Letter and Request Supporting Documents automatically are printed and sent with the referrals.

If the agency to which we refer the information does not receive the critical information, they will send the entire referral back to us letting us know critical information is missing. Therefore, please do the following when you have a referral that has pertinent information in Requester Documentation or Case Supporting Documents:

1. Place an asterisk in paragraph one (example shown below).

2. Include in your case note that you have alerted the OA room that more documentation is needed with the referrals and indicate which sequence the documents are found.

U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

NRC20100

MEMORANDUM FOR:
State Department

FROM: T. Diane Cejka
Director

Subject: FOIA/PA Referral/Consultation
FOIA/PA Control #: NRC20100

X 1. Documents originated by your agency are being referred to you for review and direct response to the requester.

X There is 1 UNCLASSIFIED document consisting of a total of 1 page. *

_ There are _____ CLASSIFIED documents consisting of a total of _____ pages. Please advise us if the classification of any of the documents has changed.

_ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you for consultation. Please review your information that has been outlined.

X We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.

_ Please return the documents to us making any deletions you deem appropriate and cite the FOIA/PA exemptions claimed and the procedure for the requester to file an appeal to your agency. The response should be returned to the address shown above.

_ There are _____ UNCLASSIFIED documents consisting of a total of _____ pages.

_ There are _____ CLASSIFIED documents consisting of a total of _____ pages. Please advise us if the classification of any of the documents has changed.

X 3. We have advised the requester of this referral to your agency.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
July 16, 2010

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U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

NRC20100

MEMORANDUM FOR:
State Department

FROM: T. Diane Cejka
Director

Subject: FOIA/PA Referral/Consultation
FOIA/PA Control #: NRC20100

X 1. Documents originated by your agency are being referred to you for review and direct response to the requester.

X There is 1 UNCLASSIFIED document consisting of a total of 1 page. *

_ There are _____ CLASSIFIED documents consisting of a total of _____ pages. Please advise us if the classification of any of the documents has changed.

_ 2. Documents originated by Immigration that contain information furnished by your agency are being referred to you for consultation. Please review your information that has been outlined.

X We have no objection to the release of Immigration information; therefore please respond directly to the requester with your determination and provide us a copy of your response.

_ Please return the documents to us making any deletions you deem appropriate and cite the FOIA/PA exemptions claimed and the procedure for the requester to file an appeal to your agency. The response should be returned to the address shown above.

_ There are _____ UNCLASSIFIED documents consisting of a total of _____ pages.

_ There are _____ CLASSIFIED documents consisting of a total of _____ pages. Please advise us if the classification of any of the documents has changed.

X 3. We have advised the requester of this referral to your agency.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
June 25, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

ENFORCE / EARM SYSTEM PRINT REFERRALS

Effective immediately, we are referring all ENFORCE system prints found in FOIA/PA cases to ICE. This decision came from a case we processed in which we released four ENFORCE system prints. Although some were difficult to read and quite dark, you could identify that they were ENFORCE system prints. The alien subsequently went to ICE, demanded clean copies and threatened a lawsuit. One of the released documents included narrative that could have impeded our removal of this alien.

The only two exceptions to this rule are:

1. If it was filed in a court case as an exhibit, release. You must be able to prove that it was filed. Be sure to notate your proof in your case note.

2. If it is an ENFORCE print for a third party, out of scope the document(s). Be sure to include this in your case note.

Please pay extreme caution as you are processing and strive to make no inadvertent disclosures of these documents. Even if it is illegible/dark/hard to read, review carefully to see if it is an ENFORCE printout. You have been provided examples by your supervisors. If you do not have these copies, please see your supervisor.

- The *USCIS FOIA/PA Processing Guide* will be updated to reflect this change.

HELPFUL HINTS

Completing the tasks of case creating and processing involves analyzing and comprehending a considerable amount of information. Due to the large volume of requests we handle, we sometimes make mistakes. Most of our mistakes; no matter how minor, waste time, money and slow our production. Moreover, any mistake not caught in time has the potential to give our customer a negative impression of our agency.

Therefore, we are adding a new section, entitled Helpful Hints, to the bulletin. These reminders will focus on the "minor" details we sometimes forget, but are needed to ensure both quality and efficiency.

ADMIN QUEUE

Case Processors send cases to the Admin Queue for various reasons. When sending cases to Admin, the processor must always insert a case note explaining why the case is being sent to that queue so that the administrator working the queue knows what needs to be done with the case. Cases that are sent to Admin without explanation will be returned to the processor so that a case note can be added.

CHANGE THE DATE OF THE FINAL ACTION LETTER

If you get a case back from approver for any reason, please change the date on the letter to the current day's date.

This is important because the requester only has 60 days from the date of the letter to appeal our decision.

SUMMARY CASE NOTES

1. When there are documents being referred and there are requester documents that need to go with the referral, include in your summary case note that you have e-mailed OA.

2. If there is media in the file, remember to note in your summary case note that MSB was notified.

3. If you case note anything out of the ordinary that the approver needs to know, you will save everybody's time.

CASE CREATORS

1. Mark "print to CD" on all cases created after March 1, 2010 unless the requester is writing from a correctional facility.

2. Uncheck the expedited treatment and fee waiver block on all requests that are closed due to RF, RD, NR, ER, TD, DP or N/A.

3. Do not go out for additional information if the requester has entered "unknown," "N/A," or "None" in any of the PII sections of the G-639.

4. Do not staff for the petitioner's A-file if they are requesting an I-130 they filed for someone.

5. Write good case notes to help the next person reading the case.

6. Double check your work to see if you have inadvertently checked expedited treatment requested, expedited treatment granted, fee waiver requested, etc. Also double check type, source, category, Track 1, 2 or 3 before you send the case anyplace else.

CD'S

Check the CD button. If you have a request with 15 pages or more of responsive records, the case was created after March 1, 2010, and the requester is not an inmate, please check the box. Even if there are 15 pages and you referred 5 of those pages, you are still going to check the CD button. The final printed product will contain 15 pages, five of which will be marked with the legend "Referred to Another Agency" or similar stamp on the page.

Whether or not a requester is an inmate is determined by the address provided on the request. If the address is a correctional institution, we must send paper. If the address is an attorney's office, we can send a CD.

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
May 14, 2010

The **FOIA Information Bulletin** is a publication issued weekly by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

CD OR PAPER?

In an effort to save time, money and resources, the FOIA unit will begin sending out final action responses on CD to all requesters. When we send out the acknowledgement letter to the requester, it will advise them that unless they write in and specifically ask for their documents to be produced on paper, they will be receiving them in a CD format. The acknowledgement letter templates have been updated to reflect the change.

A few guidelines to follow:

- Case Creators will mark the "print to CD box" on all new case creates, unless the requester is in prison.

- Prisoners may not receive CDs. All responsive records mailed to prison must be on paper. If the requester is in prison but responsive records are being sent to an attorney's office, it will be sent on a CD.

- This change only affects responsive records of 15 pages or more. Once a case is retrieved in processing, if the responsive records are less than 15 pages or if the requester is only asking for specific documents and they are less than 15 pages, the processor will need to uncheck the print to CD box.

- If a requester writes in and specifically asks for their records to be produced in a paper format, the Mail Team will uncheck the "Print to CD" box and case note the case. The correspondence will be scanned in as a case supporting document (CSD).

- While the creator is primarily responsible for marking the print to CD box, the processor and the approver should ensure that the correct box is marked before finalizing the case.

- If your records are printing to a CD, it is not <u>required</u> that duplicate pages be marked as fees are not assessed on CD's.

- The *USCIS FOIA Case Create and Processing Guides* will be updated to reflect this change.

LARGE FILES AND CAL ERRORS

Files of 2000 pages or more can cause CAL errors, making cases difficult to process. If you pull up a case in FIPS with 2000 pages or more scanned into a single responsive records slot, please follow these steps:

1. Send the case to Admin.
2. Send an e-mail to the NRC, FIPS Problem mailbox asking them to split the records into more than one slot. Clicking on the link automatically prepares your e-mail (including a copy to the Program Office). In your email, please provide the control number, the case's track and your NRC User-id.

FIPS Problem personnel will split the file into two or more responsive records slots to reduce the possibility of CAL errors and return the file to you. We've notified contractors to contact us if they scan any large files to avoid future problems.

The *USCIS FOIA Case Processing Guide* will be updated to reflect this change.

WHEN DO REQUESTER DOCS OR CSDs GET SENT WITH REFERRALS?

When we receive a new request, our creators review the request for legal sufficiency. They ensure that it contains all required documents and information for you, the processor, to be able to process the case. When a case is found to be missing critical information, the creator will send out for that information. Once that information is received, it is scanned into the case either as a Requester Documentation or a Case Supporting document. These documents are often vital to determining whether or not consent is present and verifying that the correct records are being processed. However, when a processor refers documents to another agency, only the Request Letter and Request Supporting Documents automatically get printed and sent with the referrals. Therefore, please do the following when you have a referral that has pertinent information in Requester Documentation or Case Supporting Documents:

1. Send an e-mail to the OA room to print and send the pertinent information and where the documents can be found (NRCXXXX, Sequence 8).

2. Include in your case note that you sent the e-mail to the OA room.

- The *USCIS FOIA Case Processing Guide* will be updated to reflect this change.

MAIL TEAM

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In an effort to streamline the records locator team, we have designated two individuals to process mail which is not readily identifiable to a case. This mail includes faxes, electronic mail and regular mail. The two individuals assigned to this task are [redacted]

FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
November 12, 2010

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

CDs FOR ALL REQUESTERS

In an effort to save time, money and resources, the FOIA unit now sends out final action responses on CD to all requesters, unless the requester is in prison. We have removed the section in the acknowledgement letter to the requester that advises them that they can write in and ask for their documents to be produced on paper.

A few guidelines to follow:

• This change affects all responsive records; the number of pages is no longer a concern.

• Case Creators will mark the "print to CD box" on all new case creates, unless the requester is in prison.

• Prisoners may not receive CDs. All responsive records mailed to prison must be on paper.

• If the subject of record is in prison but the requester is the subject's attorney addressed to the attorney's office, send it on a CD.

• If a requester specifically asks for their records in a paper format, the Mail Team will uncheck the "Print to CD" box and case note the case. The Mail Team will scan the correspondence in as a case supporting document (CSD).

• If we are printing to paper and the case is more than 240 pages, the processor must mark any duplicate pages within the responsive record.

• While the creator is primarily responsible for marking the print to CD box, the processor and the approver should ensure that the correct box is marked before finalizing the case.

• If your records are printing to a CD, you are not required to mark duplicate pages, as fees are not assessed on CD's.

- The *USCIS FOIA Processing Guide and FOIA/PA Assistant's Guide* will be updated to reflect this change.

RECEIPT AND PROCESSING OF PA AMENDMENT

A Privacy Act Amendment Request is a request from a USC or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely, or complete.

Requesters must identify themselves as described in the paragraph Consent and Verification of Identity when seeking to amend information in a PA system of records. He or she must identify the particular record involved, the nature of the amendment sought, and the justification for the amendment.

Special Interest Group handles PA Amendment requests. If a creator opens a request that appears to be a true PA Amendment Request, he or she should place the case in Unit Chief without further action and e-mail the detailed information to his or her supervisor. The supervisor should then notify the SIG that the case is in the Unit Chief queue for SIG determination whether it is a true PA Amendment request.

Upon determination, the SIG processor will send an acknowledgment letter to the requester and forward the PA Amendment request to the appropriate adjudications center or district office. An adjudicating officer will make a determination and return the findings and decision to SIG for preparation of a response to the requester. In accordance with 5 U.S.C. § 552a(d)(2), USCIS has ten working days to make a decision.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

DEPARTMENT OF STATE DOCUMENTS

The DOS will make a direct response to the requester on documents that we refer. "STATE" is the referral choice in FIPS for Department of State. Generally, if a State Department document pertains to an investigation or a non-immigrant visa, we refer the document to State. We release the name of the agency, and Department of State should respond directly to the requester. State Department has given us the following guidance for documents that are not third party:

- Process statements, acknowledgements, visa stamps, passports or visas the person has, or has received, or has signed.
- Process any immigrant visa paperwork except Report 71, investigative, deliberative or law enforcement related documents.
- Process documentation the alien would have filed to support immigrant visas, letters, or documents the alien would possess.
- Process any form that begins with an I (for example, I-130, I-140) even if it was filed overseas.

- Process the Report 24.
- Process the Immigrant Data Summary.
- Refer messages, letters, e-mails, checklists and cables having to do with visa determination or investigations.
- Refer non-immigrant visa (NIV) applications.
- Refer Embassy/Consulate fraud investigations.
- Refer State Department law enforcement related documents.
- Refer Refusal Worksheets
- Refer asylum related documents, such as interagency communications, advisory opinions and deliberative material, including the document entitled "Country Conditions and Comments on Asylum Applications."
- Refer electronic database prints with information owned by State, if it has to do with NIV or law enforcement.
- Refer Report 71 – Case Accountability Report, as it may be investigative or deliberative.
- Refer documents marked Visa Lookout System or Visas Hawk, unless third party.
- Refer TECS II screen prints marked State Department.
- State Department does not wish to review third party documents. If you would ordinarily refer a page to the Department of State, but it pertains to a third party, please place the page out of scope.
- There may be documents similar to Country Conditions and Comments on Asylum Applications we would not refer. For example, Profiles of Asylum Claims and Country Conditions are available on the DOS website and we do not generally refer them.

    - The *USCIS FOIA Processing Guide* will be updated to reflect this change. Note: this will entail deletion of several paragraphs and sentences in the Guide.

REQUESTS FOR COLOR COPIES OF ALIEN REGISTRATION CARDS

If someone requests a color copy, please add the following paragraph to your Acknowledgement letter:

You specifically requested a color copy of your Alien Registration Card (Green Card). The National Records Center can not provide you with a color copy of your Alien Registration Card (Green Card); we will provide a black & white copy. If you desire a replacement Green Card you must complete an I-90, Application to Replace Permanent Resident Card (Green Card). Please refer to our website listed below for filing instructions and to download the application. If you would like a copy of all your records, please send a written request to the address above, otherwise you will only receive the documents specified.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

CAMEROON AND HONG KONG ZIP CODES

Cameroon and Hong Kong do not use zip codes. However, FIPS requires you to put in a zip code before it allows you to create a case. In cases where the mail is going to either Cameroon or Hong Kong, please put in a single dash in the zip code field. This will overwrite the FIPS requirement.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

DELINQUENT REQUESTER CLARIFICATION

The cutoff date for delinquent requesters is January 1, 2004. On or after that date, any delinquent requester must either pay the fees, accept the case on CD, or withdraw the case to regain his or her good standing.

However, do not treat any requester you find to be delinquent prior to January 1, 2004 as delinquent. If you encounter a delinquent requester for a case prior to January 1, 2004, please send an e-mail to NRC, FIPSPROBLEM and NRC, FOIAPROGRAM. Include the name of the delinquent requester and the case(s) for which he or she is delinquent.

If you encounter a delinquent requester from a FIPS Lite office, do not treat the requester as delinquent.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

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SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please close it as an ER. Send a message to NRC, FOIA PROGRAM [redacted] clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.

- The *USCIS FOIA/PA Assistant's Guide* has been updated to reflect this change.

Use of special characters:

Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you may use spaces, dashes, periods, commas or single quotes (‘). You may not use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

- We will add this paragraph to the *USCIS FOIA/PA Assistant's Guide* in the section "REQUESTER'S BIOGRAPHICAL INFORMATION," paragraph 3, "Complete requester address."

QUESTIONS FOR THE PROGRAM OFFICE

The Program Office receives comments, questions and suggestions fairly regularly. In order to respond to your questions more efficiently, we have decided to streamline the process with a single point-of-contact. If you have any comments, questions or suggestions, please send an email with the word "Question" in the subject line to NRC, FOIAPROGRAM. The Program Office will get an answer back to you as soon as they can.

HELPFUL HINTS

IF RESPONSIVE RECORDS ARE "NA" AND STAFFING RESPONSE SLOT HAS SCANNED DOCUMENTS…

Normally, when we staff to a service center, the service center scans the file directly into FIPS. However, if the file cannot be scanned, (ex. file is destroyed, lost, sent to NVC) the service center places a note on the staffing sheet and scans their response into a staffing response slot. The responsive records slot will be set to "NA." If you see this while processing a case, please read the staffing response and determine appropriate action.

NEW POLICY FOR NVC LETTER REFERRALS

The policy for referring NVC letters parallels State Department policy. If the subject has received or signed the document, release it. This will include almost all NVC documents contained in our files, as they are normally addressed to the subject.

National Visa Center
32 Rochester Avenue
Portsmouth, NH 03801-2909

DEAR

Your inquiry has been received at the NVC. The immigrant visa petition you mentioned in your letter has already been entered into our computer system and assigned the case number listed below.

A packet of forms and instructions has been sent to the beneficiary and/or attorney of record regarding further processing of the petition. The packet must be completed and returned to the NVC.

The NVC is sending a duplicate packet of forms and instructions. Please allow at least 10 business days for the packet of forms to arrive. These forms must be completed by the beneficiary, petitioner or attorney or record and returned to the NVC.

The Written Correspondence Unit has updated your address. Please notify the NVC of any change of address or change in personal situation which may affect the beneficiary's entitlement to an immigrant visa.

Case Number:	CDJ
Beneficiary's Name:	HER
Preference Category:	
Your Priority Date:	
Foreign State Chargeability:	MEXICO
U.S. Embassy/Consulate:	CONSULATE GENERAL P.O. BOX 10545 EL PASO, TX 79995-0545 USA

Traveling Applicants:

NAME	DOB	POB

HER,

FOIA/PA ASSISTANT'S GUIDE

FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

The September 23, 2010 edition of the Guide supersedes the Case Create Guide and the Call Center Guide. All previous editions of the Case Create Guide and the Call Center Guide are obsolete.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The September 23, 2010 edition of the Guide is PDF format. The PDF format makes searching for information in the Guide easier. There are also several hyperlinks within the Guide including in the table of contents to assist in navigating to specific topics or additional information.

Regular updates will be made to this Guide by adding to or revising provisions in the version of the Guide available on the common drive. When additions and revision are made, a cover sheet describing the change and the provision of the Guide affected will be placed on the front of the Guide for quick reference.

Suggestions for improving this Guide are always welcomed. Please direct any comments, questions, or suggestions to the FOIA Program Office staff.

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Record of Revision, September 23, 2010
Paragraph: SITUATION: Subpoena or court order changed to add [redacted] as an addressee on the e-mail.

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FOIA/PA ASSISTANT'S GUIDE

THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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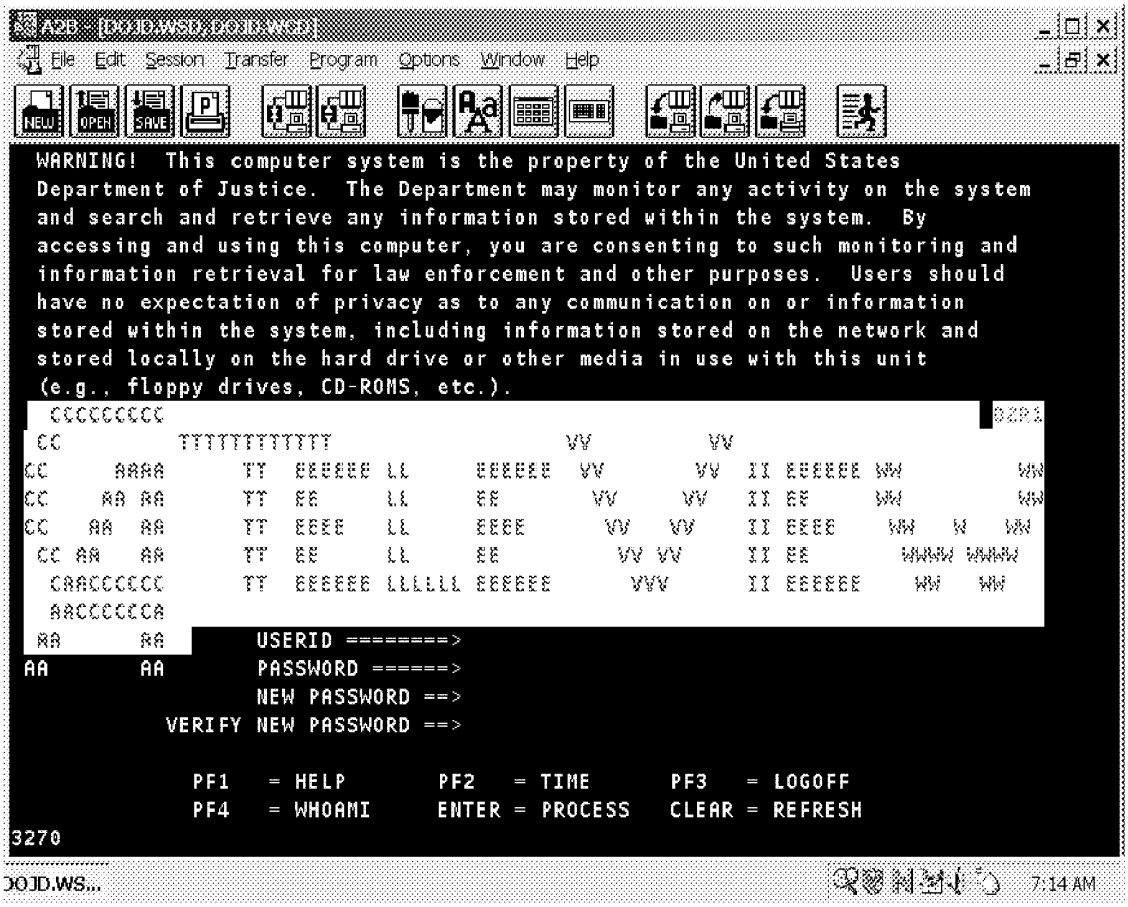
SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

1.1 Introduction Screen



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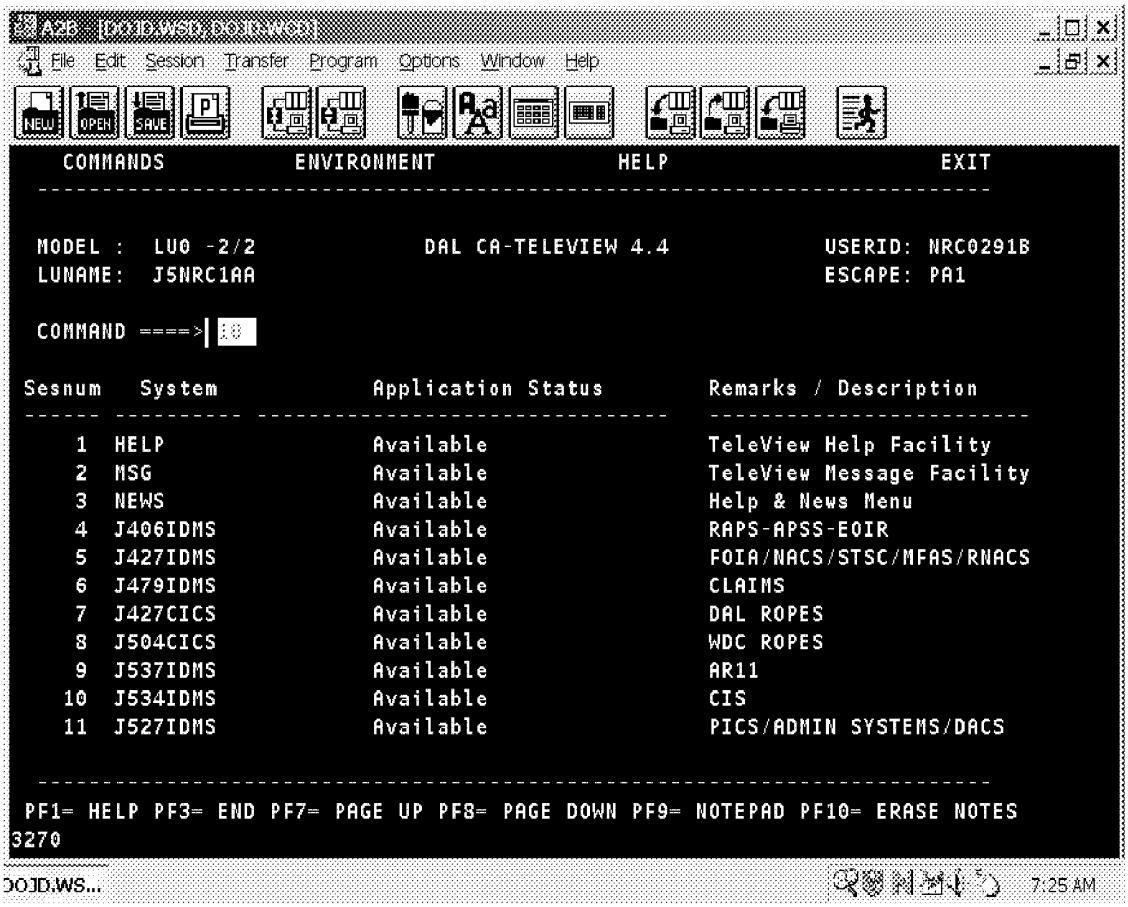
This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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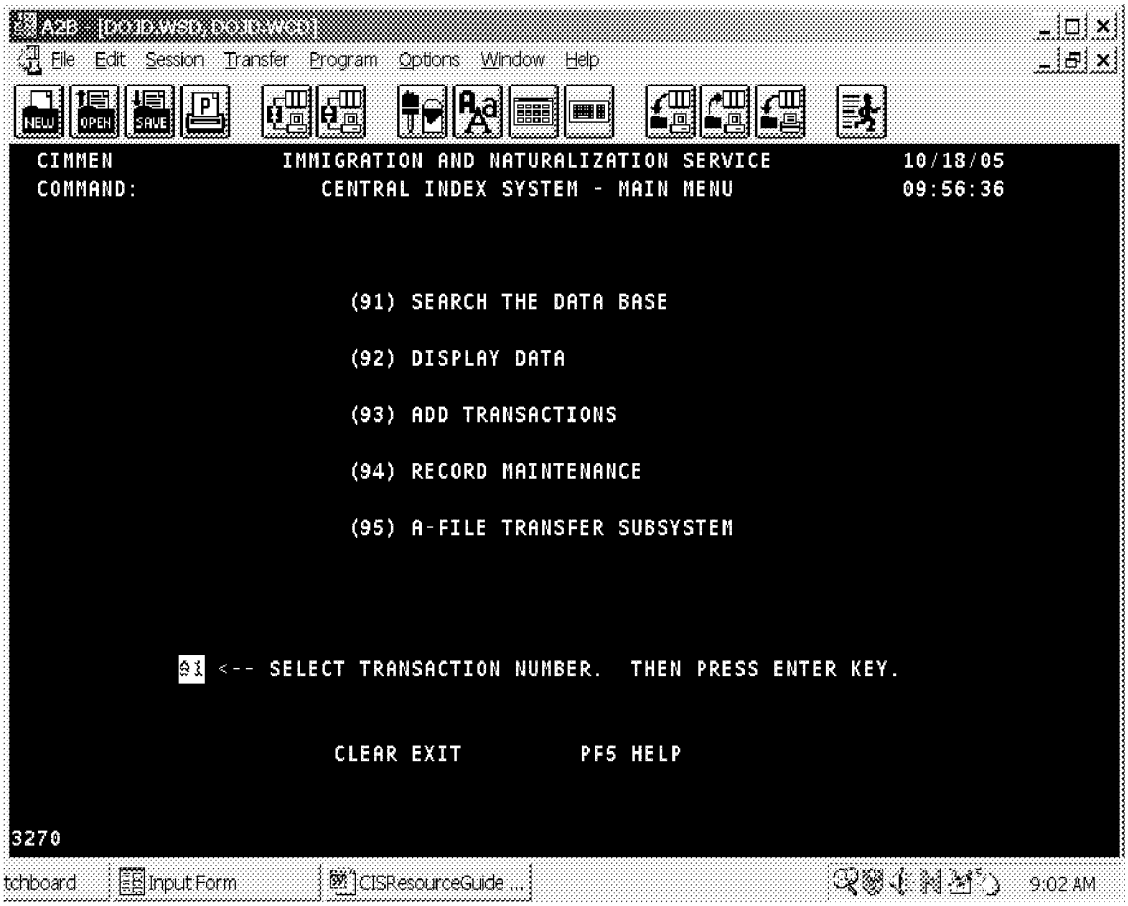
1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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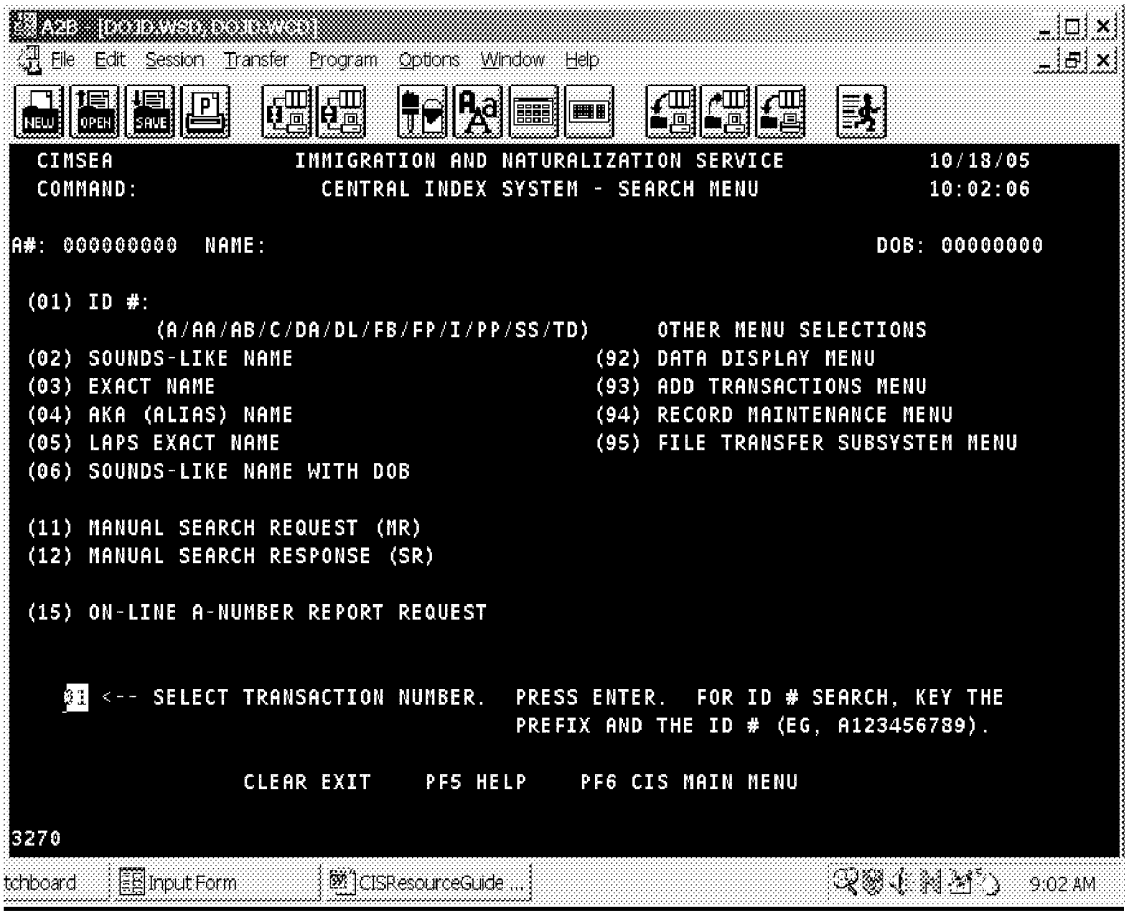
1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individuals record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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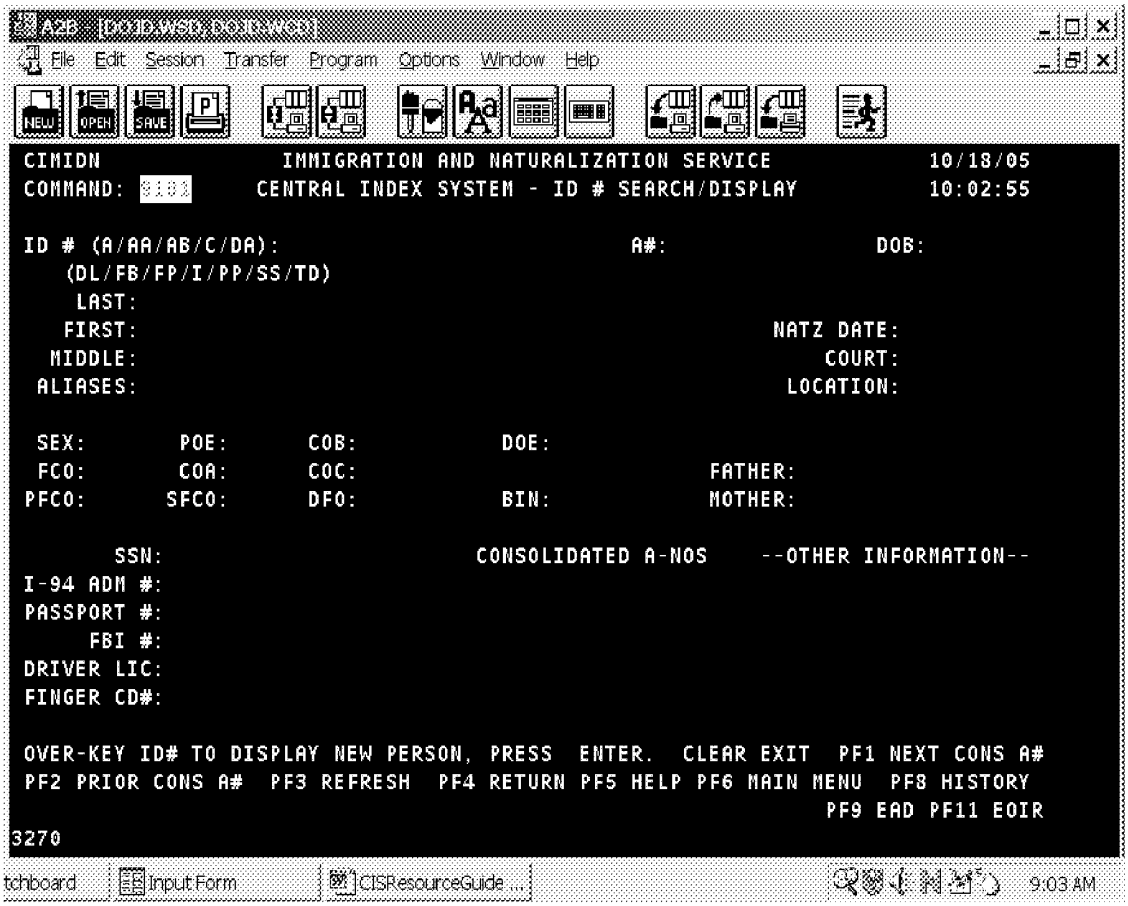
1.4.2 Search by A-number (9101)



In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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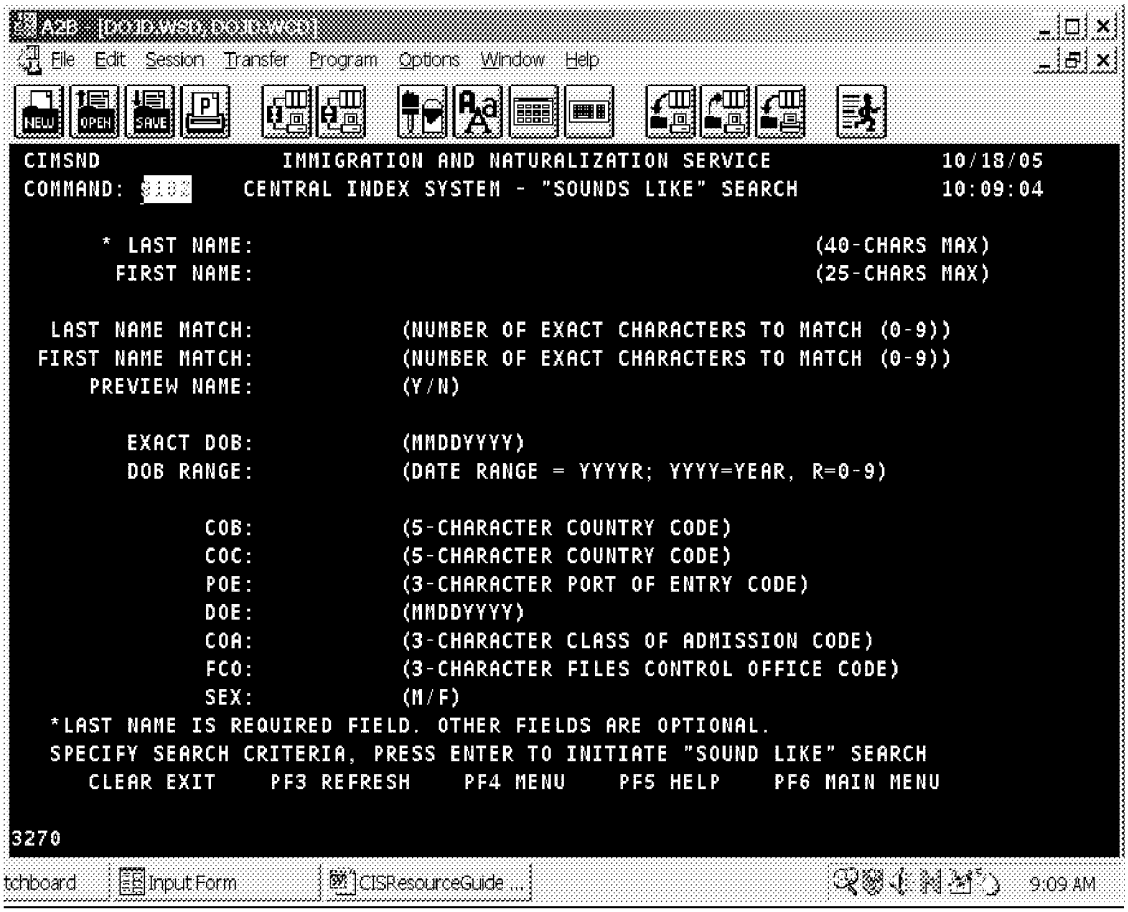
1.5 Sounds-Like Name Search (9102)



Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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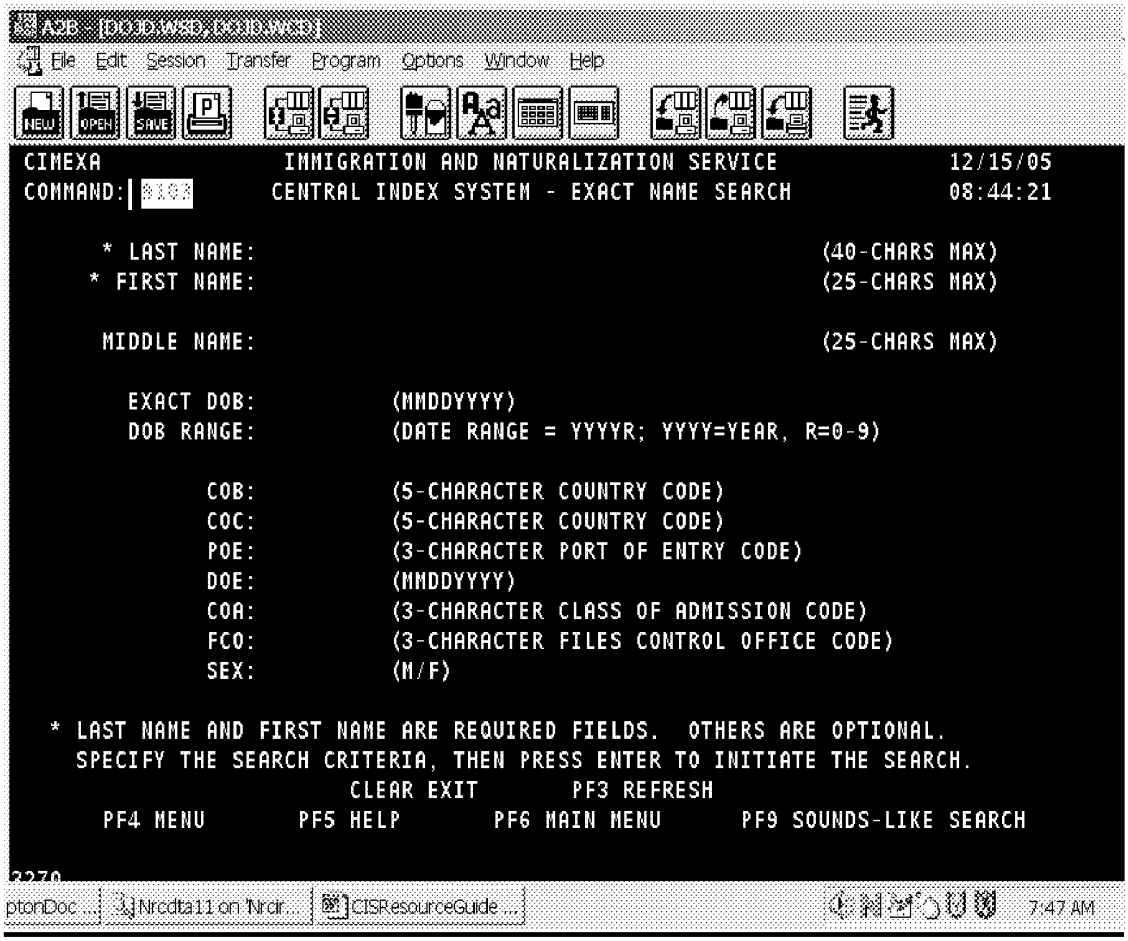
1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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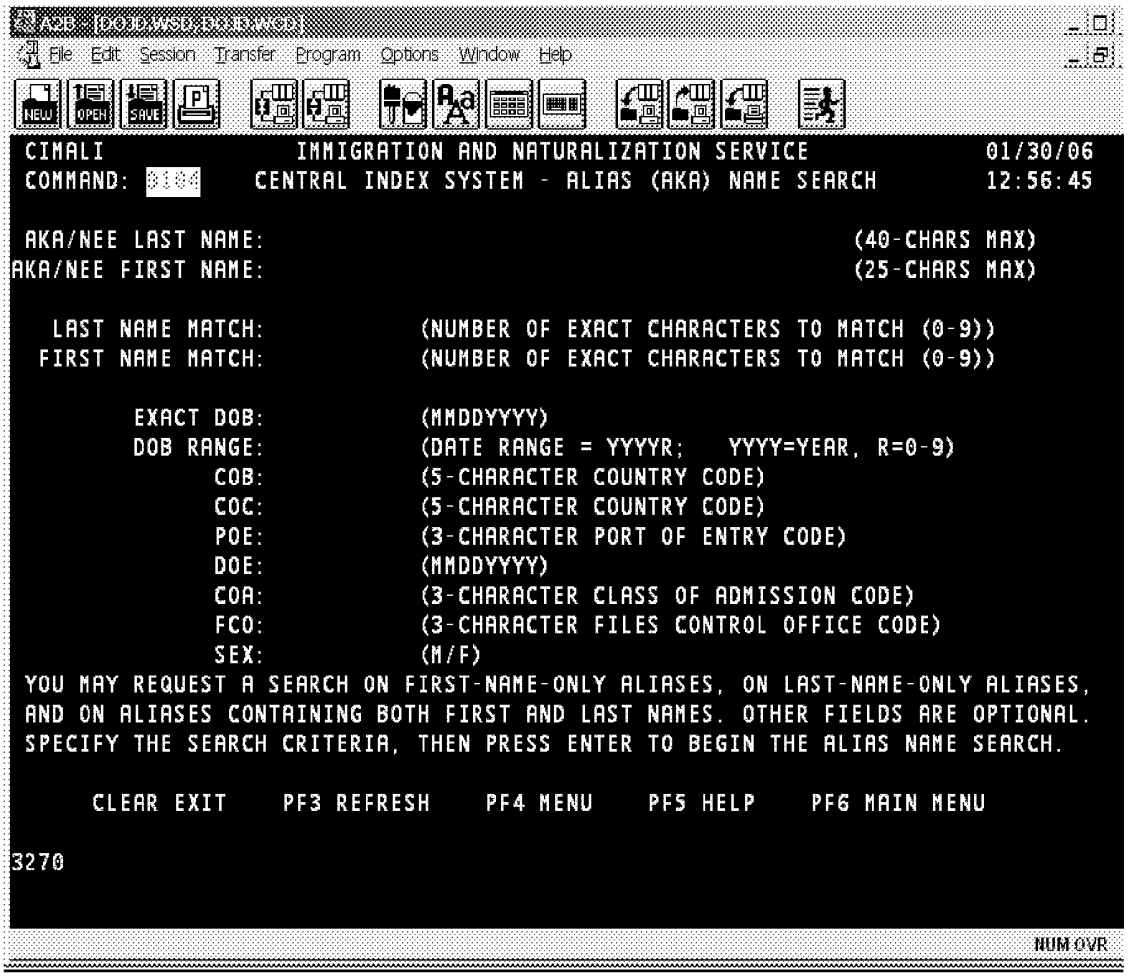
1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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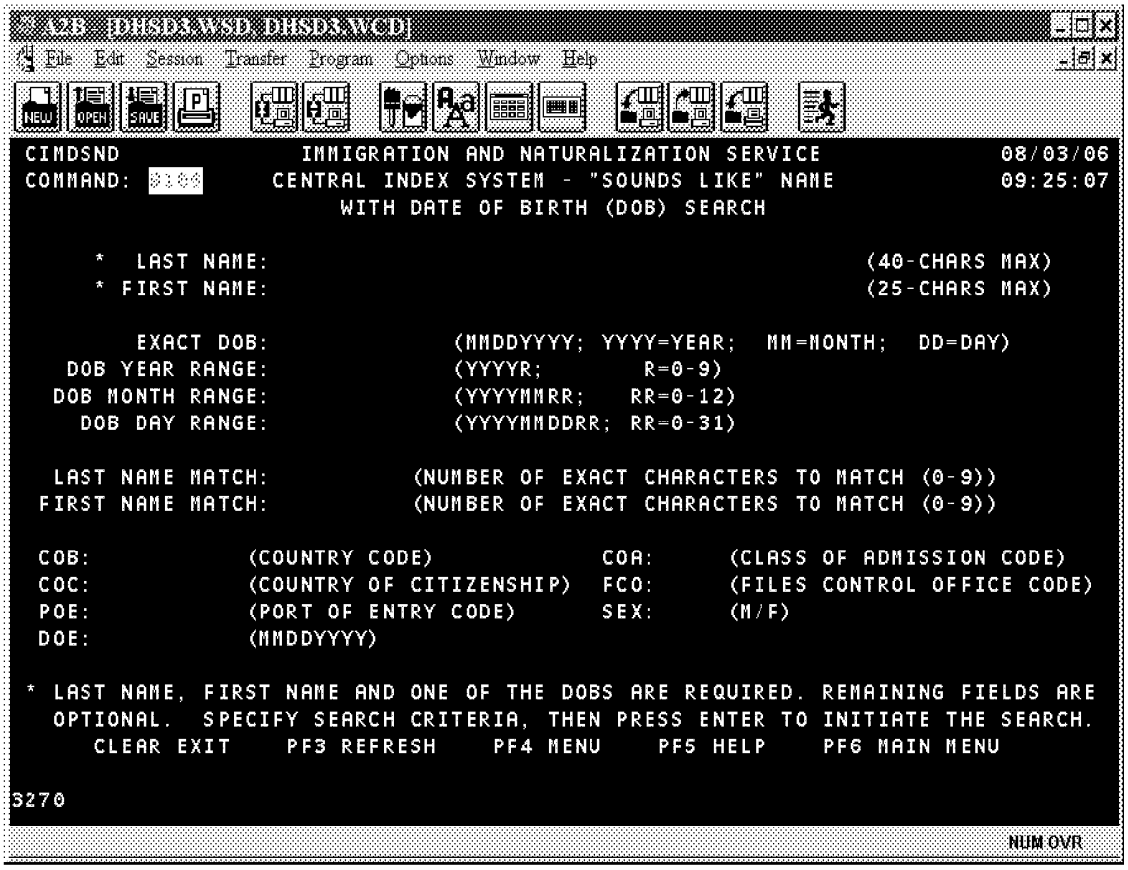
1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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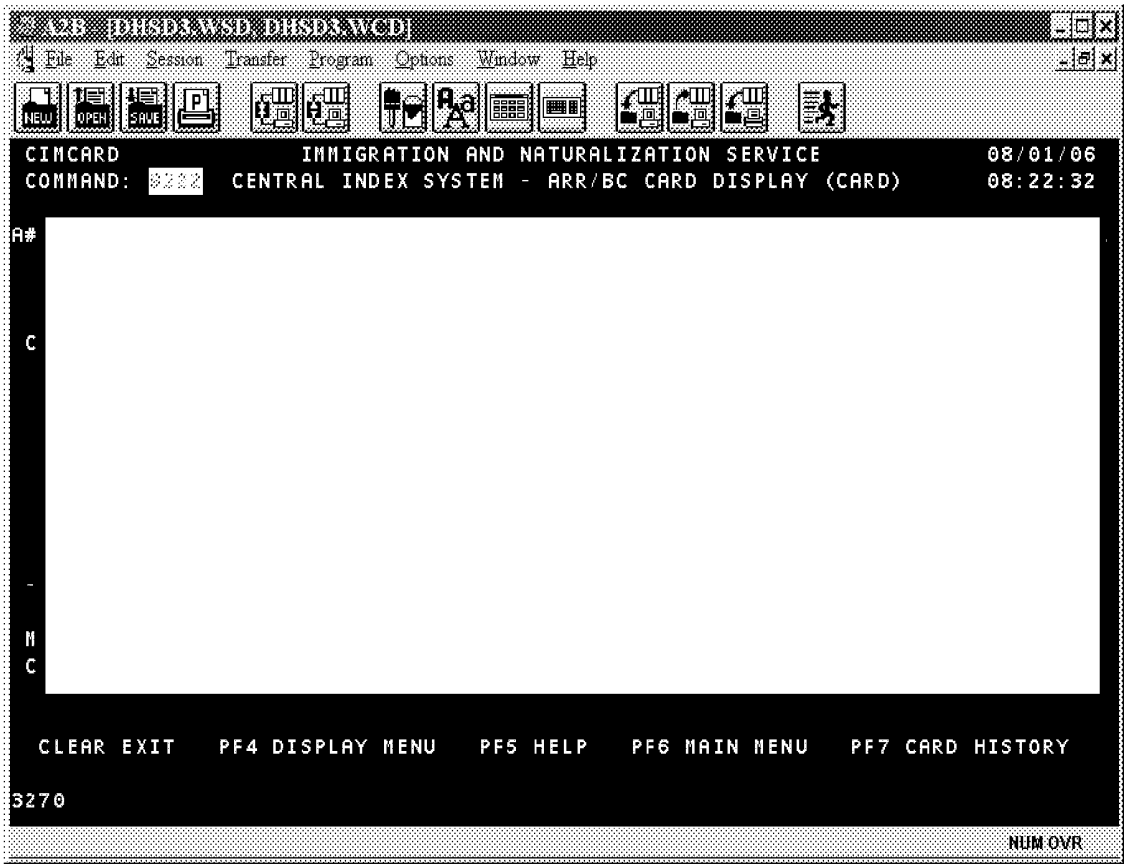
1.9 Card Search (9222)

(b)(6)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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1.10 File Transfer Display (9504)

(b)(6)

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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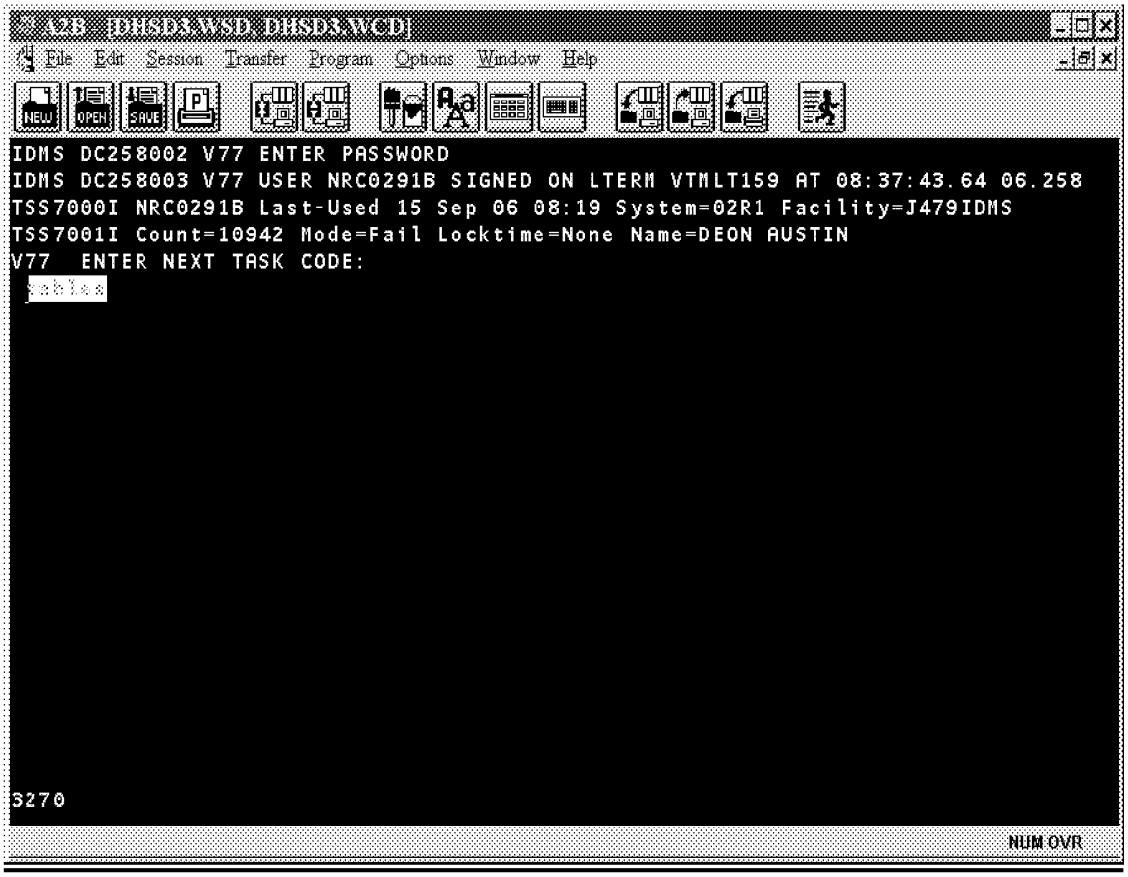
1.11 Tables



The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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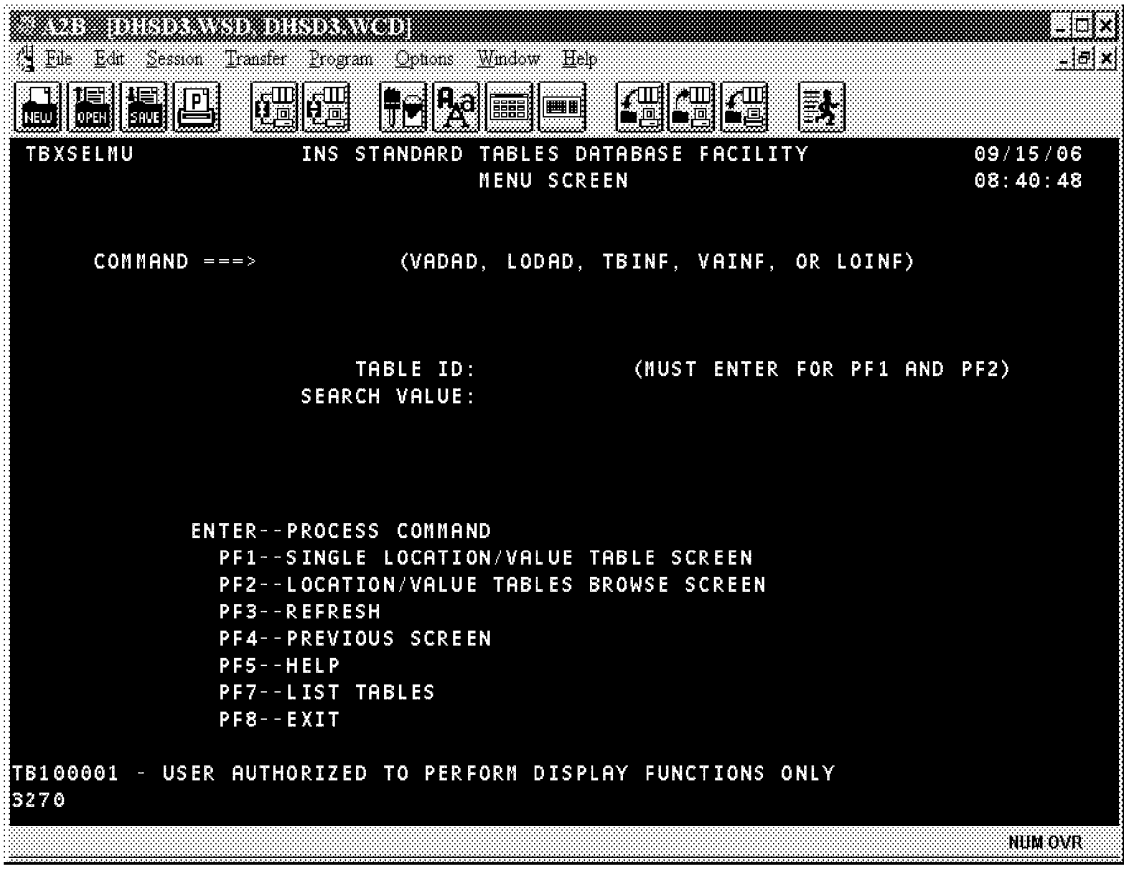
1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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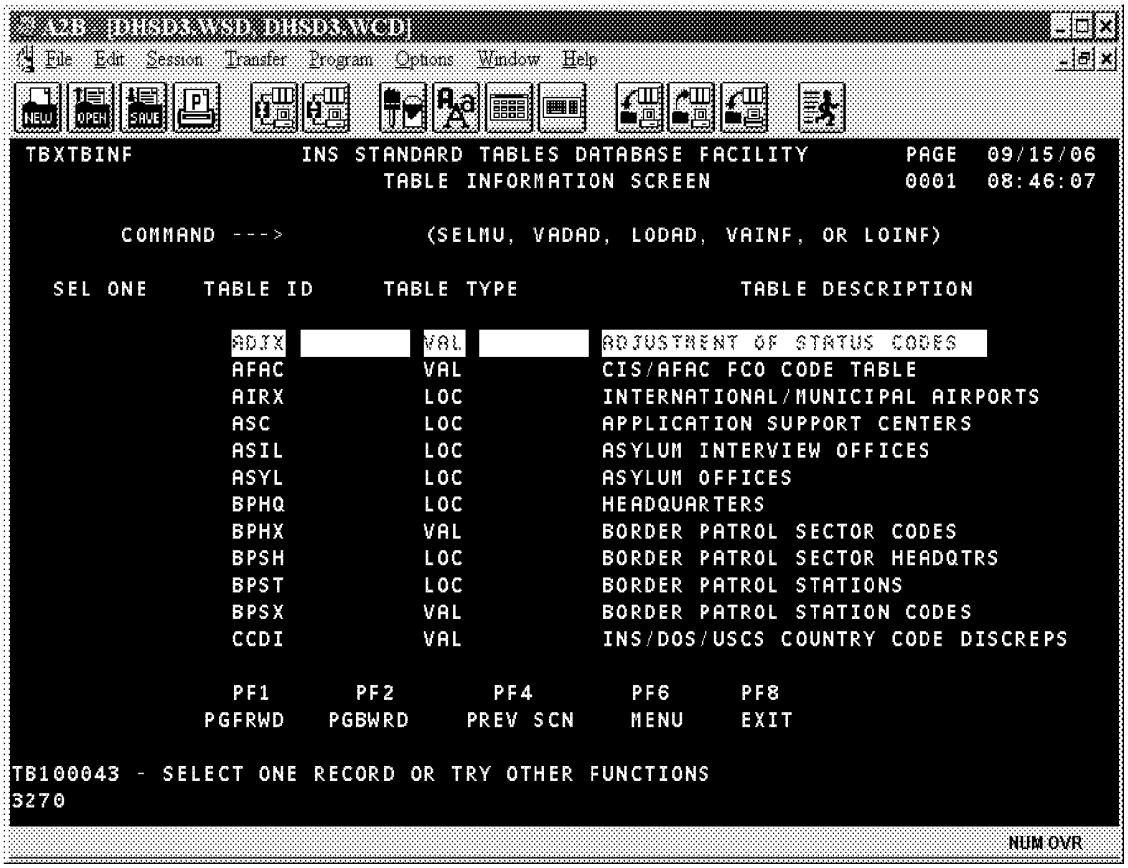
1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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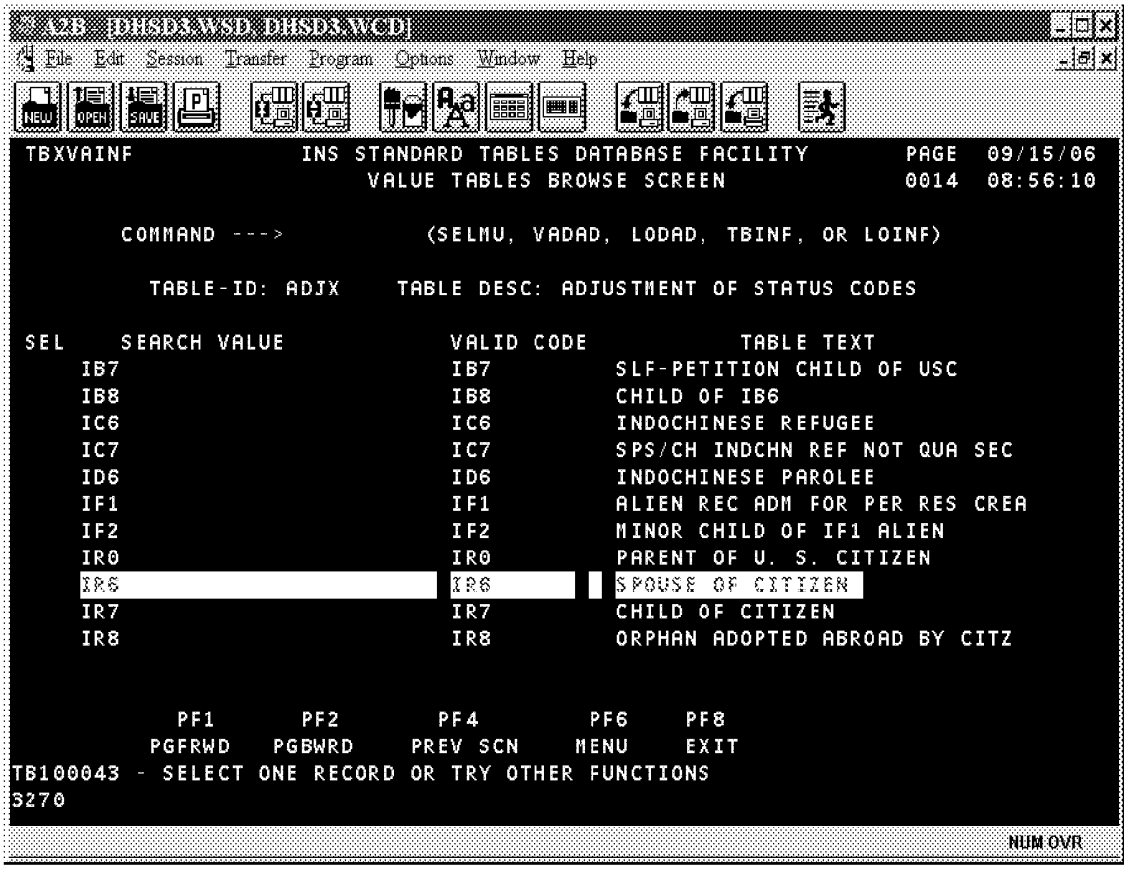
1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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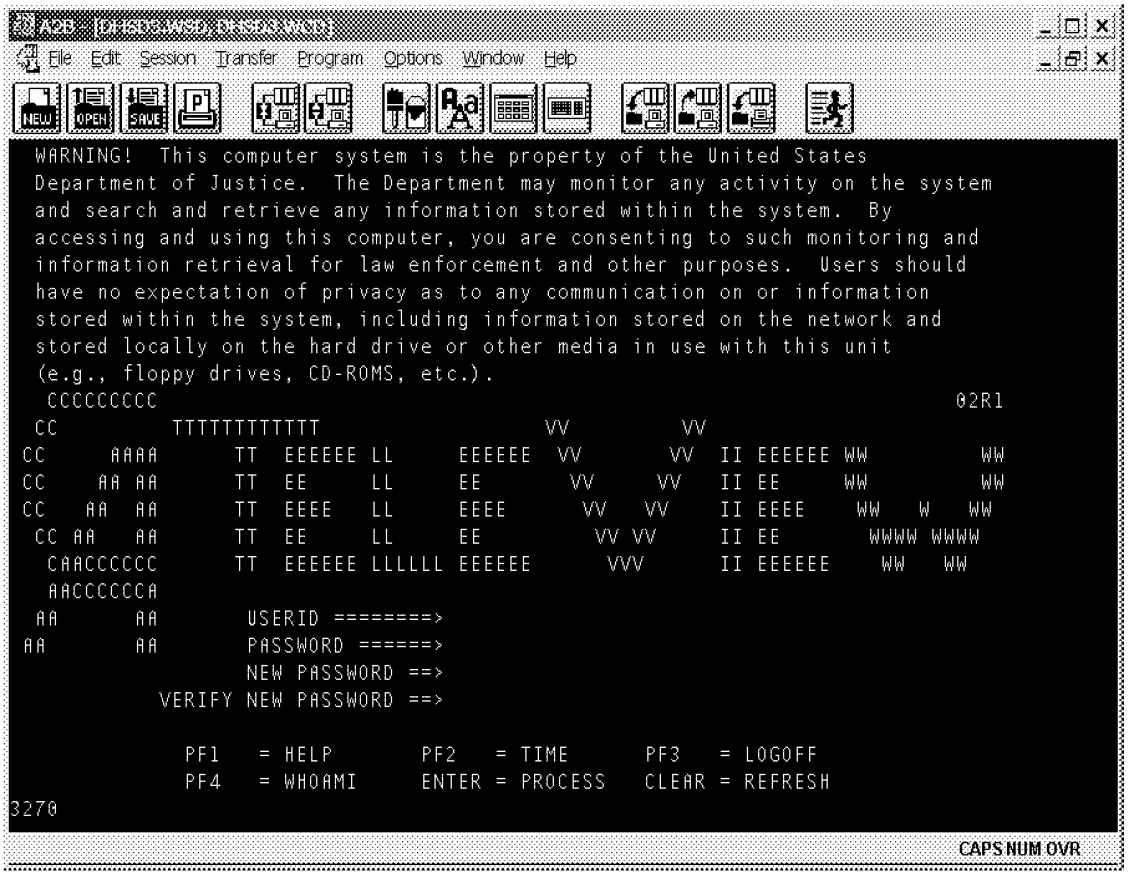
2. Computer Linked Application Information Management System

2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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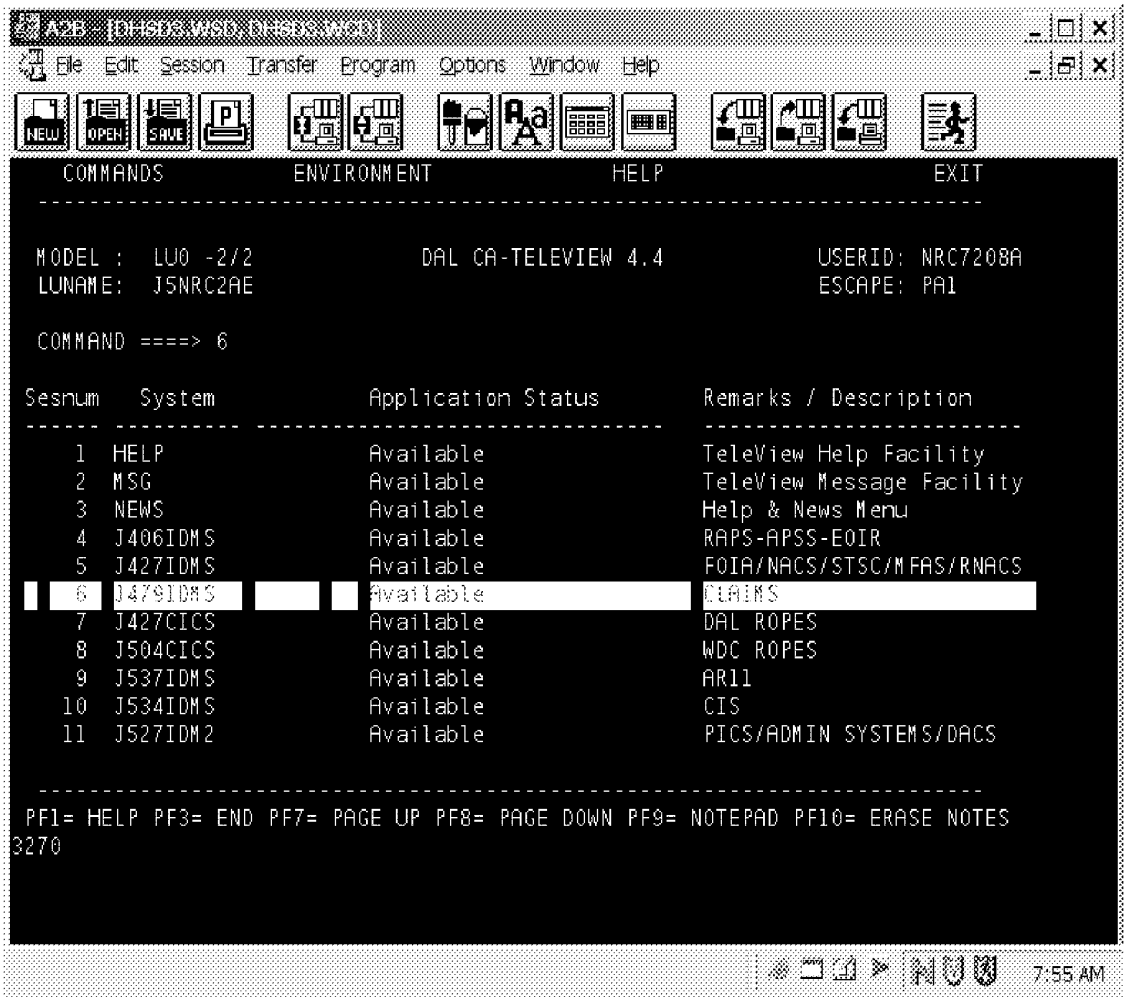
2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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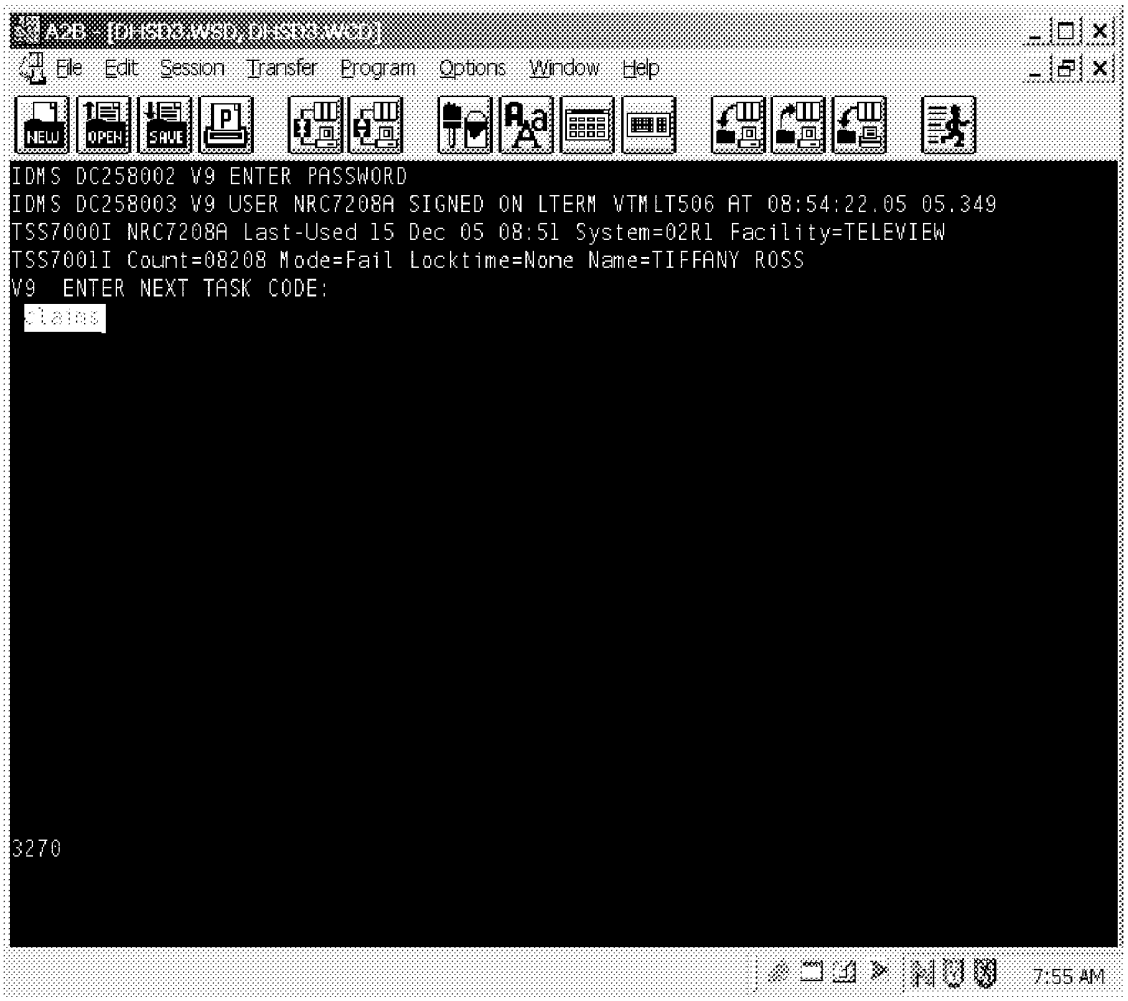
2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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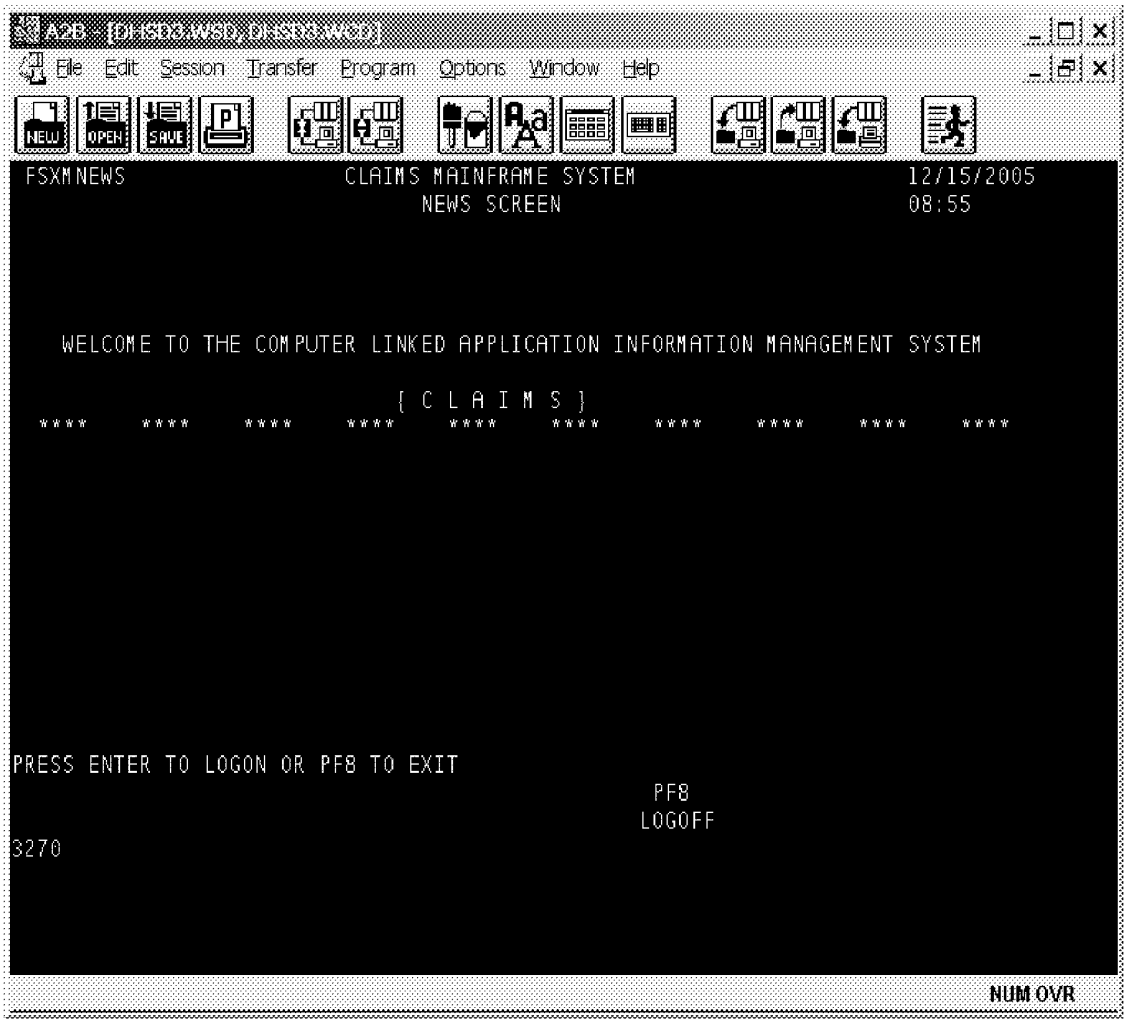
2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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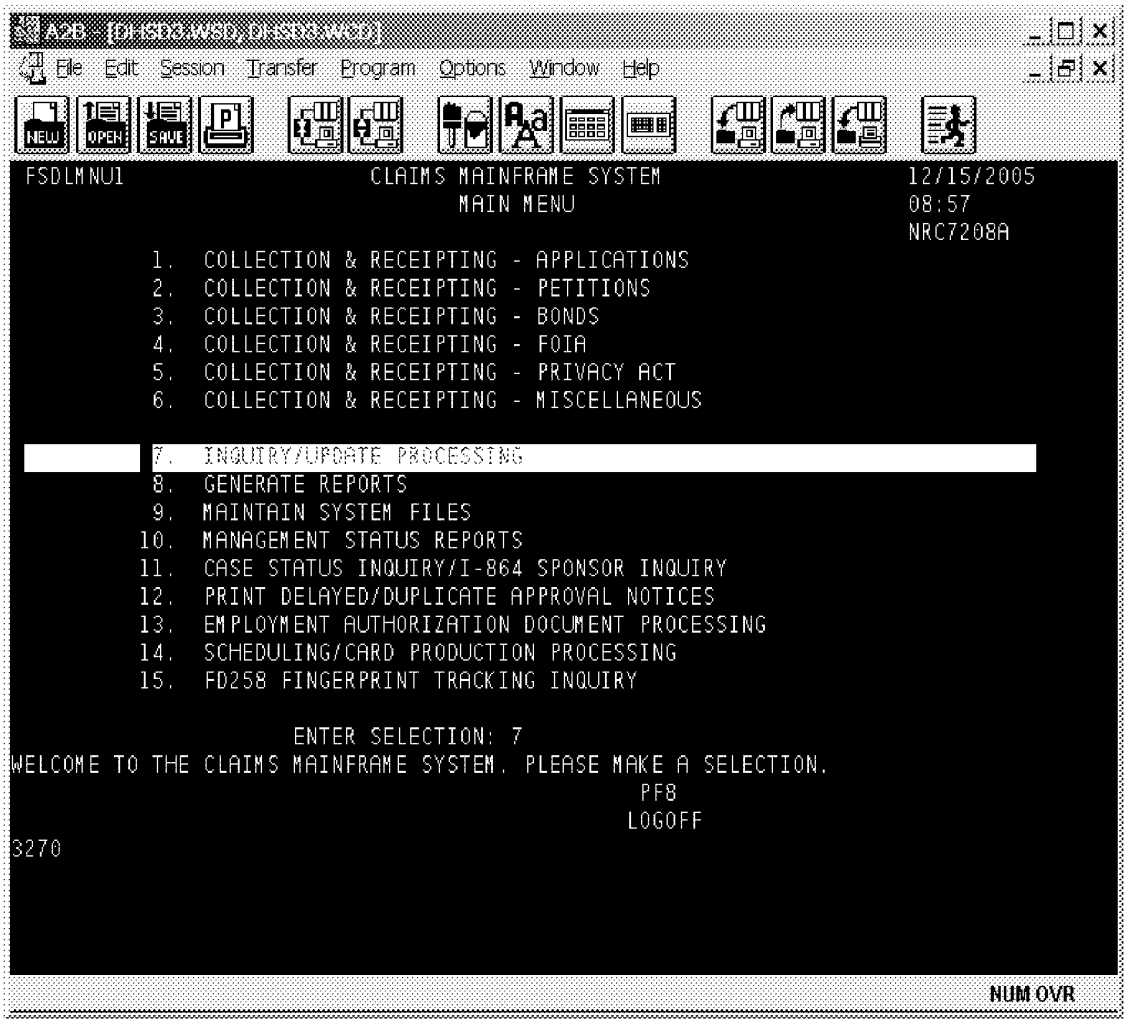
2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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2.8 Inquiry Screen, searching with a Receipt Number

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On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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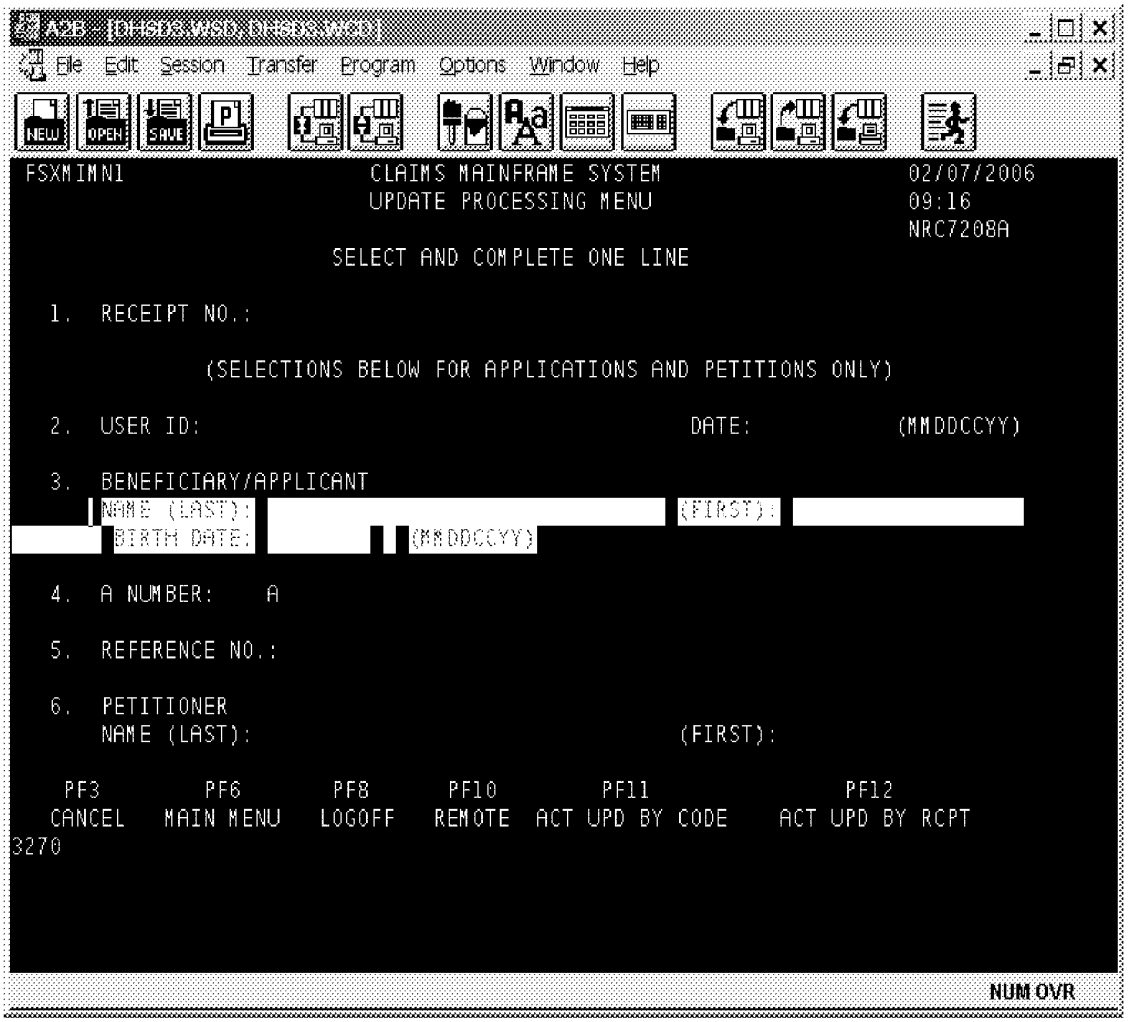
2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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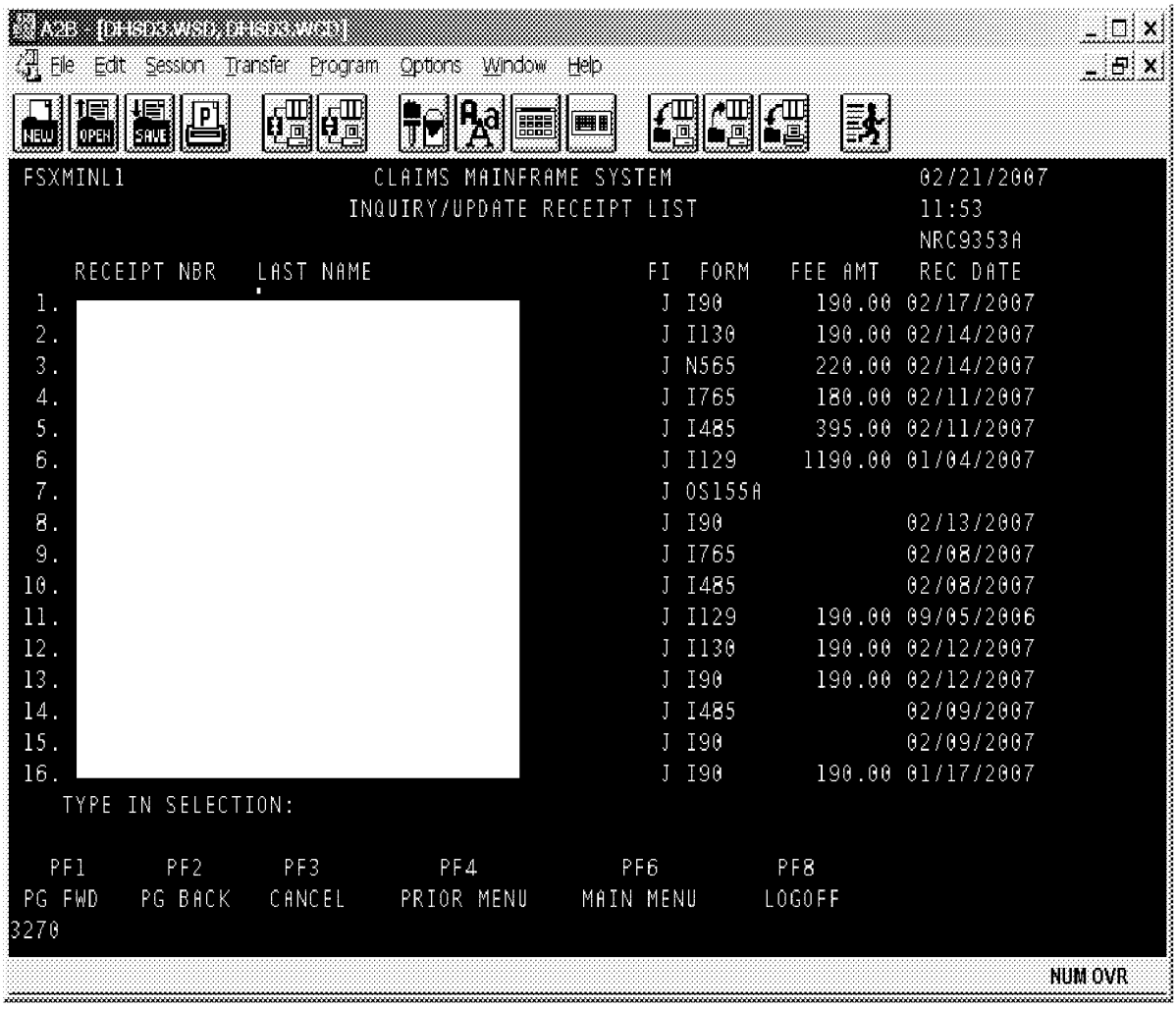

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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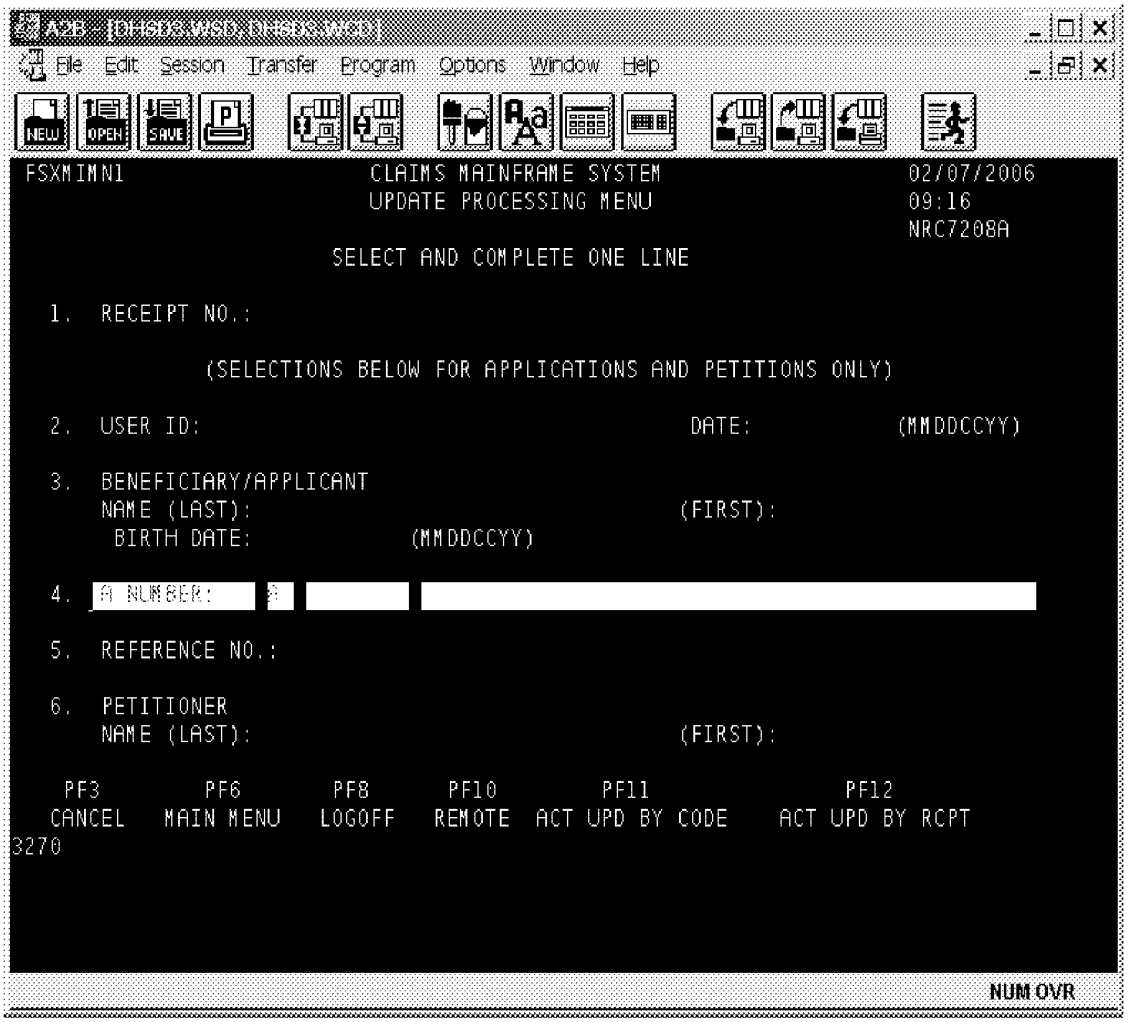
2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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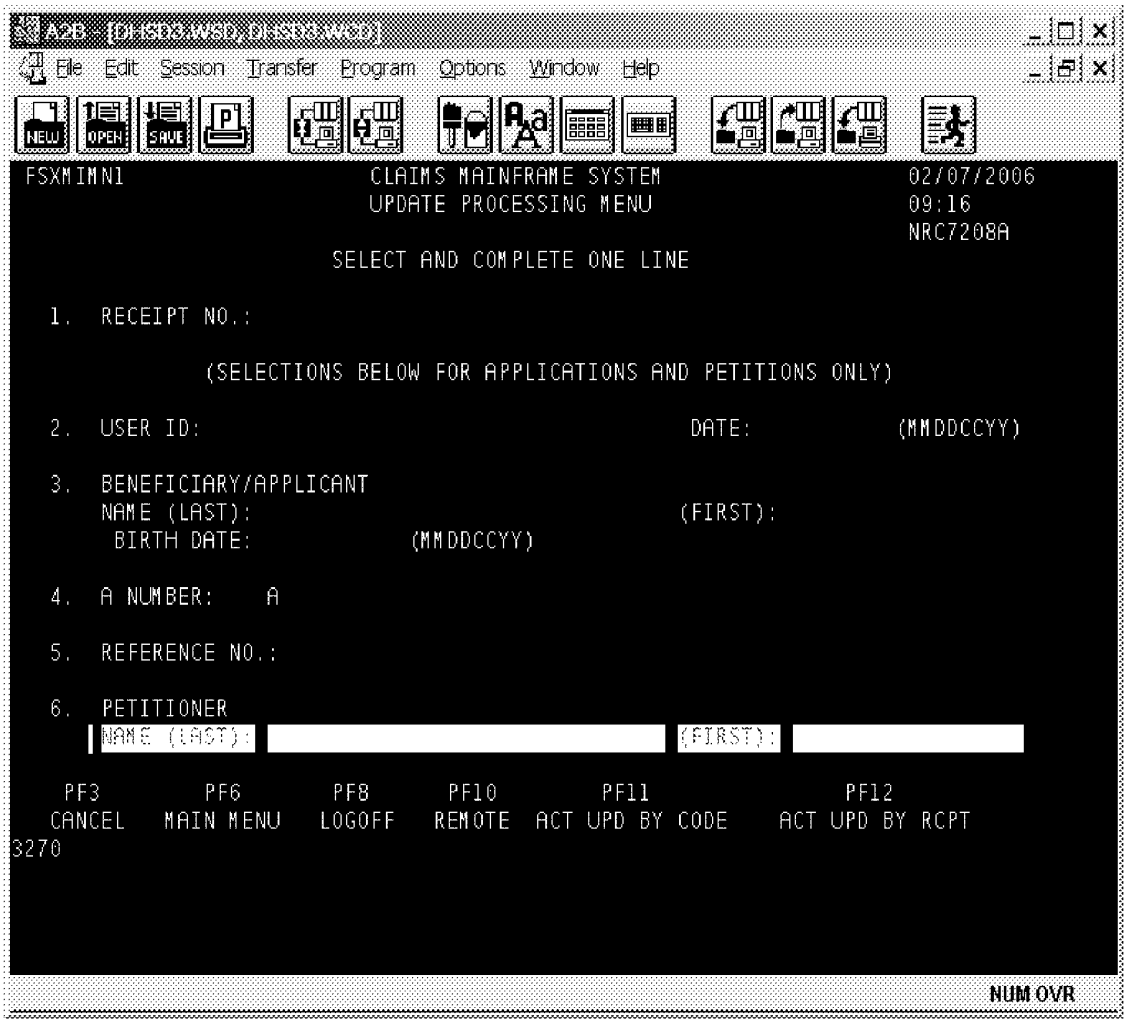
2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

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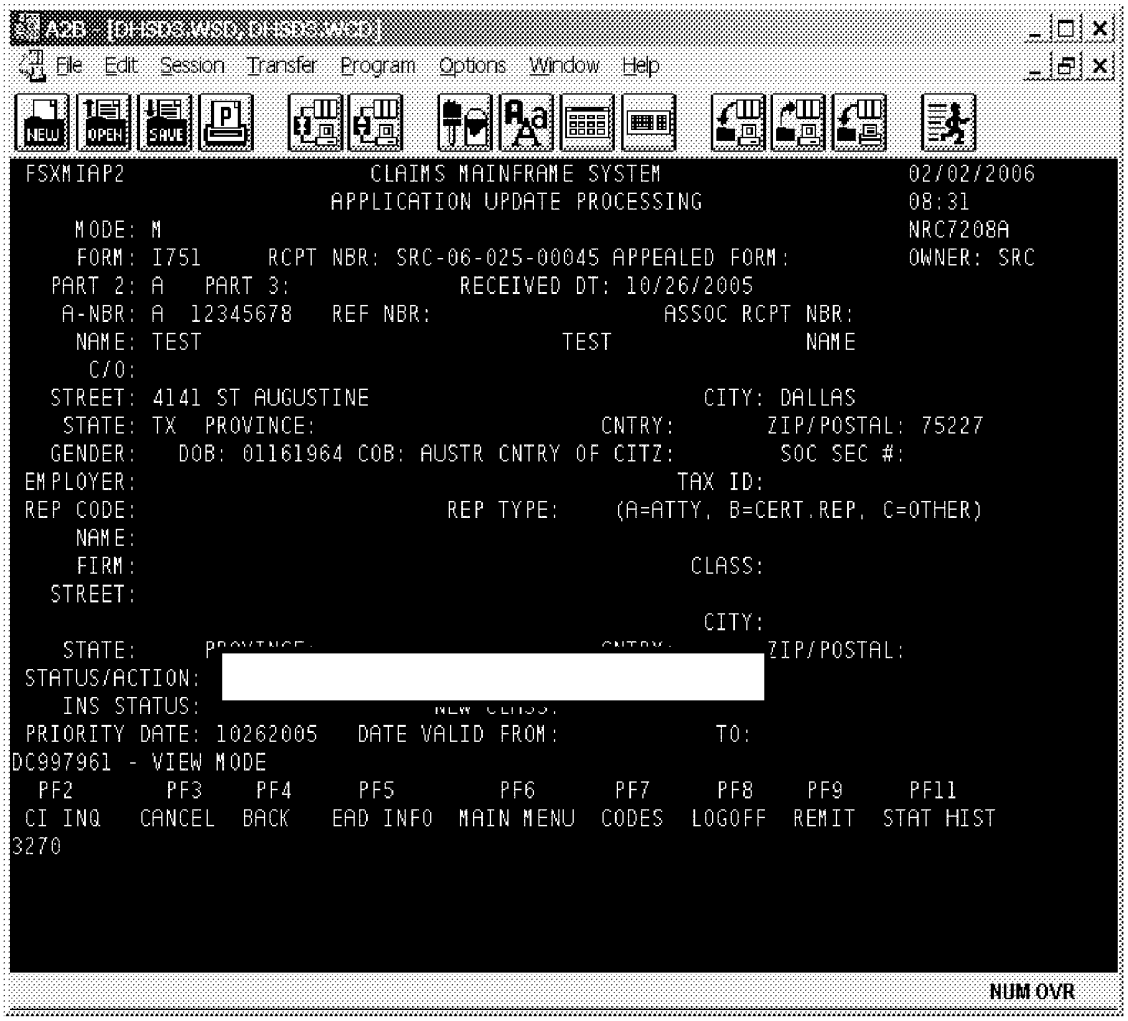

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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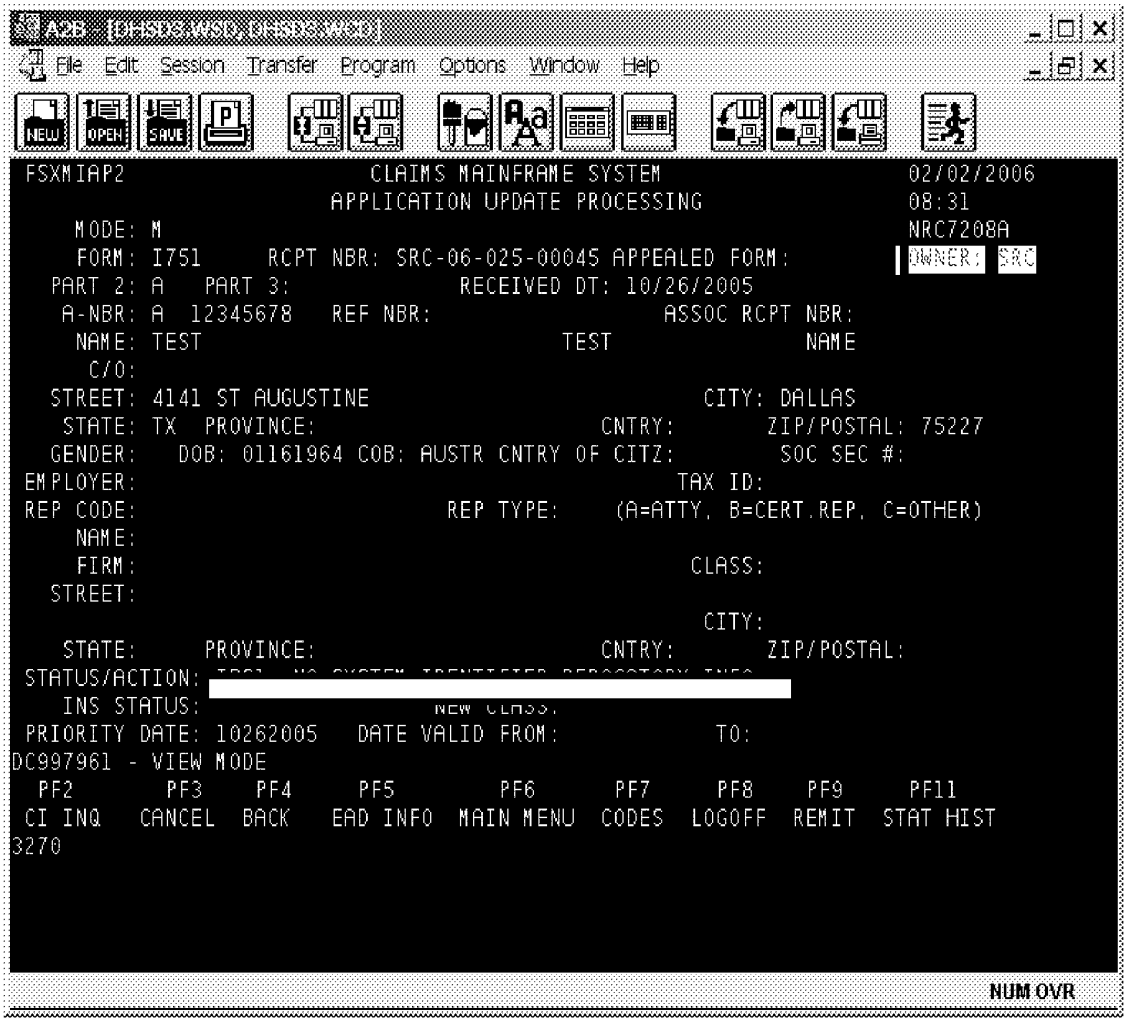
(b)(7)(e)



The top right corner of the screen shows the owner of the file, this may help in determining where to staff for the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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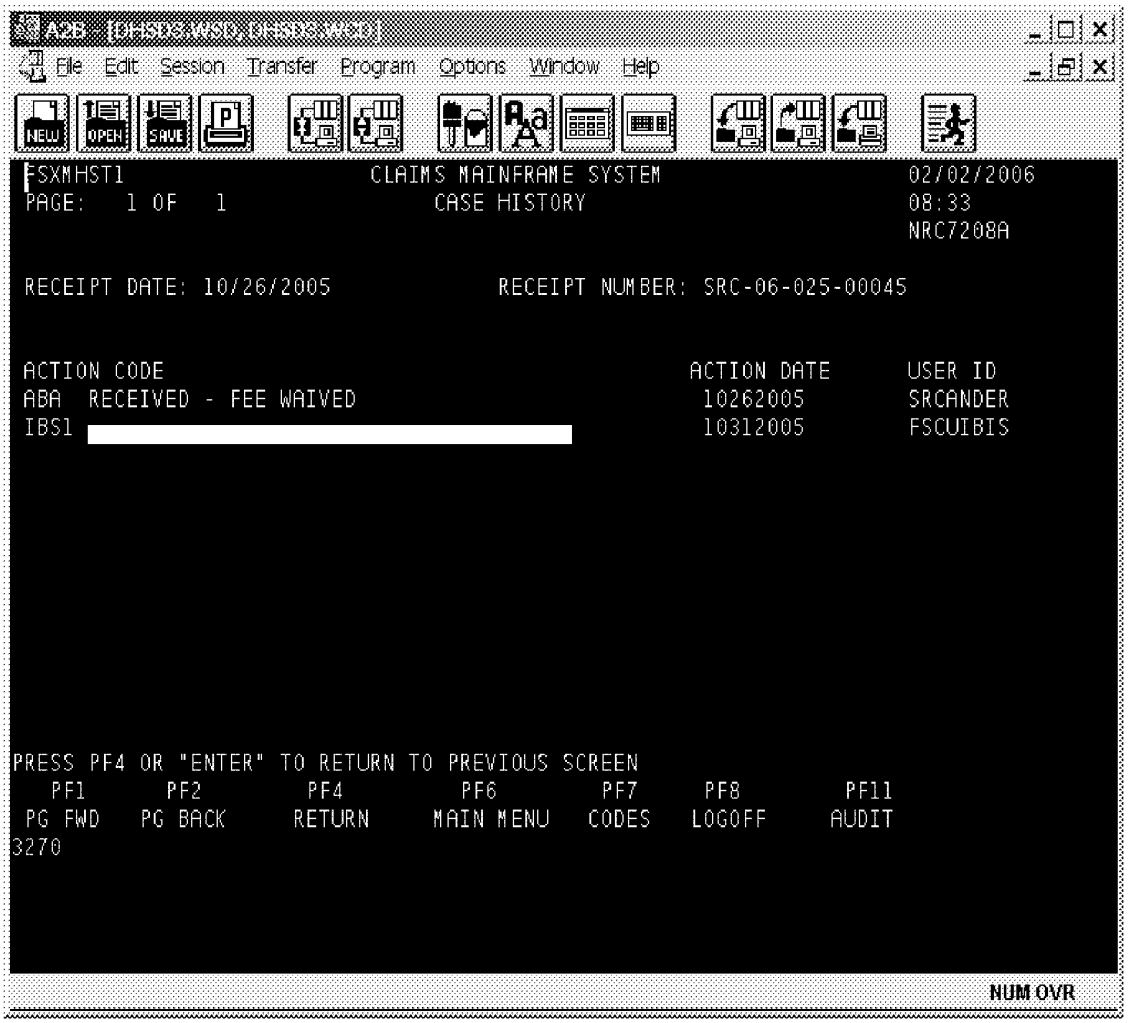

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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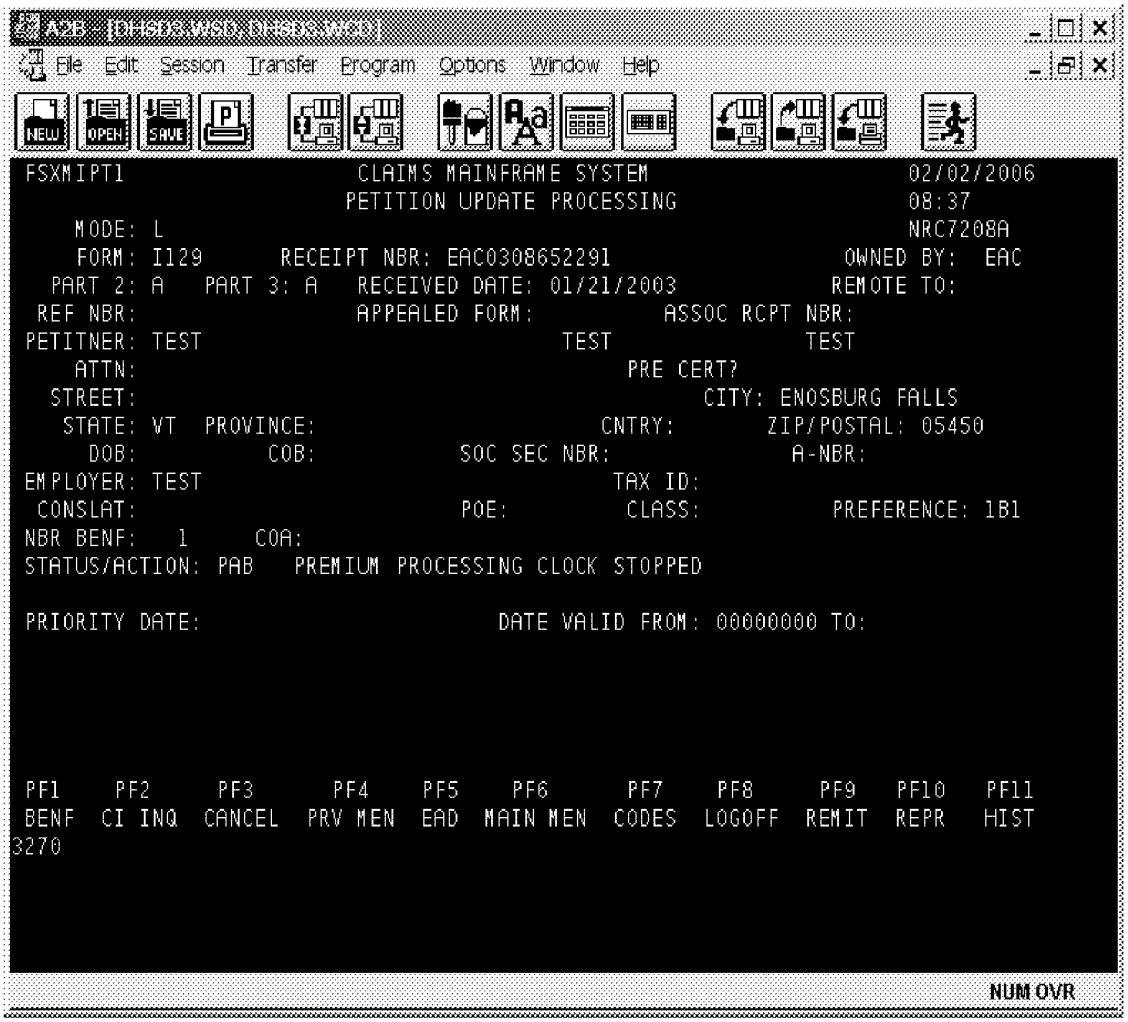
2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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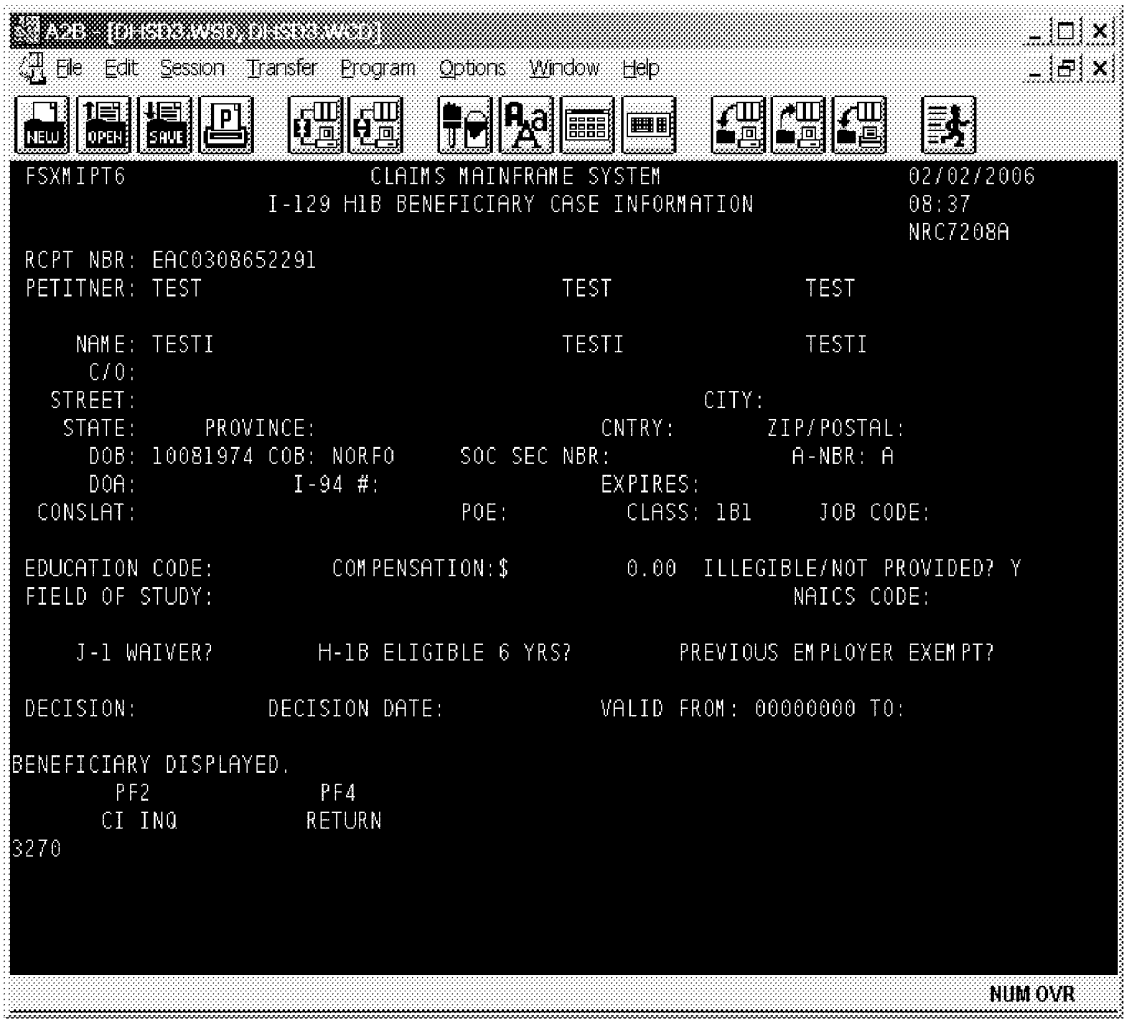
To see the beneficiary information press F1.



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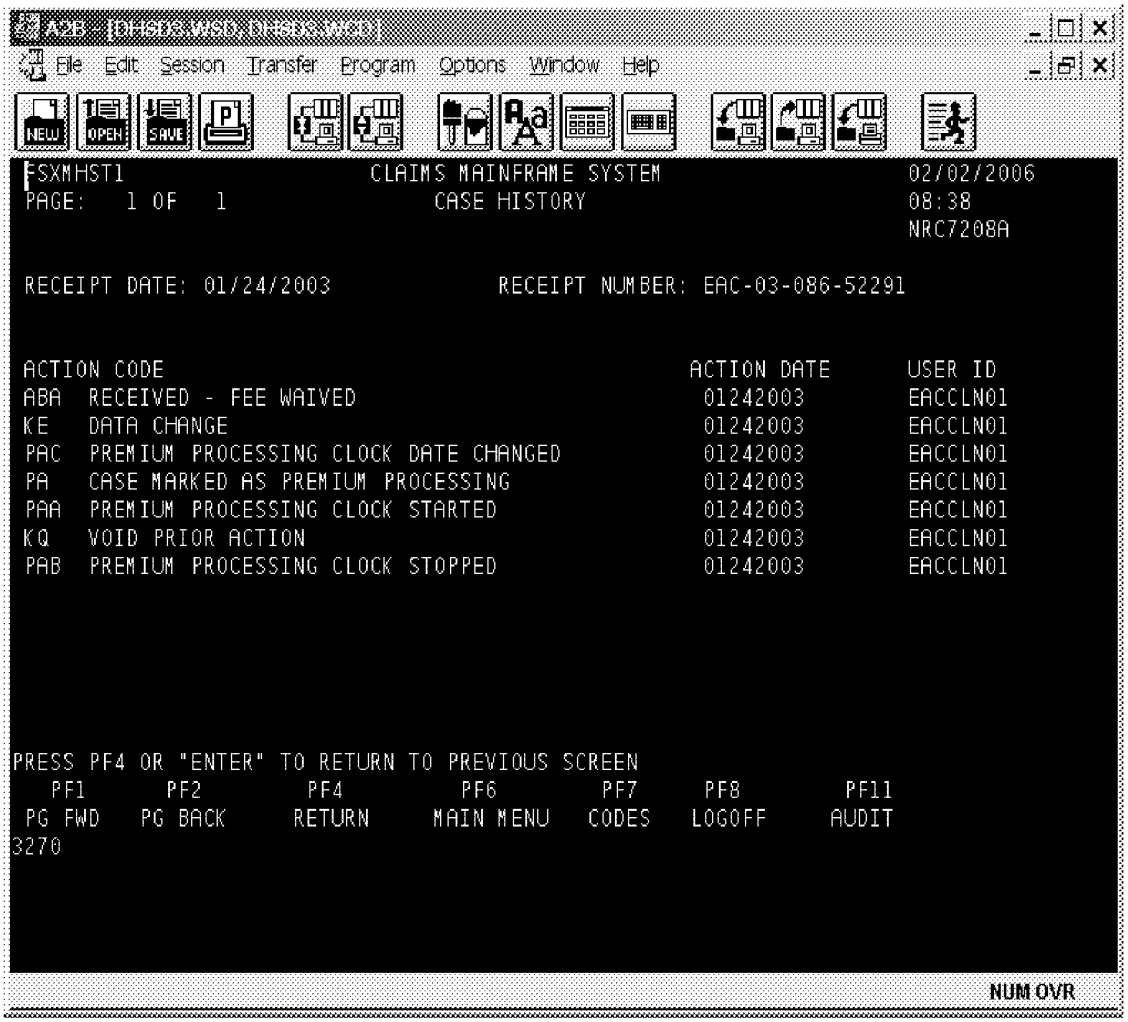
To view the history, press the F4 key to return to the previous screen, and enter F11.



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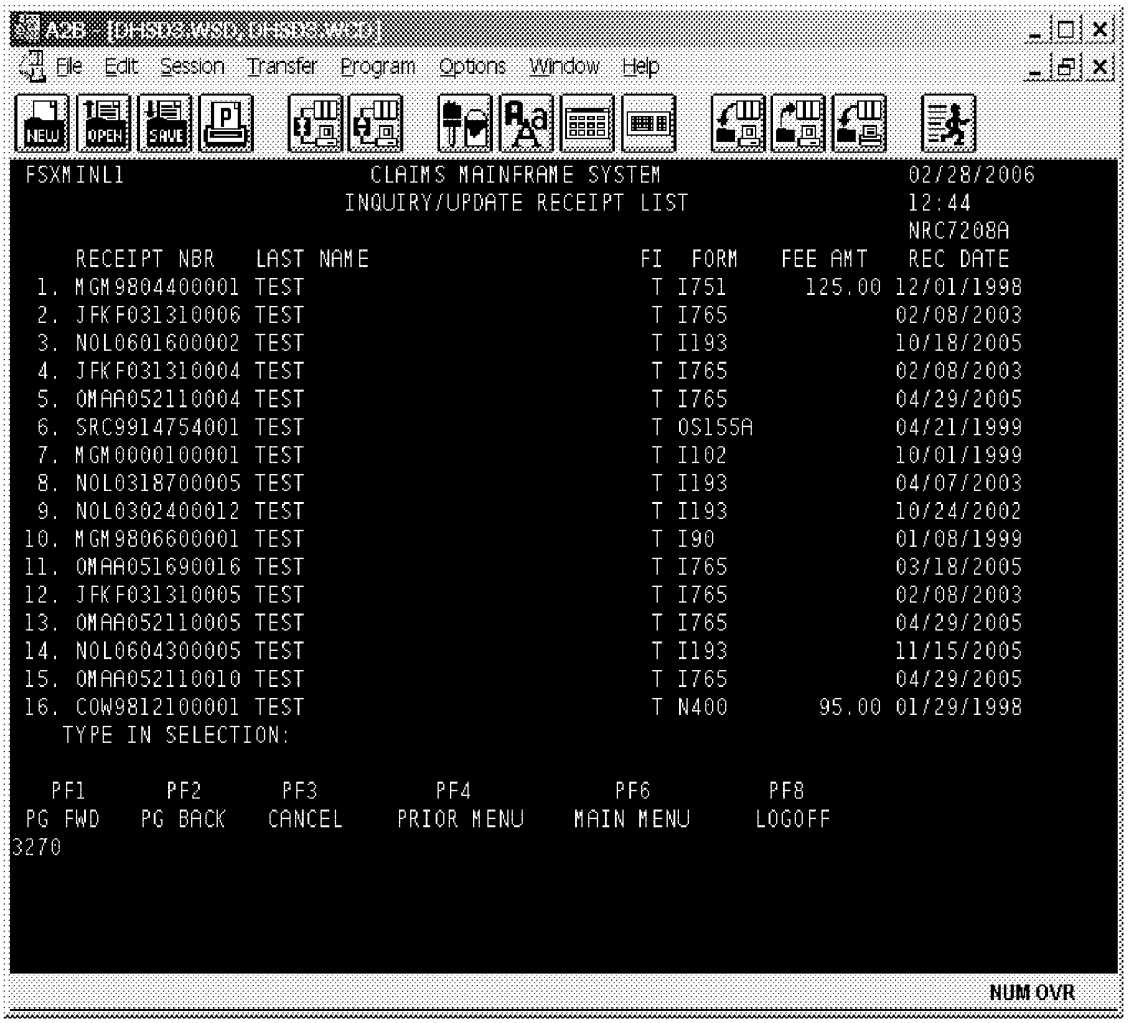

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Allen Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a

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national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

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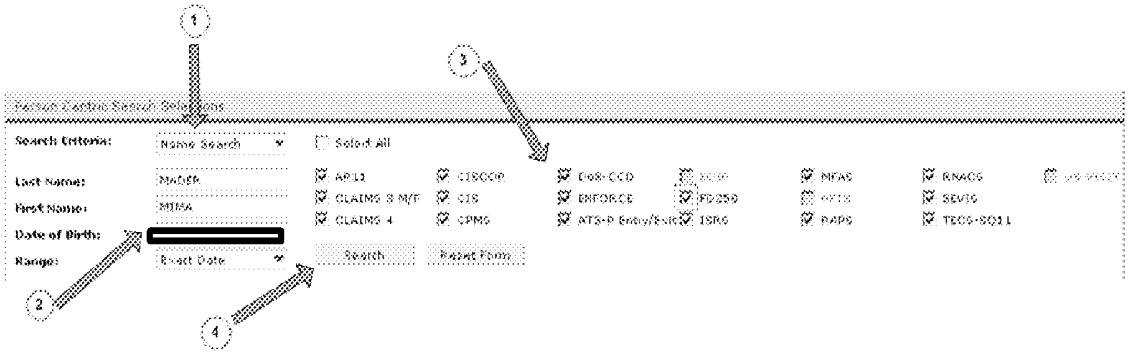

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5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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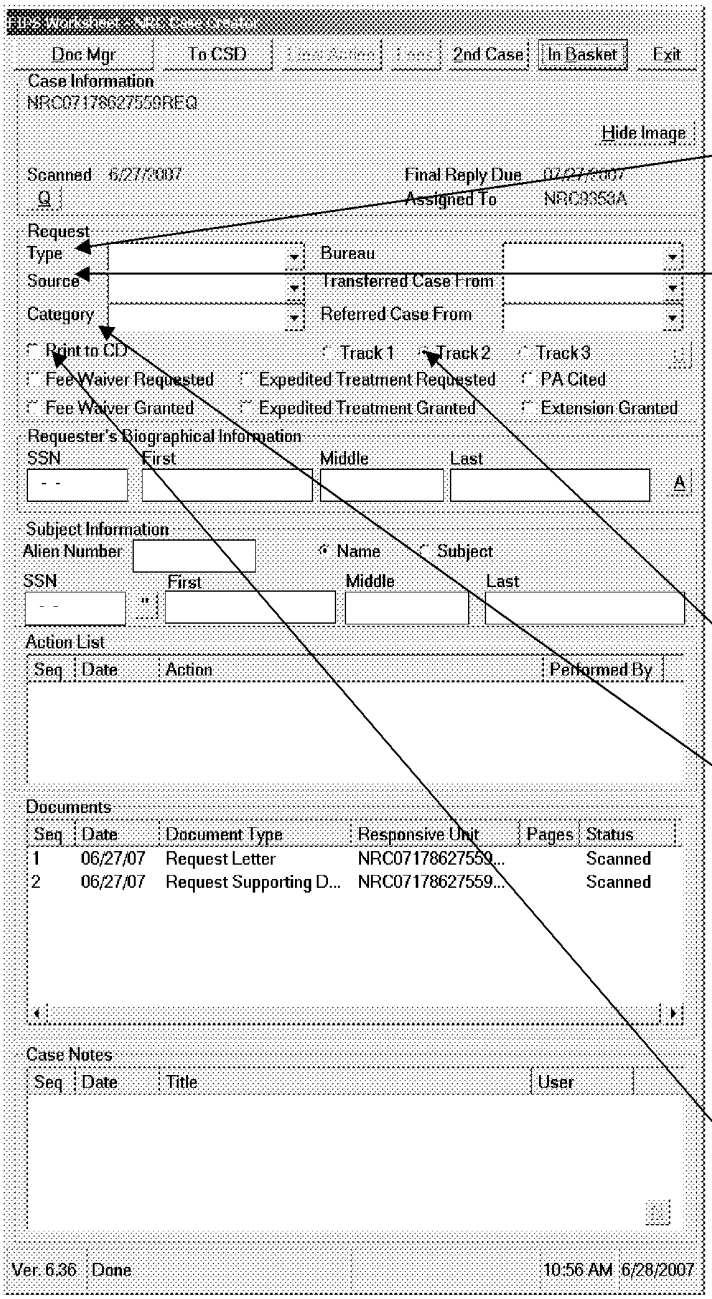

REQUEST

Type of request

- Always FOIA

Source

- A - Attorney
- C - Commercial
- E - Education/Scientific
- F - Foreign Government
- N - News Media
- O - Other
- R – Representative
- S - Self
- W - White House/Congressional

Track 1, 2 or 3

Category

- ALF – Copy of alien file
- ASY – Asylum
- DOC – Memos, documents
- GEN – Genealogy
- PER – Personnel
- SIG – Special Interest Group
- SFR – SFR cases at NRC

Print to CD

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CREATING THE CASE

On the FIPS worksheet under the header "Documents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date beside the sequence number. Ordinarily, the date is in the past, but if you should ever open a request and discover the date beside the sequence number is today's date, you should exit from the request (Retain in my In Basket) and send an e-mail to your supervisor explaining what happened. In the current version of FIPS, if we attempt to create a case on the same day the contractor scanned the request, it will cause "FIPS errors" and we will be unable to create the case. Checking the scan date is the very first thing you do when creating a case.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

EXCEPT: if there is a slot marked *"Request Responsive Records"*, DO NOT view them before you create the case. These are the responsive records and the case is ready to process after you complete the acknowledgement letter. It will not be necessary to staff for the alien file. As part of staffing procedure, you should check in NFTS anyway to determine if there is a T-file here at NRC. That's another exception to the rule because you do not normally staff for T-files at the NRC, but we cover that in the staffing portion of this guide. The main thing to remember at this point is not to open "Responsive Records" while it is still a request and before you have completed case creation.

You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

REQUEST INFORMATION

1. Type of request (FOIA)

Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

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2. *Source of request*

The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- A – Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- C - Commercial
- E - Education/Scientific
- F - Foreign Government
- N - News Media
- O – Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- R – Representative - The requester is an accredited representative. On a G-28, the requester will have marked the box "Accredited Representative."
- S – Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- W - White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

3. *Category of request*

There are 30 different categories of requests. However, the most commonly used ones are:

ALF – The requester is asking for an entire copy of an alien file. This category includes the following:

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a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

DOC – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of their naturalization certificate. As a rule, you should create a case as DOC if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as ALF. (Refer to the section *"What track is my case?"* that follows.)

PER – The requester is seeking information relating to USCIS personnel matters.

SIG – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

Select "SIG" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;

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h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "SIG."

If you believe a request qualifies as a SIG, choose that case category in FIPS, generate a staffing sheet using "FOIA Special Interest" and create the acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a SIG case and report it accordingly. If the case creators do not mark SIG cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the SIG category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

SFR– NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

GEN – Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.

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e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

Do not create the case as GEN unless it meets one of the above criteria. If the case you are creating does meet the criteria for GEN, create it as GEN then do the following:

a. Close the request as an ER
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

4. Bureau

The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, staff for the file.**

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5. What track is my case?

Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests).

Please select the category DOC: Memos, Documents and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

Continue to create the case in Track 1 as specific documents. The requester may write back later responding that they need the whole file, and Records Locator can change it to Track 2 at that time.

Track 2 – Requests for entire copy of alien file, asylum requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category ALF: Alien File and make the case a Track 2.

Track 3 – Requests for records of individuals scheduled to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track III is approved or denied.

Requesters will sometimes request both Track III processing and expedited processing. Neither has anything to do with the other. A requester could be granted either Track III processing or expedited processing, but never both at the same time on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

Track III processing is not "expedited" processing as that term is used and understood in FOIA. When discussing Track III processing of a FOIA request the word "expedited" should never be used (priority or accelerated processing are more appropriate terms for Track III). Don't confuse the two in discussions or correspondence with requesters.

Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track III coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

If the requester specified Track III processing but the request does not have a cover sheet, please create the case. Do not staff yet. If you have a request for Track III and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare your response according to the Track 3 Letter Denial found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

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Send the case to Unit Chief. Send an e-mail to your supervisor and include the control number of the case. When your supervisor makes a decision the case will be returned to you in case create to staff for the file.

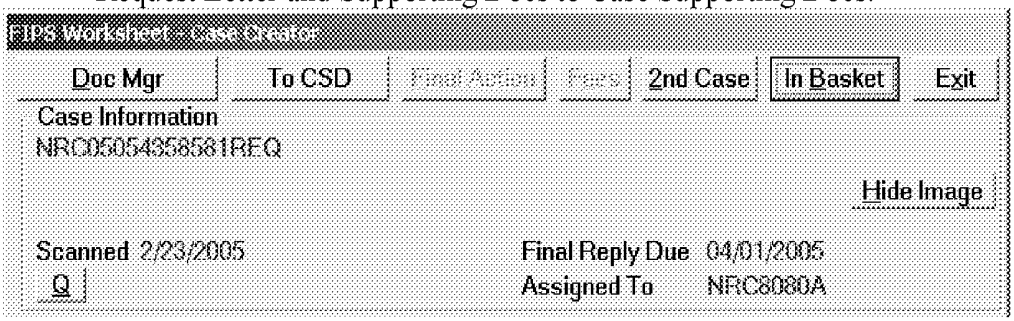
If you assign the case to Track III, ensure you put the words "TRACK III" at the top of the staffing sheet.

If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track III processing, do not create the case as new. You will attach the new request to the existing case as a CSD. If Track III processing has been approved, you have to change the track on the original case to Track III.

To attach a new request as a CSD, please follow these instructions:

When you pull up your new request and determine that it is a Track III request (there should be a cover sheet attached to the request granting or denying "Track III" and the necessary documentation should be present), if you know the existing case number it is not necessary to fill in the blanks of the FIPS worksheet. If you don't know if there is an existing case, fill in the fields on the worksheet in FIPS. If you click on Doc Manager, and you find a potential duplicate case, please carefully review the existing case. If the requester is the same, note that control number.

- Cancel back to FIPS without assigning a control number to the new request. In the upper right of the worksheet, click the button "To CSD". This will change the request to a CSD. After it is changed, the button that previously said "To CSD" would now say "To REQ" and the document type in the document portion of the worksheet will have changed from Request Letter and Supporting Docs to Case Supporting Docs.



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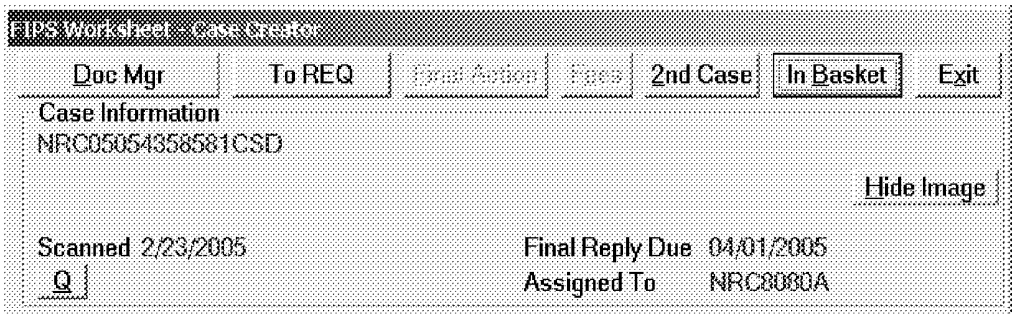
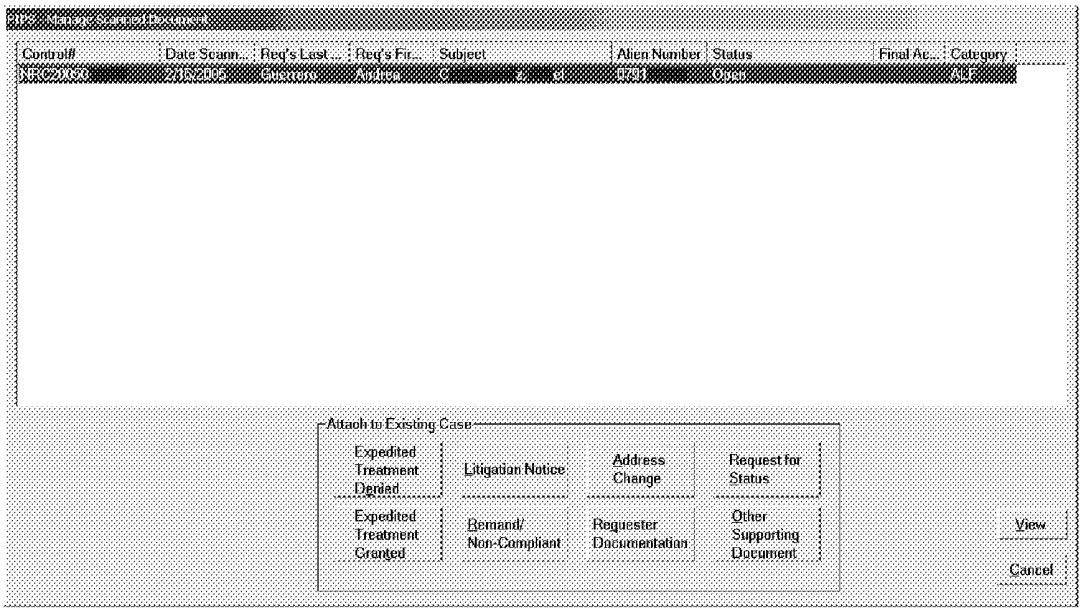


- Click Doc Manager again. When the search screen appears, you can search using the alien number or the control number of the existing case and click search. This will pull up the FIPS Manage Scanned Document Screen.



- Highlight the control number of the existing case. This action activates the box on the bottom of the screen. Attach the new request to the existing case as an Other Supporting Document. FIPS will ask you to verify that you are attaching it to the proper case. FIPS will then attach the new request and supporting documents to the existing case.

After FIPS finishes attaching the information, (please be patient; do not click anything else while you are waiting), it will open up the original case, allowing you to update the track selection. Exit back to your in basket and either pend the

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case for responsive records (if the file has not been scanned in) or send it to the processing queue.

Once you have attached the CSD's to the existing case, the existing case is assigned to you in Case Create. Whether Track III processing is approved or denied, please send a status letter. Please click In-Basket and save the case.

Next, click Stand-Alone and call the case up. Click on Status Letter and replace the contents of the letter with the Track III Denial verbiage located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Track_3_Letter_Denial.* Close and save the letter. Click In-Basket to get back to the FIPS – Select Role screen. Click Case Create and click Next Case to recall the case you were working on. Either pend the case for Responsive Records (if the file has not been scanned in) or send the case to the processor if the responsive records have been scanned in.

To send a Track III approval letter, simply click on Status Letter and replace the information detailing where your case is in the queue with the following statement:

Your case has been approved for Track III processing.

6. *Is there a request for fee waiver?*

The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest.
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Under current guidance, simply including a DOJ Fee Waiver form does not constitute a request for fee

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waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

When a requester has asked for a fee waiver, you must check the box marked "Fee Waiver Requested" on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a case note in FIPS indicating that you addressed the fee waiver request. When you are finished creating a case with a fee waiver request, send the request to Unit Chief and e-mail your supervisor. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role.

Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

Fee Waiver Granted: If the decision is to grant the fee waiver, then please check the box marked "Fee Waiver Granted." In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

7. Is there a request for expedited treatment?

A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

> (1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;
>
> **or**

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(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case as new. You will attach the new request to the existing case as a CSD.

- If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, removing the sentence about where the case is in queue, and replacing it with "This letter serves to notify you that your case has been approved for expedited processing."
- If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, attach your request to the original case as a CSD and do not send further correspondence.
- If the expedited treatment request refers to a case that *has already been closed*, close it as DP and send a duplicate letter or to create it as a new case, based on the situation. Please refer to the section on DP (duplicate) Cases.

Sometimes the OA room will miss an expedited request. If this happens, check the "Expedited Treatment Requested" box, create the denial letter and then send the case to Unit Chief. Send an e-mail to your supervisor explaining the situation.

EXCEPT: Do not mark both "Expedited Treatment Requested" and "Track III." A request can be either expedited or Track III, but not both. If the requester has asked for Expedited Treatment and Track III, treat it as if it is a Track III request

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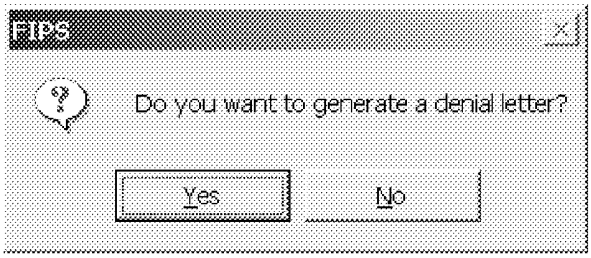
and follow the instructions in TRACK III PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.

If the supervisor granted expedited processing, check **both** the "Expedited Requested" and "Expedited Treatment Granted" buttons on the FIPS worksheet. When you create the acknowledgement letter, the following box will appear:



Click "NO" if we granted expedited processing (because we do not want to generate a denial letter) and FIPS will generate the acknowledgement letter. We must advise the requester that his or her request for expedited treatment has been granted. In the acknowledgement letter, please add the following statement to the end of the first paragraph:

This is to inform you that your request for expedited treatment has been granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria. If the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

If the requester has asked for expedited treatment and the supervisor has indicated denial, you must check the box marked "Expedited Treatment Requested" on the worksheet. This will generate a pop-up window that asks the question:

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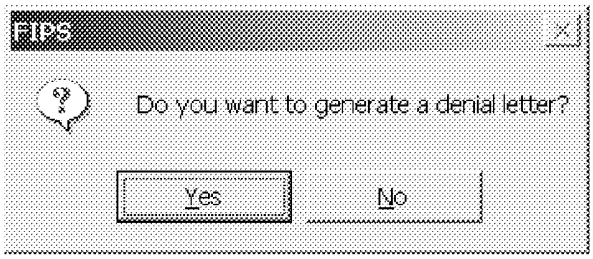

The answer to the question in this circumstance is "Yes". After you have answered this question, FIPS will create both the acknowledgement letter and the letter denying expedited treatment. Please do not click on the documents as they are generating. The system will take a few moments for completion. After creating both letters, FIPS will return to the FIPS worksheet and both documents will appear on the status bar of your computer (the area on the bottom of the screen that shows you what programs/documents you have open). You can then click on them to make any necessary corrections, close and save changes.

If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

NOTE: If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then un-check the box before you close the case. Because we are not generating a letter regarding expedited treatment, and because it would cause erroneous reporting of Expedited Treatment Requests, you must un-check the box.

CD OR PAPER?

In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

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A few guidelines to follow:

- Case Creators will mark the "print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter.

- If the responsive records are already scanned in when you create the case, you will still check print to CD. The processor must uncheck the print to CD box if the responsive records are less than 15 pages.

- All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

- If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

- If a requester specifically asks for their records on paper, do not check "Print to CD" box and case note the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

REQUESTER'S BIOGRAPHICAL INFORMATION

1. ***Requester name***

When entering the information on the FIPS worksheet, please observe the following rules

- Do not use all capital letters when entering names.
- Do not use professional titles, such as Doctor or Reverend in the requester information.
- You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.
- Do not open cases in the name of a company only.

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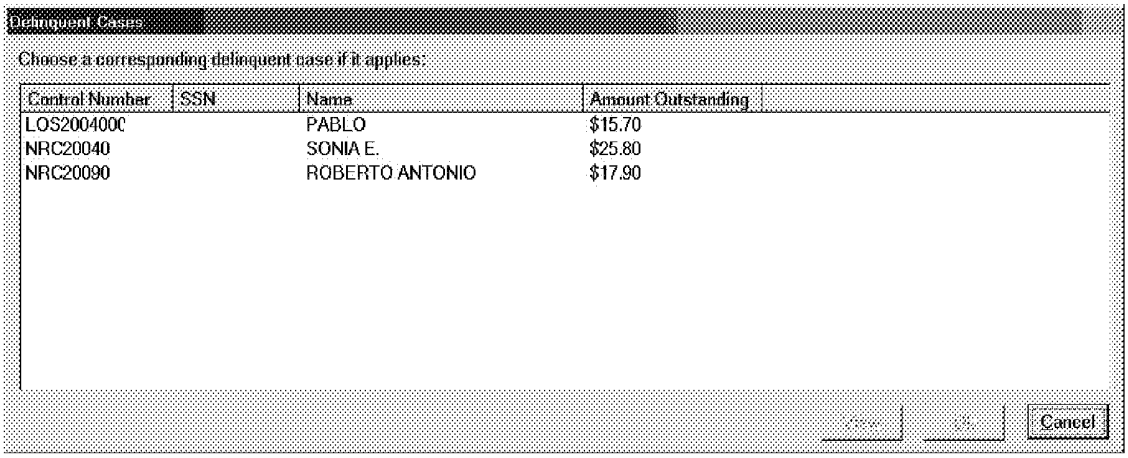
- Do not hyphenate names.
- Be accurate with the spelling of the requester's name in FIPS. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.
- Add a period after the middle initial.
- Do not use part of the last name as a middle name, for example Hispanic names.

2. *Is this a delinquent requester?*

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, his or her case closed as a FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducted a search by the last name(s) of delinquent requesters.

Do not treat the case as delinquent if the case was processed on or before December 31, 2003. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of

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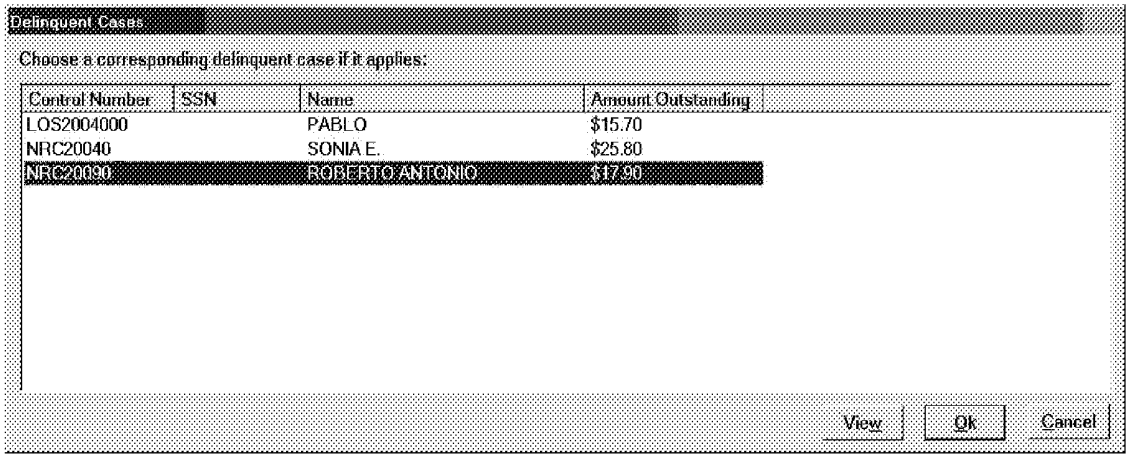
the e-mail, include the name of the delinquent requester and the delinquent case number(s).

If the case was processed after December 31, 2003 and your requester's name was on the list:

If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. We have no way of obtaining those records to release to the requester. You will know the request was processed in FIPS Lite when you view the case because you will see the FIPS Lite placeholder.

Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click view. If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.



When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

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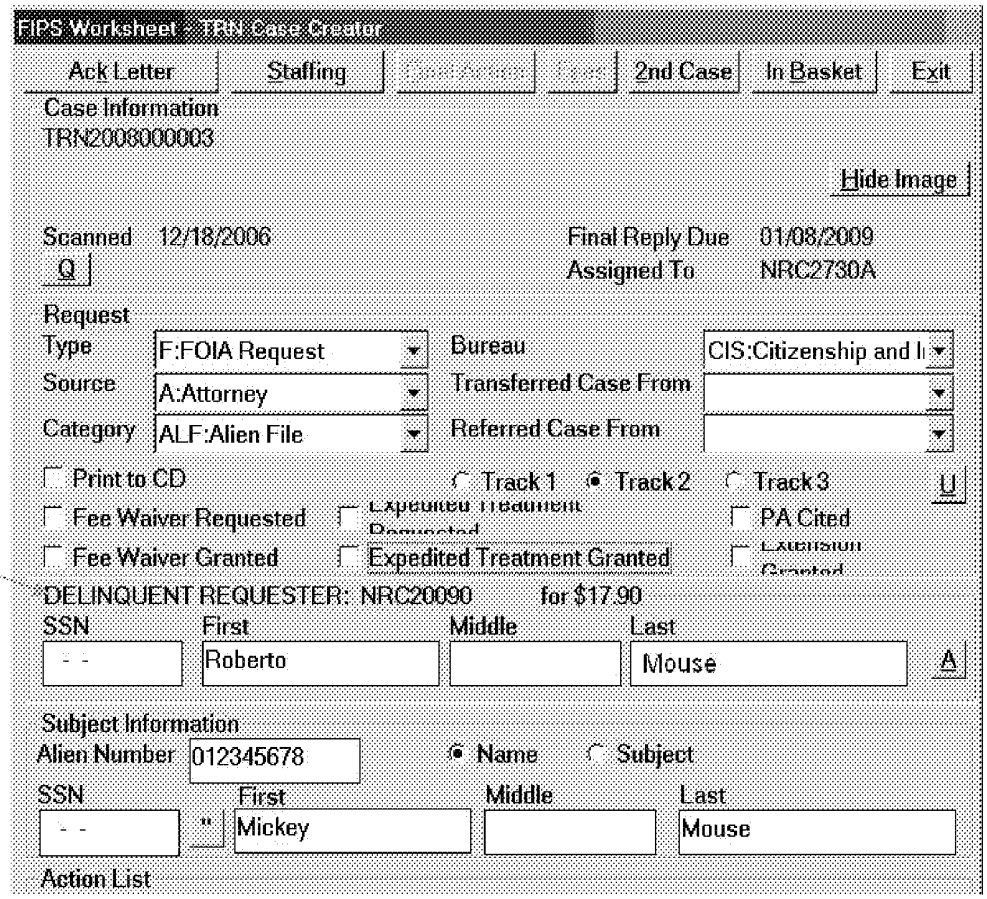

**Do not staff for responsive records until we receive payment.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

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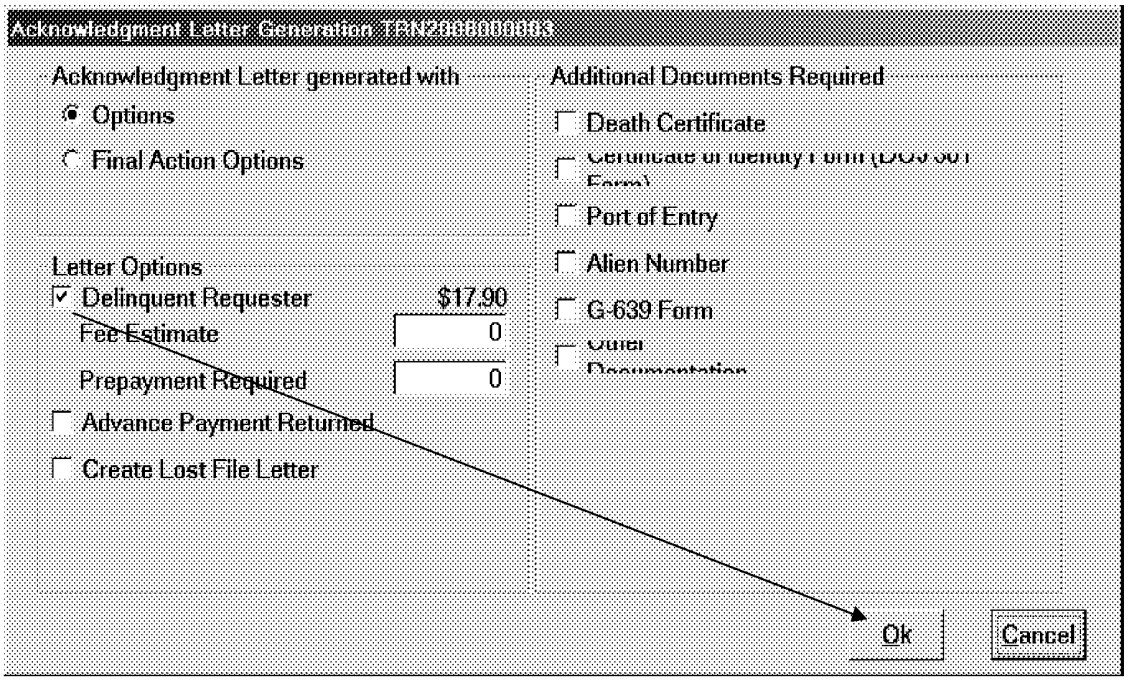
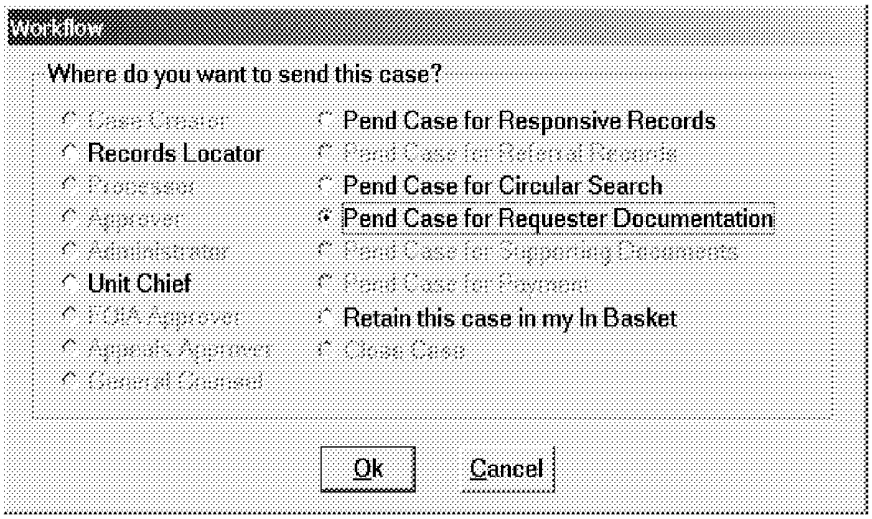


There will be no further action until the delinquency is resolved. Please pend for requester documentation.



3. Complete requester address

The requester's name and address are on Form G-639 in Section 2, "*Requester*

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Information." If there is a duly executed Form G-28 in the Request or Request Supporting Documents enter that attorney's address in the FIPS address block.

If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information*." Do not use the address on the envelope or letterhead.

Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

Please include the suite number or apartment number on the same line as the street address. Currently FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left.

If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address. Please do not use both.

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The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

Enter any suite numbers or apartment numbers in the address line.

If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c/o" and the law firm name or the name of the attorney.

If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and case note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
New Mexico
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. With Mexican addresses for example, if you enter Mexico City's postal code in the postal code field, the address will print incorrectly for Mexico's postal system:

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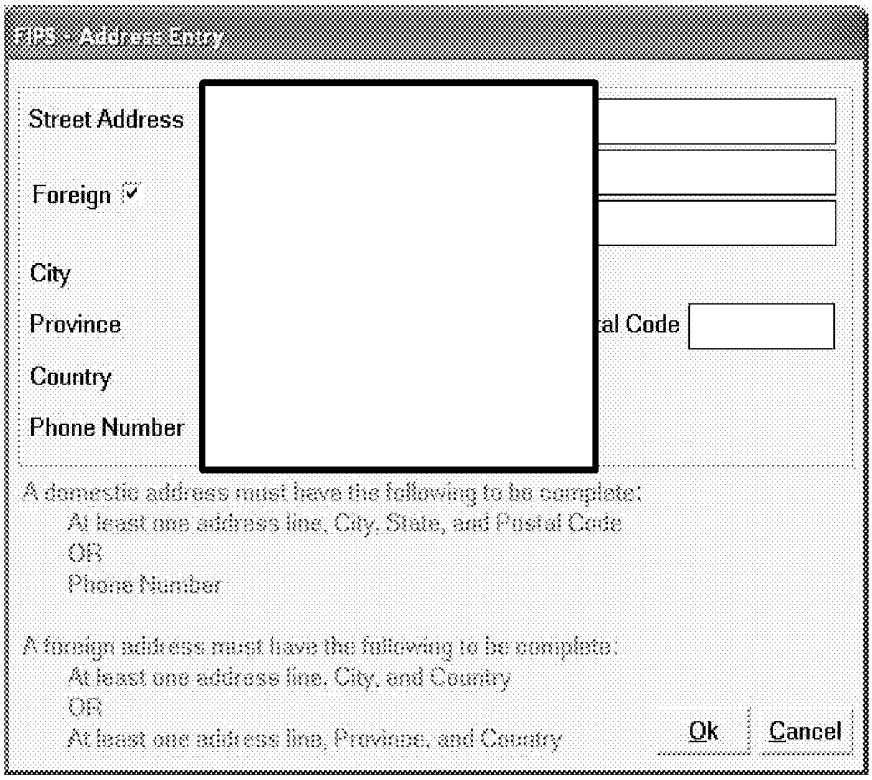
(b)(6)



SUBJECT INFORMATION

Under the header: "Subject Information" you will see two radio buttons – "Name" and "Subject." Most requests are for a copy of an A-file, so you will select "Name."

- Alien number, if applicable
- Alien name or
- Subject information, if the requester asks for specific documents that will not be in an A-file (i.e., vacancy announcement, investigative reports, copy of personnel file, or in some cases, a copy of a receipt file that has not been consolidated into an A-file).
- When the requester is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

1. Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number. You should always check the A-

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number in CIS to be sure it belongs to the correct subject. If you have a seven-digit A-number, please add a lead zero to make it an eight-digit number. FIPS will automatically enter a lead zero if you have an eight-digit number. If you have created the case and you see less than nine digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will staff for the beneficiary's A-file.

2. *Name or Subject?*

This portion automatically defaults to a name format. Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a Petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will select the button marked "Subject" in the subject information area. This will change the format of the screen to one box labeled "Description" instead of three boxes. Delete any alien number in cases such as this. Check to see if there is an A-number when you are creating a case by "Subject" instead of "Name." If there is an A-number, delete it to avoid a bad staffing.

"Subject" is used at different times, such as:

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- when there is no alien number for the subject, but there are receipt numbers
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000 for Juan Cardozo Martinez

Incorrect: MSC-04-123-60000 for Juan Cardozo Martinez

Incorrect: MSC0412660000 for Cardozo Martinez, Juan

Enter the receipt number with no dashes or spaces and enter the first name first and last name last, for example, "for Jane Smith," not "for Smith, Jane." This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility. If you are requesting multiple receipt files from the same facility, use only one staffing sheet. See **Staffing Sheet Guide** for more guidance.

When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

RUNNING DOC MGR (DOCUMENT MANAGER)

Now that you have filled out and verified the requester's name and address and checked the name and A-number of the subject, the next step is to run the "Doc Mgr." Document Manager, or Doc Mgr, the button is located in the upper left hand corner of the FIPS worksheet. This button enables you to search for cases based on different criteria in FIPS before creating the case at hand. It allows you to do a myriad of functions such as

- Create a new case
- Create a duplicate case

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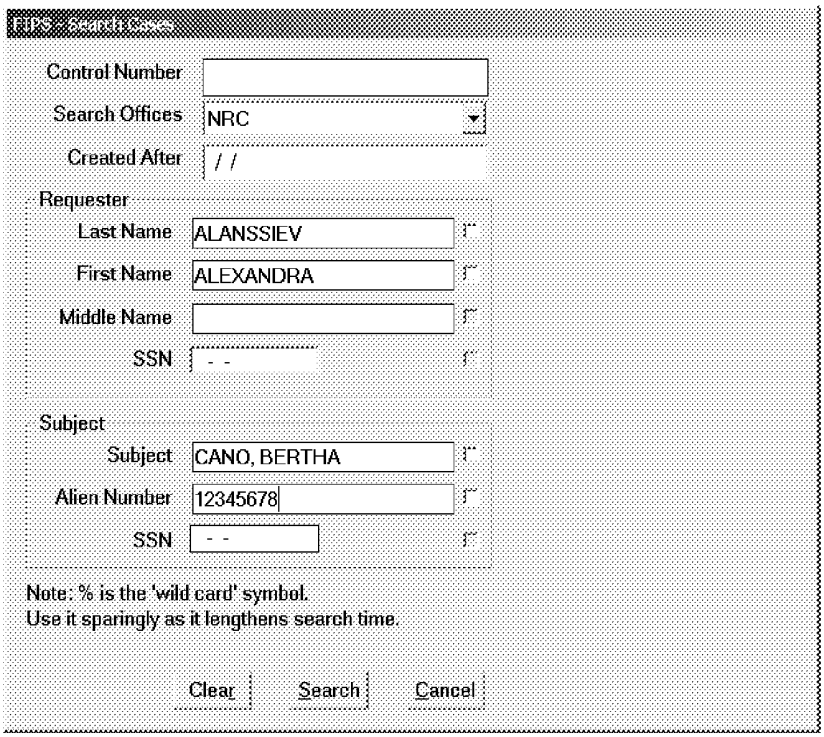
- Create a multiple case
- Attach CSD's to an existing case
- Attach requester documentation to a pending slot
- View an established case that matches the criteria in your current case

If the subject provided an alien number in the case you are creating, search by the alien number. If the subject did not provide an alien number, or if the request is for documents other than an alien file, the best criterion to use is the requester name. Always change "Search Offices" from "NRC" to "ALL Offices." In addition, we can avoid having duplicate cases by searching both the a-number and the subject's name.



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Specify the search criterion by checking the box that corresponds with the line of information. This information carries over from what you entered on the FIPS worksheet. To perform a search, simply check the box you want used in the search and click on the "Search" button. The system then tries to match your search criteria selected to any existing cases in FIPS. For example, if you select the Alien Number field as the search criterion; FIPS will retrieve all cases created with that alien number. You could also search by the subject of record's name – and you should do so if you have any doubt, to avoid having active duplicate cases. FIPS will search only on the field or fields you select.

If the requester has provided more than one alien number and through careful research, you determine that they all relate to the subject, you must run Doc Mgr on all of the numbers, not just the one entered on the FIPS worksheet. You can change the Alien Number field on the Doc Mgr pop-up window to reflect the different alien numbers provided and conduct a search on each one.

The majority of the cases you create will be new cases. After you run Doc Mgr and you have found no matching case, the following pop-up will appear:

Select the button "New". FIPS will then generate a control number for the case. This procedure can take a few minutes to complete. Please be patient. Do not click on any other buttons while FIPS is working.

Use the Multiple Cases button when the request is for multiple individuals

FIPS will ask how many cases need to create and will then create them semi-sequentially. FIPS has the ability to create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the requester is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

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After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine consent and PII.

WHAT IS CONSENT?

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

Consent can be any of following:

- A Form G-639 bearing a notarized signature or a signature made under penalty of perjury, or
- A notarized signature of the subject, or
- A declaration under penalty of perjury signed by the subject

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it is consent.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as consent with a signature under penalty of perjury.

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A current photo ID or a G-28 signed by the subject of record is for information purposes only and is not accepted as a form of consent for any case created March 5, 2009 or later. However, you may accept a properly executed Form G-28 **without a penalty of perjury statement as consent** for any case created **on or before March 4, 2009.**

"Consent" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:
>
> (1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".
>
> (2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning an individual, and if there is only one signature and it does not fall under one of the categories above, request consent using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment*. Check the first box on the document.

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After you send an acknowledgment letter requesting consent, do not staff for the file. Click on "In Basket" and Pend for requester documentation. When the requester provides consent, Records Locator will staff for the records.

Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. The signature of the parent/guardian must be notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors can make a request for their file themselves. They do not have to have the consent of their parent or guardian to make this request. An attorney may also represent a minor.

Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent. Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application/petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her

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request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply staff for the file and put a case note in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not staff for the file. In a situation like this, send a request for consent and pend the case for requester documentation.

Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, it is assumed they are deceased and no proof of death is required.

Routine use, no consent required, not FOIA

The Service may disclose records from the alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state

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or local government agency requesting information about an alien, e-mail your supervisor advising them of the situation, then close the case ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

Criminal bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement. If you open a criminal bond obligor request in case create, use the same guidance as for immigration bond obligors.

Immigration bond obligor, no consent required, not FOIA

We no longer process requests received from bond obligors. Any new requests that are scanned into FIPS as of June 11, 2009, should be closed as an ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address.

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

What is an Immigration Bond Obligor?

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

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CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM) and CC your supervisor, or in other situations to the MSB mailbox (NRC, NRCFOIAMSB), and CC your supervisor.

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates. Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate the FOIA request should be closed as an ER and an e-mail should be sent to NRC, FOIAOA mailbox (with a CC to your supervisor) with the case information. Send the case to Unit Chief. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subjects address from the envelope and set it up as a self request.

REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

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Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

REQUESTS: A-number only

If a requester/subject is asking for their alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the OA room for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in the case will move to the processing queue.

REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Admin. Send an e-mail to your supervisors with the case information. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

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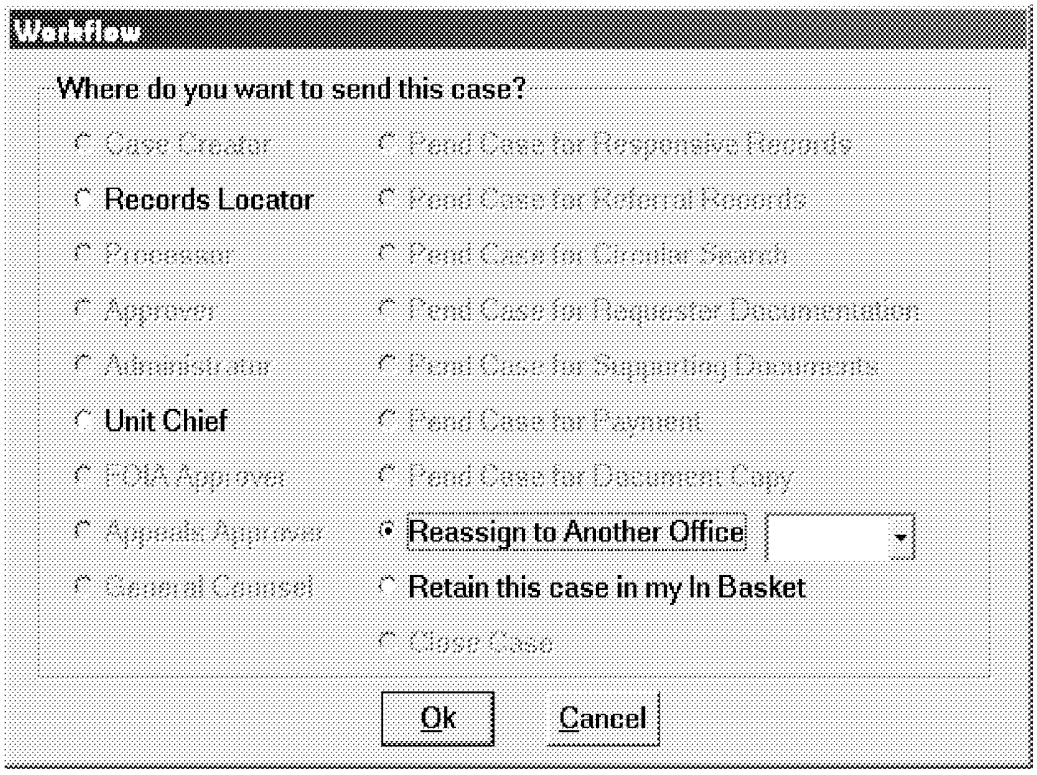
REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, the subject information box should be changed to "subject" and the description should contain the vacancy announcement number.



Click on the "Reassign to Another Office" and use the drop down box to select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

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REQUESTS: Official Personnel File

Close FOIA requests received from an individual for a copy of his or her Official Personnel File (OPF) as NA (not applicable). Inform the requester in the final action letter that they may access their OPF on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

After generating the "NA" letter in FIPS, send the case to Admin and send your supervisors an e-mail with the case details. The supervisor will review and close the case.

REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and staff for the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category. You should e-mail your supervisor advising him or her of the situation, then close the case ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

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> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, click final action and choose "ER" (created in error). A letter is not created by FIPS; you will need to generate a letter in Stand-Alone explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed case note. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a case note titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the case note and paste it into an e-mail to NRC, NRCFOIAMSB, with a CC to your supervisor.
- Send the case to Unit Chief.
- After translation, a copy of the translated information will be scanned as CSD or case noted, and returned to you for creation and/or staffing.

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SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, staff for the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

SITUATION: Appeals

If an appeal is encountered in case creating, the request needs to be sent to the Unit Chief box in FIPS and an e-mail sent to the designated appeals POC advising of the appeal.

SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please close it as an ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates

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the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

SITUATION: Certification of record

When creating a new case, insert a case note "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

SITUATION: Certification of record for dual Italian citizenship

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If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

If the requester's relative is deceased, they must submit their request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born before 1909, particularly if the request does not meet the criteria for a genealogy case. The complete list of criteria can be found in Section 3, "Category of request" in the sub-paragraph "GEN."

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), staff for the file.

SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, click final action and choose the code "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

REFERRAL AND REDIRECTION

Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close

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the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring). USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Select "RF" in the final action drop down menu. FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the receiving component. It is important that the requester be told to which DHS component their request has been referred. It is DHS and USCIS policy that under **no** circumstances should a final action letter to a requester state that their FOIA request has been forwarded "to another government agency" or some other vague reference. If the FOIA request in question should have gone to another DHS component initially, then you must identify the component the request is referred to in the final action letter. You may have to edit the letter to add the required information.

Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter."(Final Action Options: RD) An example of a request to close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. If you open a request and find out the information is outside DHS, go to Acknowledgment Letter, select Final Action Options, select RD-Redirect, and prepare the letter. Send the case to Unit Chief and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

Entry/Exit Information referral to CBP

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The following applies when referring cases to CBP: CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, staff for the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please staff for the A-file.

Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Case note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC_FOIASIG and cc your

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supervisor saying you have sent the case to Unit Chief. After that, send the case to Unit Chief.

US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you will staff for the file. See Entry/Exit CBP information above.

PII REQUIREMENTS TO STAFF FOR AN A FILE

Before creating any letter or staff for an A file, please verify, at a minimum, these four elements of Personally Identifiable Information:

1. A-number or Receipt Number
2. One parent name
3. Date of birth
4. Country of birth

Next, check the CIS 9101 (ID # Search/Display) screen to match the provided information. If all elements match, please staff for the A file. There is no need to request any additional information.

Sending for additional documentation:

If the requester did not provide any of the four elements listed above, request the additional PII with your Acknowledgement Letter. The procedure for creating an acknowledgment letter requesting additional information is in the section of this handbook entitled "ACKNOWLEDGMENT LETTERS." After you create the letter requesting additional documentation, do not staff for a file. Click on In Basket and Pend for Requester Documentation. After we receive a response from the requester, a person

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working in Records Locator will staff for the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

If the PII given does not match CIS and you have not been able to find a record after researching the CIS 9102 ("Sounds Like") or 9106 ("Sounds Like" Name, with DOB); and 9103 (Exact Name) screens; please scan the screen prints in as CSDs, draft the NR letter and forward to Unit Chief.

Closing a case as No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS and CLAIMS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9106 Sounds-Like Name with DOB

Determining to staff based on best information available:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please staff for the file. However, prepare a case note explaining why you staffed for the file.

Social Security Number

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that

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number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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STAFFING FOR THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to staff for the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject and that the File Control Office (FCO) is an office the NRC processes.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for staffing.

If the requester is only seeking specific documents, please make a case note in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. In these instances, the creator will list on the staffing sheet the exact documents being requested. The Service Center will then locate these documents within the file and scan only the requested documents. Please see the staffing guide for more instructions on staffing for these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS and CLAIMS and try to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not staff for "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

Please mark all cases created using the FOIA Special Interest Group staffing sheet with the category "SIG." This will allow a member of Special Interest Group to review and identify cases for their reporting purposes.

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If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a case note after you have created the case. The title of the case note should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the staffing sheet. Repend the case for 180 days, go to In Basket and Pend the case for responsive records.

STAFFING BY ALIEN NUMBER

One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

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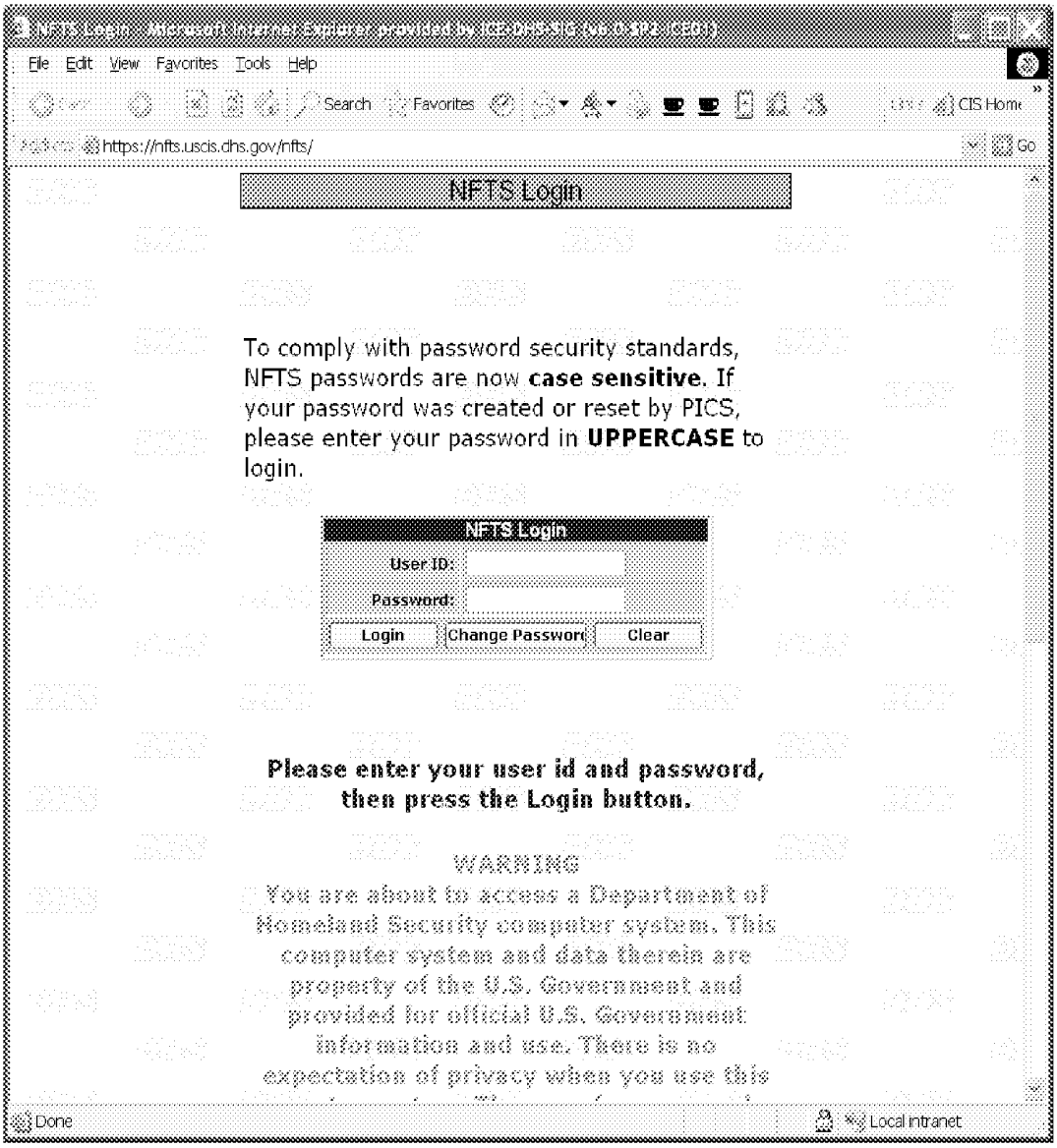
1. Open NFTS



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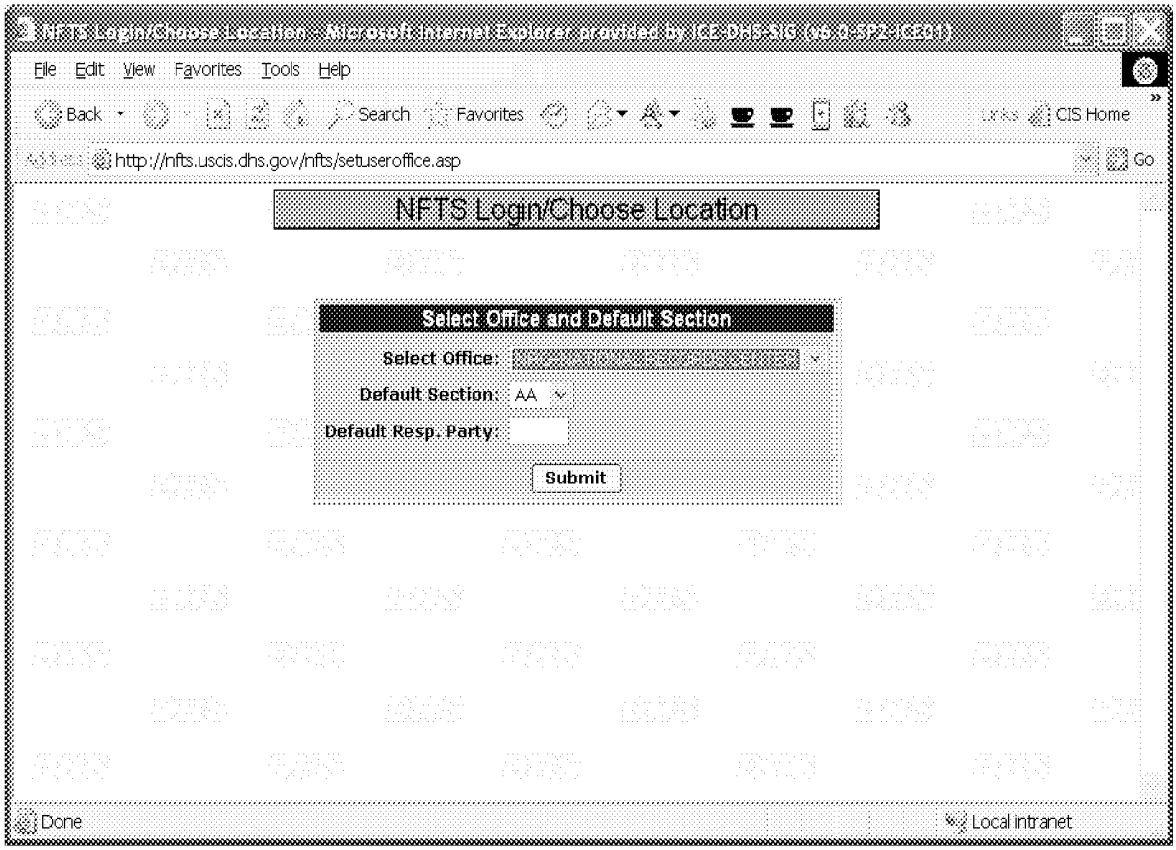
2. Submit your location



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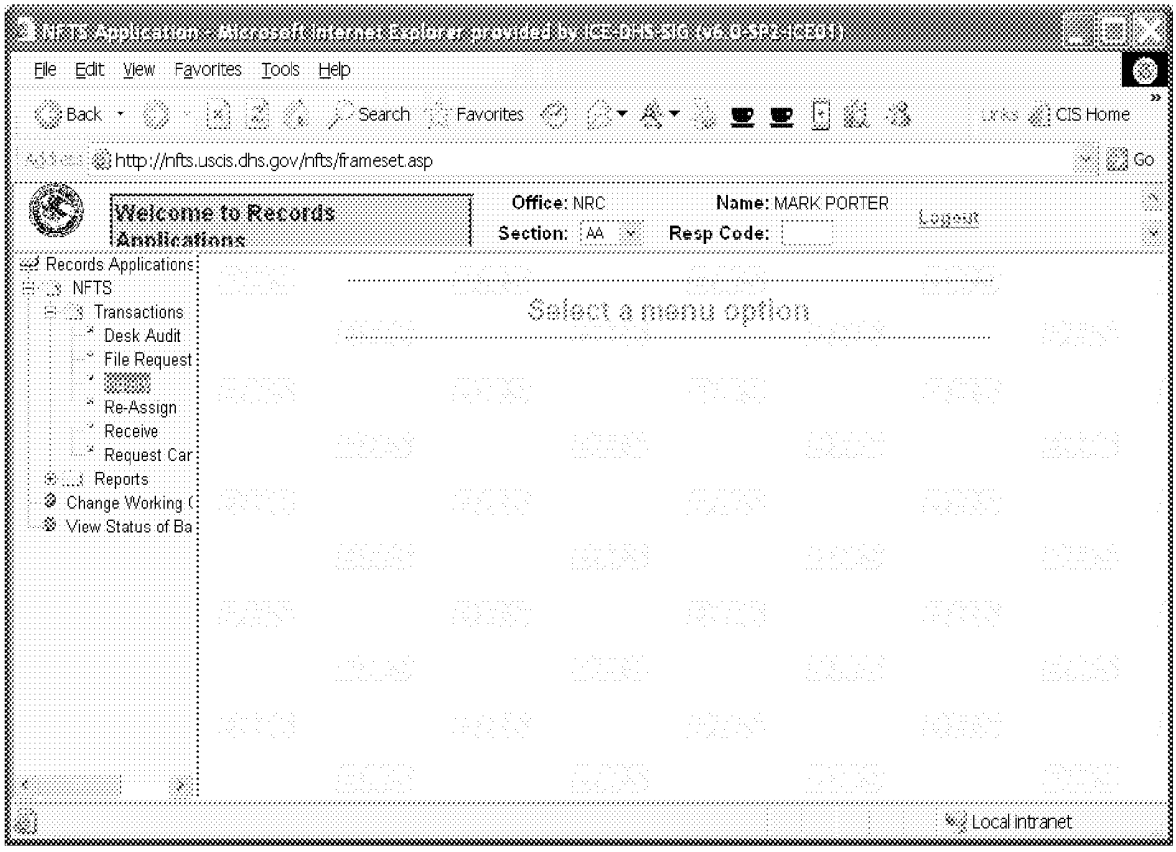
3. Select "Inquiry"



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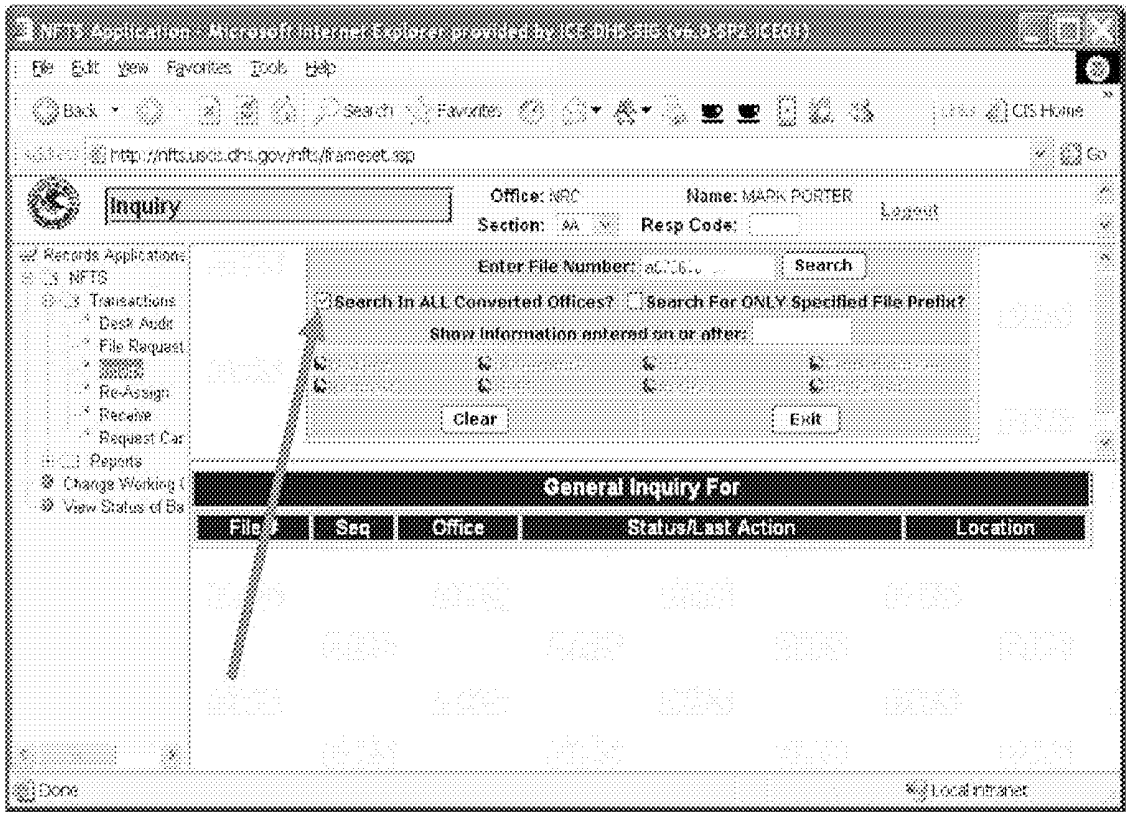
4. Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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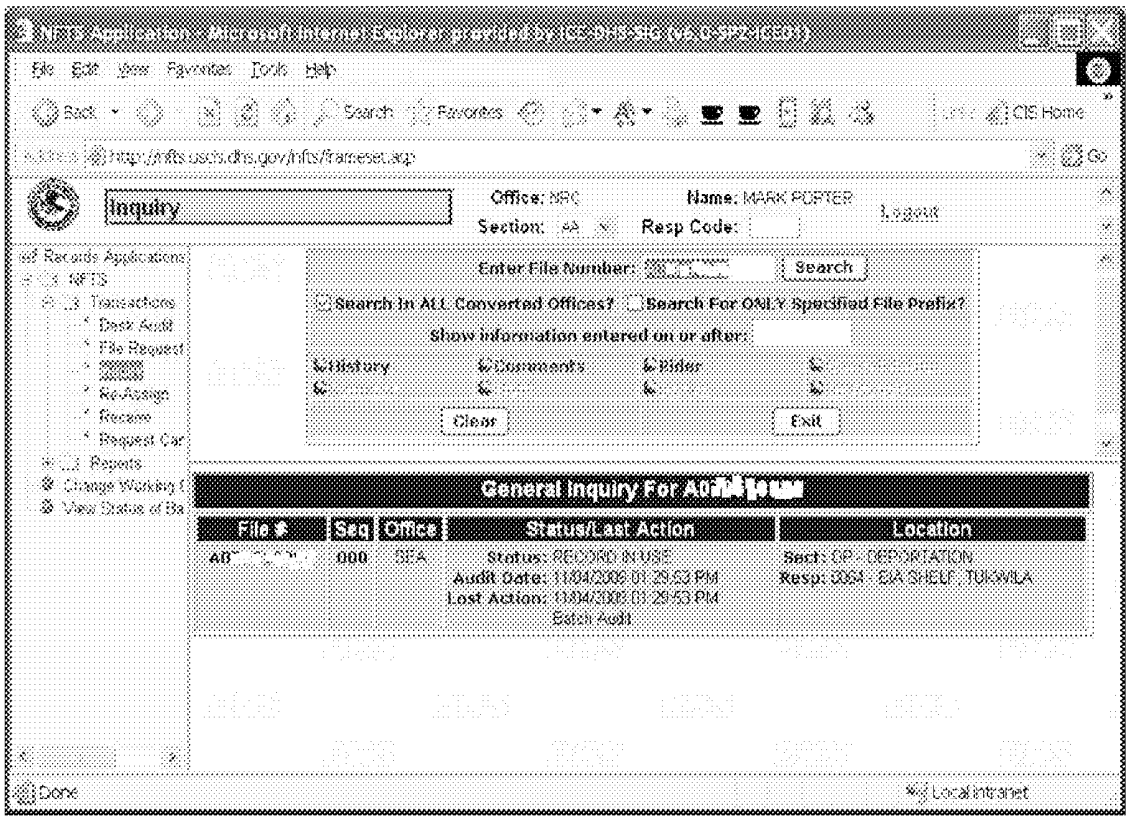
5. The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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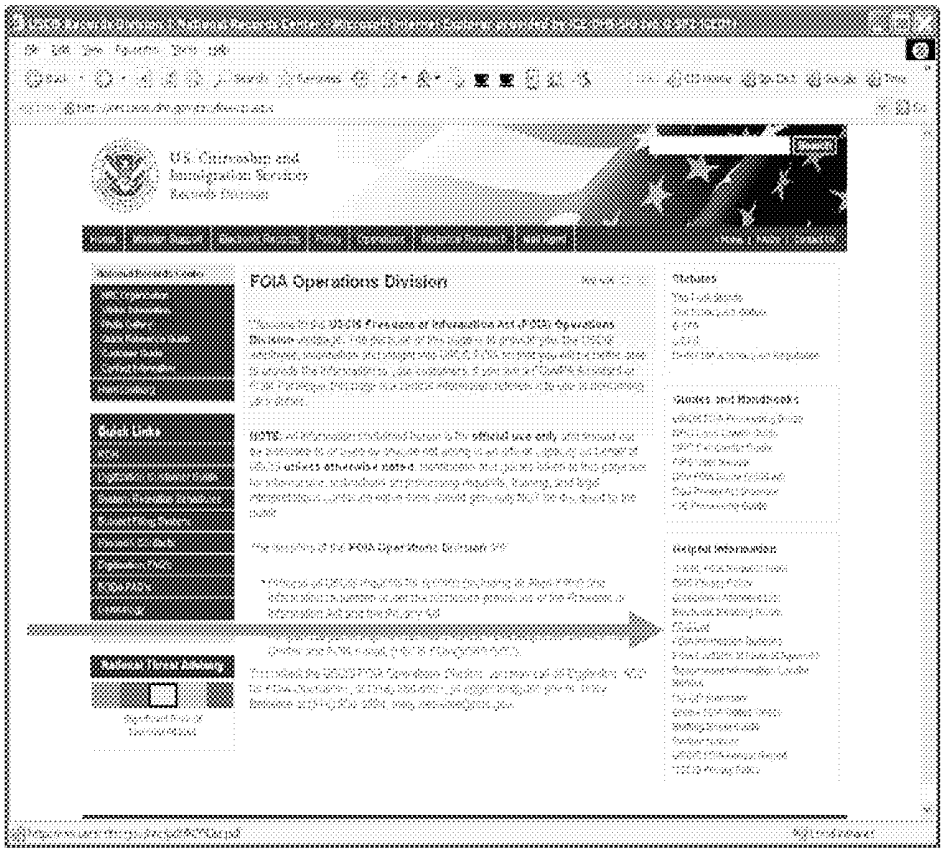
6. "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we staff for this file.

7. The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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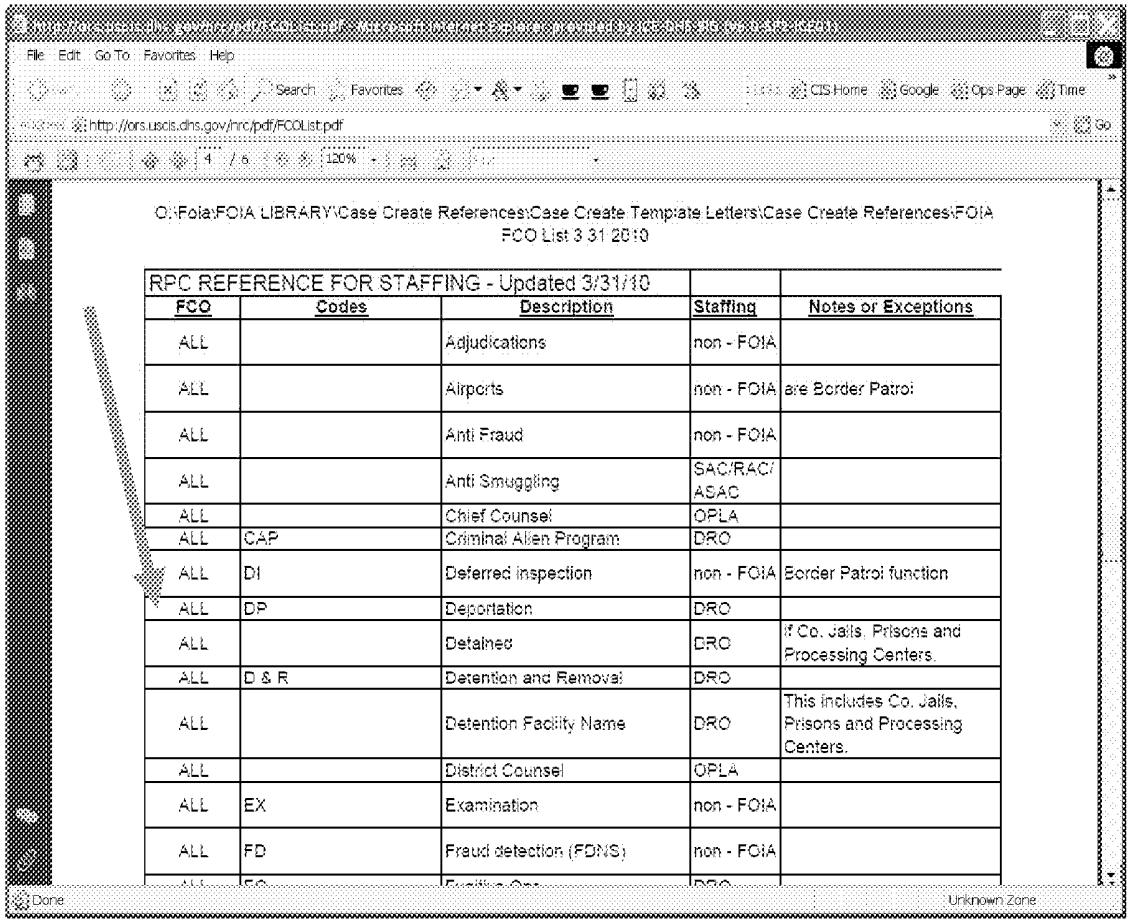
8. The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Fola\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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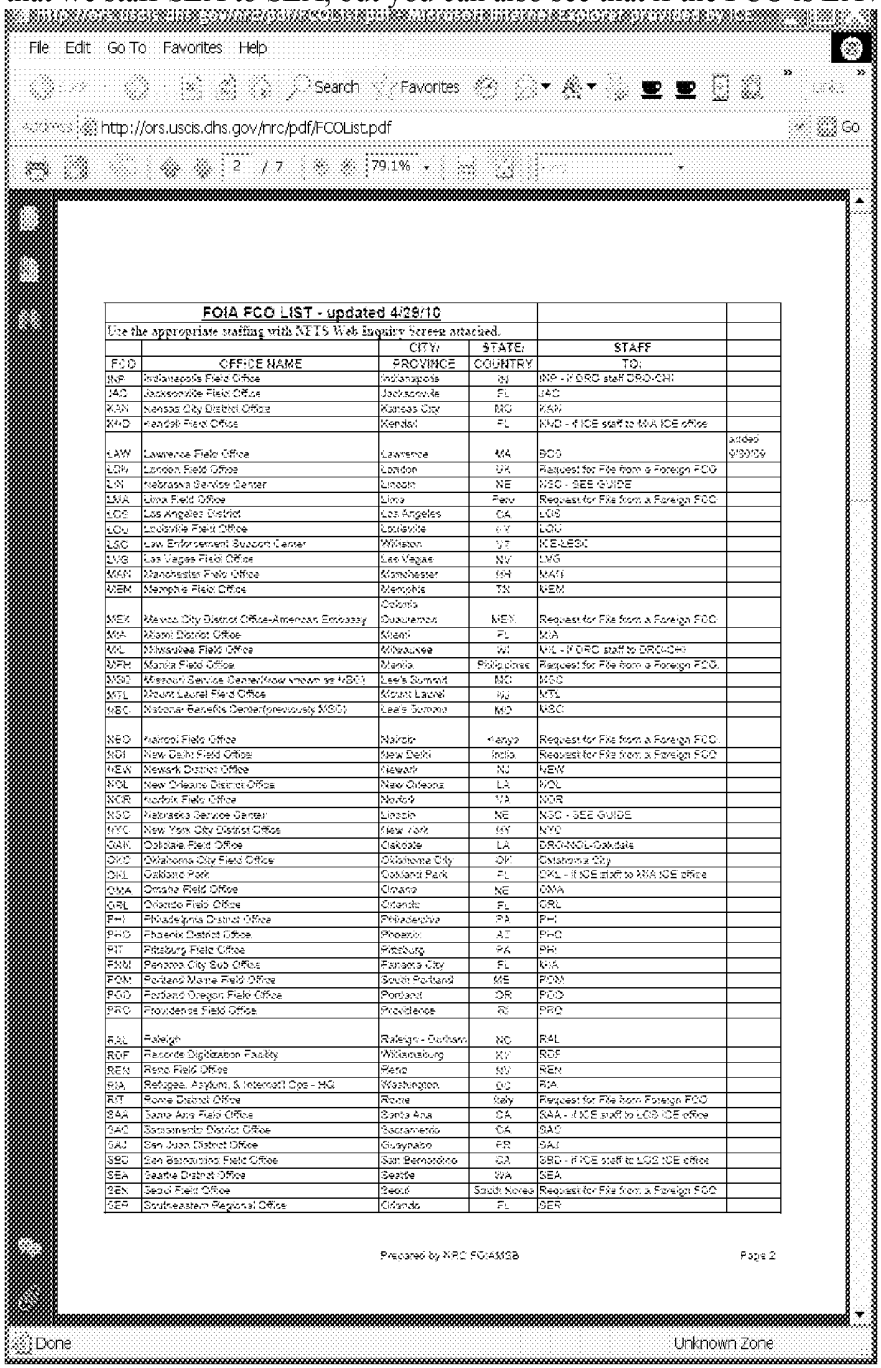
9. The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/28/10

Use the appropriate staffing with NFTS Web Inquiry screen attached.

FCO	OFFICE NAME	CITY: PROVINCE	STATE: COUNTRY	STAFF TO:	
INP	Indianapolis Field Office	Indianapolis	IN	INP - If DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 9/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKE	Milwaukee Field Office	Milwaukee	WI	MKE - If DRO staff to DRO-CHI	
MNH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Know known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDL	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Oakdale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	ORL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNS	Pensacola City Sub Office	Pensacola City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEL	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/PSB Page 2

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10. The FOIA/PA Assistant's Guide

We should look in the FOIA/PA Assistant's Guide to see if there is more information about staffing to DRO.

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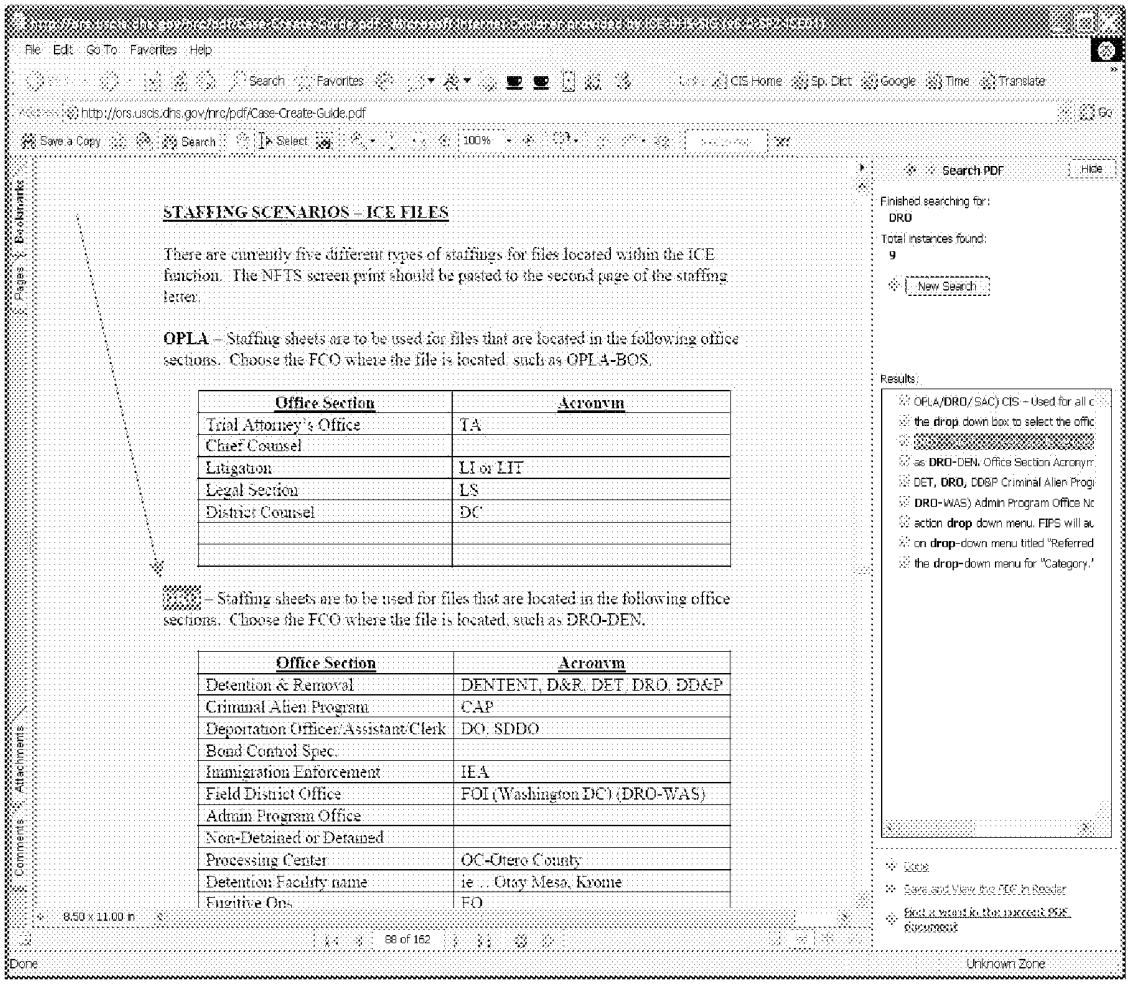
11. Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

– Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie .. Otay Mesa, Krome
Fugitive Ops	FO

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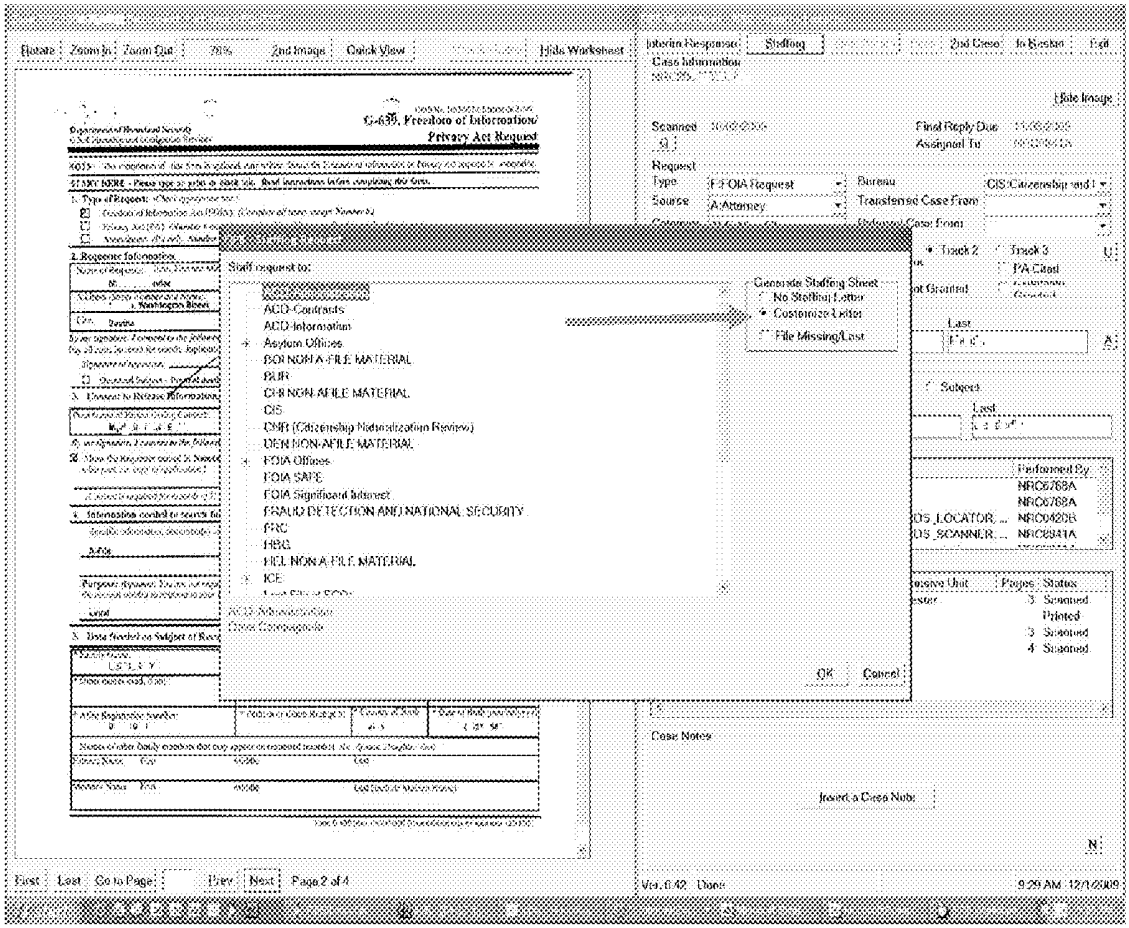
12. Generating the staffing sheet

After we click on "Staffing" we get a "FIPS – Staffing Request" dialog box. Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We will scroll down and click the + beside ICE to expand the ICE list.



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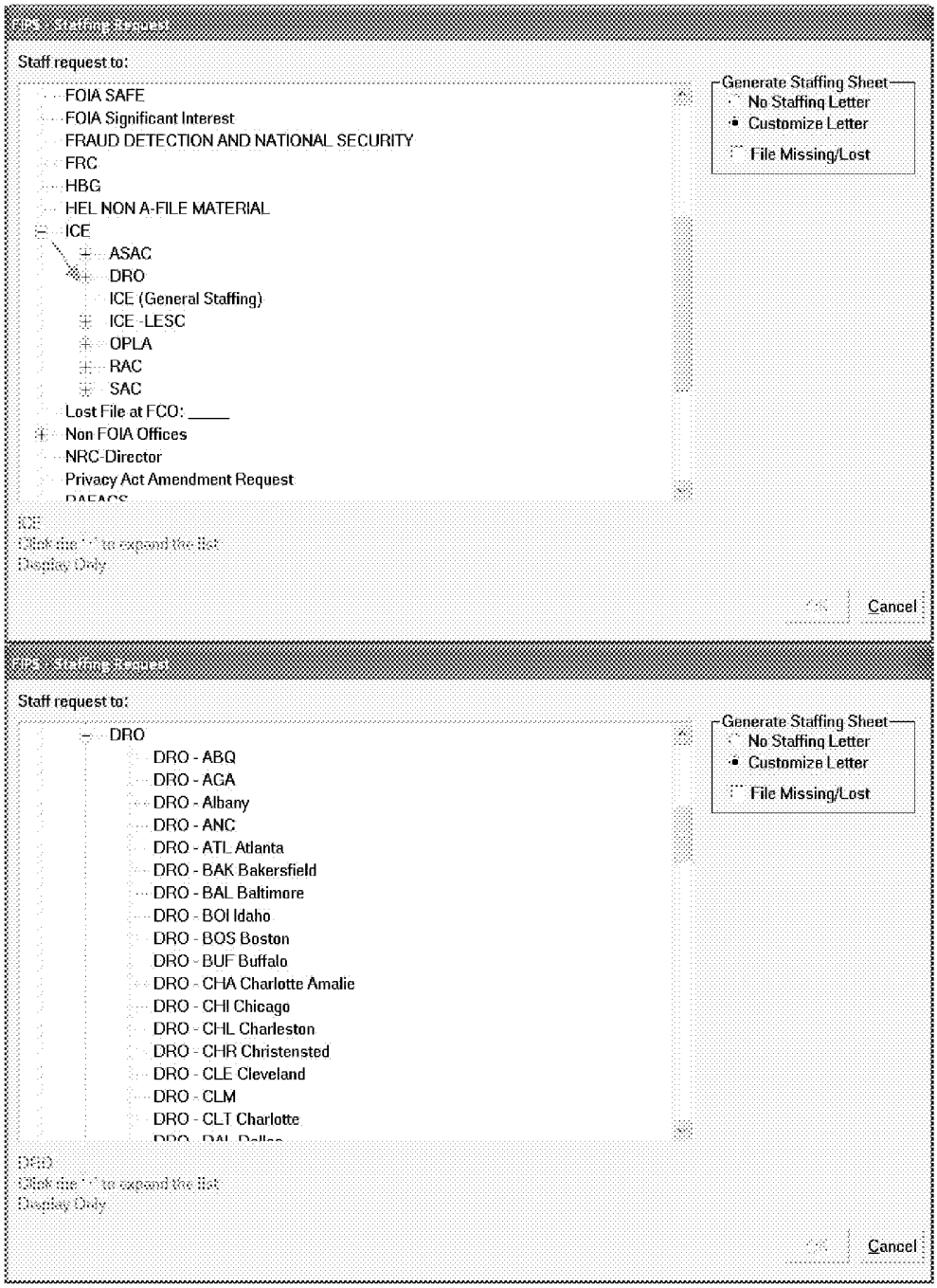
13. FIPS – Staffing Request dialog box

After we expand the ICE list, we have to expand the DRO list:



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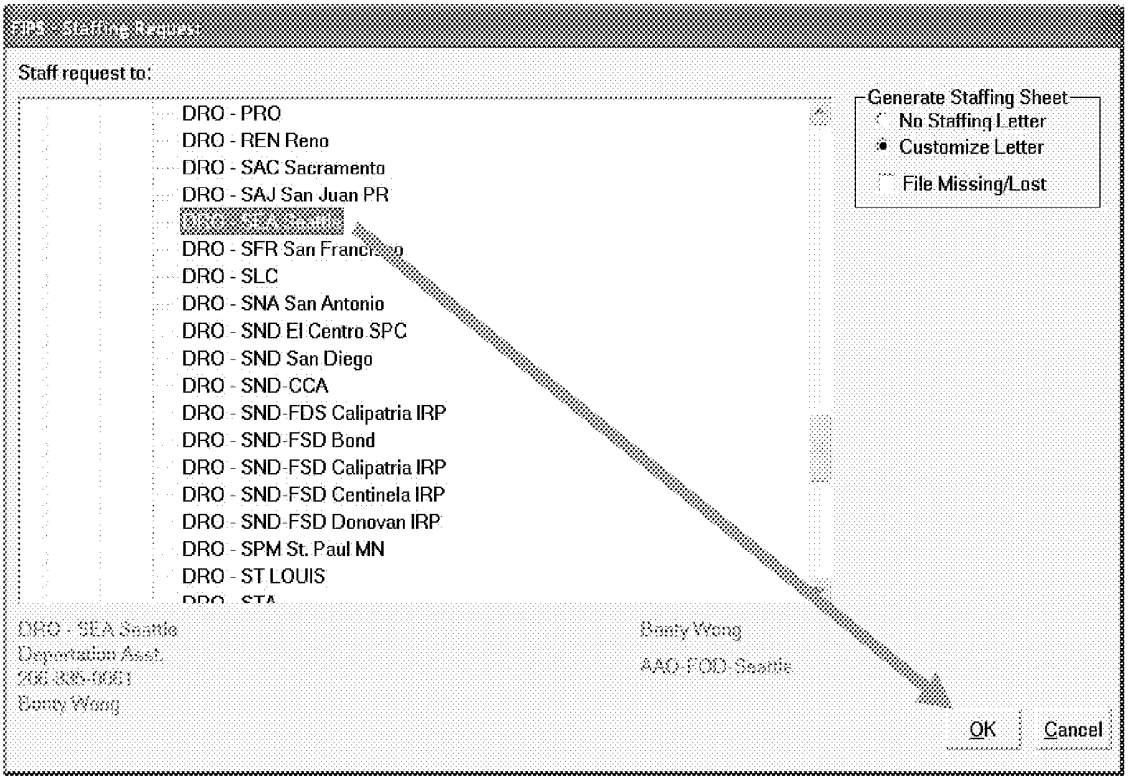
14. Creating the customized staffing letter

Next, we will scroll down the DRO list and look for DRO-SEA. Once we get there, we click on it and it turns blue when it is selected. After that, we click OK.



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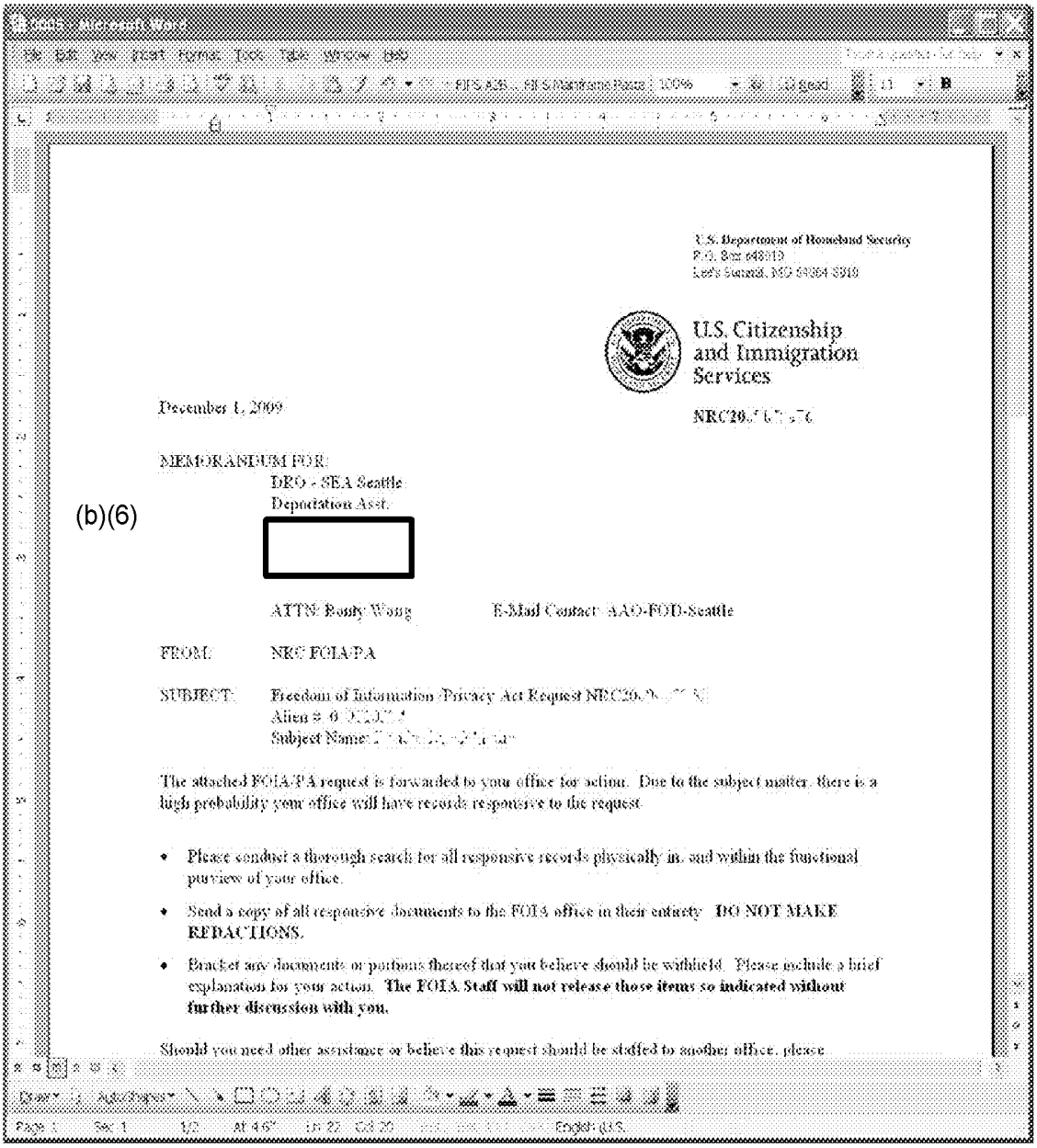
As soon as I clicked OK, FIPS generated a staffing letter for me.



U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 1, 2009

NRC20-[illegible]

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Rosely Wong E-Mail Contact: AAO-FOD-Seattle

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC20-[illegible]
Alien #: 0[illegible]
Subject Name: [illegible]

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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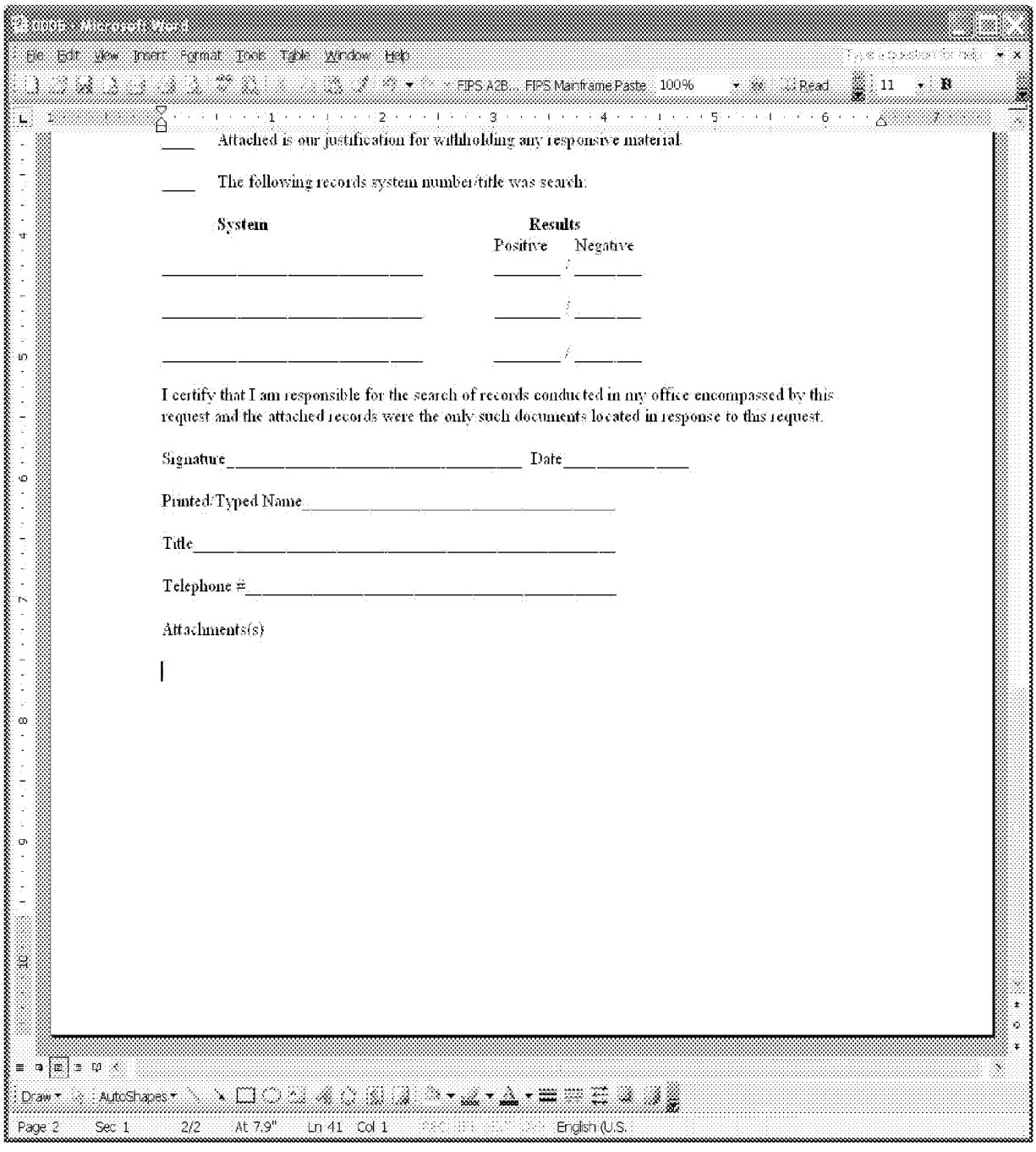
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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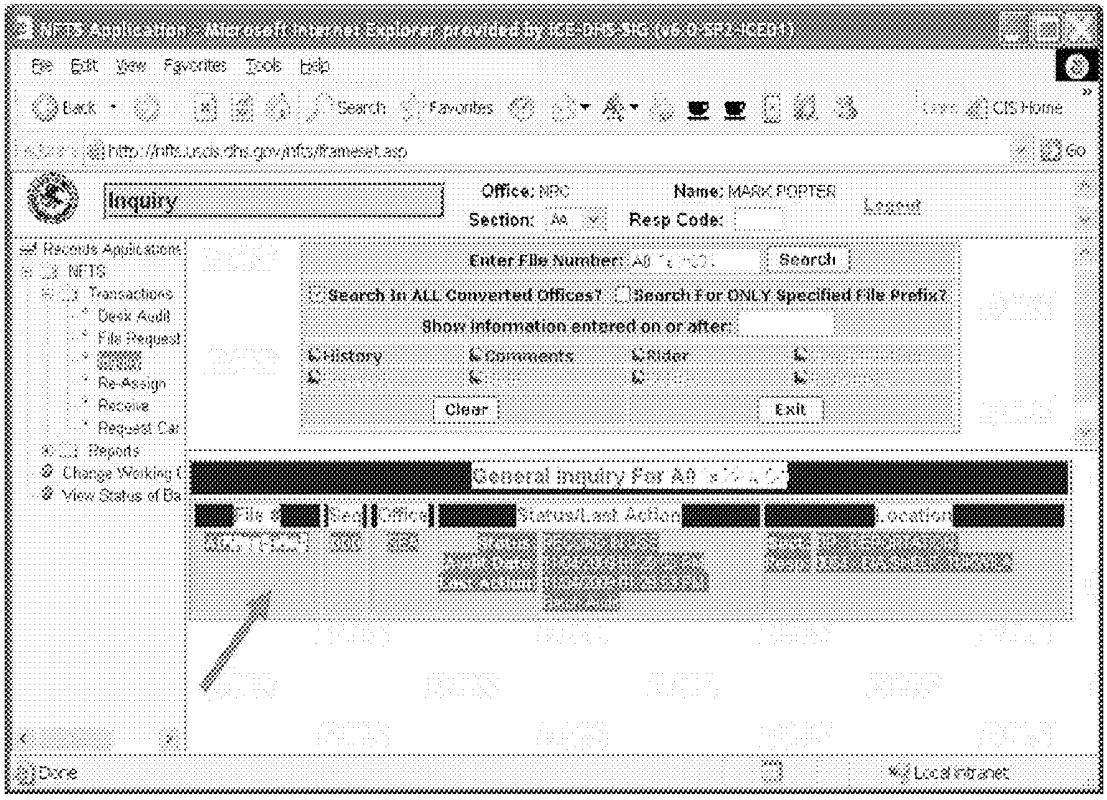
15. Putting the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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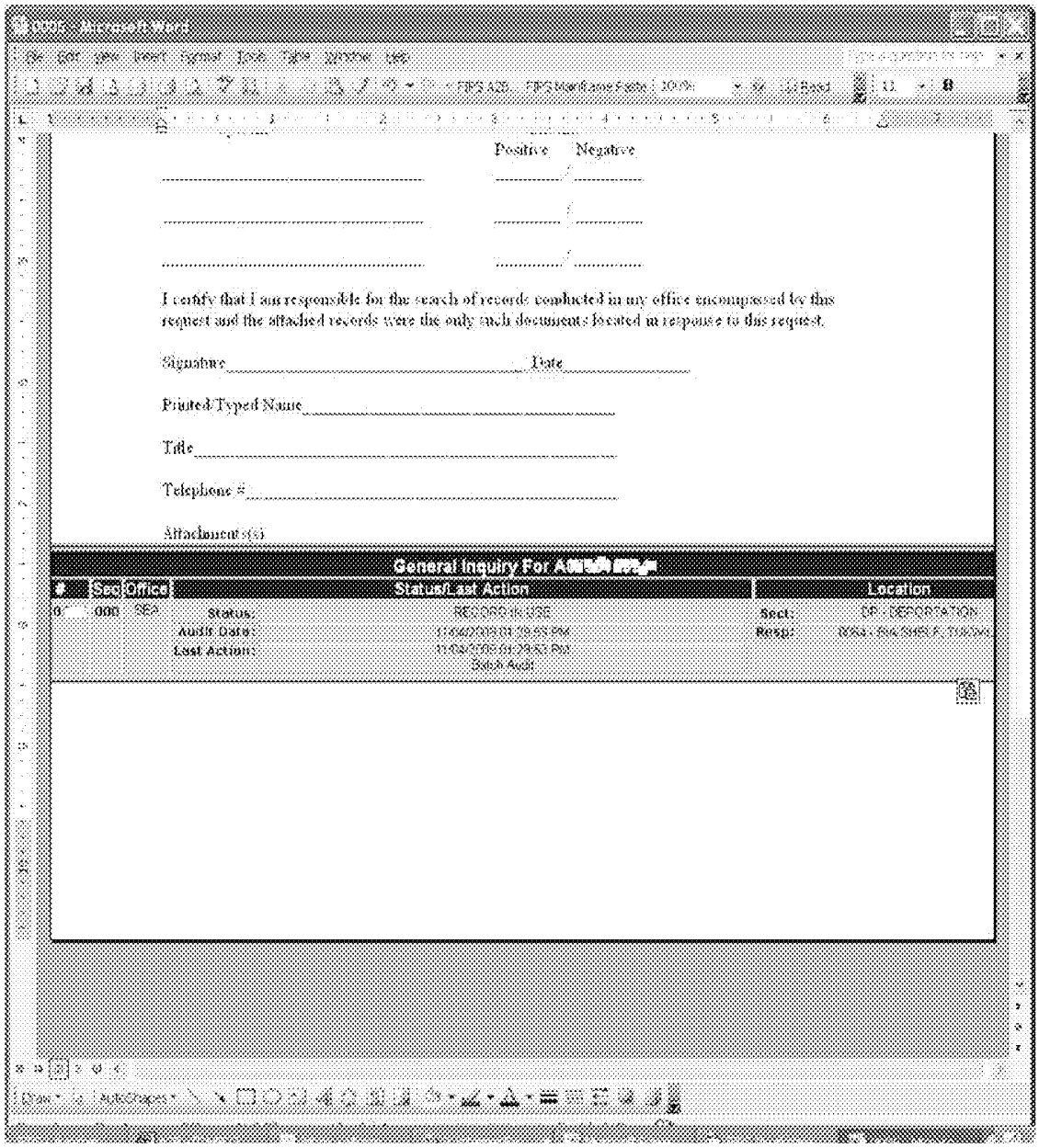
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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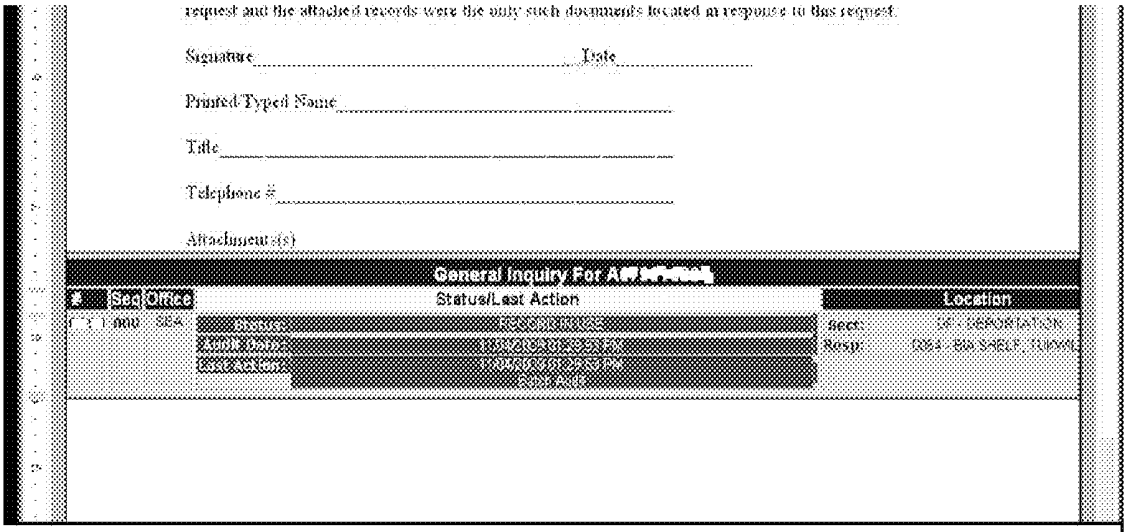
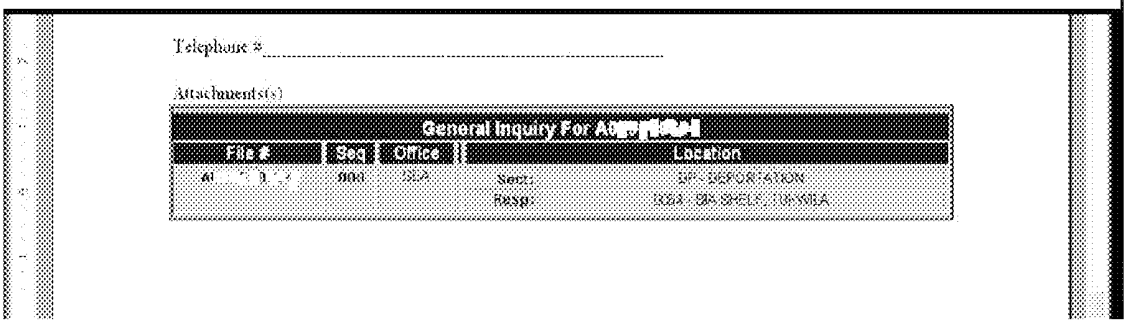
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.





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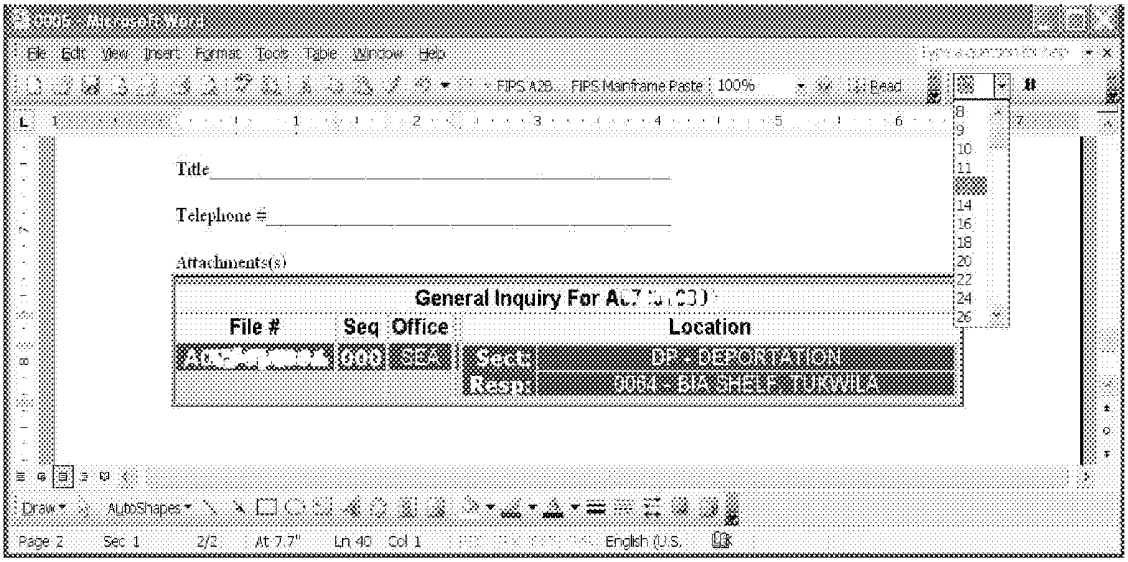
Next, highlight the whole area and change the font size to 12.



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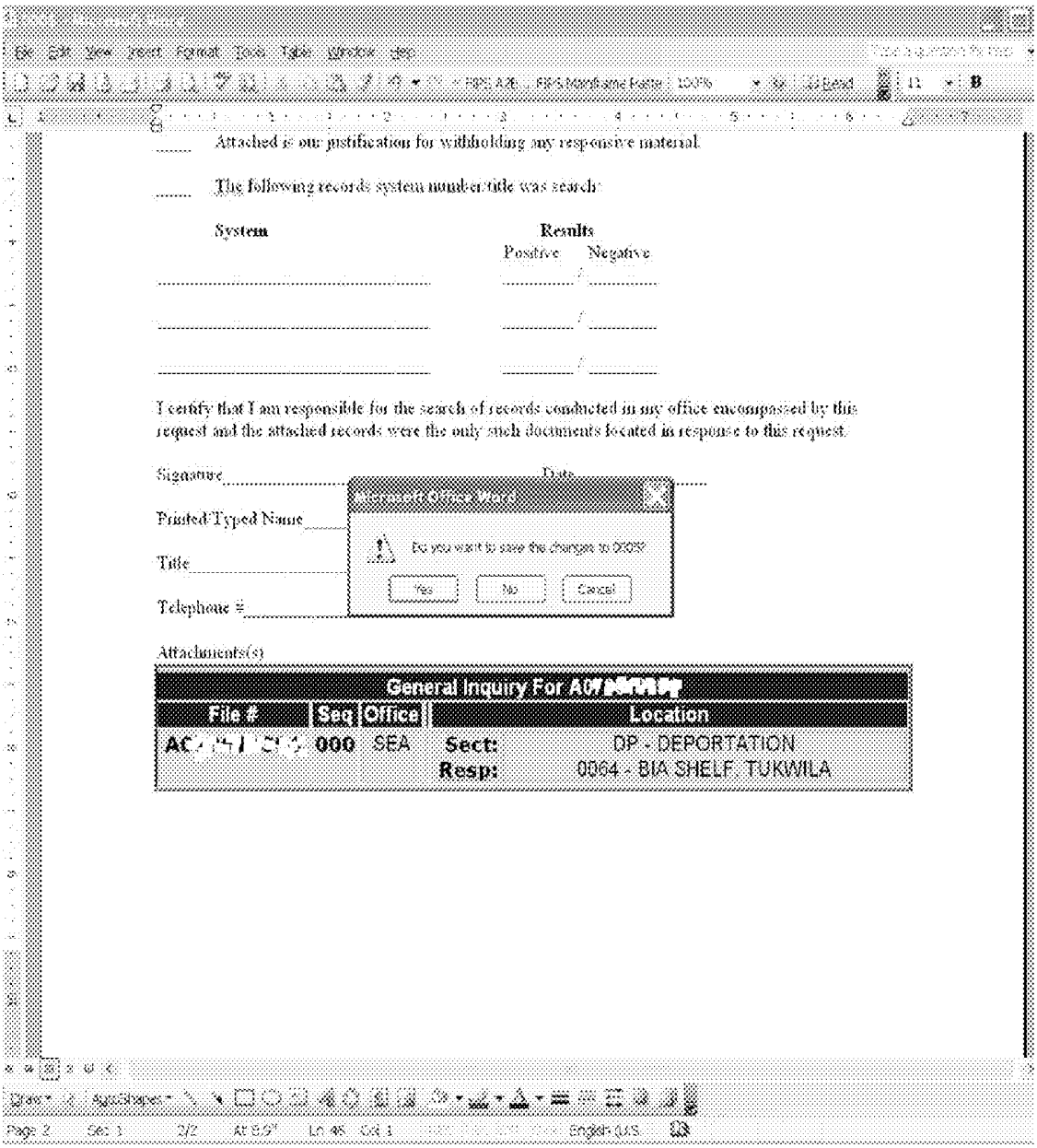
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is repend. Every time you do a staffing, you always have to repend. The Guide tells you the number of days to repend based on the file location or the type of case. FIPS defaults to 10 days. Repending is setting that due date further into the future. We repend staffings from 30 up to 365 days.



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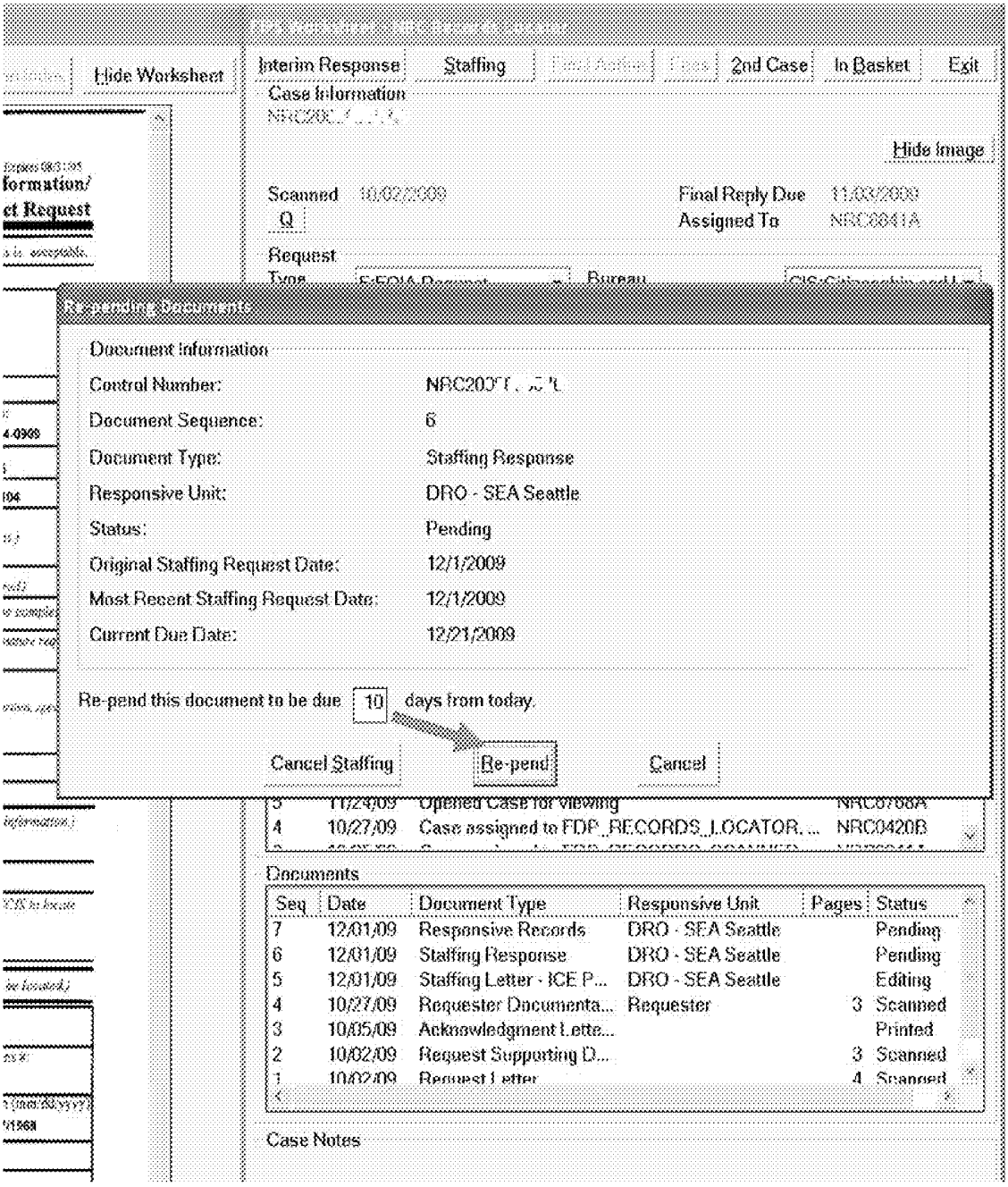
16. Repend

Double-click under "Documents" where it says "Staffing Response." A "Re-pending Documents" dialog box pops up. We know from the Guide that we repend a file with ICE for 180 days. Replace "10" with "180" and click "Re-pend." This concludes the case create staffing example.



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Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to staff for two or more unconsolidated A-files, the individual staffing sheet must include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note 1: If one of the files you are staffing for is located at RAFACS/CIS, FRC or one of the Service Centers, staff for those alien numbers first. These locations produce the file faster than other offices. MSB does not pull the staffing letters for follow-up unless "Multiple Staffing" is noted.

Important note 2: If one of the A-numbers you are staffing for is "digitized," do not use that alien number on the FIPS worksheet. Use one of the subject's other alien numbers on the worksheet. To determine if the file has been digitized, look in CIS at screen 9504. The Current FCO will show DIG.

If the alien has multiple A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record_Ops\Files_to_Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and will staff for that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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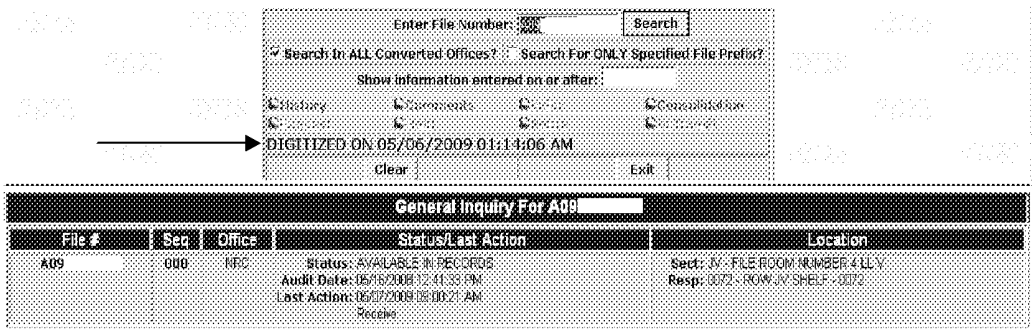
Digitized files

If you are staffing for an A-file that has been digitized please use the **RDF** staffing sheet. If the file has been digitized, the current FCO does not matter; you would still use the RDF staffing sheet.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS or the "Retire" data for an FRC staffing. People in MSB will know the file is digitized because you have staffed using an RDF staffing sheet. The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF.

Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

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Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot but do not generate a letter. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then staff for that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to staff for the receipt file. Change the subject information on the FIPS worksheet from alien name to subject and description. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces. Do not write the name as "Last Name, First Name."

(Example of the correct way: EAC0812345678 for Juan Cardozo Sanchez.)
(An example of how NOT to do it: EAC-08-123-45678 for Cardozo Sanchez, Juan).

If there is an alien number while you are in the "Name" mode, delete that alien number before you go to "Subject" mode. You will know you failed to delete the alien number if you staff for the receipt file and there is an alien number on the staffing sheet. In such a case, go to the FIPS worksheet, change it back to "Name" mode, delete the alien number, change it back to "Subject" mode, click **U**, then delete the alien number(s) from the staffing sheet and save.

Do not staff for receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC staffing sheet. **Do not staff for DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

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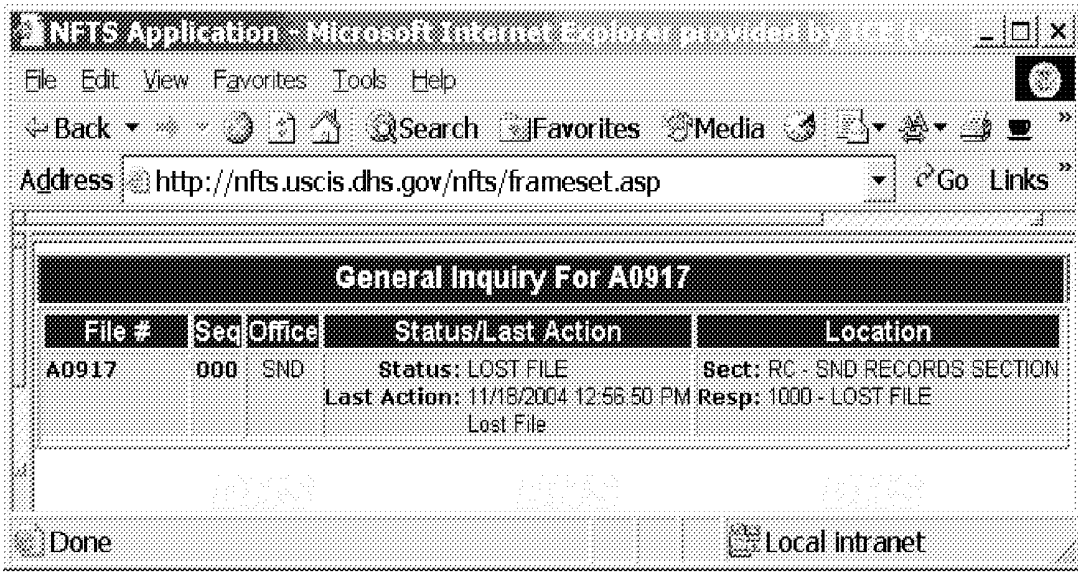
When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC staffing sheet and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC staffing sheet and paste the retired screen print.

STAFFING SCENARIOS

Files Lost or Not Found LESS THAN NINE MONTHS

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.

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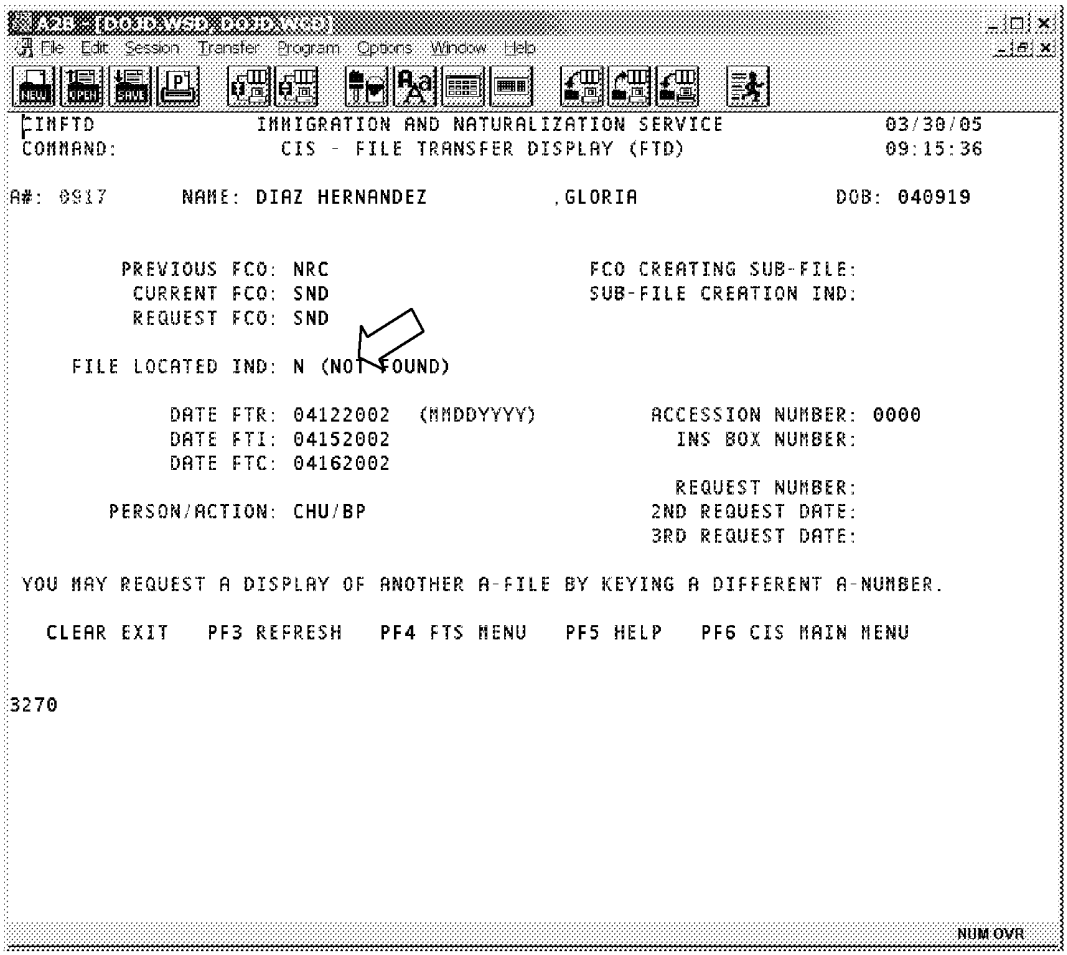

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ staffing sheet (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, staff for the file per the FCO in NFTS.

Under "Generate Staffing Sheet" mark the box "File Missing/Lost".

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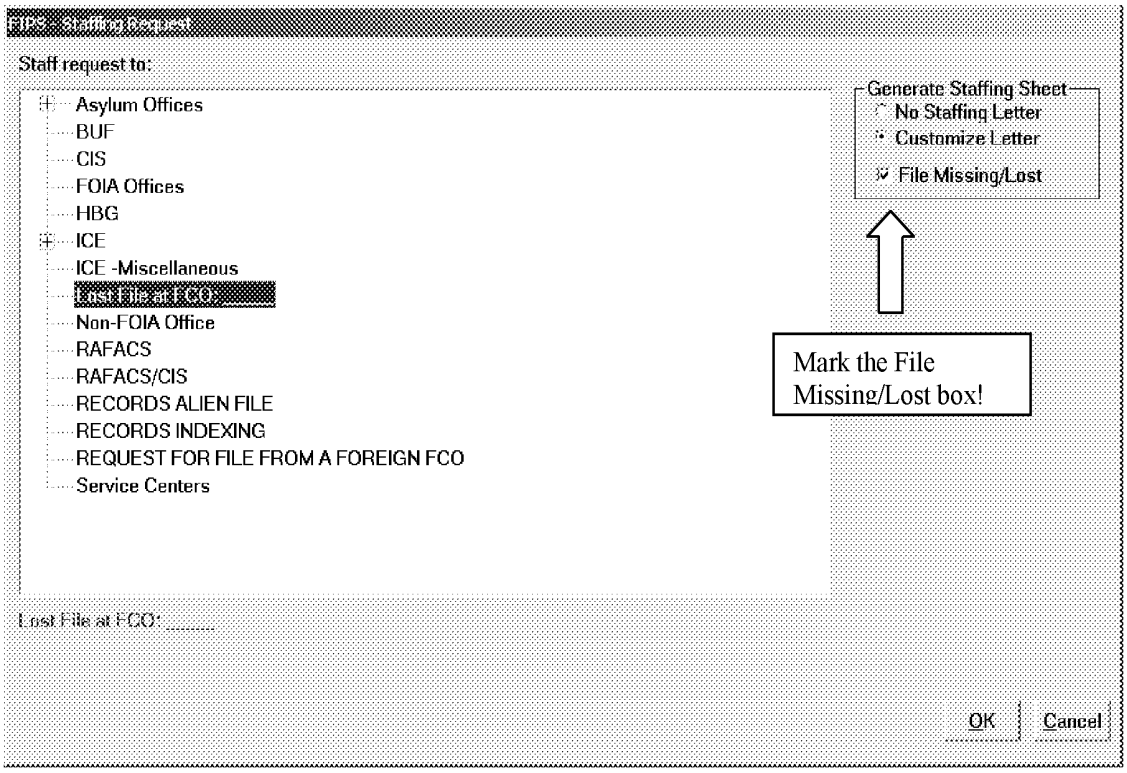

Generate the acknowledgement letter. Add the paragraph to inform the requester that the file is lost. There is a template for this language on the Common drive under *O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters \Interim Response-Lost Record.*

When the case create process is complete and the creator is ready to exit the case, click the "In Basket" button and then select the option titled "Pend Case for Circular Search".

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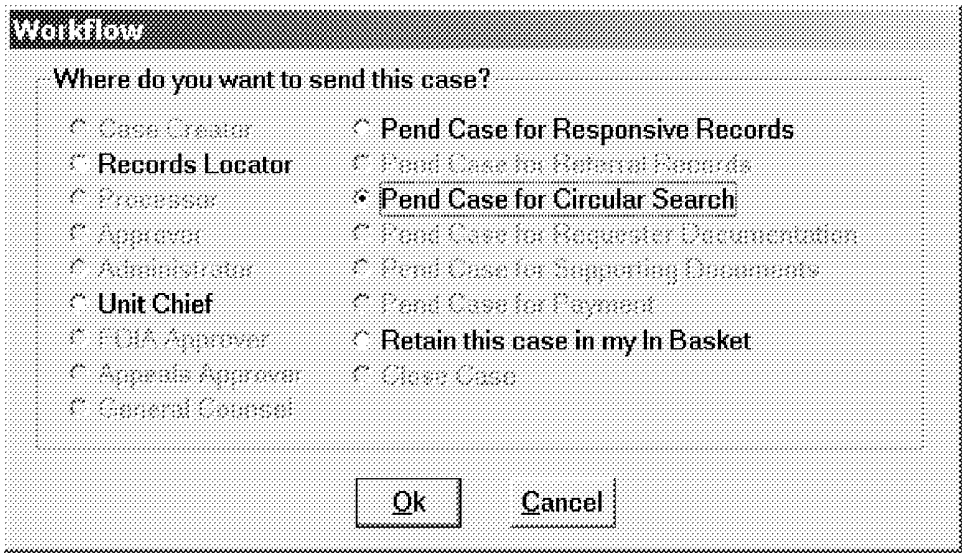

Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

1. If the A-file is lost but other records exist (such as receipt files we would normally staff for or other a-files), please go to step 9 now. *Otherwise*,
    a. **if** the file has been marked as lost for more than nine months
    b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,
    c. **and** there are no additional files, then: records locator should put in the following case note: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this case note.
2. Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)
3. If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a case note with the subject "Unit Chief" listing the date the file was

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staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

4. If there is no CIS screen containing "EARM-X" "DACS-X" or "NAIL-X, please move to the next step now. *Otherwise*, if there is any CIS screen containing "EARM-X" "DACS-X" or "NAIL-X," notify your supervisor by e-mail, referencing the case number, but do not make a case note stating that. Go to the next step.
5. Go to Final Action and update the status to UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.
6. In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to approver. You're done, *unless* the case is later returned to you for further research.
7. The approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.
8. The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.
9. **If the A-file is lost but other records exist** (such as receipt files we would normally staff for or other a-files) Staff for the additional records. Put in a case note that reads:

   > A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

10. Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the the EOIR screen show an upcoming hearing date
        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check RNACS for any indication that file is with the naturalization unit.

NOTES:

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Staffing Scenarios FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which staffing sheet do I use?

A: Each office has its own staffing sheet in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we staff for each alien file on a separate staffing sheet and write MULTIPLE STAFFINGS at the top of each sheet.

Records Indexing / Manual Requests

In some instances, the A-number of the subject will not be found in CIS or CLAIMS. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing staffing sheet. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not request a manual search, because records will not be located; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

A-number in CIS but not in NFTS

If there is an A-number in CIS but no information in NFTS, create a staffing sheet according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

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Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Agent in Charge	**ASAC**

SAC locations

Occasionally, you will see a staffing for a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

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LESC (LSC) records

On all of these staffing sheets, you must attach the NFTS screen print to page two.

T-files

Q. What if the subject has an A-file at one office and a T-file at a different office (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will staff for both files, EXCEPT, do not staff for T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Staff for the A-file only, but include the T-file portion on the staffing sheet. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, or WSC for scanning. Those offices scan directly into FIPS for us. Therefore if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Receipt files

1. Do not staff for receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files to be requested.

2. If the requester does not specifically ask for a receipt file and provides an alien number, staff for the alien file only.

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3. If the requester does not provide any receipt number or alien number, then you must research CIS and CLAIMS.

Be cautious about staffing for receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will staff for the EAD card.

If they provide a receipt number, you must research CLAIMS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please staff for the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Open a RAFACS staffing slot only (no staffing sheet is necessary). Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to the OA room. The documents will be scanned as responsive records. Pend the case for 30 days.

4. If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

Archived receipts

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to staff for the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS, there may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.

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2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
3. Call the NVC help line at 603-334-0700 and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

If there is no evidence that the archived receipt file has been forwarded to NVC we will staff for the archived receipt file using RAFACS staffing sheet. Insert a note on the staffing sheet **"Archived Report," "Give to the Supervisor."** The Supervisor will request the archived report. When the screen prints are received they will be scanned in as Responsive Records.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at 603-334-0700 and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click final action and choose the code "RD" to "other". Replace the content of the letter that appears with the template letter, located on the common drive, *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \NVC_Letter*. Send the case to Unit Chief and send an e-mail to your supervisors with the case information. The supervisor will review and close the case.

Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

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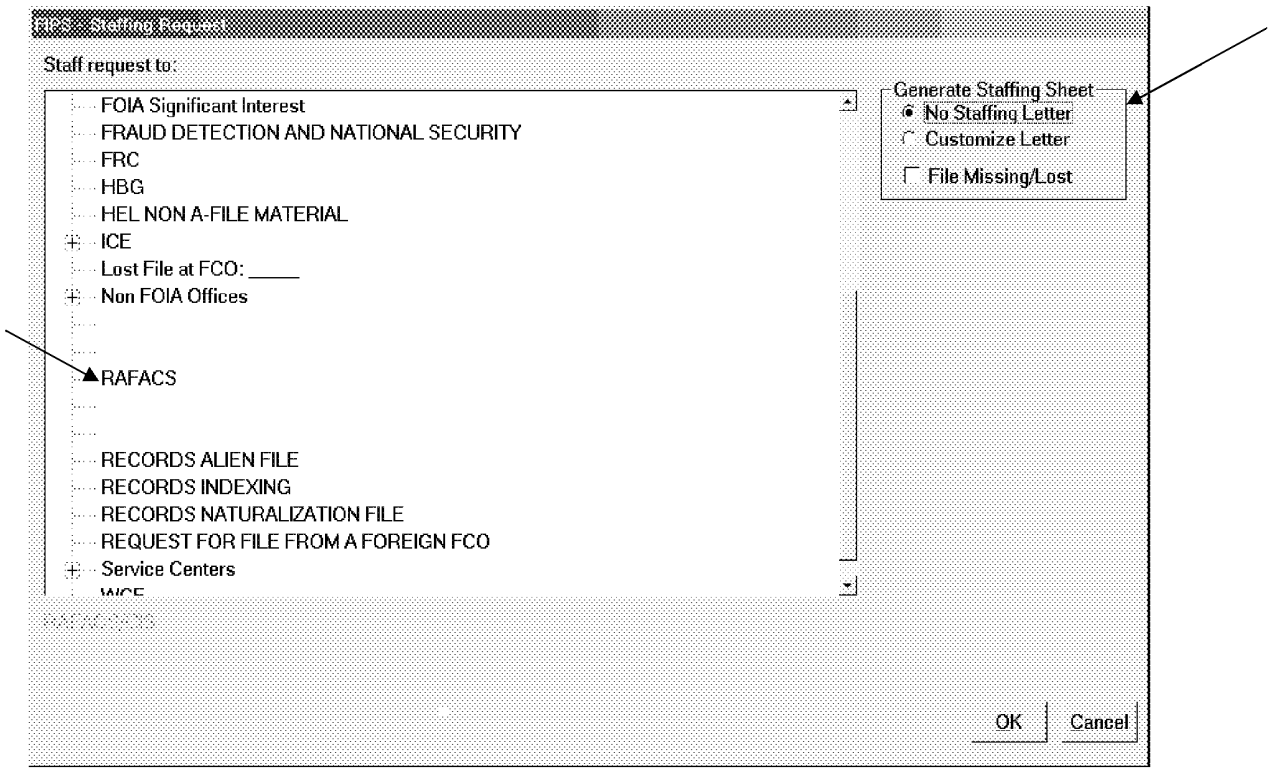
Open a RAFACS (*not RAFACS/CIS)* staffing slot only. Click on "No Staffing Letter." Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to the OA room. The documents will be scanned as responsive records. Pend the case for 30 days. Make a note to change the staffing sheet option back to "Customize Letter" when you do the next staffing.



Important note – if you check the "No Staffing Letter" box you will have to click the "Customize Letter" box on the next case you create.

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC Control Number: NRC2009013595 Date: June 5, 2009

Alien Number: Subject: WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/20/1993 12:00:00 AM	Rcpt Wkt	VSC	BAPACS CONVERSION	
WAC93	000	04/20/1993 12:00:00 AM	Rcpt Wkt	WSC	BAPACS CONVERSION	

RECEIVED
JUN 08 2009

According to CLAIMS this file is owned by WAC.
2nd Staffing

A2B - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and that file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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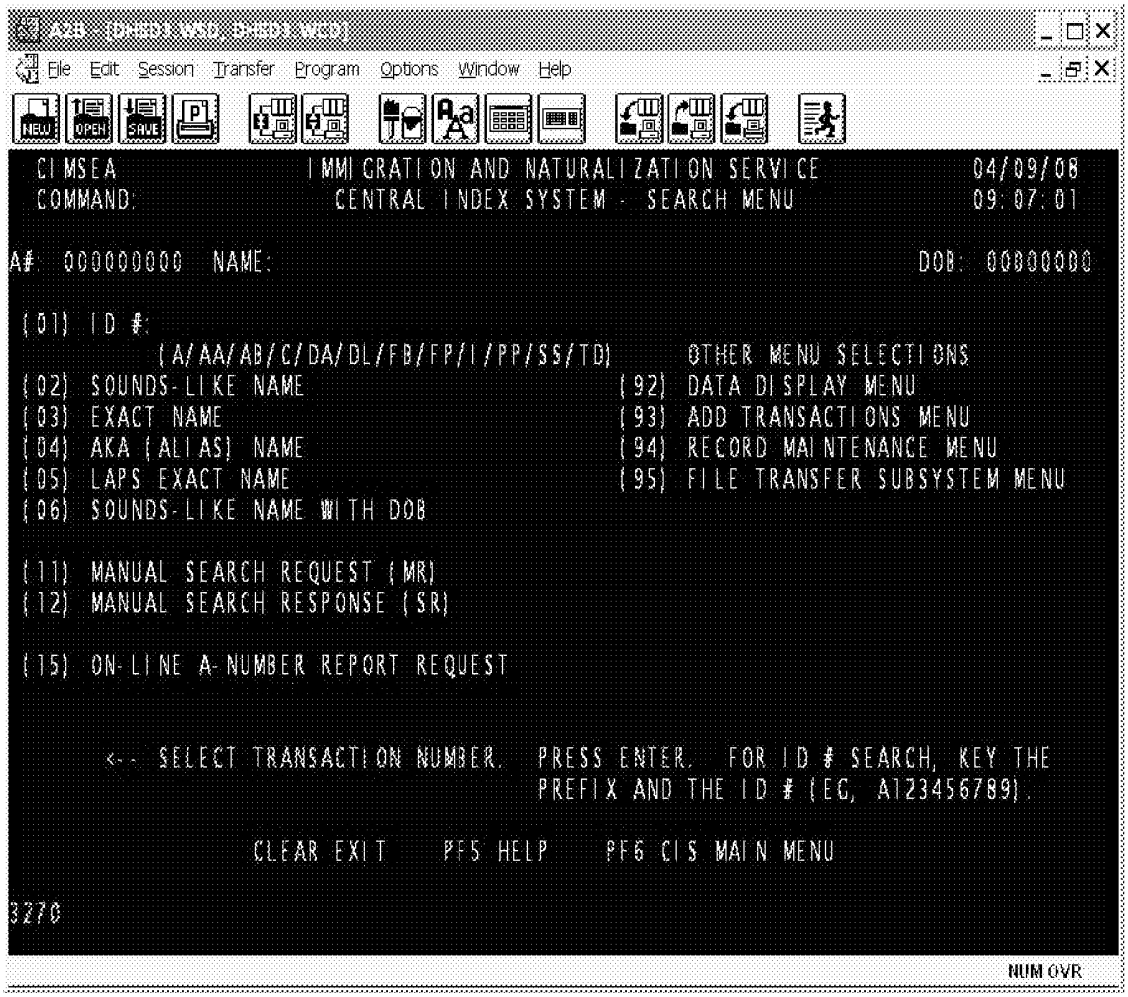
NO RECORDS



When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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When conducting "no record" research, do the query and provide screen prints of all searches to the Team Supervisor. Attach a "Scan As" cover sheet and include the NRC Control Number. You must create a detailed case note indicating the systems you searched and the results of those searches. Send the case to Unit Chief until the screen prints are reviewed. When your supervisor concurs with the NR search, he or she will close the case and have the screen prints scanned in as CSD's. This should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names.

GENEALOGY IS EXEMPT FROM THIS PROCESS.

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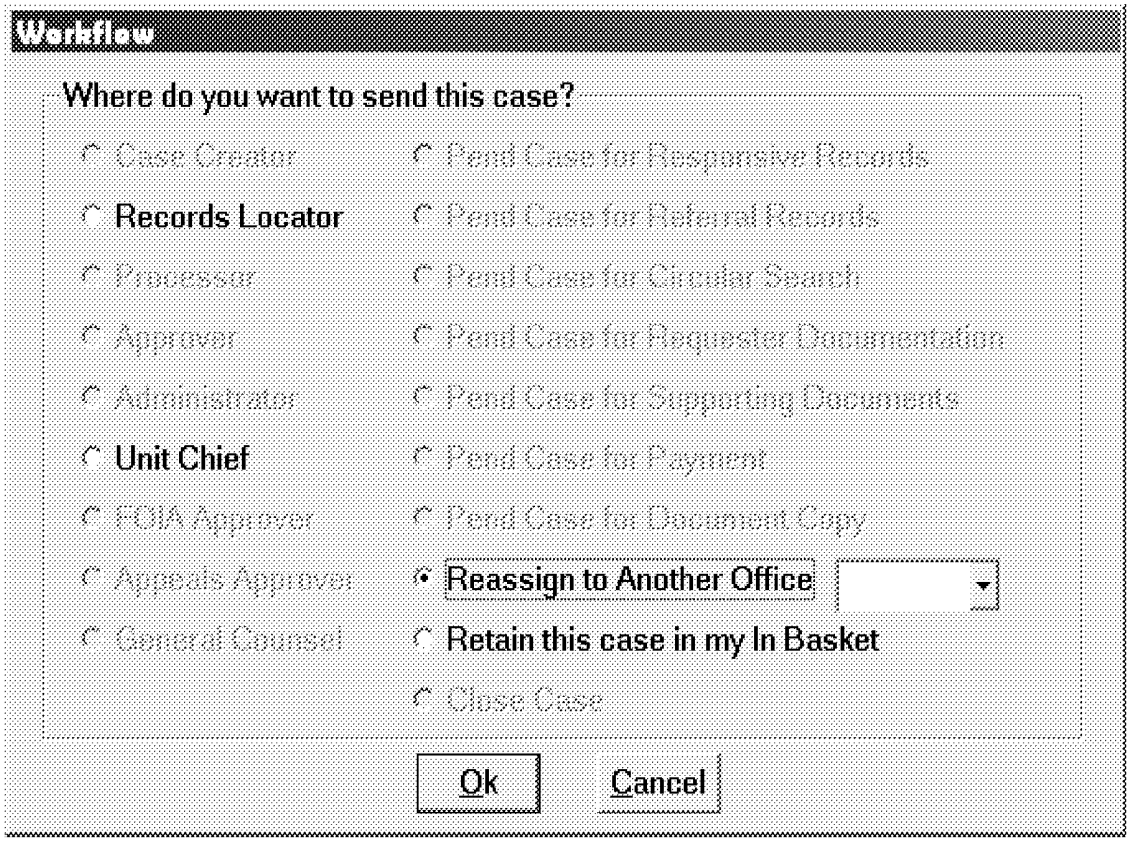
RE-ASSIGN

This function is used to move a case that was scanned in the NRC queue to another queue for processing.

Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

Create the case, run Doc Mgr and get the NRC control number. Generate the acknowledgement letter. After the acknowledgement letter is created click on In-Basket, the following screen will pop up:



Click on the "Reassign to Another Office" and use the drop down box to select the office where you want the case to go. The office options are CNT, COW, and HQS. The case will be staffed when it is re-assigned to the other queue.

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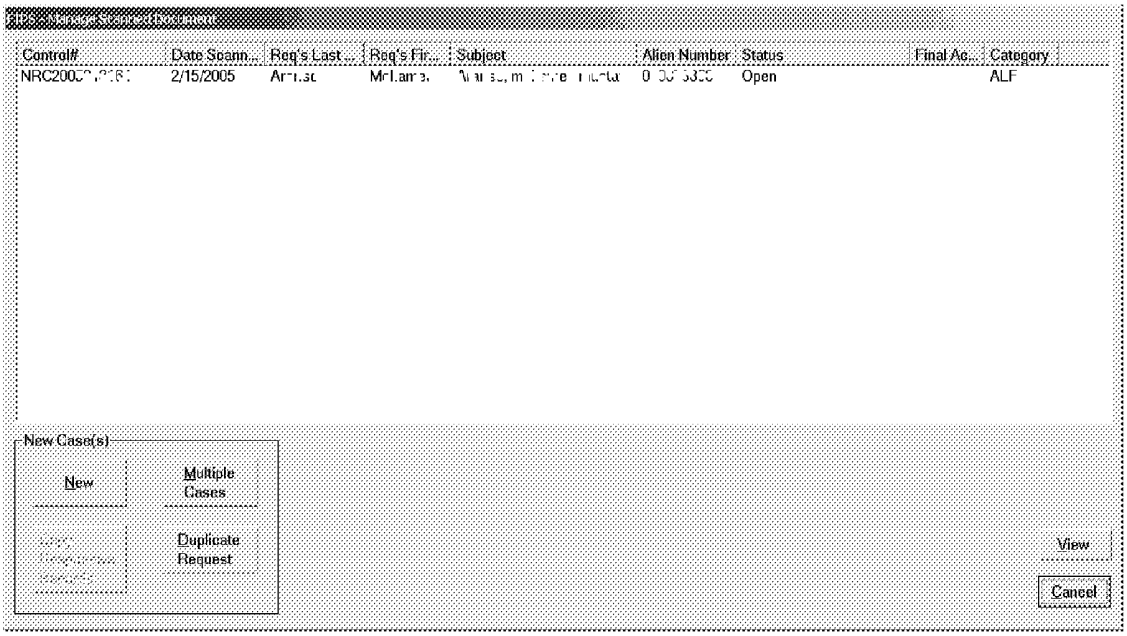
DP (duplicate) CASES

Duplicate cases, or, as they are coded in FIPS, DP cases, are cases where either the request was submitted multiple times to the Service, was inadvertently scanned into FIPS multiple times or are cases that were previously processed by another office.

Sometimes a requester will take what is known as the "shotgun" approach. They will submit the same FOIA request to multiple offices, hoping to get an answer quicker. The receiving offices will then in turn, transfer these requests to the office that actually has the requested documents. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed. This can be determined by viewing the completed case using the "View" feature in Doc Mgr.



By highlighting the case you wish to review and then clicking the button titled "View", FIPS will open the case for review. You will need to review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester – this does not include cases that were closed with any other final action code.
- The date of the request is either the same as your request or within a few days and:
    1. The requester is the same, and

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2. The information being requested is the same in both requests.

Once these items have been verified and you determine the case is a duplicate of another case, write down the case number and convert the "REQ" to "CSD" and attach the documents to the original case. See **CHANGING AN REQ TO CSD** for instructions.

If you are not sure your case meets the duplicate requirements, put a case note in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for their review.

ER (created in error) CASE CLOSINGS

Use the "ER" option to close cases in FIPS when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

Click final action, choose the code "ER" and click okay. FIPS will not create a letter. Prepare a detailed case note. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of either consent or PII, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

MARKING A DOCUMENT "DO NOT SEND"

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From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a case note which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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REPEND

Repend cases staffed to the following offices for 30 Days:

- NRC
- FRC
- MSC
- Files that are in-transit to NRC

Repend all SIG cases for 30 Days.

Note: if you are repending a case from Records Locator, also please send an email to the SIG mailbox (NRC, FOIASIG).

Repend cases staffed to the following offices for 45 Days:

- Lost Files - **CHECK THE CIRCULAR SEARCH BUTTON**

Repend cases staffed to the following office for 120 Days:

- ICE Files

Repend cases staffed to the following office for 365 Days:

- All others

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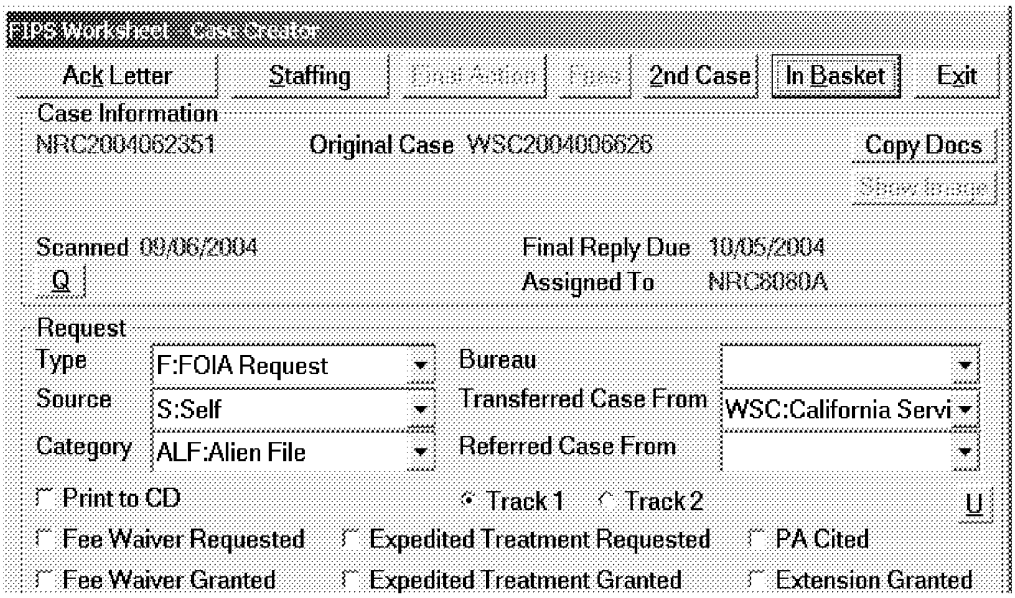
ACKNOWLEDGEMENT LETTERS

Acknowledgement letters are prepared in all cases **except** for bond obligors, routine use and Red Cross last known address requests. FIPS will create a standard acknowledgement letter when you select the "Ack Letter" button from the toolbar on the FIPS worksheet.



After selecting the "Ack Letter" button, a second pop-up window will appear that allows you to make even more selections, if necessary. Do not select any option except Other Documentation.

Whether one item is needed or multiple items are needed, (alien number, port of entry, date of birth, date of entry, death certificate, consent etc.) select the "Other Documentation" button on the screen. FIPS will generate the acknowledgement letter and insert a paragraph. Modify the paragraph by deleting "Other Documentation" and replacing it with "See attached sheet." Check all the boxes on the Requester Documentation Attachment that apply but please do not request information that the requester has already provided. DO NOT MODIFY THE ATTACHMENT except to check or un-check boxes or to type information into the "other" box. Add the current date and NRC control number to the attachment.

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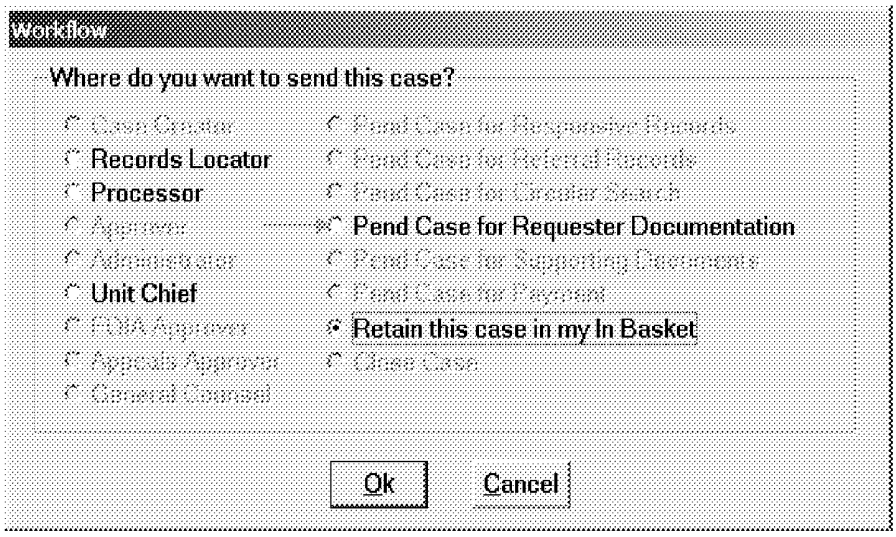
The template for this attachment is on the common drive under *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Requester_Docs_Attachment* or you can use the acknowledgement letters for Track 1, Track 2 or Track 3 that have the Requester Docs attachment. The template for these letters is on the common drive under *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*.

If you need no additional information to staff for the file, staff the case for the responsive records and Pend Case for Responsive Records.

If you had to request additional information, exit to the in-basket and pend the case for requester documentation. Do not staff for the responsive records.



Close your acknowledgment letter before you pend your case for responsive records or requester documentation. Completing this step will save you time and trouble.

CASE NOTES

Case notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a case note for later reference. FIPS also automatically generates case notes in various situations, such as duplicate, multiples and when responsive records are copied from one case to another. Because case notes become a permanent part of the case in FIPS, case notes should never

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be used to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

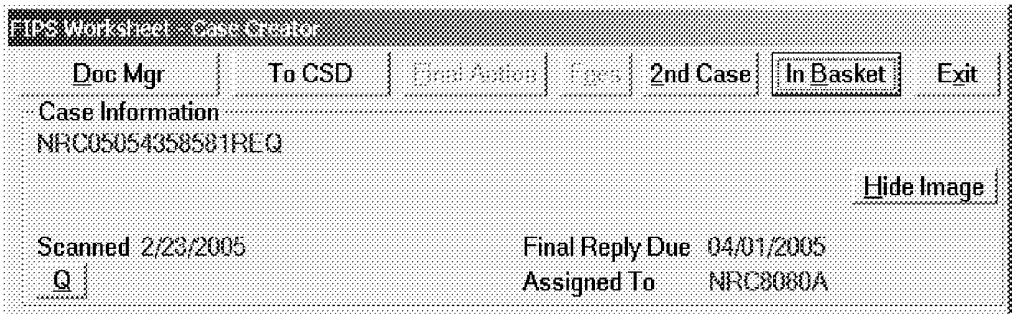
Note: When you generate a case note add your first name initial and last name at the end of the note. (Example: B. Happy).

ADMIN NOTES

Admin notes are a permanent part of the case in FIPS. They are no longer deleted when the case is closed. Admin notes may be used for dialog among creator, records locator, processor, or approver, but should never be used to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

CHANGING A REQ TO A CSD

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Next, go back to the worksheet in FIPS and select the "To CSD" button on the worksheet to change the REQ number to a CSD number.



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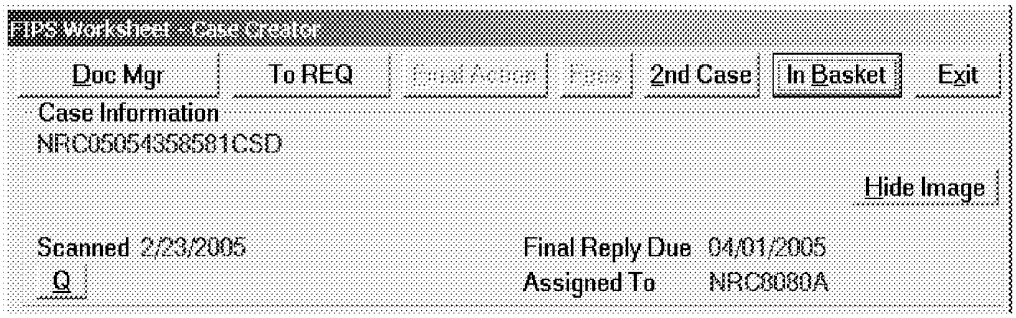
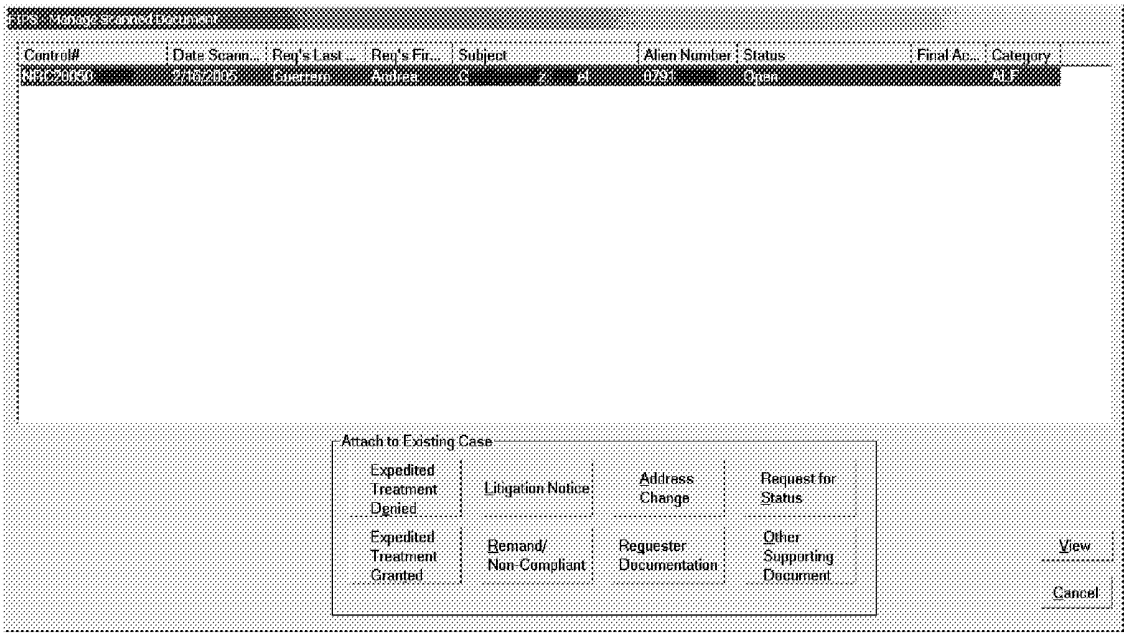


Once you have changed a REQ number to a CSD number, all the documents scanned in will be attached to the existing request. Exception: If responsive records were scanned in with the REQ number, please do **NOT** convert to a CSD number. The responsive records will be lost forever, unless you change the CSD back to an REQ number.

After you have changed the case to a CSD in FIPS, run Doc Mgr again. It is not necessary to fill in the worksheet to run Doc Mgr on a CSD in FIPS. Run Doc Mgr, using the control number to which the documents belong as the search criteria or search by the alien number. This will trigger the next pop-up window.



At that point, highlight the control number, which will activate the "Attach to Existing Case" buttons on the bottom of the window. Attach the new request to the existing case as an "Other Supporting Document." FIPS will ask you to verify that you are attaching it

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to the proper case. FIPS will then attach the new request and supporting documents to the existing case. Next, FIPS will send you back to the Case Create role in the surviving case. If anything is needed in the existing case, for example, staffing for responsive records, please complete the necessary actions. If no further action is necessary, click In-Basket and pend the case for responsive records or send it to processor if the records have already been scanned in.

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TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a case note (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

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- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a case note in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a case note.

Don't forget to add a case note to the original case.

MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or records locator that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

- If responsive records need to be copied from one case to another

- If records are incorrectly scanned in a case and need to be removed

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All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if the following situation occurs:

- A file is found sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a case note in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

RETURNED MAIL:

Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

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OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The case note should include the type of letter being corrected and resent.

Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor.

4. Note the case. Example of Case Note:

Title of Case Note:	**Returned Mail – no such number**
Body of Case Note:	Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledge letters with a requester document needs to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledge letter matches the address on the G-639, G-28 and/or return address on original envelope:

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1. Note the case. Example of Case Note:

   Title of Case Note: **Returned Mail – no forwarding address**
   Body of Case Note: Address matches G-639. No other address found. Did not resend ack letter. Name.

2. Give acknowledgement letter to OA Supervisor to Close.

Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Case note should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**

   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor.

CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following case note.

   Title of Case Note: CD Returned for Additional Postage
   Body of Case Note: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

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Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Case note should include "no other address found; did not resend CD" and OA's name.

   Shred the CD.

2. If another address is found in the CSD's:

   a. Make a copy of the CD and returned envelope.

   b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

   c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor.

DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)

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- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a case note describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a case note titled "Expedited Treatment Request" or "Track 3 Request." In the text of the case note type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

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If records locator discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; records locator should insert a case note and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend the case for an additional 30 days. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security

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Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

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The current method of providing a status letter does not give the requester accurate information. In order to better serve our customers the Team should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

Withdrawal of a FOIA/PA request

A requester cannot withdraw a pending request without sending us written documentation. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator. Add a case note indicating that the request was withdrawn per the documents found in CSD.

Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

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VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a case note that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in records locator that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

RECORDS LOCATOR

Cases assigned to records locator will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed

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- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all case notes as well as insert case notes as necessary. Listed below are points/actions that you should consider while working cases assigned to records locator.

- Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

- Research cases and take needed action(s) on cases.

- Read and follow directions in any case note found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

- Anytime you create a new staffing, you must cancel the one it replaces.

- Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

- If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

- A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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- If you see it has been through image process box and returned to a shelf then further research is required.

  a. Check all offices for duplicate cases in FIPS using the alien number.

  b. Does the subject have more than one alien number per a case note or on their request? If so, search those for potential duplicate cases.

  c. If you find a duplicate case, make a case note and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend for 30 days.

- **Additional PII needed:** Sometimes when a processor retrieves a case, he or she will determine that additional PII or consent is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a case note asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

- **If you pull a case in Records Locator and the Requester Documentation has been received:** Review the information provided, if the requester/subject has provided the requested PII and/or consent, staff for the file.

- **The requester/subject may respond negatively to the request for PII.** If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

- **If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS** with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

- **If the requester/subject does not return proper consent**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply

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letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

- **If a request for consent is returned but the requester says he or she is a third party requester** (they have no relationship to the subject of the record and cannot or will not get consent), staff for the file. Create a case note advising the processor to process this case as third party without consent.

Occasionally you will pull a case in Records Locator and there is a case note stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

- **Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed?** If so, please staff for the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox. Please also send a CC of this e-mail to your supervisor.

- **Did the requester ask for a copy of a petition they filed on behalf of a beneficiary?** If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

- **Did the scanning contractor scan the wrong records into the case?** If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

  1. Look for a pending case for the records that were scanned into your case.

  2. If you locate a case, check to see if the responsive records have been scanned.

  3. If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

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4. If the pending case already has records scanned in, review those records.

    i. Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

    ii. If they are duplicates, then you do not have to do anything with that case.

    iii. You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

If you pull a case in Records Locator and there is a **case note instructing you to create an interim response letter because the individual is incarcerated**:

- The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.
- If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**
- If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

If you pull a case in Records Locator and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to NA, look at the document scanned in to the Staffing Response.

- If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Replace the content of the letter that appears with the template letter on the common drive, O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters \NVC letter. Send the case to Admin and send an e-mail to your supervisor with the case information. The supervisor will review and close the case.

- If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

- If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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REPENDING IN RECORDS LOCATOR

- Do not create a case note that you repended the case; the system automatically creates a case note.

- If you open a case in Records Locator and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.
  1. If the file has moved to another FCO, you should cancel the current staffing sheet and create a new one to reflect the new FCO.
  2. If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend for 30 days. Do NOT cancel the original staffing sheet or re-staff to RAFACS/CIS.
  3. Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

- If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend for 30 days.

- If a SIG case comes up for repending in Records Locator, please repend for 30 days and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

- If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend 30 days. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

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CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

- The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.
- The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.
- The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "U" button prior to exiting the case.

RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a case note explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator, put a case note indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,

- The A number or Receipt Number of the records,

- The staffing sequence they are scanned into, and

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- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator that has been staffed for a **Lost File**.

CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**
- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Repend the case for 180 days and pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

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IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend for 30 days. ***Do not cancel the staffing and re-staff to NRC.**

MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

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BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

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DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

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KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

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MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

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PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

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SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated. On the second letter delete the contents and save to ensure the second letter is not sent.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number	Filing Fee	Edition
Change of Address	AR-11	$0.00	10/6/08. Previous edition accepted.
Alien's Change of Address Card	AR-11SR	$0.00	10/6/08. Previous edition accepted.
Genealogy Index Search Request	G-1041	$20 Payment must be submitted with this form to request a genealogy index search. Payment may be in the form of a cashier's check or money order. Personal checks will not be accepted, and they will be returned to you. If the form is submitted from outside the United States, remittance may be made with a bank international money order or foreign draft drawn in U.S. dollars and payable through a U.S. bank. Make all payments in U.S. currency to the Department of Homeland Security. Do not send cash with your form.	09/10/08
Genealogy Records Request	G-1041A	You must submit the appropriate fee with this form for a genealogy records request. The fee for a copy from microfilm is $20 per request. The fee for a copy of a hard copy file is $35 per request. Send payment with your request form. Payment may be in the form of a cashier's check or money order. Personal checks will not be accepted, and they will be returned to you. If the form is submitted from	09/10/08

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Title	Form Number	Filing Fee	Edition
		outside the United States, remittance may be made with a bank international money order or foreign draft drawn in U.S. dollars and payable through a U.S. bank. Make all payments payable in U.S. currency to the Department of Homeland Security. Do not send cash with your form. If the file number provided does not match the immigrant named on this form, and there is no previous Genealogy Index Search case identification number provided, we will not refund any fee.	
Notice of Entry of Appearance as Attorney or Representative	G-28	$0.00	9/26/00. Previous editions accepted.
Biographic Information	G-325	$0.00	7/14/06. Previous editions accepted.
Biographic Information	G-325A	$0.00	7/14/06. Previous editions accepted.
Biographic Information	G-325B	$0.00	11/12/08. Previous editions accepted.
Biographic Information	G-325C	$0.00	7/14/06. Previous editions accepted.
Freedom of Information Act/Privacy Act Request	G-639	$0.00	02/04/09. Previous editions accepted.
Verification Request (Non-SAVE agencies)	G-845	$0.00	07/25/08. Prior versions accepted.
Document Verification Request Supplement	G-845 Supplement	$0.00	07/25/08

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Title	Form Number	Filing Fee	Edition
Document Verification Request (SAVE Agencies)	G-845S	$0.00	07/25/08. Prior versions may be used.
Return of Original Documents	G-884	$0.00	11/03/08. Prior versions accepted.
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102	$320	8/21/08. Previous editions accepted.
Petition for a Nonimmigrant Worker	I-129	$320.	1/22/09. Previous editions accepted.
Petition for Alien Fiance(e)	I-129F	$455. There is no fee for petitions for K-3 status based on an immigrant petition filed by the same U.S. citizen.	07/30/07, 11/24/06 editions can be used, no other editions accepted.
Nonimmigrant Petition Based on Blanket L Petition	I-129S	$0.00	01/16/07, 09/16/05 editions can be used, no other editions accepted.
Petition for Alien Relative	I-130	$355	05/27/08. Previous editions accepted.
Application for Travel Document	I-131	$305	10/30/08. Previous editions accepted.
Affidavit of Support	I-134	$0.00	10/30/2008. Prior versions are also acceptable.
Immigrant Petition for Alien Worker	I-140	$475	1/12/09. Previous editions accepted.
Application for Advance Permission to Return to	I-191	$545	07/30/07. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
Unrelinquished Domicile			
Application for Advance Permission to Enter as a Non-Immigrant	I-192	$545	1/15/09. Previous editions not accepted. 7/30/07 edition will be accepted through 2/20/09 only.
Application for Waiver for Passport and/or Visa	I-193	$545	3/2005
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212	$545	07/30/07. Previous editions accepted.
Application for Removal	I-243	$0.00	10/6/08. Prior edition will be accepted.
Notice of Appeal or Motion	I-290B	$585	02/10/09. Previous editions accepted.
Petition for Amerasian, Widow(er), or Special Immigrant	I-360	$375	11/26/08. Previous editions accepted.
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361	$0.00	3/17/06. Previous editions accepted.
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363	$0.00	10/6/08. 3/18/08 version is also acceptable
Application to Register Permanent Residence or Adjust Status	I-485	$930 plus a biometrics fee of $80; the fee total is $1,010. Exceptions listed below. There is no fee for	12/16/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
		applicants who are filing Form I-485 based on having been admitted to the United States as a refugee. Applicants 80 years of age or older are not charged a biometric fee; the fee total is $930. Applicants under 14 years of age: - Filing with the I-485 application of at least one parent have a fee total of $600 - Not filing with the I-485 application of at least one parent have a fee total of $930	
Supplement A to Form I-485	I-485 Supplement A	$1,000	12/16/08. Previous editions accepted.
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C	See Form I-485	7/7/08. Prior revisions may not be used.
Instructions for I-485, Supplement E	I-485 Supplement E	$0.00	10/30/08
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508	$0.00	10/6/08. 5/27/05 edition also acceptable.
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F	$0.00	10/06/2008. Prior versions accepted.
Immigrant Petition by Alien Entrepreneur	I-526	$1,435	12/16/08. Previous editions accepted.
Application To Extend/Change Nonimmigrant Status	I-539	$300	12/31/07. Previous editions accepted.
For persons seeking V nonimmigrant status while in the United States or extension	I-539, Supplement A	N/A	10/28/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
of V status.			
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566	$0.00	02/28/08. No previous edition accepted.
Application for Asylum and Withholding of Removal	I-589	No Fee.	12/14/06. Previous editions accepted.
Petition to Classify Orphan as an Immediate Relative	I-600	$670. An $80 fee for biometrics is required for each person 18 years of age or older who is living with the applicant. No fee is required if you are filing based on an approved I-600A filed within the previous 18 months.	10/16/08. Previous editions accepted.
Application for Advance Processing of Orphan Petition	I-600A	$670	10/16/08. Previous editions accepted.
Application for Waiver of Ground of Inadmissibility	I-601	$545	10/30/08. Previous editions accepted.
Application By Refugee For Waiver of Grounds of Excludability	I-602	$0.00	01/15/09. Previous editions accepted.
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612	$545	07/08/08. Previous editions accepted.
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643	$0.00	10/16/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687	$710	02/09/09 Prior Version Accepted: No - Prior versions will be accepted until March 13, 2009.
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690	$185	07/30/07. Previous editions accepted.
Report of Medical Examination and Vaccination Record	I-693	$0.00	06/05/08. Previous editions will be accepted only for medical exams conducted before August 1, 2008. Medical exams conducted on or after August 1, 2008, require use of the 06/05/08 edition (link at bottom of page).
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694	$545	08/21/08. Previous editions accepted.
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698	$1,410 Note on Filing Fee: • If your application is filed within 31 months after temporary residency was granted, the fee is $1,370 per person with a $4,230 family cap. • If your application is filed later than 31 months after temporary residency was granted the fee is $1,410 per person with a $4,230 family cap. • An $80 per applicant fee (unless 14 years of age or older than 79 years) for biometrics may	10/16/2008. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
		be required.	
Refugee/Asylee Relative Petition	I-730	No fee.	1/7/09. Previous editions accepted.
Petition to Remove the Conditions of Residence	I-751	$465 (plus $80 biometric service fee)	8/25/08. Prior revisions are not accepted.
Application for Employment Authorization	I-765	$340	10/30/08. Previous edition accepted.
Application for Replacement of Northern Mariana Card	I-777	$15	October 16, 2008. Previous editions accepted.
Petition to Classify Convention Adoptee as an Immediate Relative	I-800	No fee is required for the first Form I-800 filed for a child on the basis of an approved Form I-800A. If more than one Form I-800 is filed during the approval period for different children, the fee is $670 for the second and each subsequent Form I-800. However, if the children are siblings before the proposed adoption, no additional filing fee is required.	9/10/08. Prior edition accepted.
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A	$670 for Form I-800A Note on Filing Fee: An $80 fee for biometrics is required for the applicant (and spouse, if any). Additionally, a $80 fee for biometrics is required for each person 18 years of age or older who is living with the applicant. Form I-800A, Supplement 1 (Listing of Adult Member of the Household) must also be provided for each adult member of the household,	9/10/08. Prior edition may be used.

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Title	Form Number	Filing Fee	Edition
		excluding the applicant and applicant's spouse. $340 for Form I-800A, Supplement 3 (Request for Action on Approved Form I-800A), if applicable	
Application for Family Unity Benefits	I-817	$440	5/27/08. Previous editions accepted.
Application for Temporary Protected Status	I-821	$50 for first time applicants. There is no application fee for re-registration. An $80 per person fee for biometrics may be required.	10/17/07. No previous editions accepted.
Application for Action on an Approved Application or Petition	I-824	$340	8/25/08. Previous editions accepted.
Petition by Entrepreneur to Remove Conditions	I-829	$2,850 plus a biometrics fee of $80. An additional biometrics fee of $80 must be paid for each conditional resident dependent, listed under Part 3 or Part 4 of Form I-829.	12/16/08. Previous editions accepted.
Inter-Agency Alien Witness and Informant Record	I-854	$0.00	03/31/07. Previous versions accepted.
Affidavit of Support Under Section 213A of the Act	I-864	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of $70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07, 11/01/06 editions can be used, no other edition accepted.
Contract Between Sponsor and Household Member	I-864A	$0.00	10/18/07. 11/01/06 edition can be used, no other edition

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Title	Form Number	Filing Fee	Edition
			accepted.
Affidavit of Support Under Section 213A of the Act	I-864EZ	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of $70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07. 01/15/06 edition can be used, no other edition accepted.
Poverty Guidelines	I-864P	$0.00	02/13/09. No previous edition accepted.
Intending Immigrant's Affidavit of Support Exemption	I-864W	Although USCIS does not charge a fee for this form, the Department of State does charge a fee of $70 when the Affidavit of Support is reviewed domestically. This does not apply when the Affidavit of Support is filed abroad.	10/18/07. 11/01/06 edition can be used, no other editions accepted.
Sponsor's Notice of Change of Address	I-865	$0.00	10/28/08. Previous editions accepted.
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881	$285	07/30/07. Previous editions accepted.
Employment Eligibility Verification	I-9	$0.00	Rev. 6/5/07. Please note that the revision date can be found on the **lower left hand corner** of the form. No previous edition accepted.

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Title	Form Number	Filing Fee	Edition
Application to Replace Permanent Resident Card	I-90	$290. Biometrics fee of $80 may be included. Please see Special Instructions for details.	07/30/07. Previous editions accepted.
Application for Authorization to Issue Certification for Health Care Workers	I-905	$230	07/30/07. Previous editions accepted.
Request for Premium Processing Service	I-907	$1,000 Note: If you are requesting Premium Processing on a form type and classification that is Premium eligible, the $1000.00 Premium processing fee is required in addition to all other filing fees required by the application to be processed. Checks should be made payable to Department of Homeland Security.	07/30/07. Editions other than 07/30/07, 04/02/07 and 08/28/06 are not accepted.
Application for T Nonimmigrant Status	I-914	No fee. Biometrics services may be required at no cost to the applicant.	07/30/07. Previous editions accepted.
Petition for U Nonimmigrant Status	I-918	No Fee. Petitioners may have to pay an $80 biometrics fee.	08/31/07
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929	$215	10/30/08
Application to File Declaration of Intention	N-300	$235	07/08/08. Previous editions accepted.
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336	$605	11/24/08. Previous editions accepted.

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Title	Form Number	Filing Fee	Edition
Monthly Report Naturalization Papers	N-4	$0.00	10/16/08. No previous edition accepted.
Application for Naturalization	N-400	$595 plus a biometrics fee of $80; the fee total is $675. Applicants 75 years of age or older are not charged a biometric fee; their fee total is $595. No fee is required for military applicants filing under Section 328 and 329 of the INA.	1/22/09. 10/15/07, 07/30/07, 11/01/06, 05/31/01 can be used. No other editions accepted.
Request for Certification of Military or Naval Service	N-426	$0.00	10/16/08. Previous editions accepted.
Application to Preserve Residence for Naturalization Purposes	N-470	$305	07/30/07. Previous editions accepted.
Application for Replacement Naturalization/Citizenship Document	N-565	$380	07/30/07. Previous editions accepted.
Application for Certificate of Citizenship	N-600	$460; if filing on behalf of an adopted minor child, $420.	01/08/09. Previous editions accepted.
Application for Citizenship and Issuance of Certificate under Section 322	N-600K	$460; if you are filing on behalf of an adopted minor child, the fee is $420.	09/06/07. Previous editions accepted.
Application for Posthumous Citizenship	N-644	No fee	08/21/08. Previous editions accepted.
Medical Certification for Disability Exceptions	N-648	$0.00	10/16/08. No previous editions accepted.

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney

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ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization

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CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training

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CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice

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DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration

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FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health

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FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account

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HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence

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I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990

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INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System

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LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center
NCIC	National Crime Information Center

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NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan

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OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs

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PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAD	River Assault Division
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook

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RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer
SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)

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SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom

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UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office

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VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

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Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

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Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.

- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.

- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual who is a U.S.C. or LPR; the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

***Paragraph 7.1,* Consent of Parents or Guardians,** *of the **FOIA/PA Assistant's Guide** has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

***Paragraph* 12.7.11 T-files** *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

***Paragraph* 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS** *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS *(not RAFACS/CIS)* staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC**/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

(b)(6)

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information*." Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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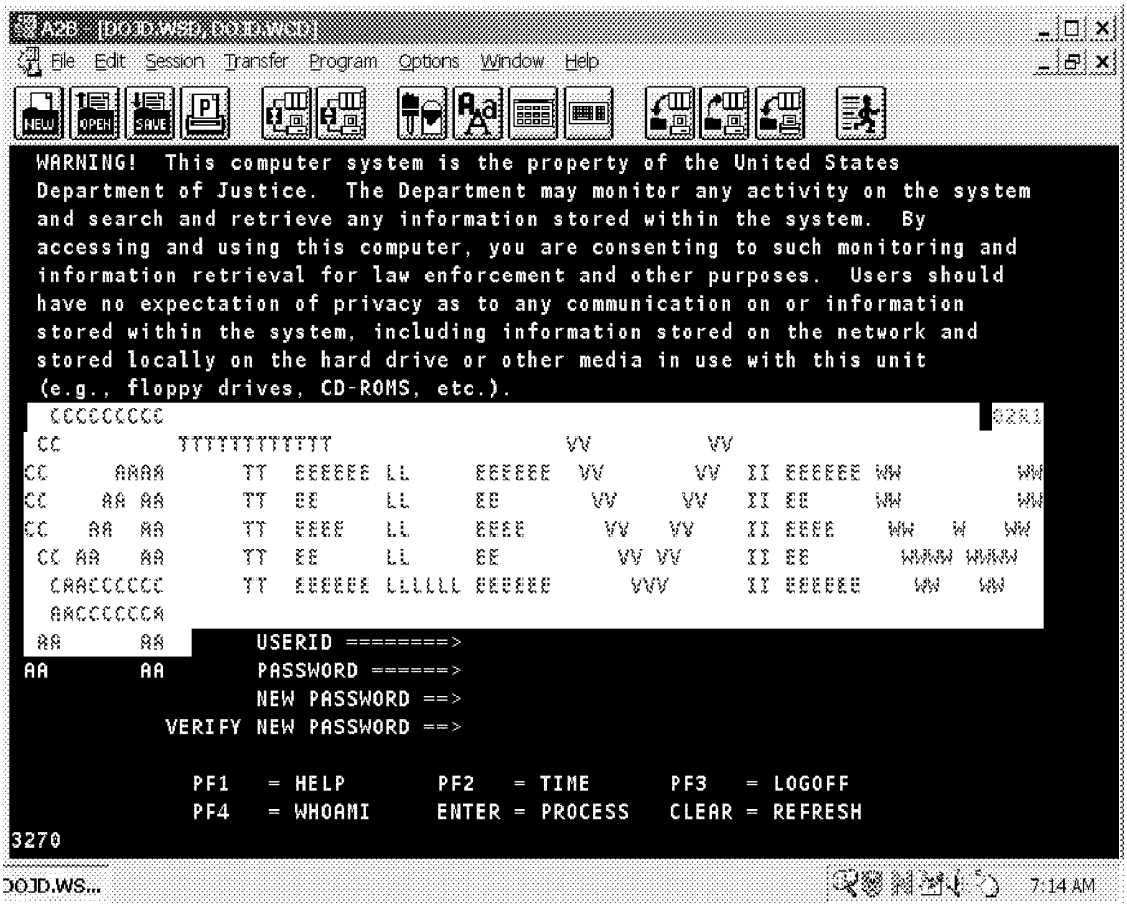
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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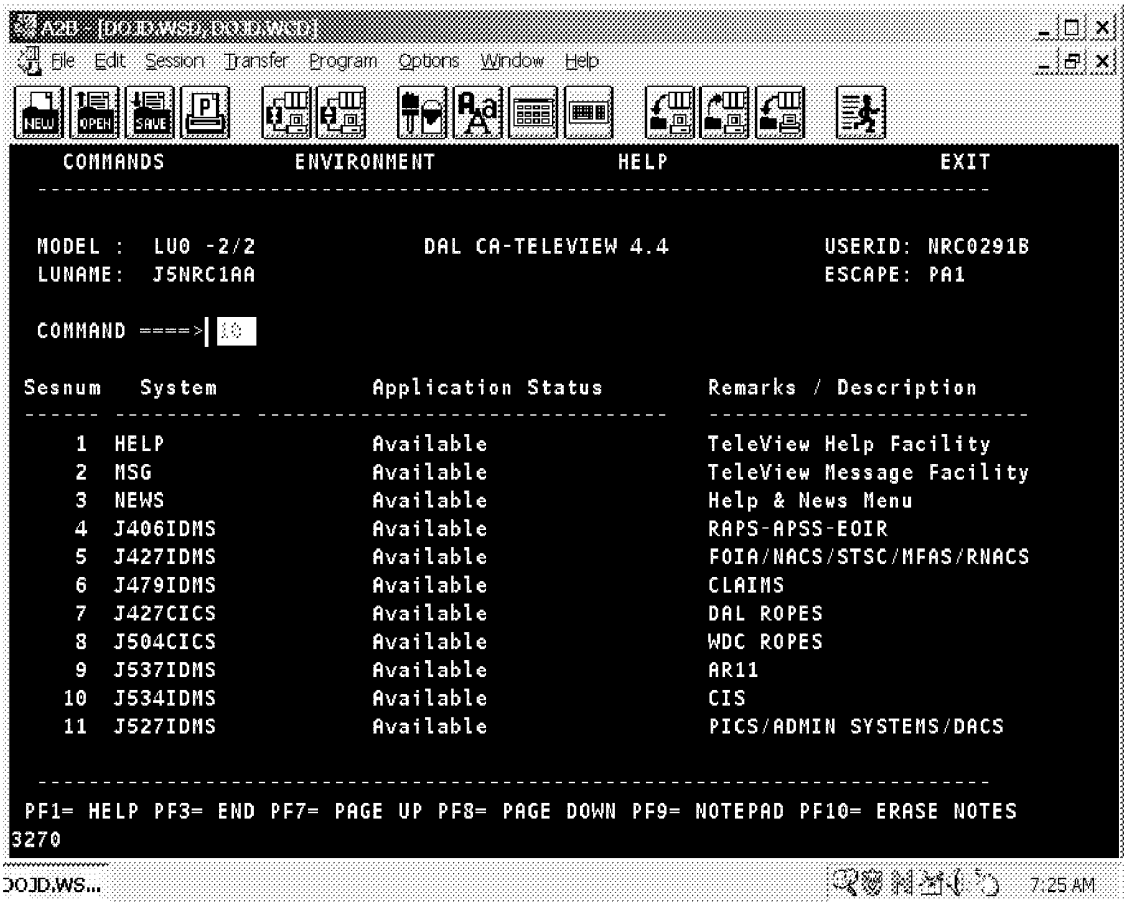
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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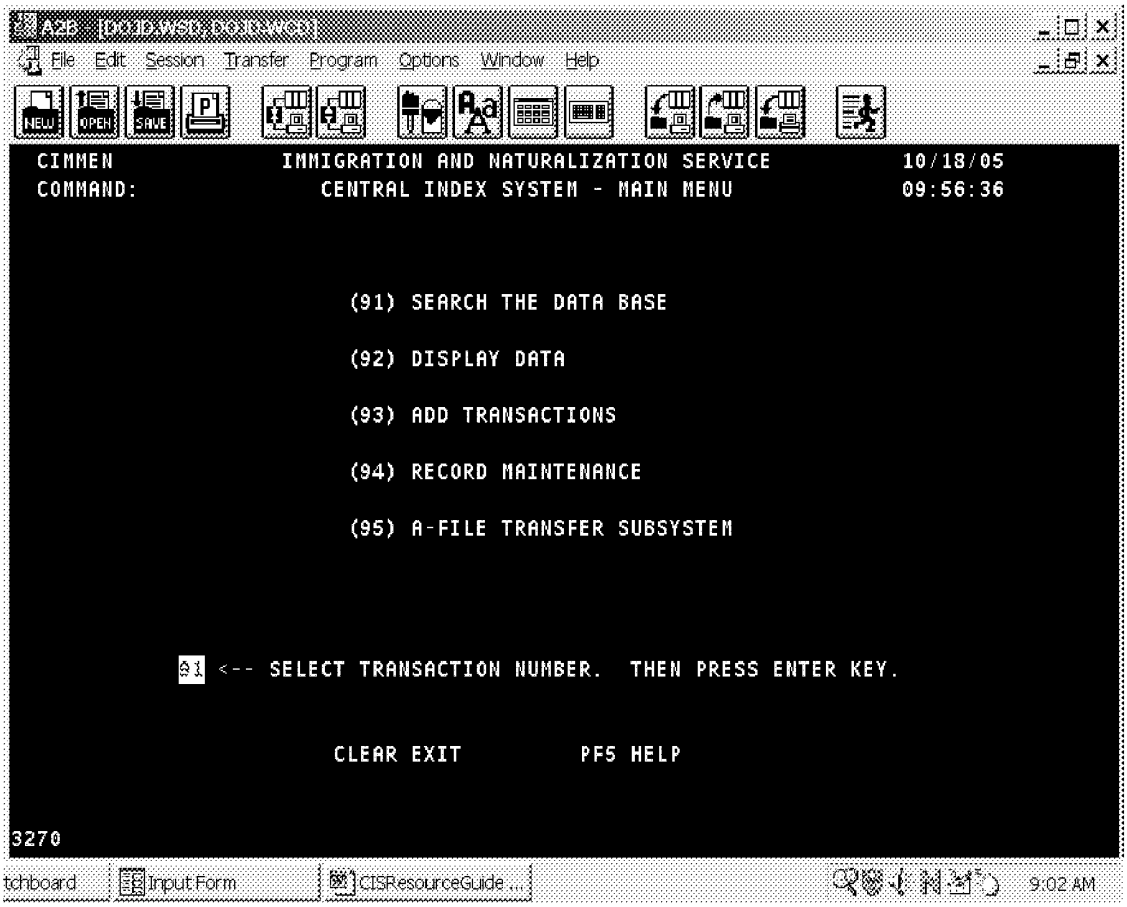
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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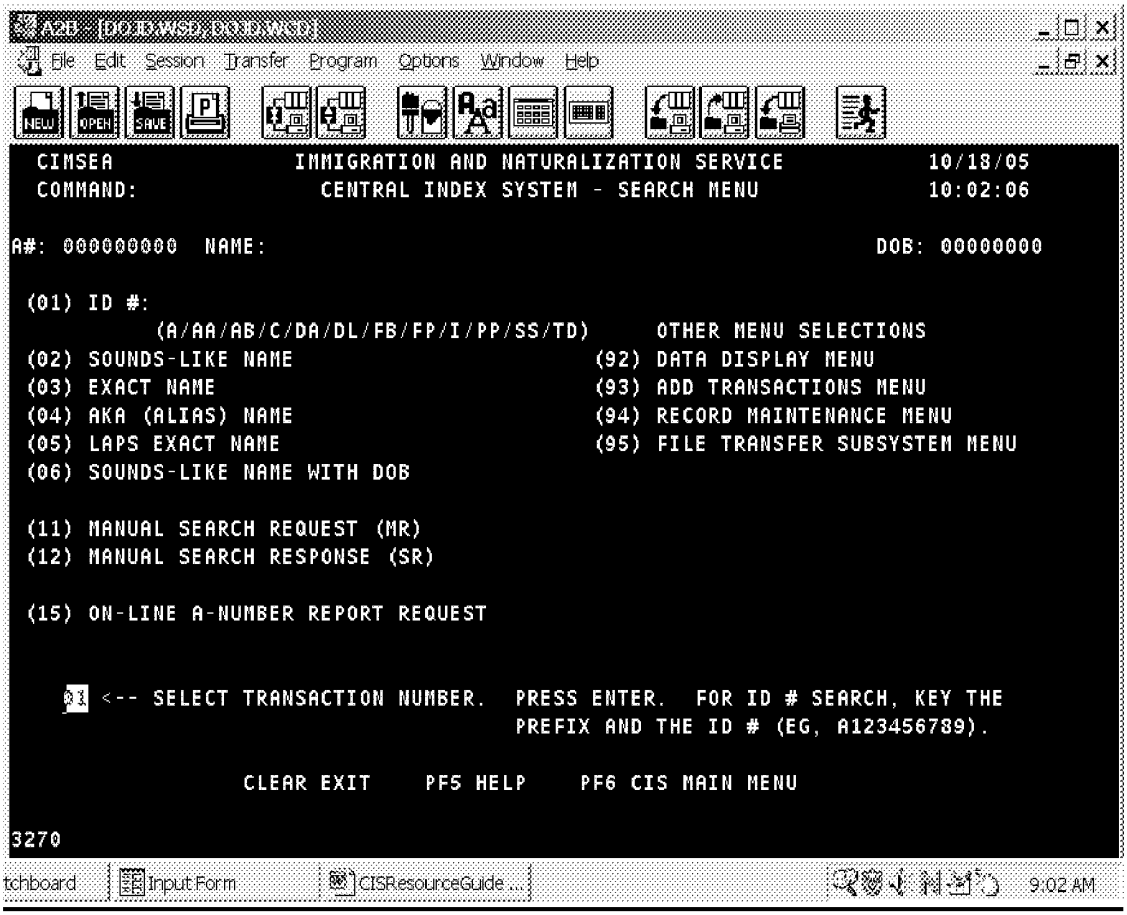
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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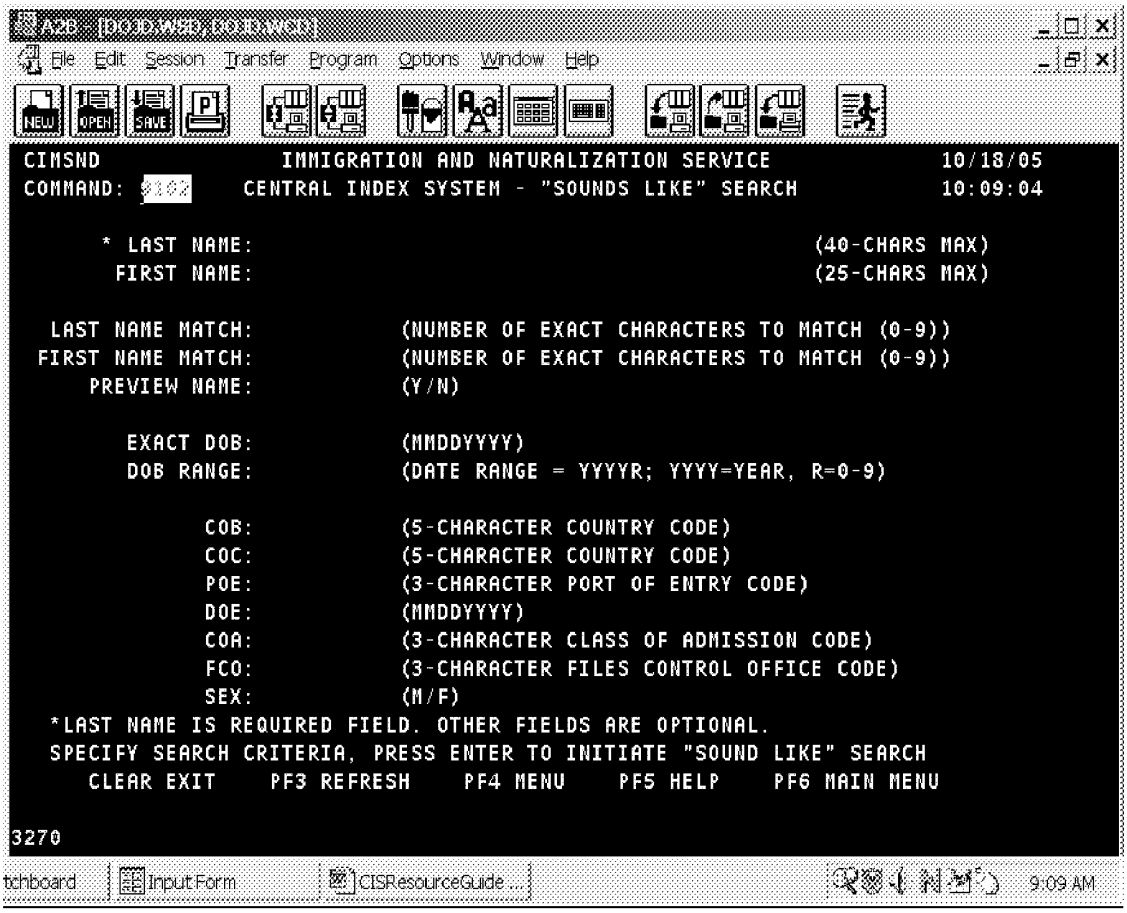

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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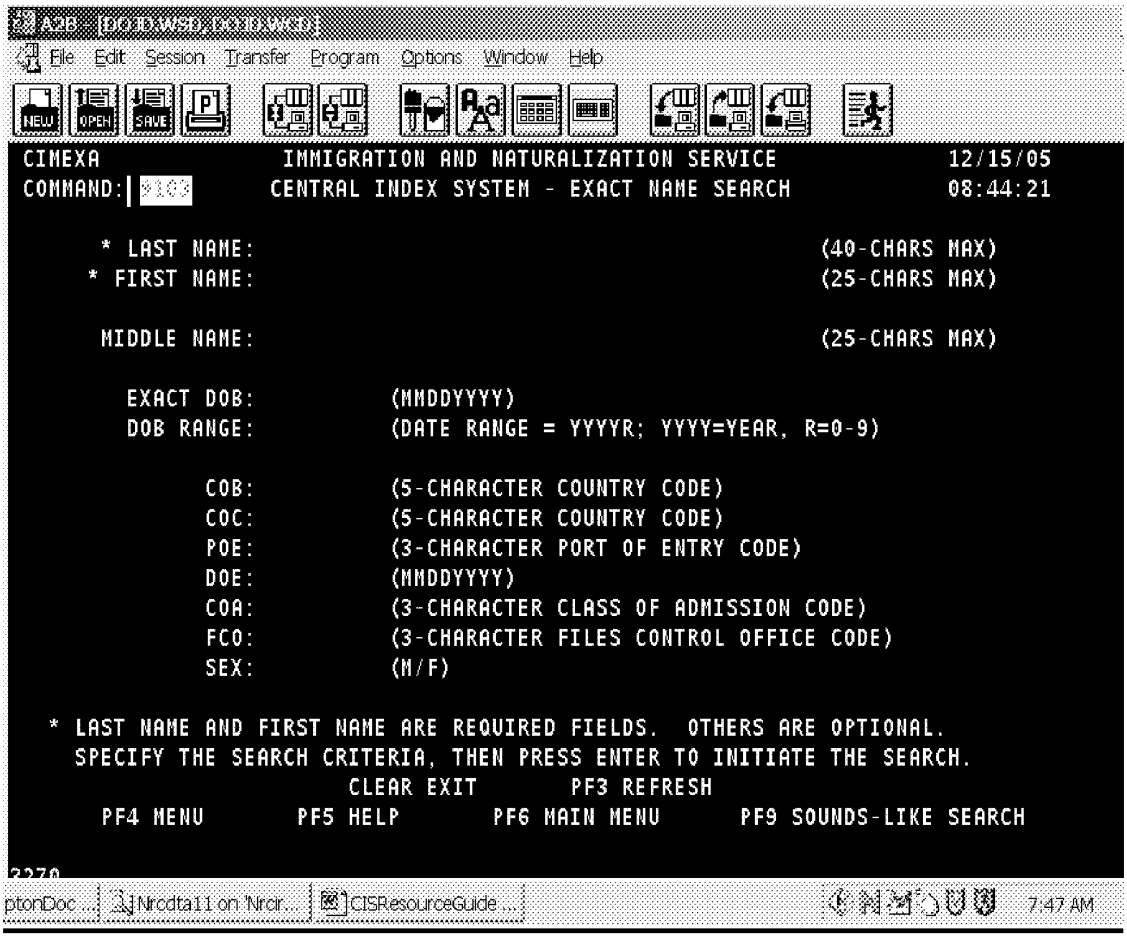
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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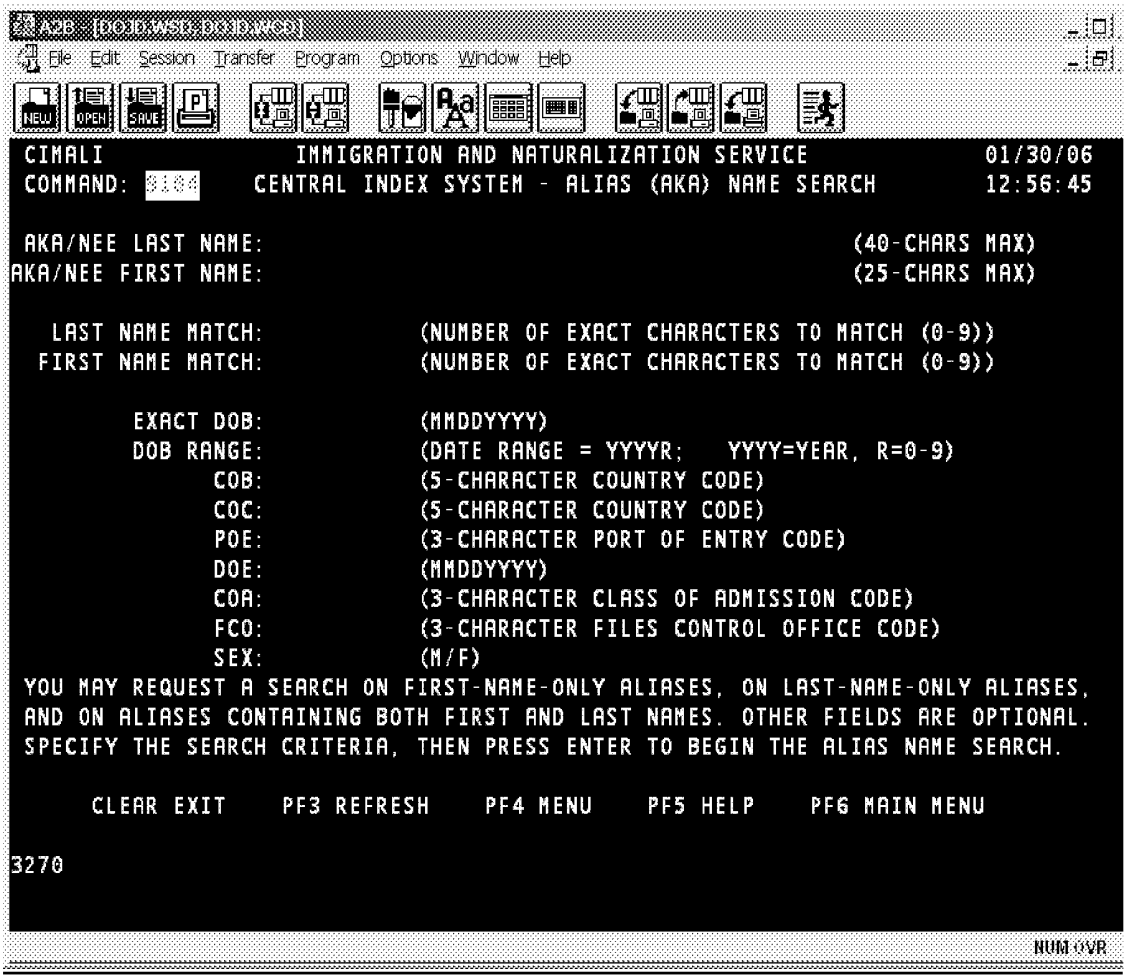
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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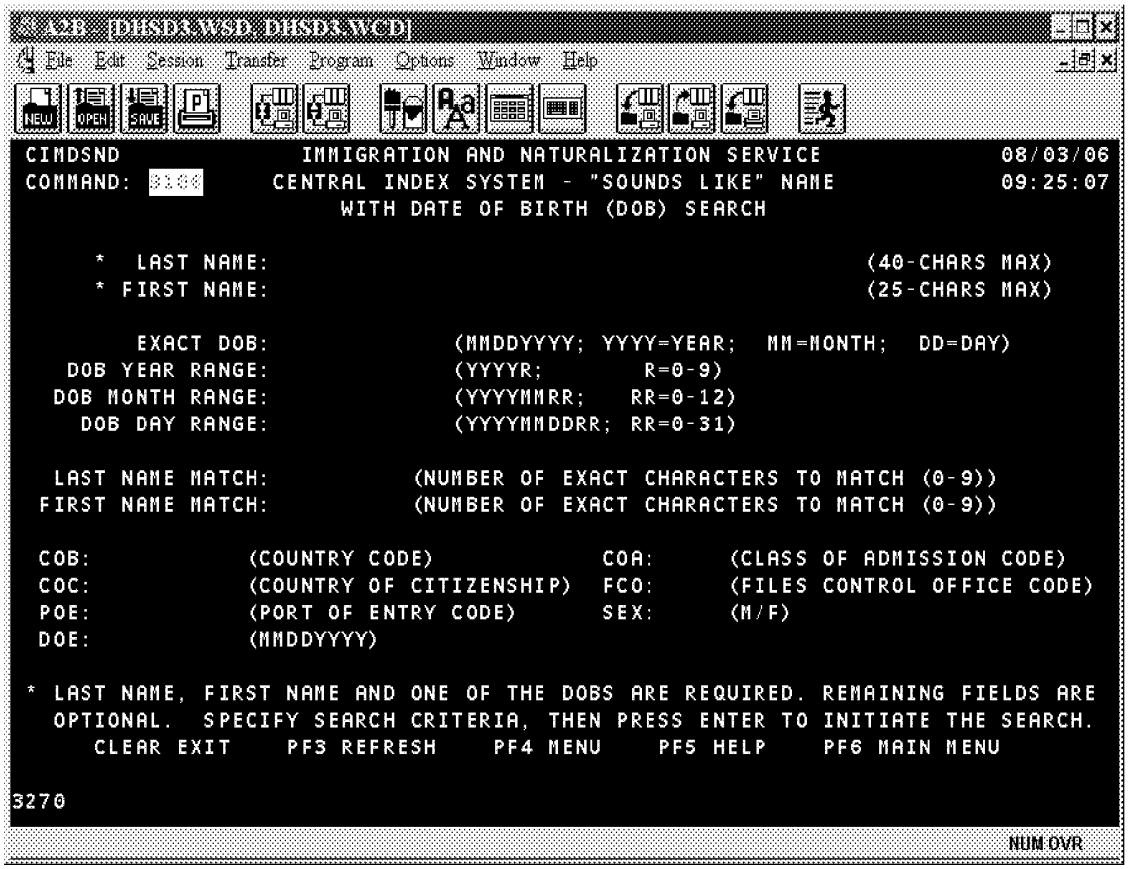
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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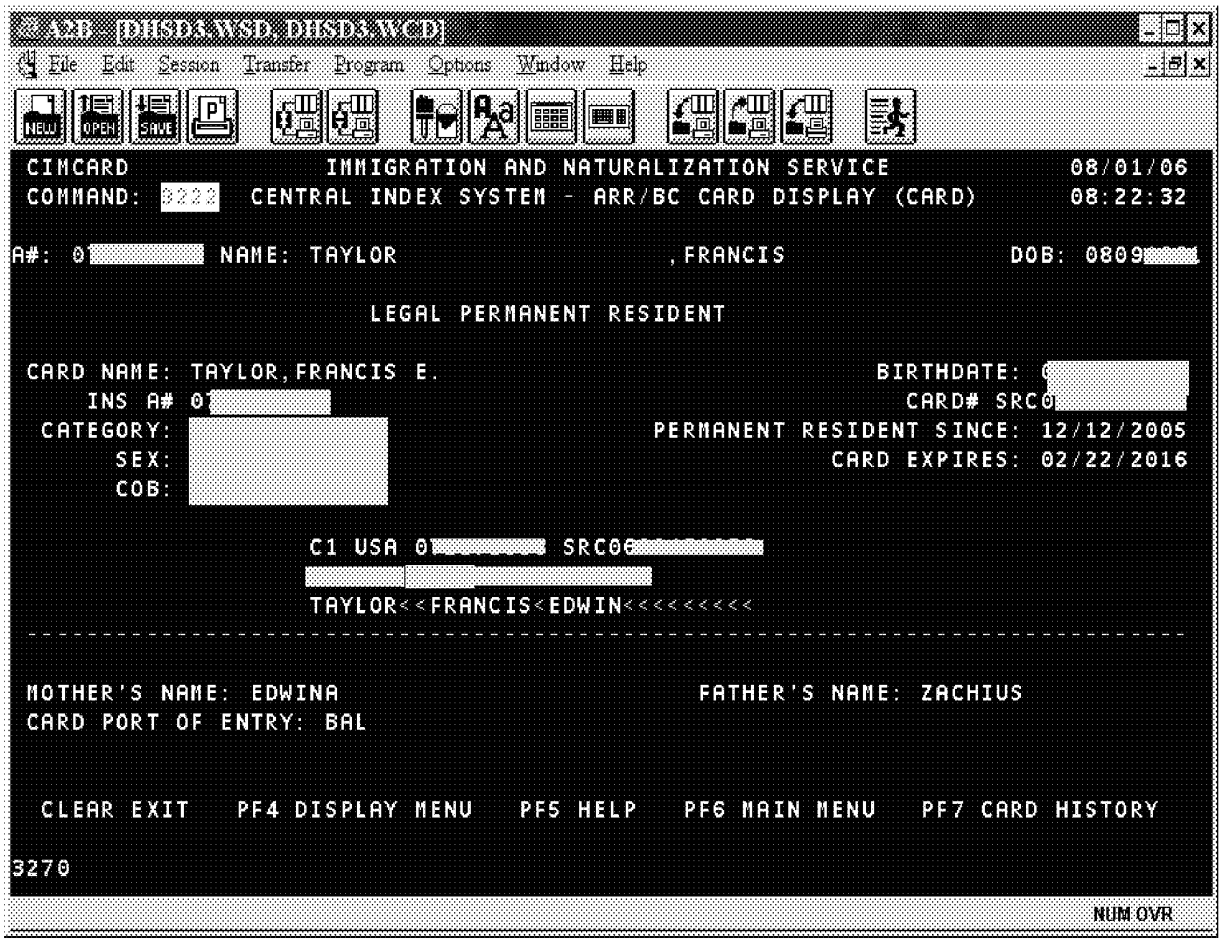
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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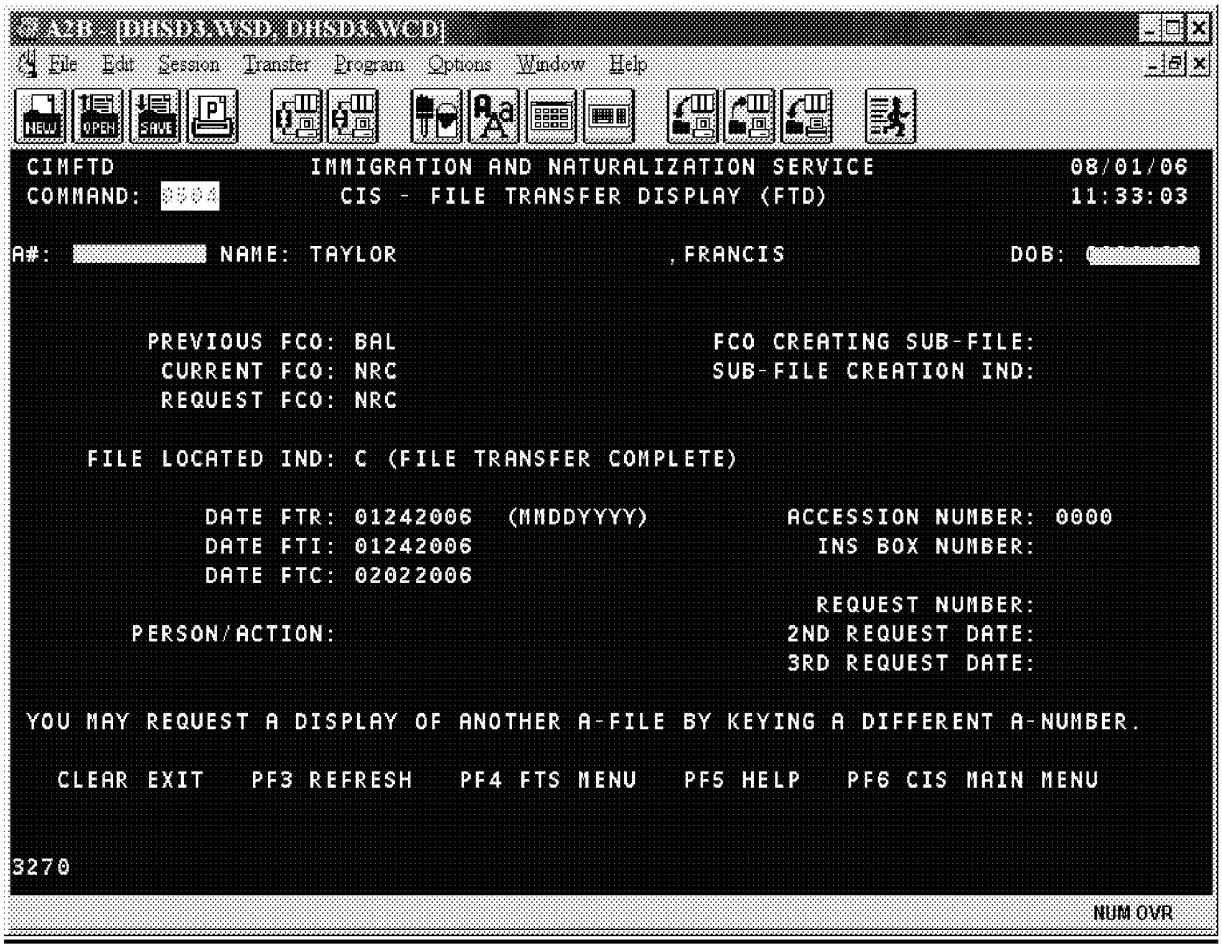
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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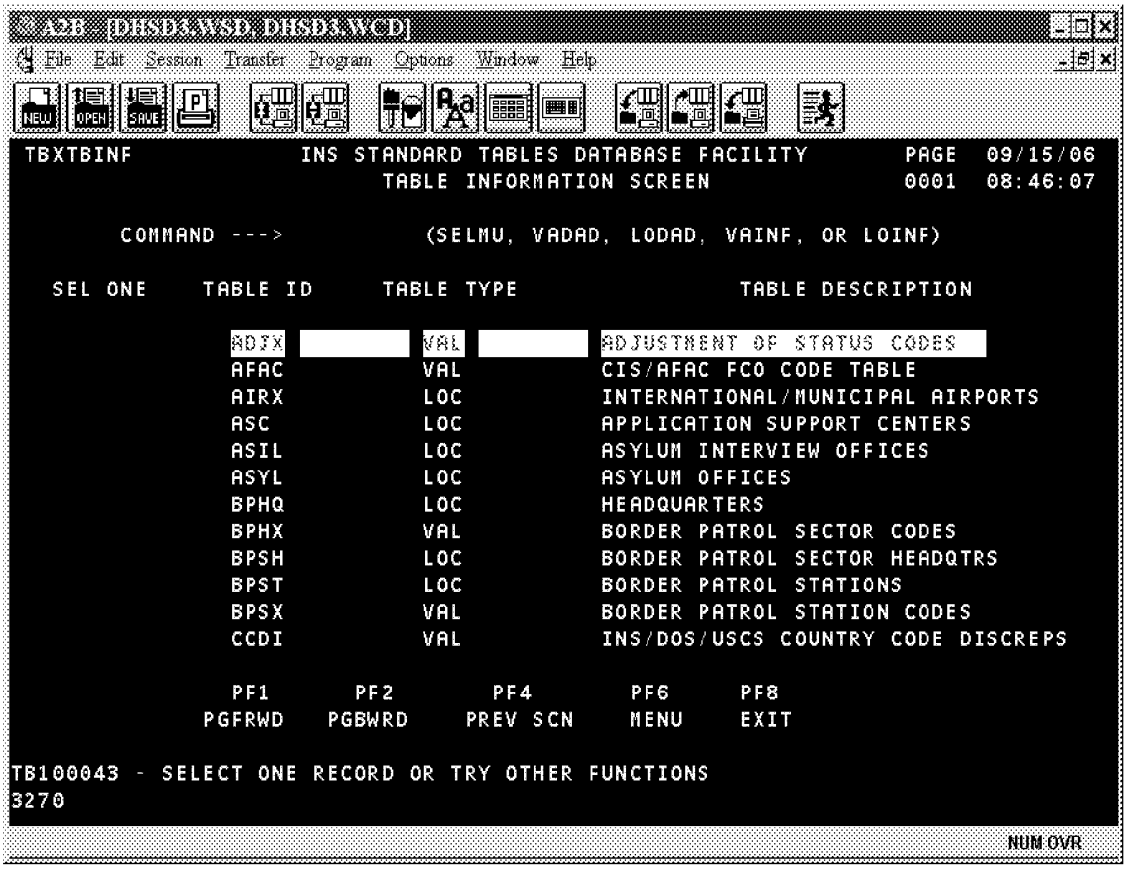
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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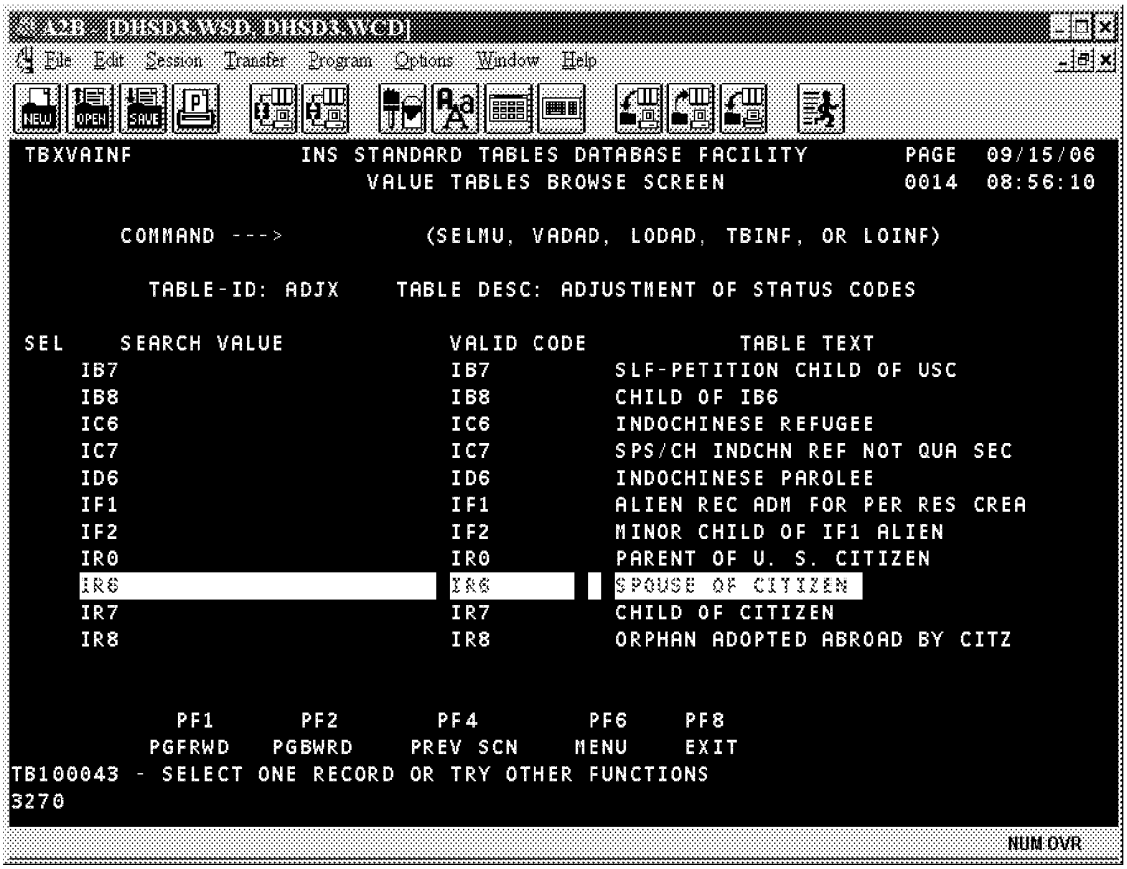
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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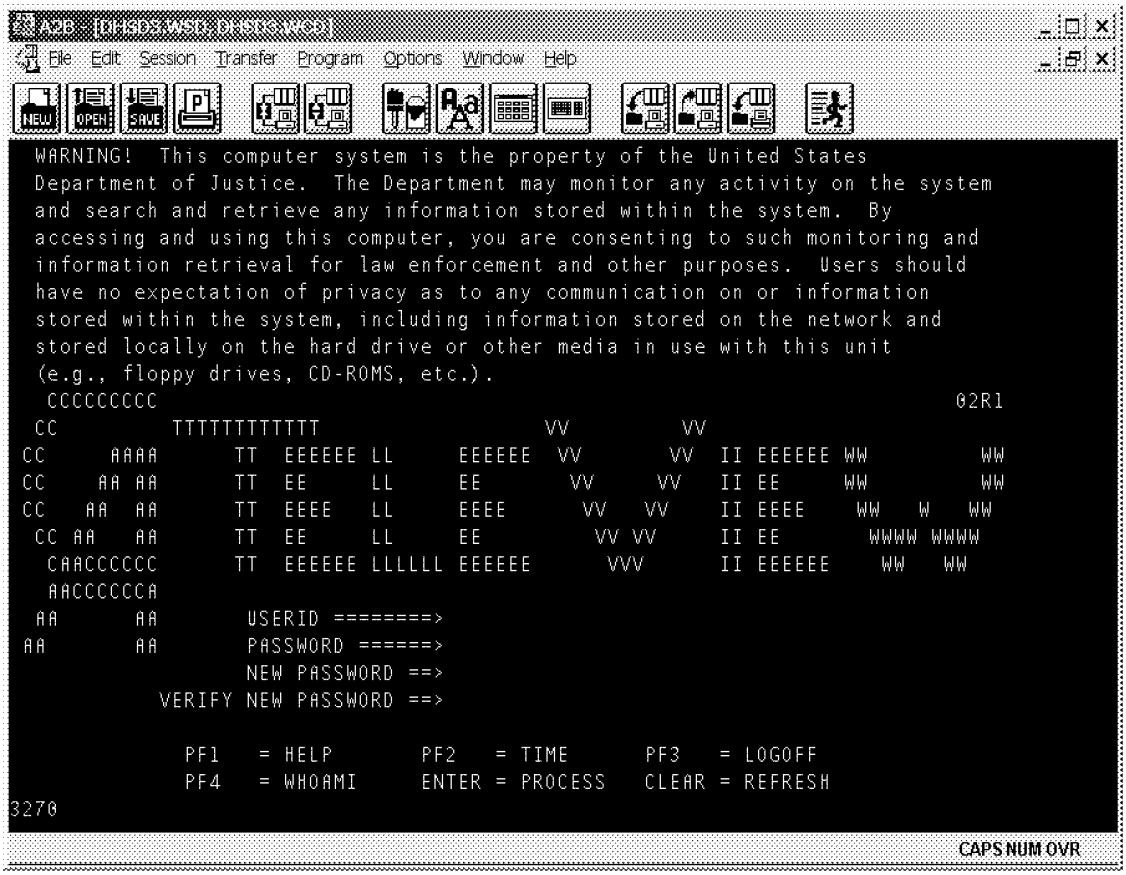
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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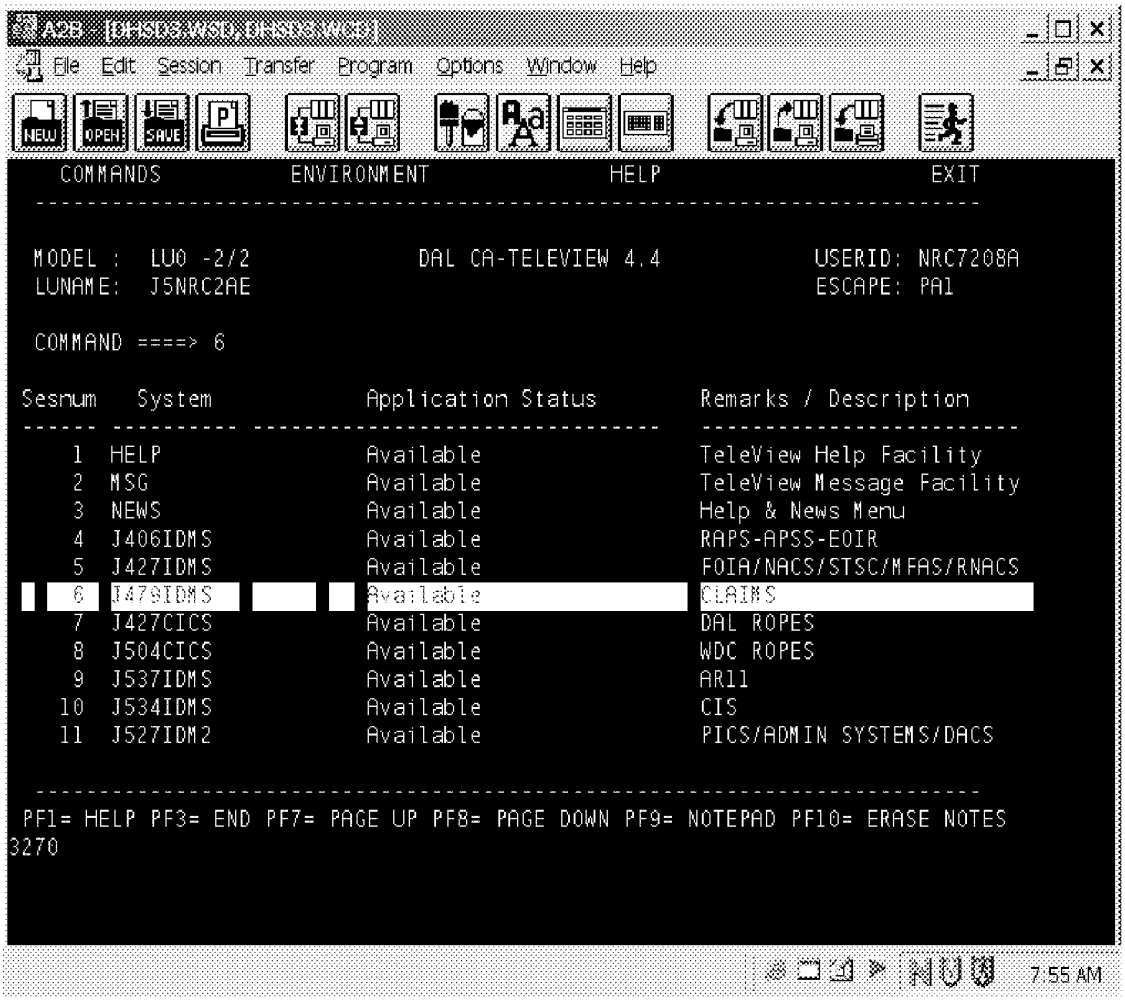
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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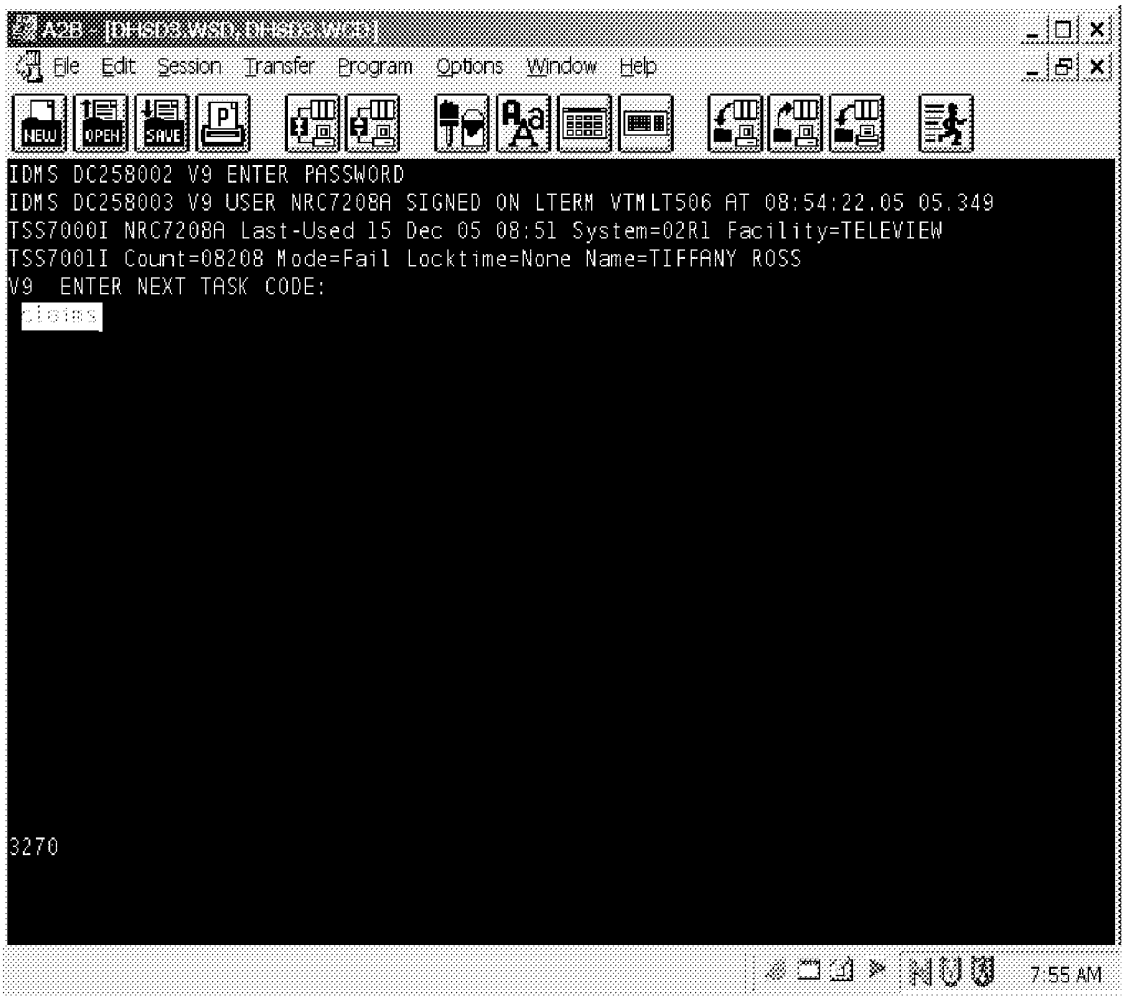
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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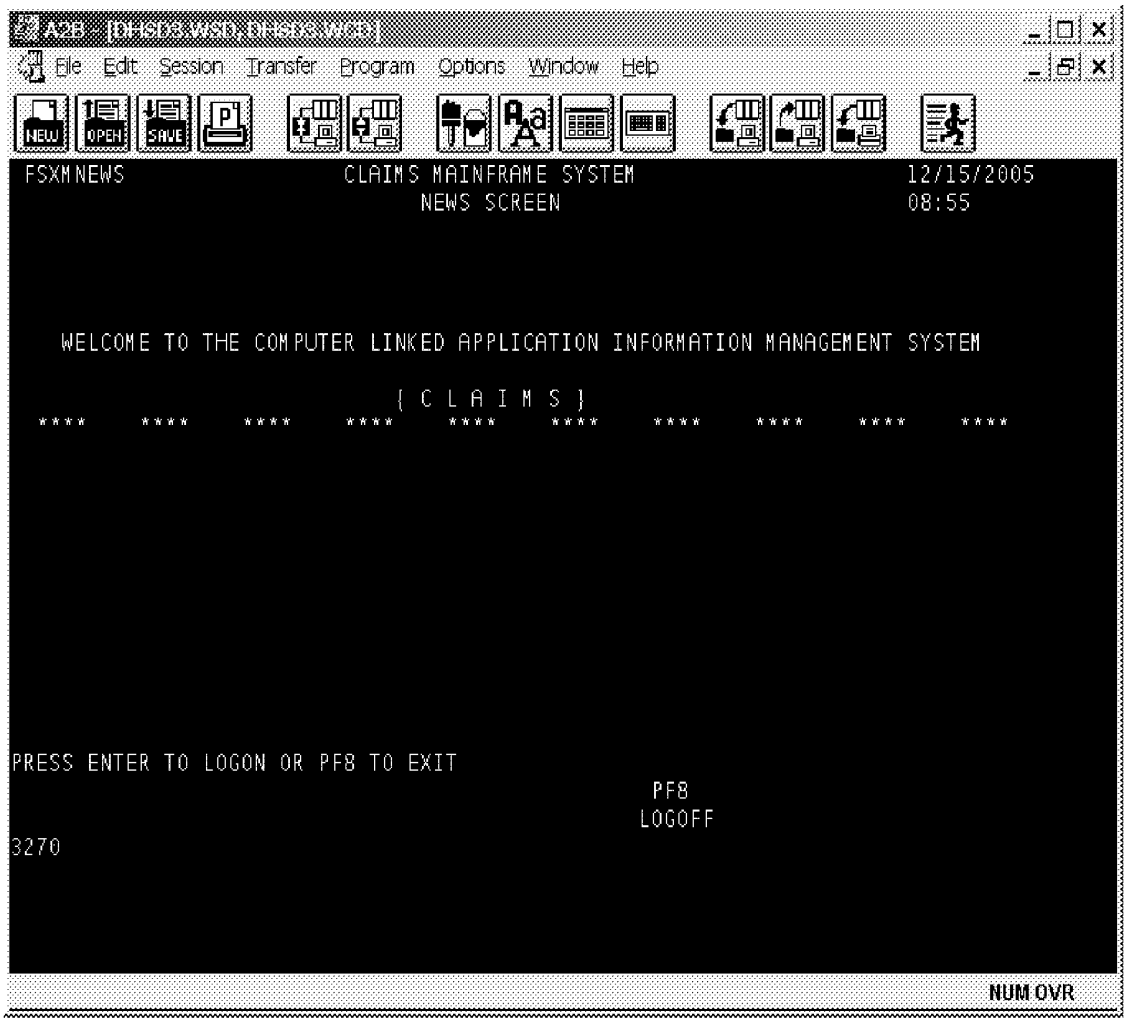
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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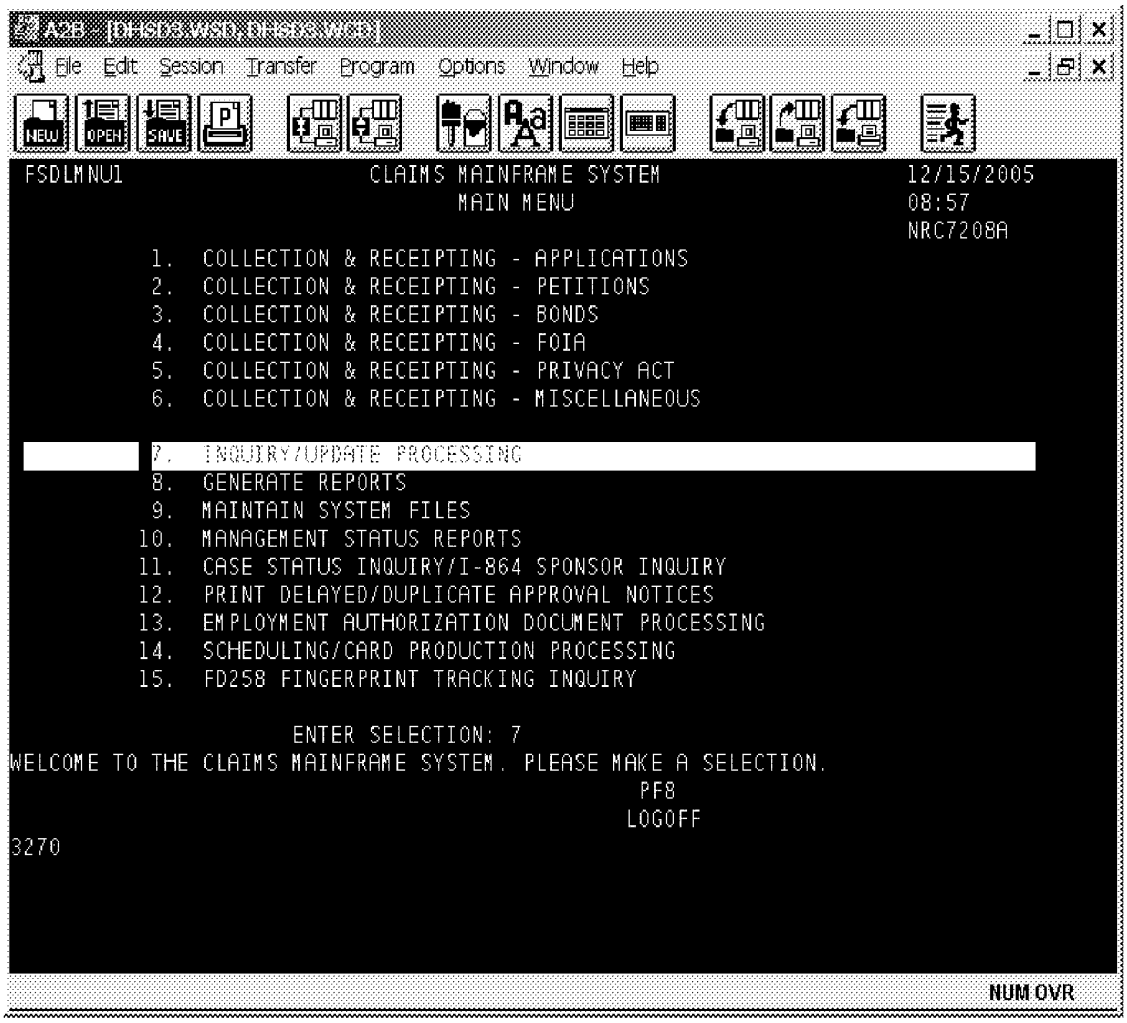
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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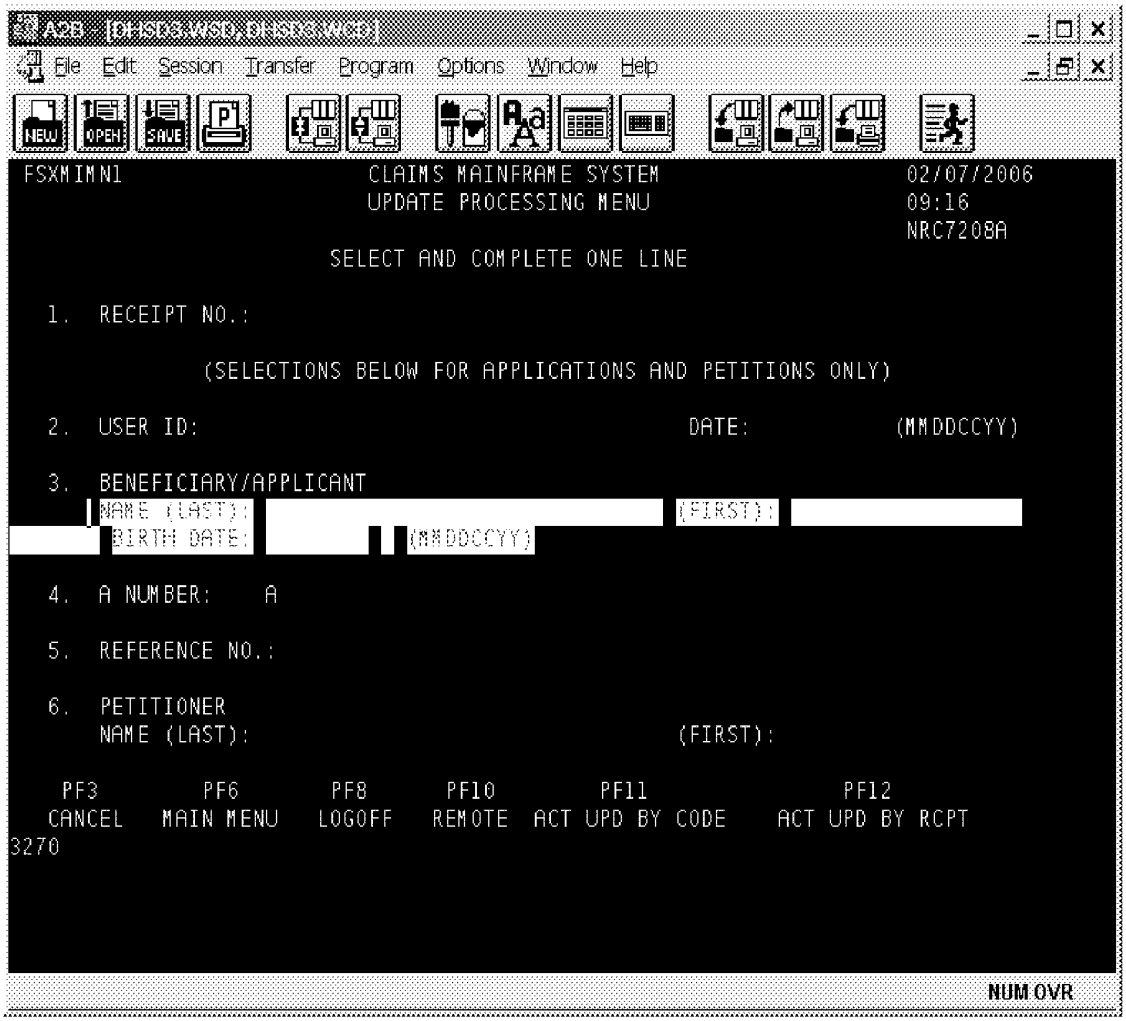
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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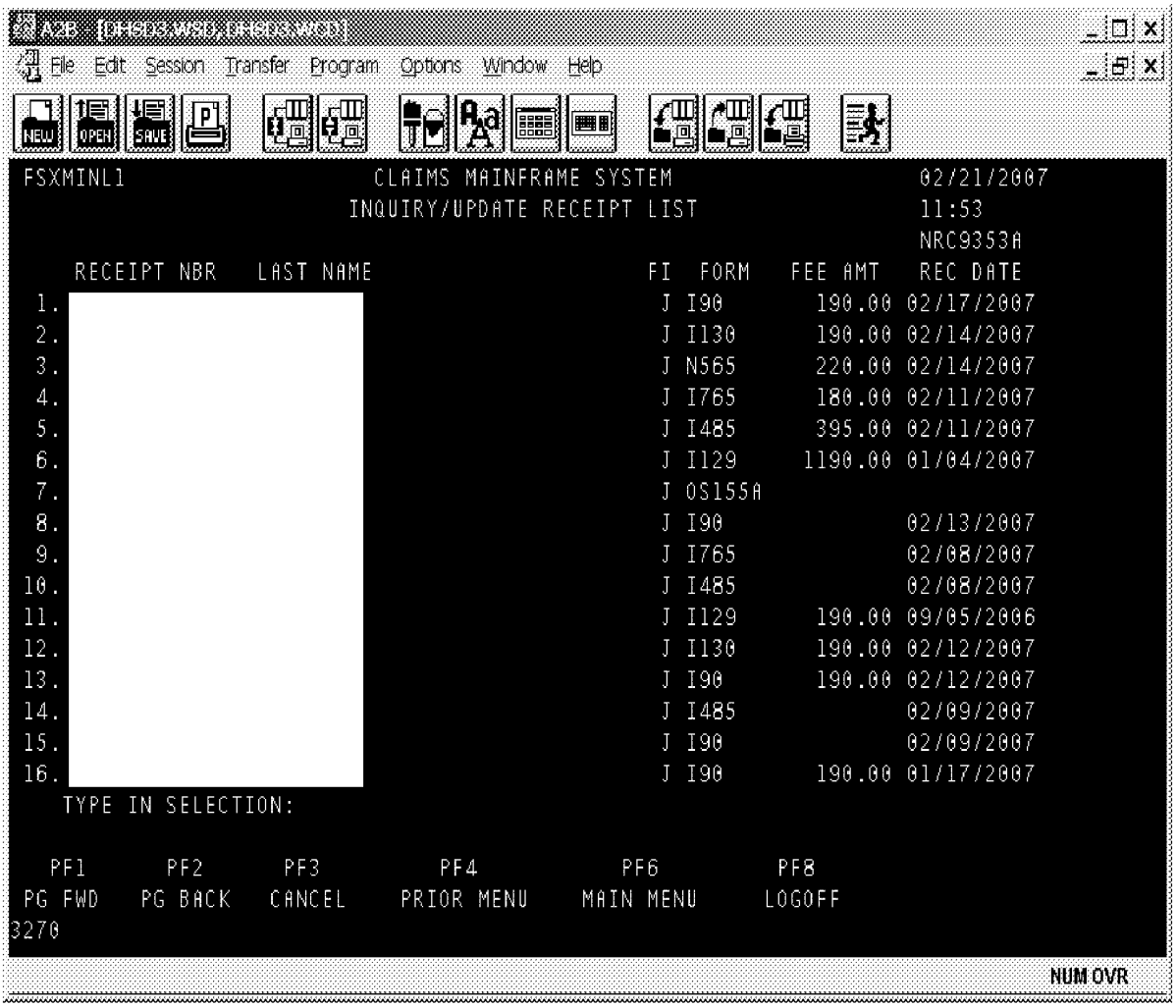
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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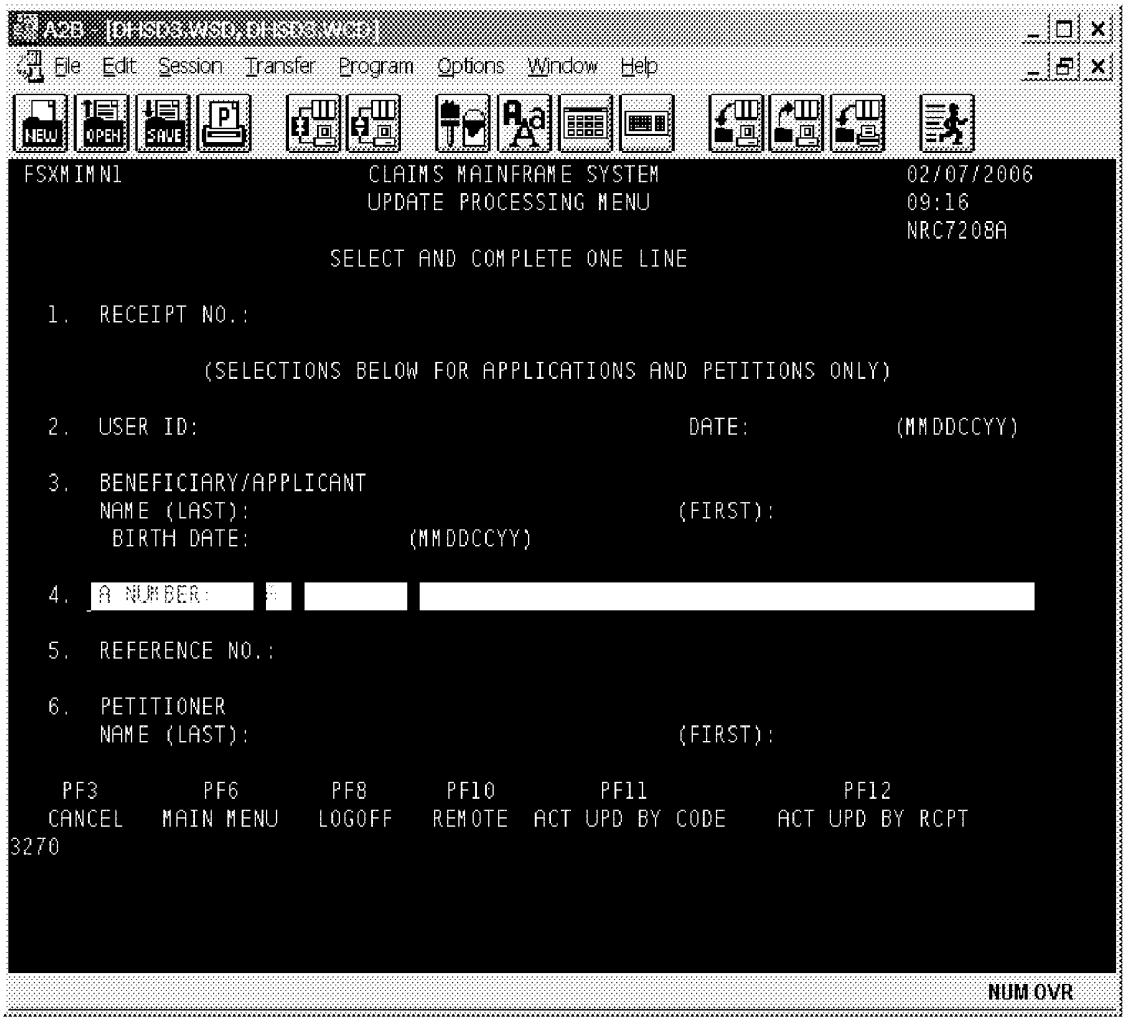
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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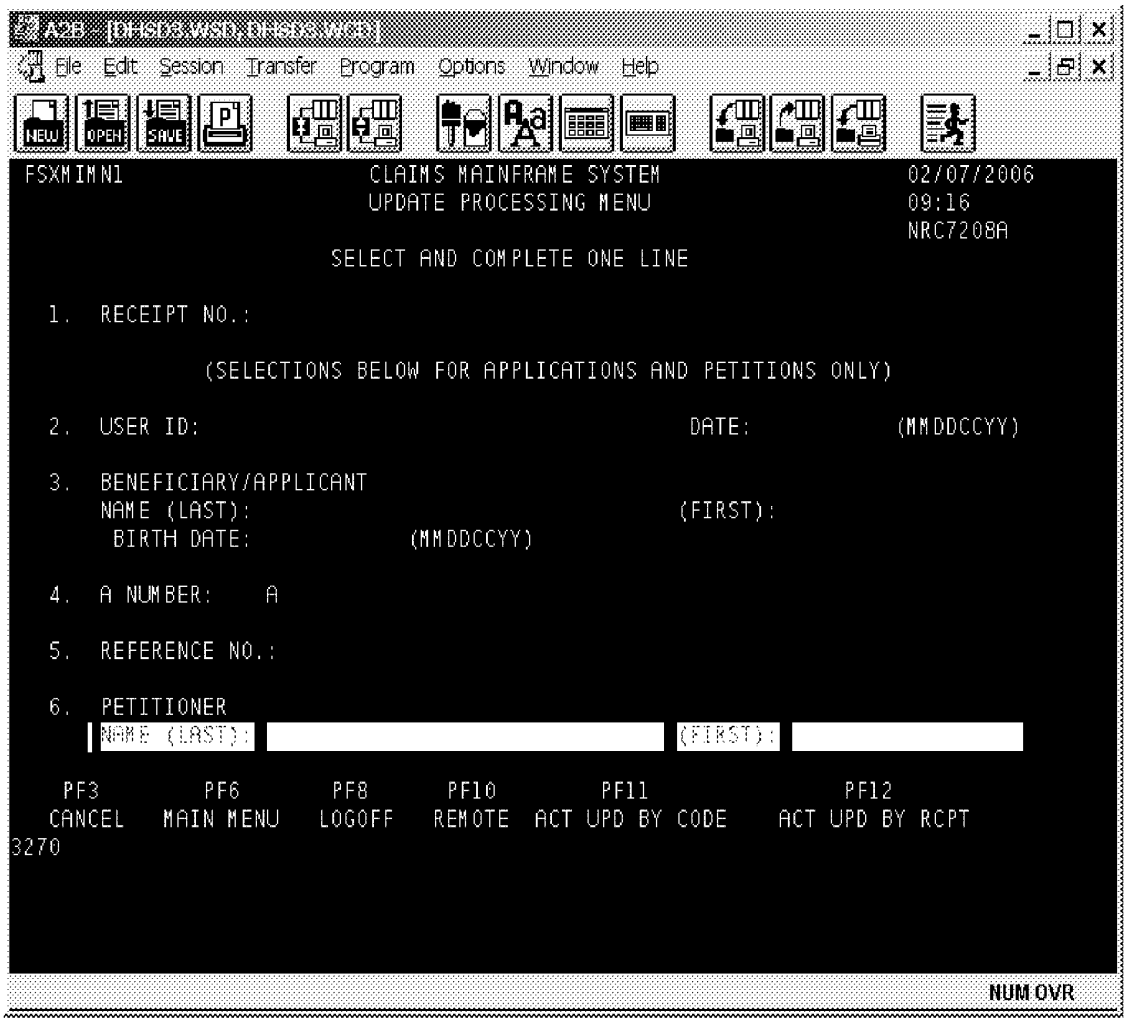
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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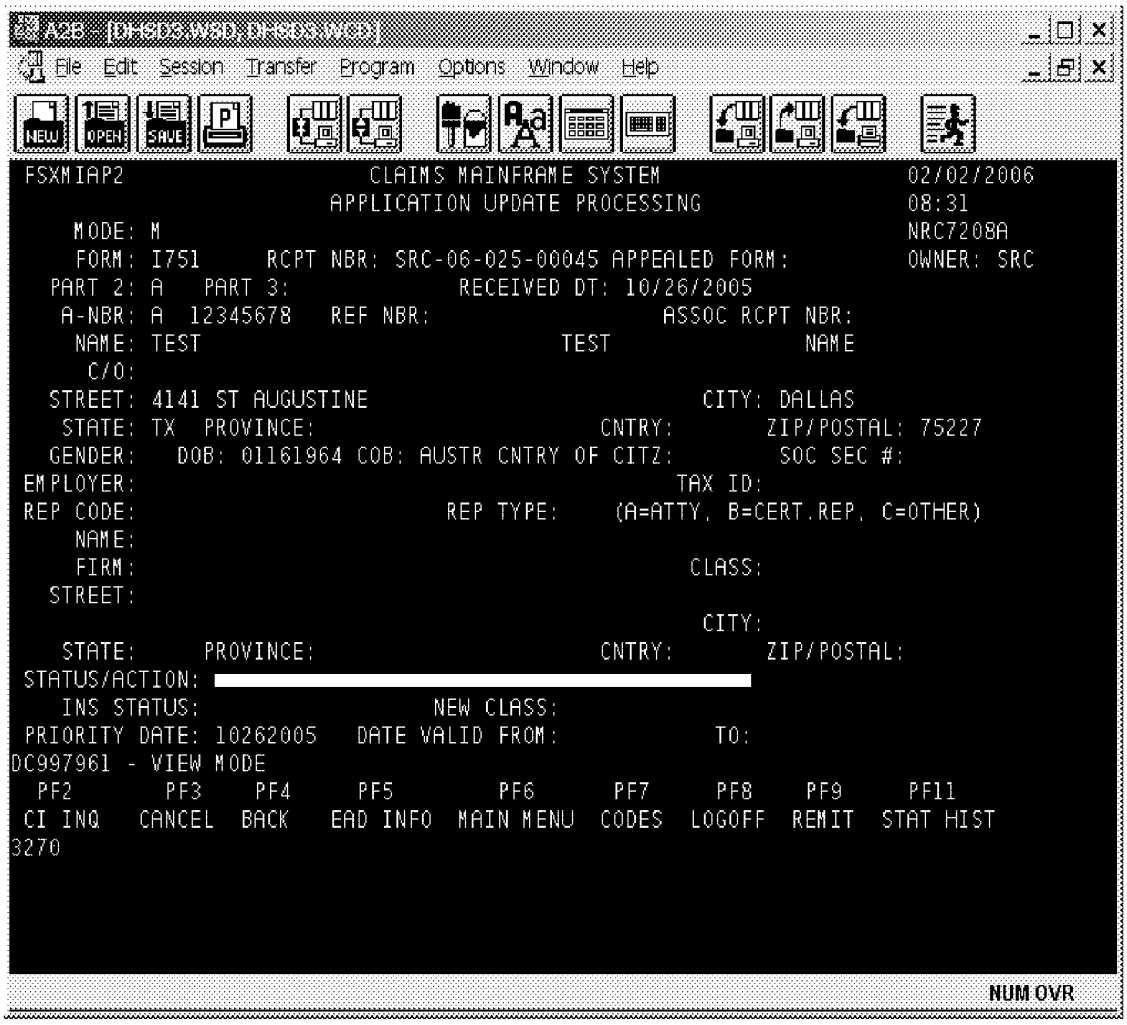
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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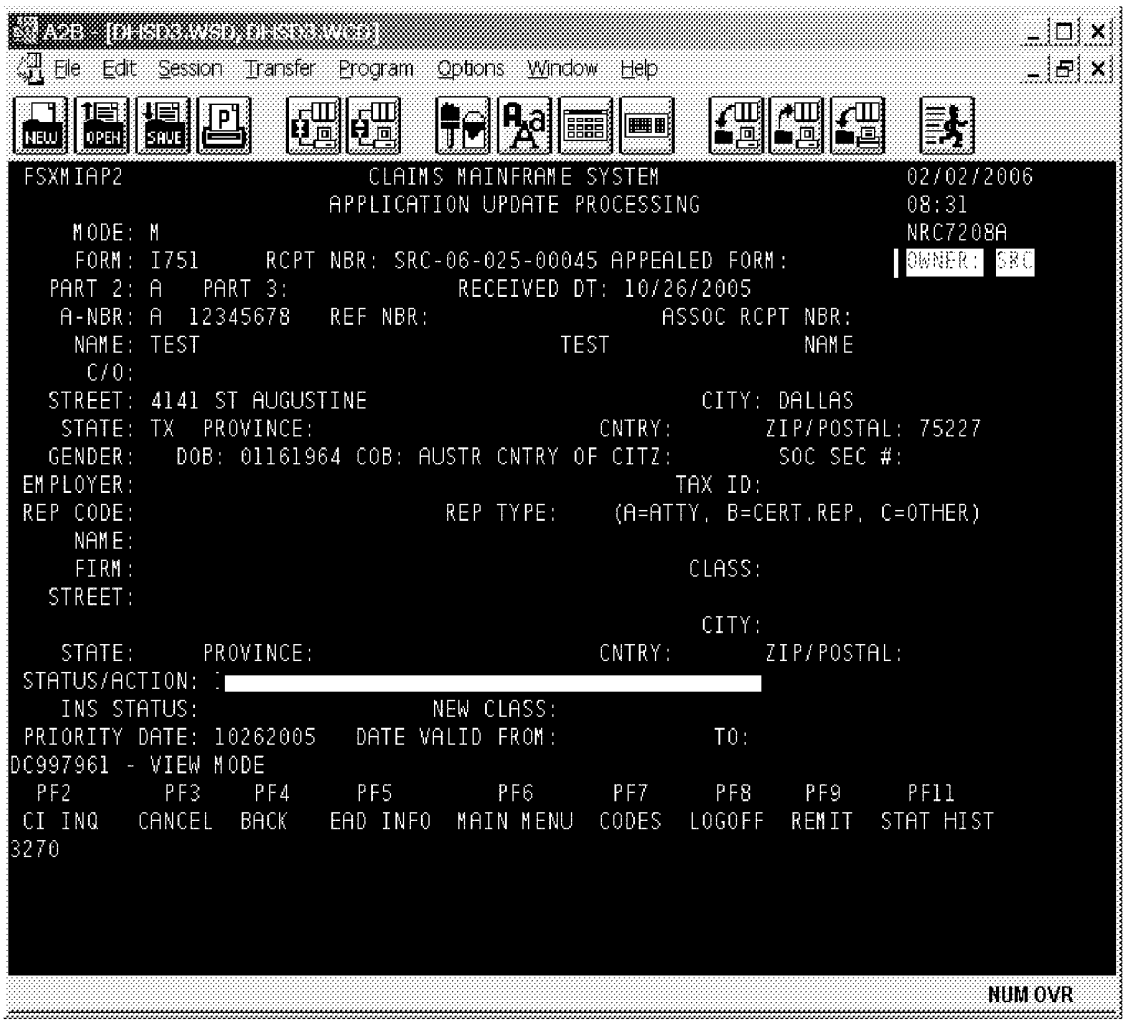

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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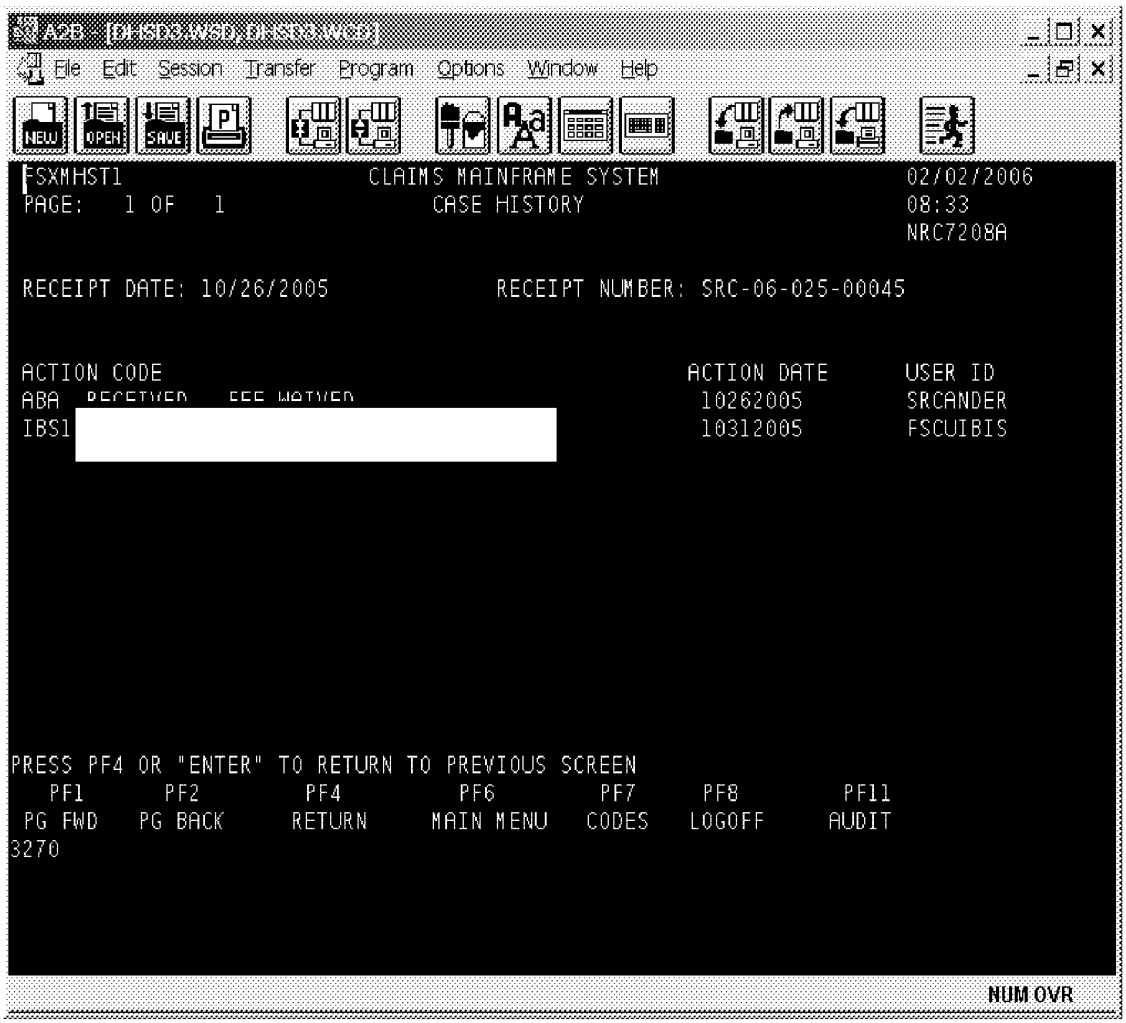
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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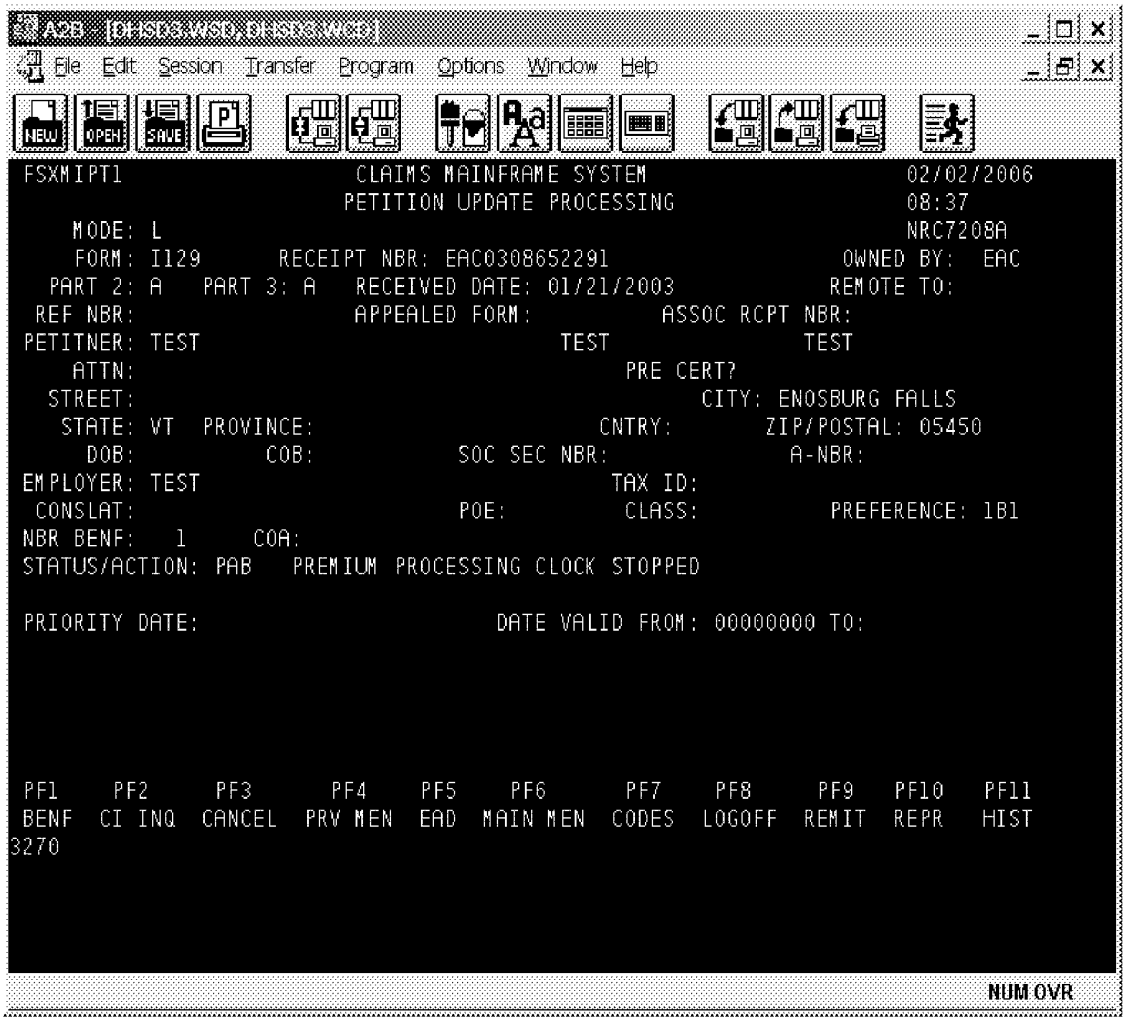
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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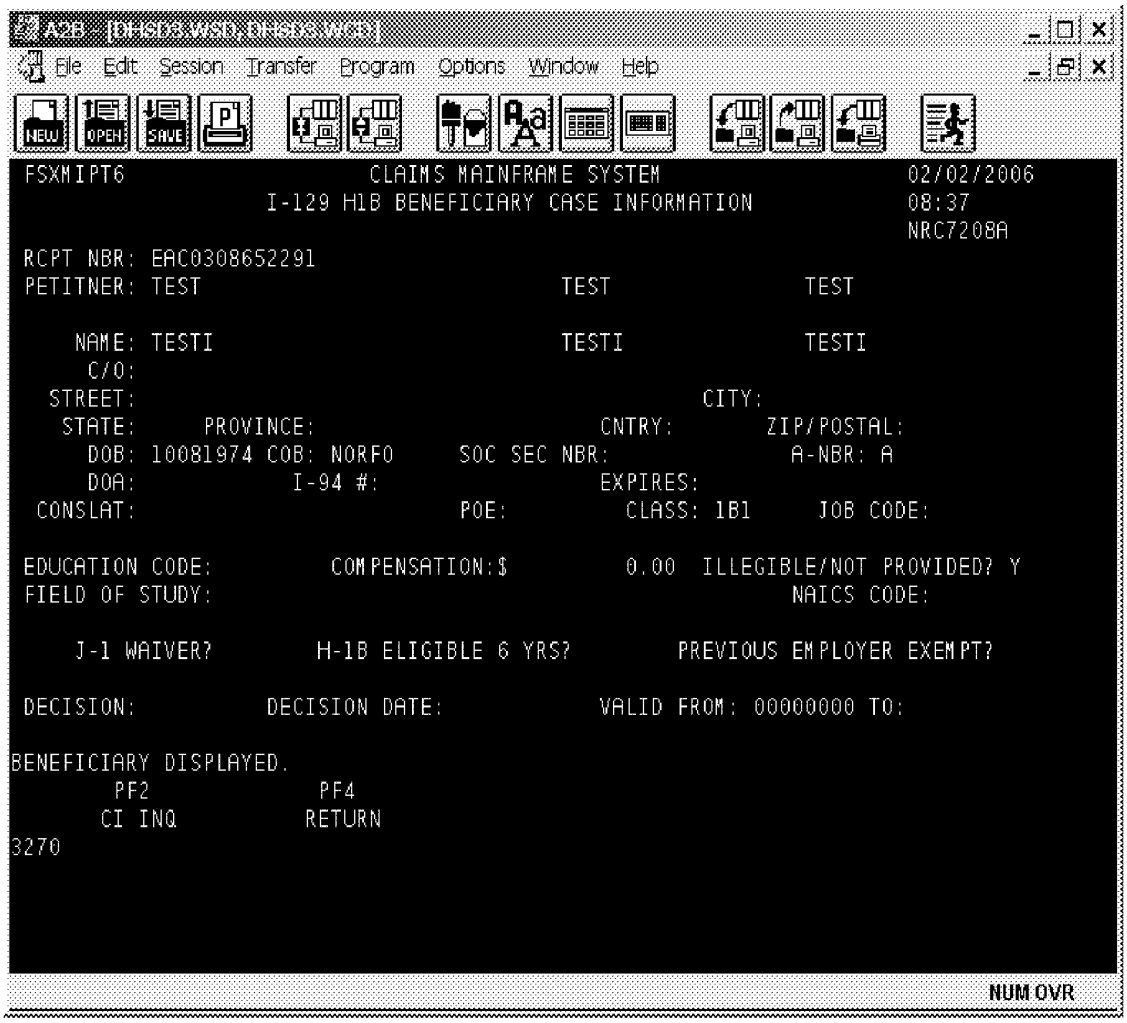
To see the beneficiary information press F1.



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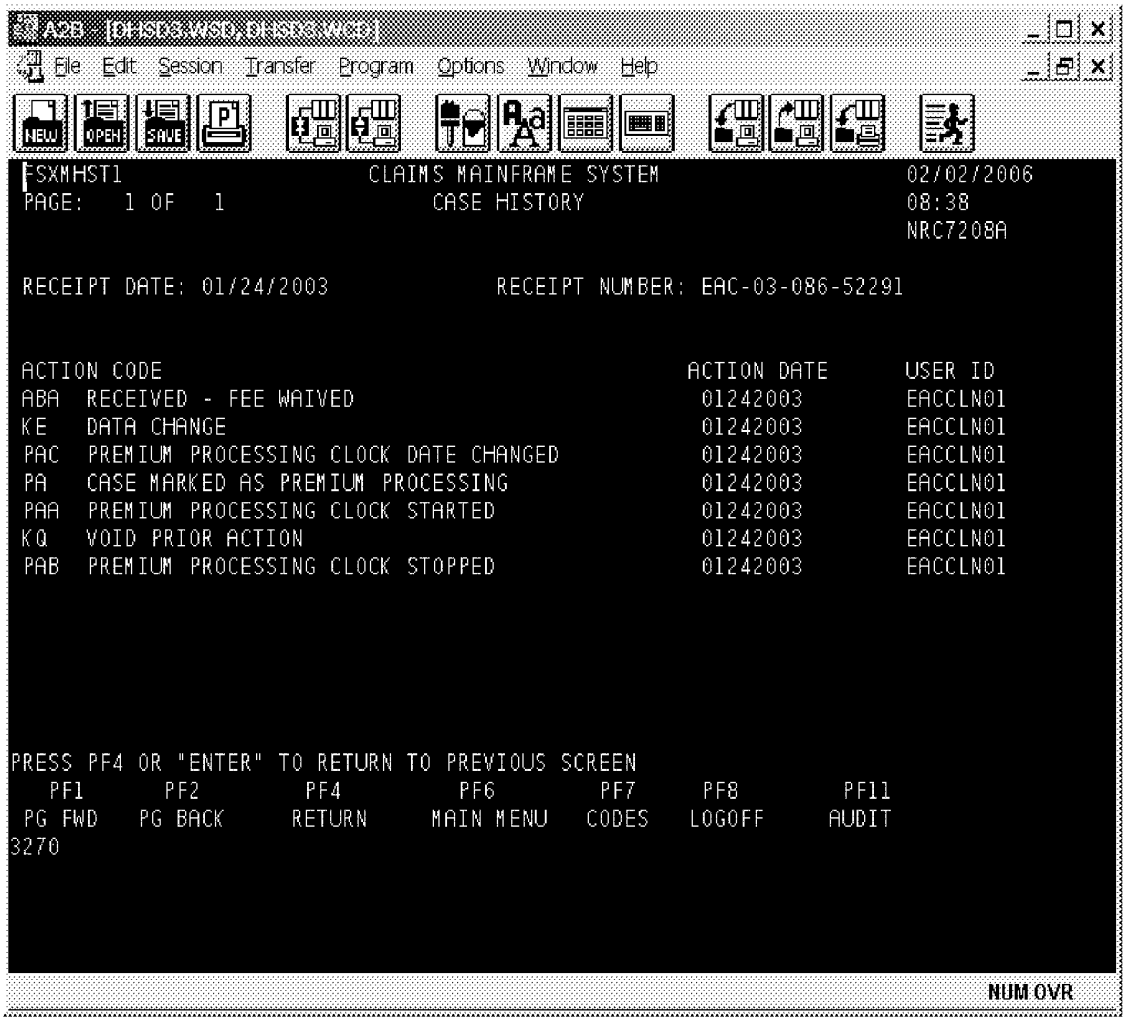
To view the history, press the F4 key to return to the previous screen, and enter F11.



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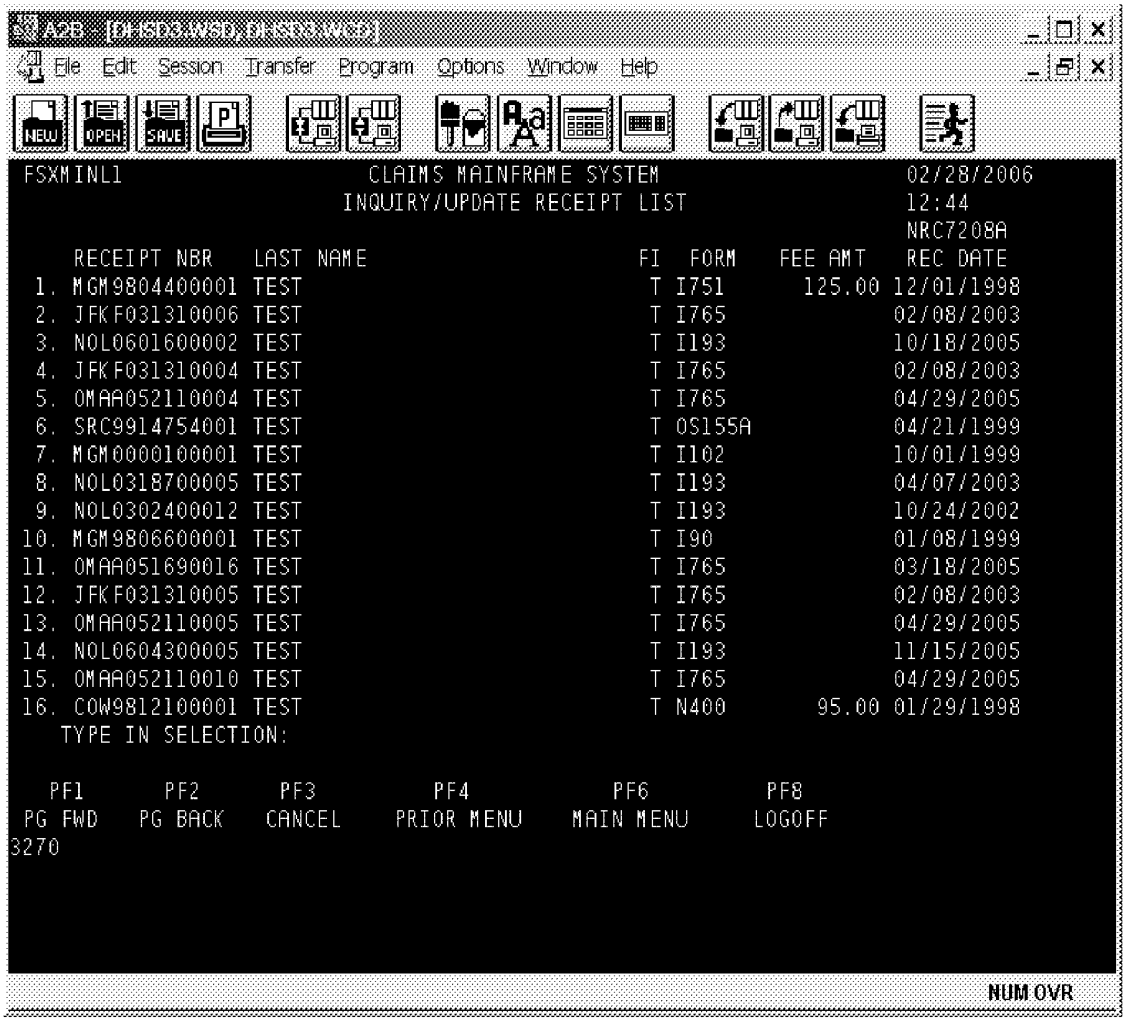

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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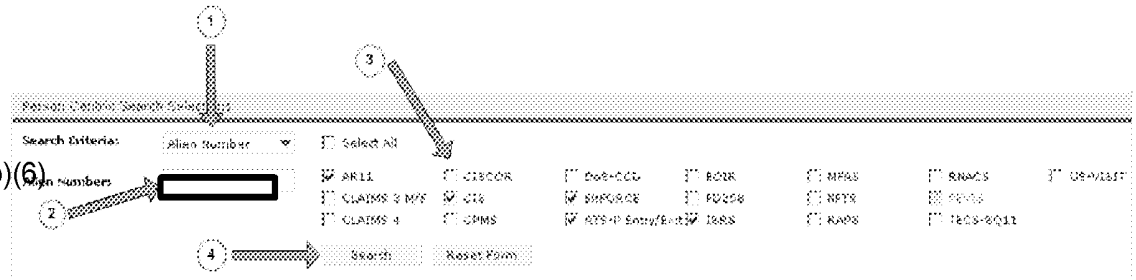
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)



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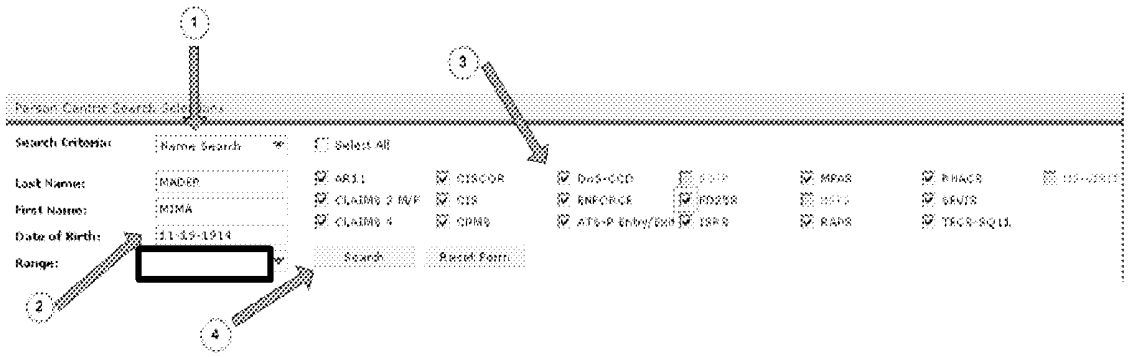

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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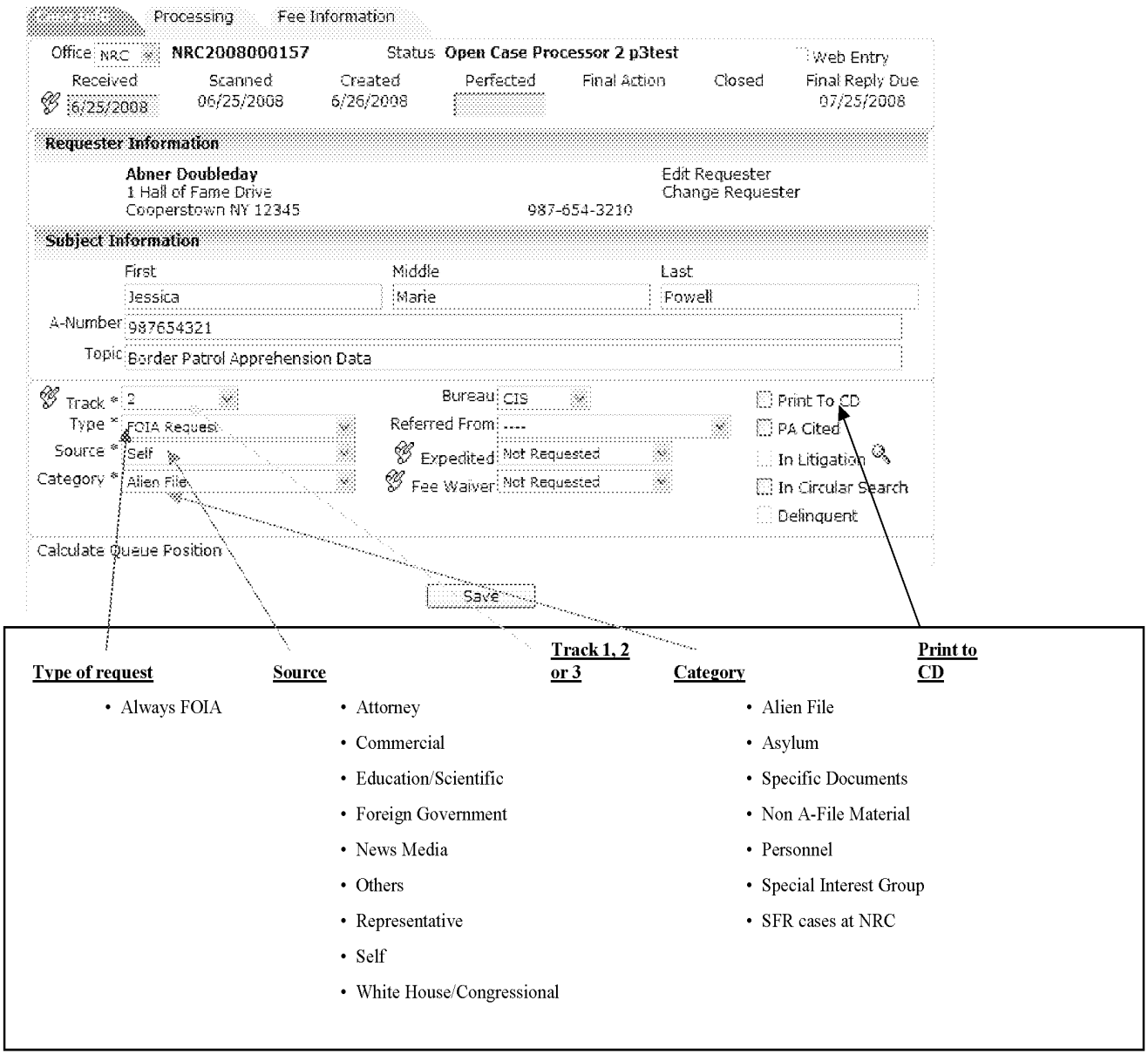

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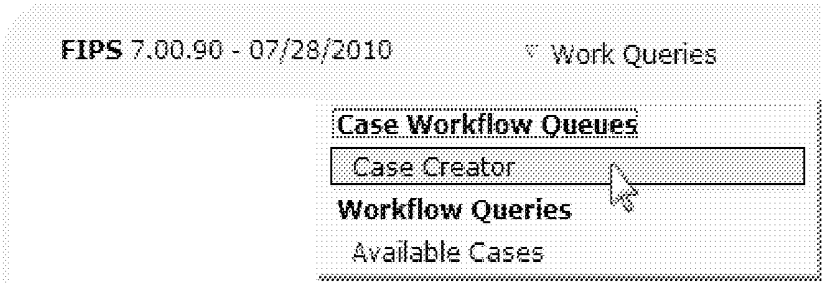
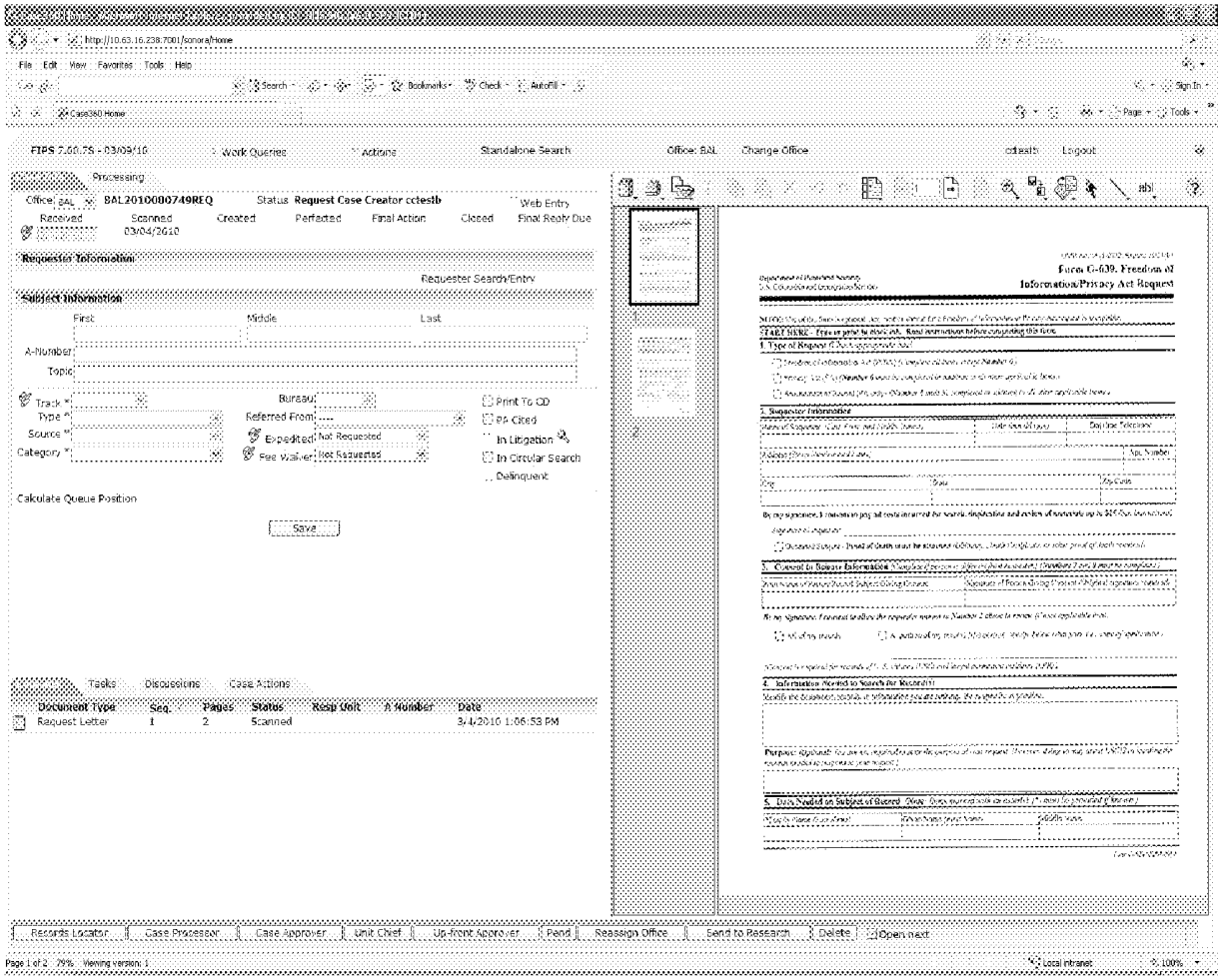
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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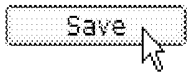
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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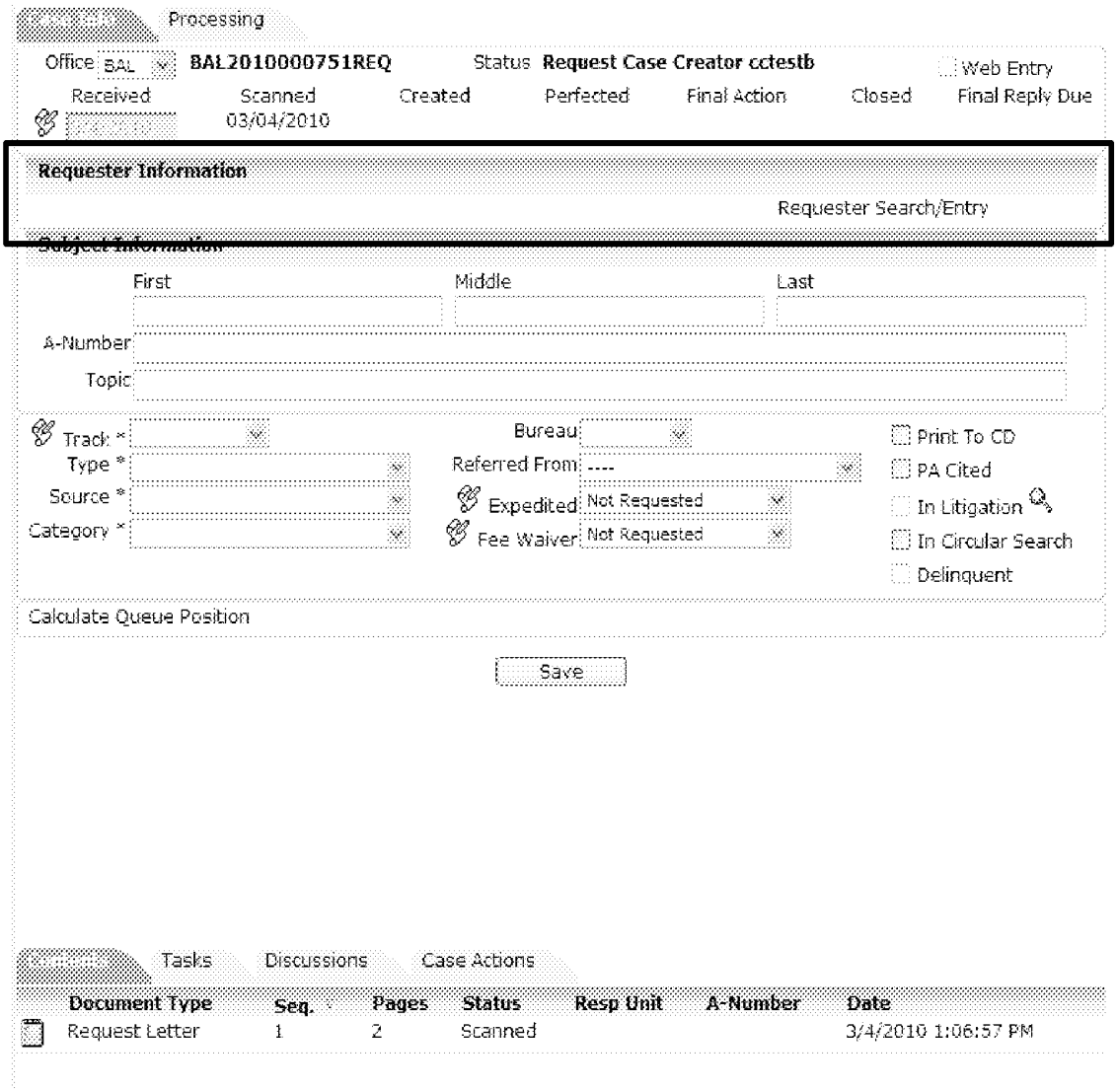
6.1 REQUESTER INFORMATION



6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes ('). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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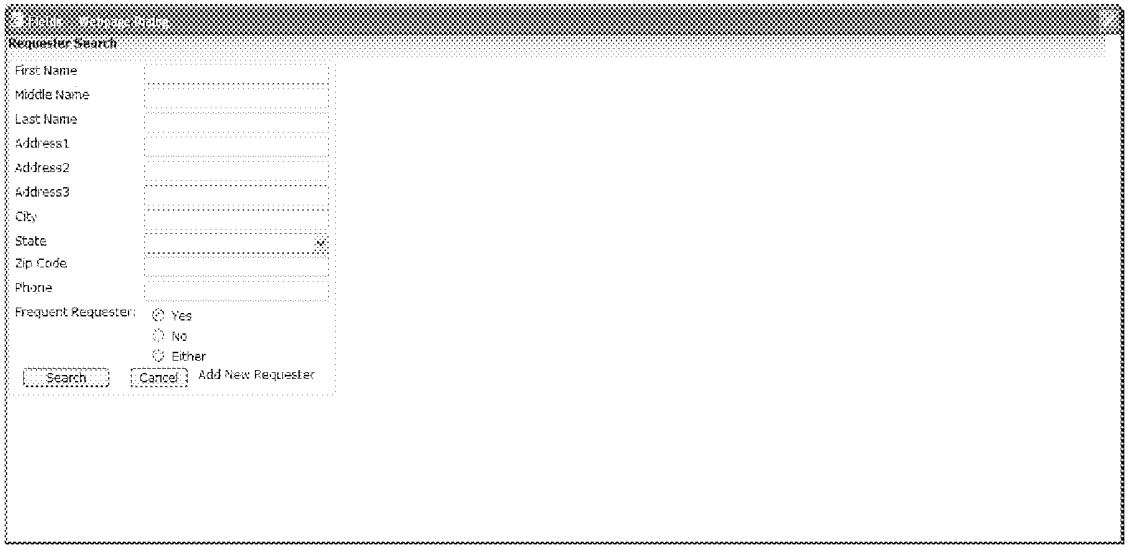
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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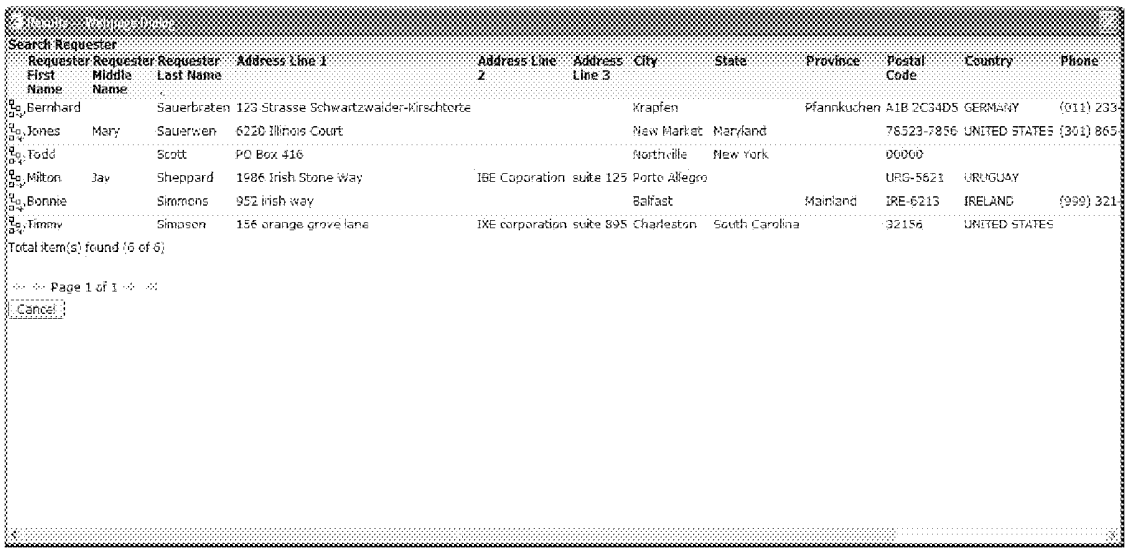
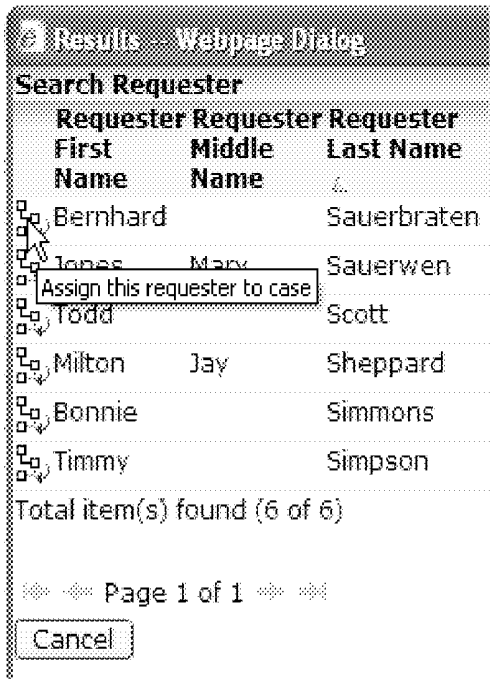


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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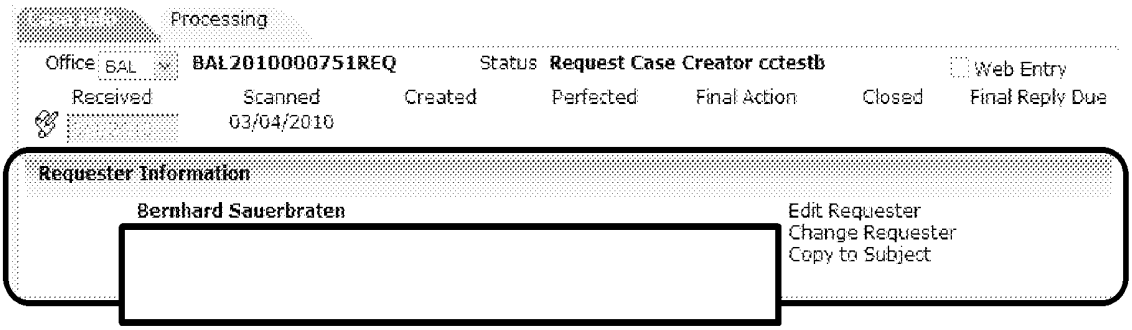

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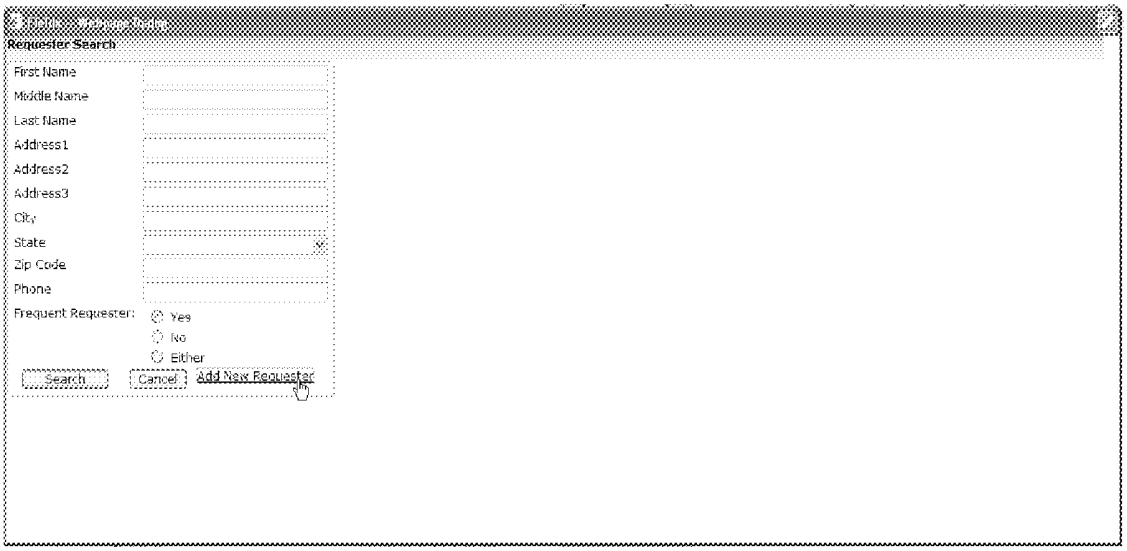
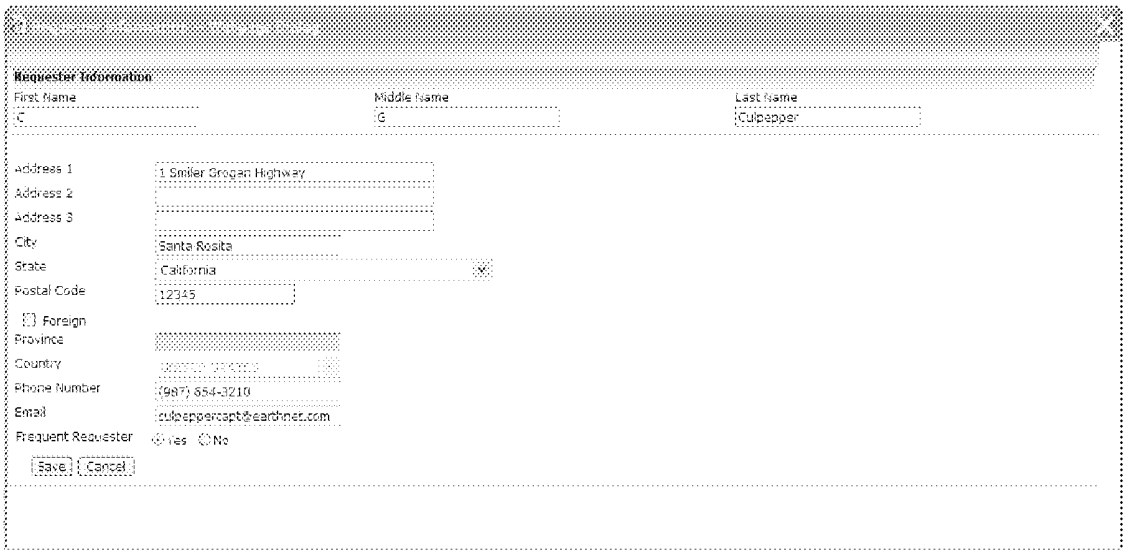
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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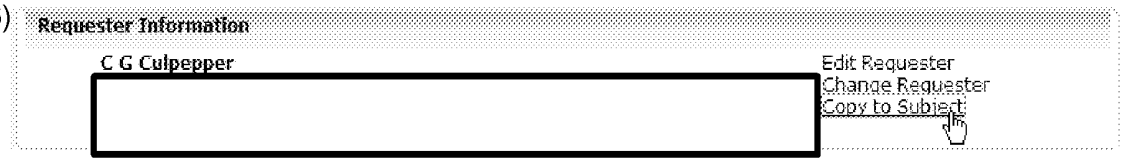

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

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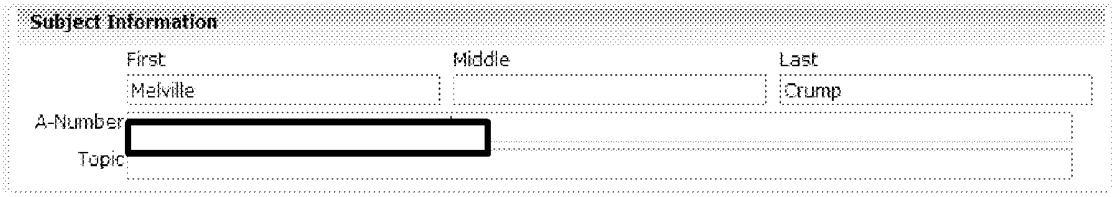

6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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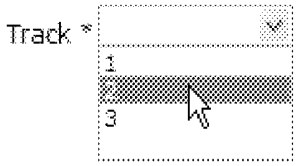
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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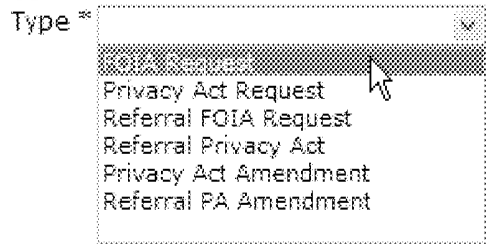
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

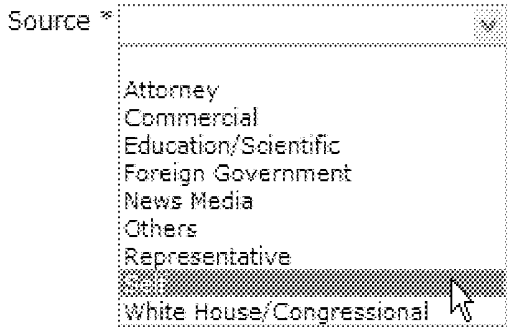
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC_FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
(b)(6) d. Send an email to the designated person who handles genealogy cases (currently [redacted] with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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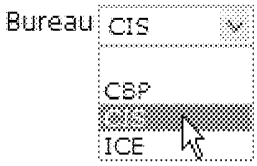
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



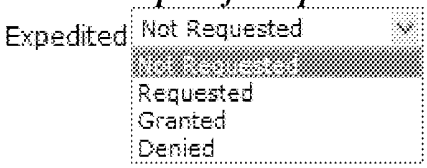
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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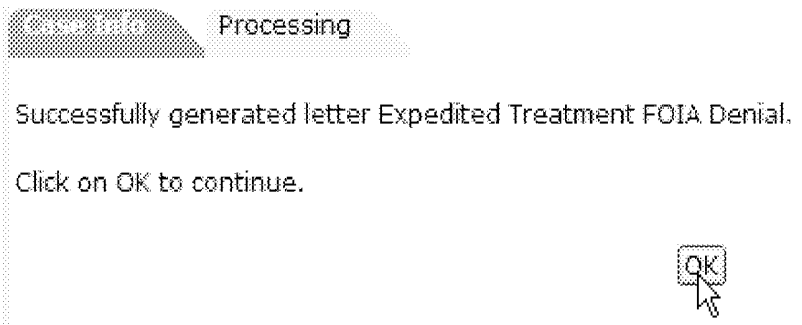
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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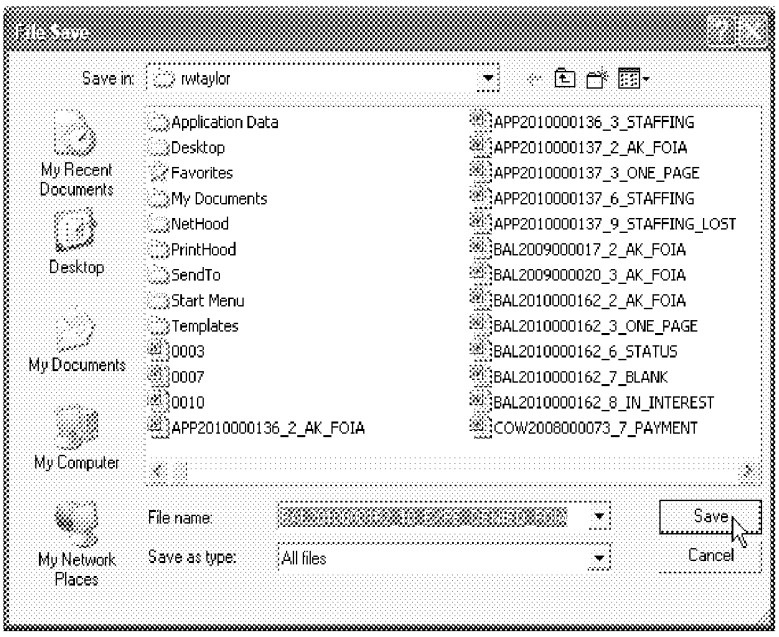

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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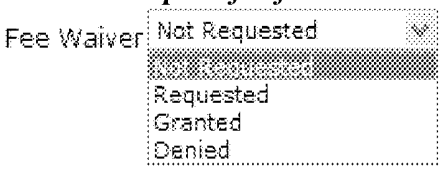
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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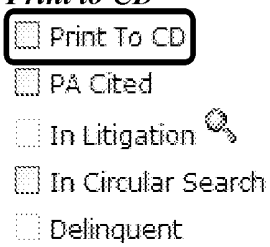
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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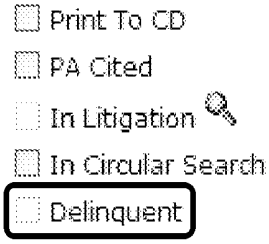
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

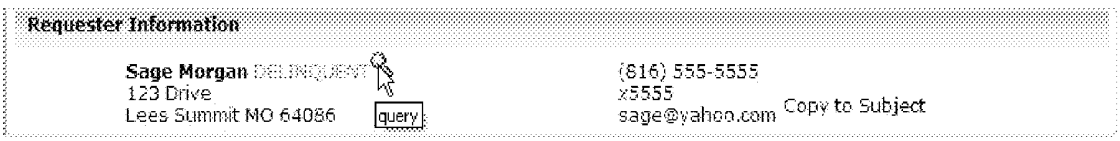
6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



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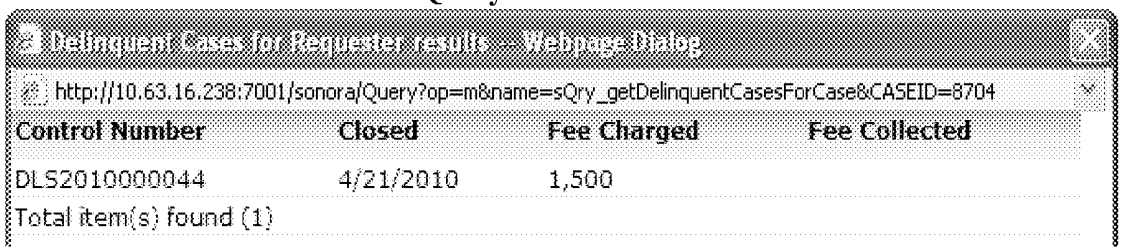
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

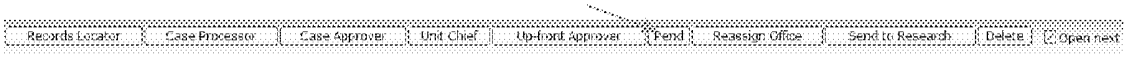
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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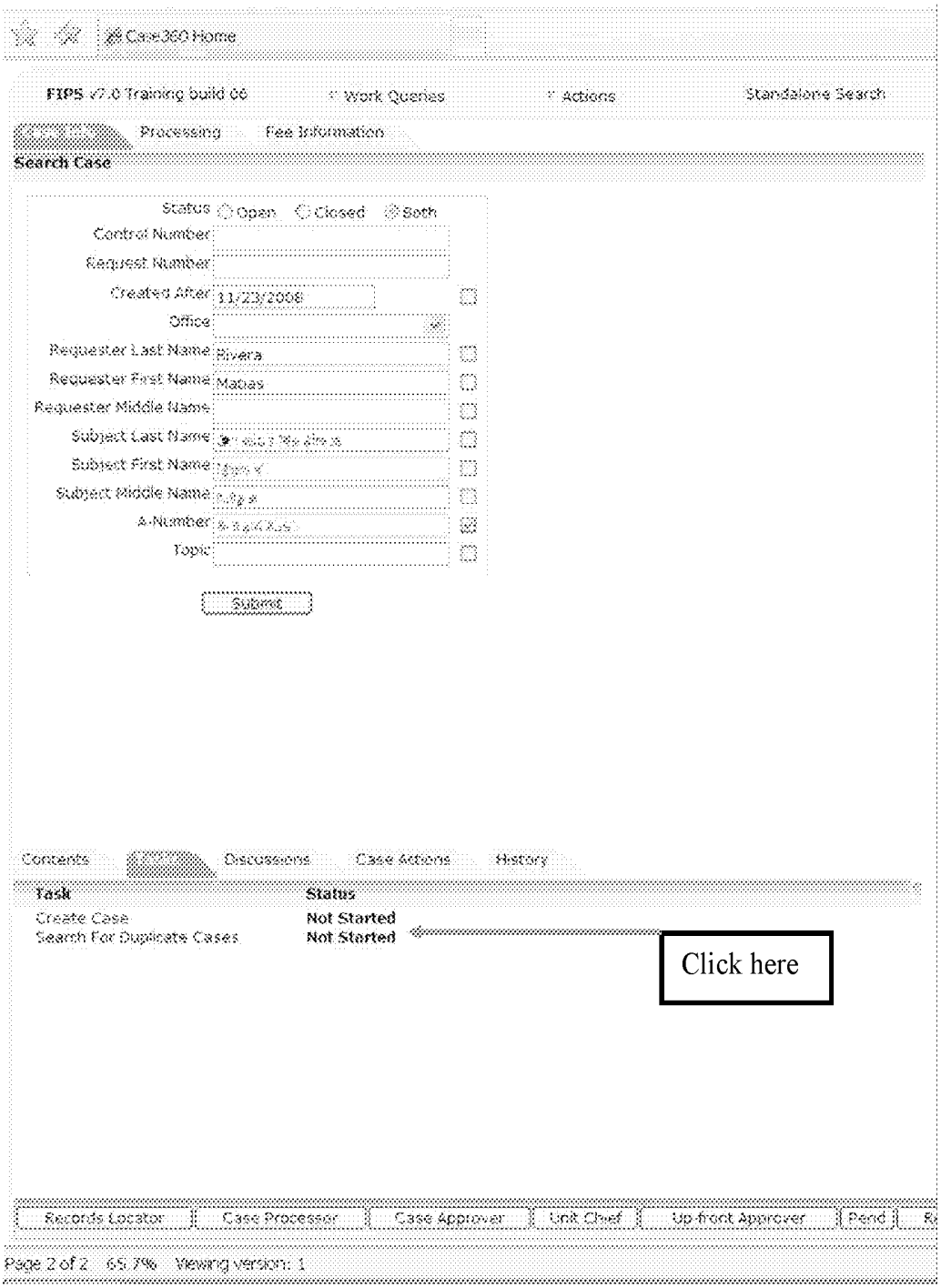

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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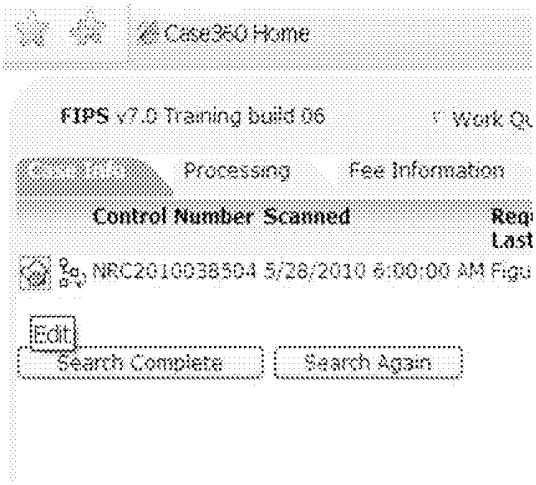
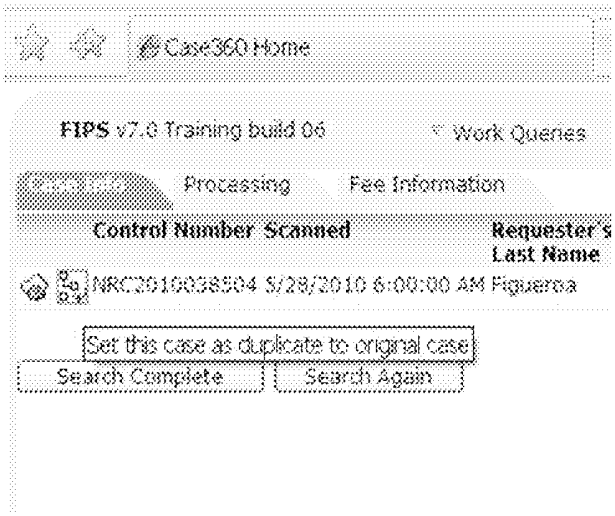


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

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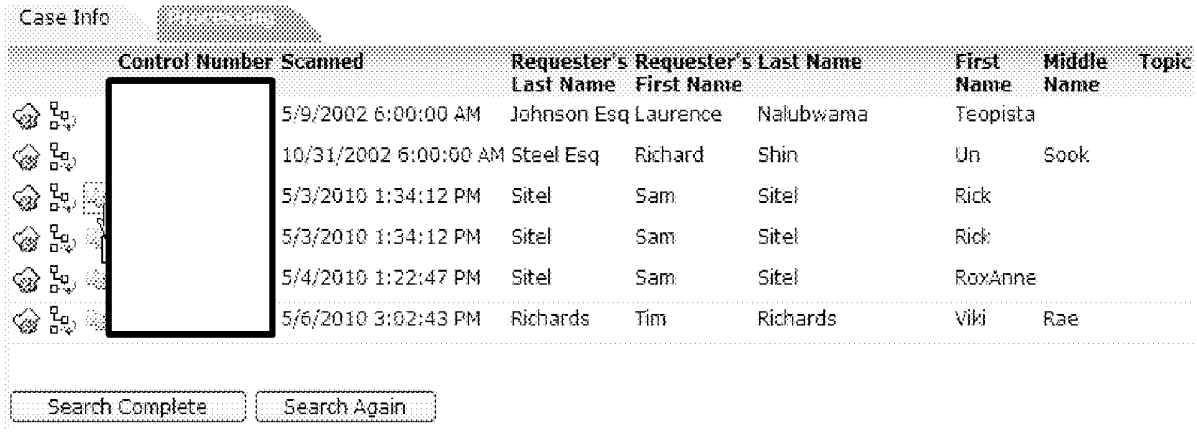
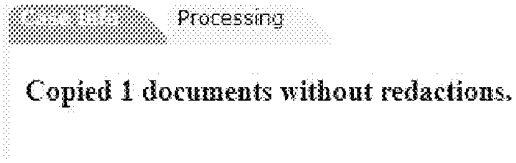
The Search Results screen lists any FIPS cases that match the selected criteria.

To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

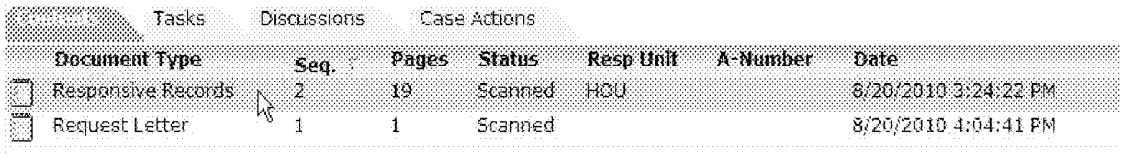
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in

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writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment (4)*. Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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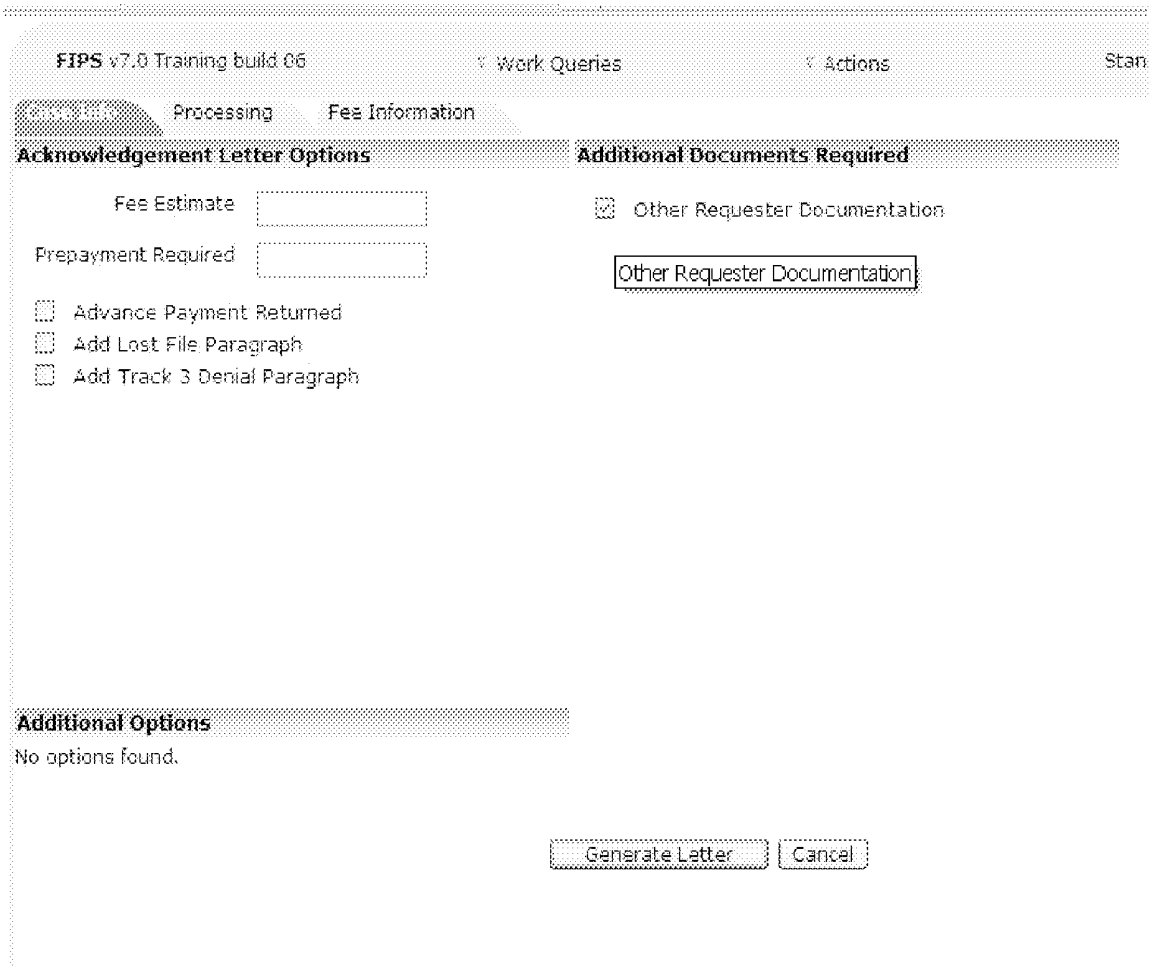
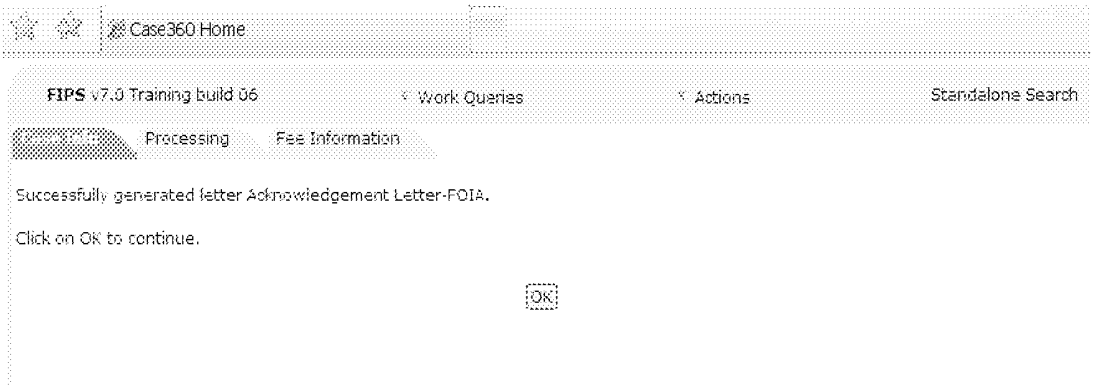


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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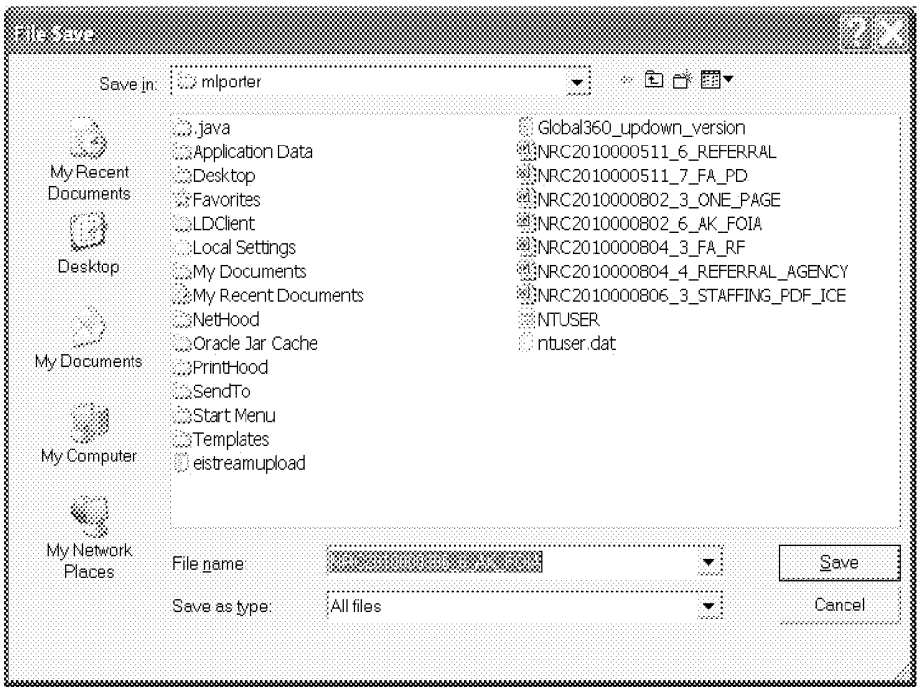

The acknowledgment letter will pop up:

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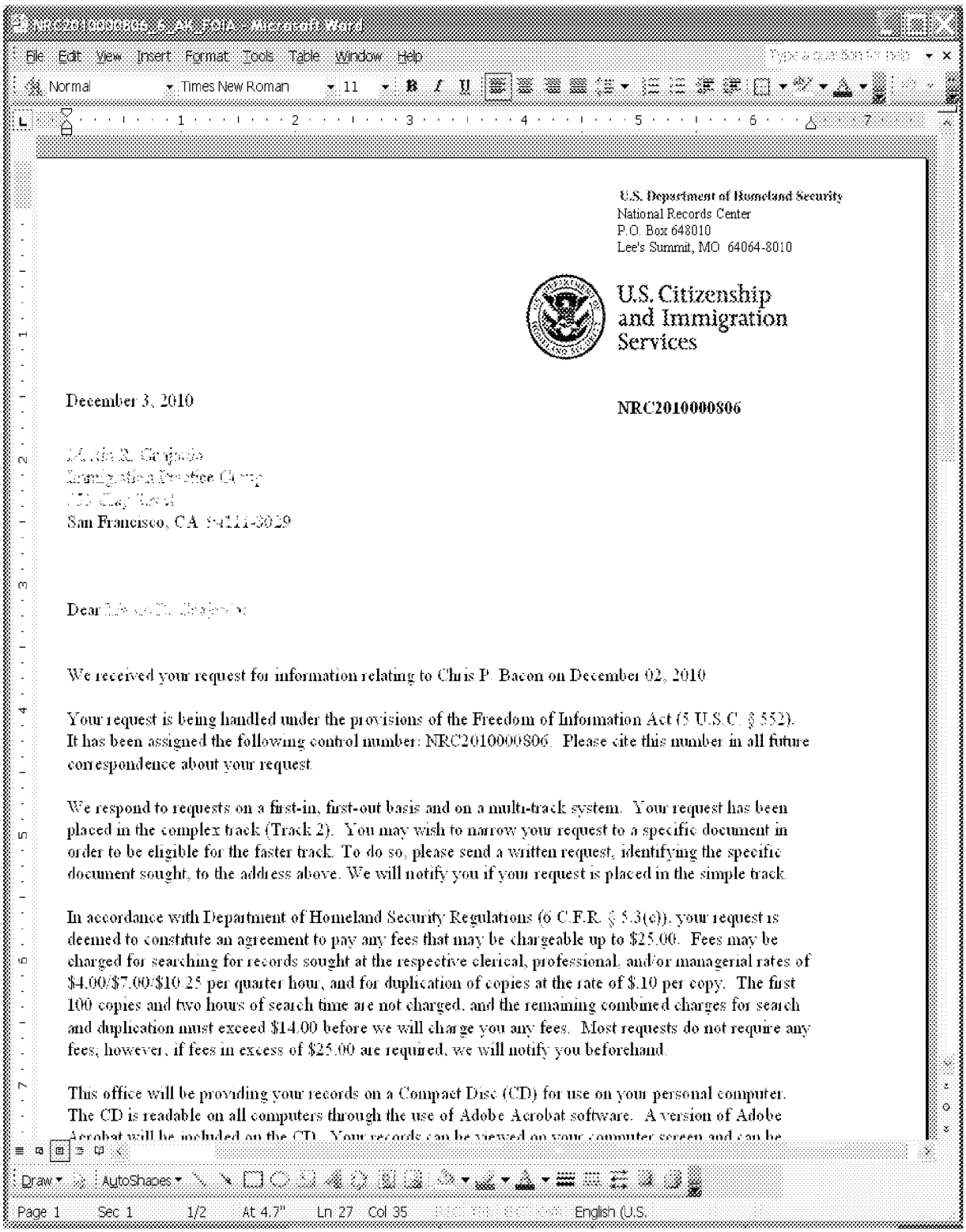

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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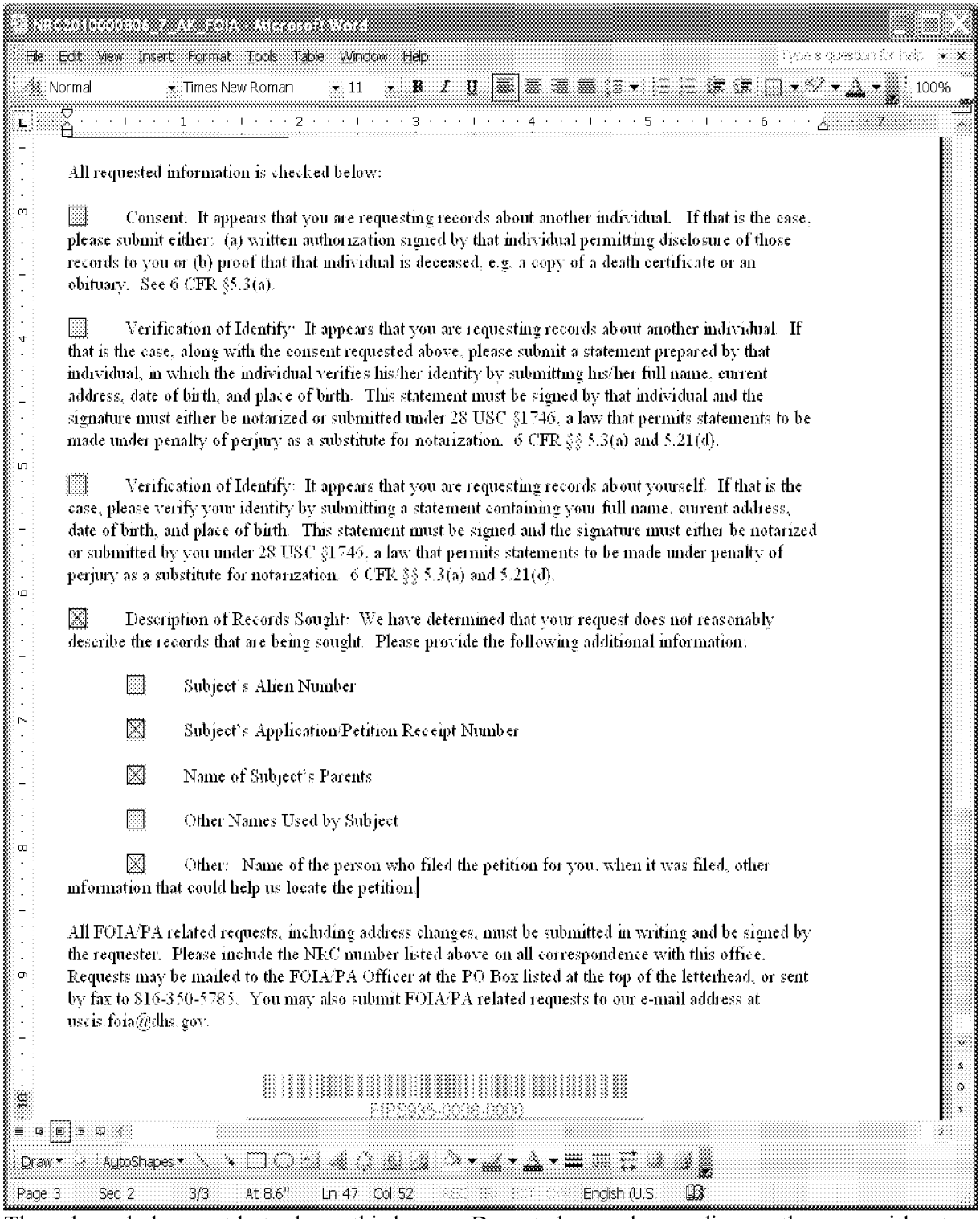

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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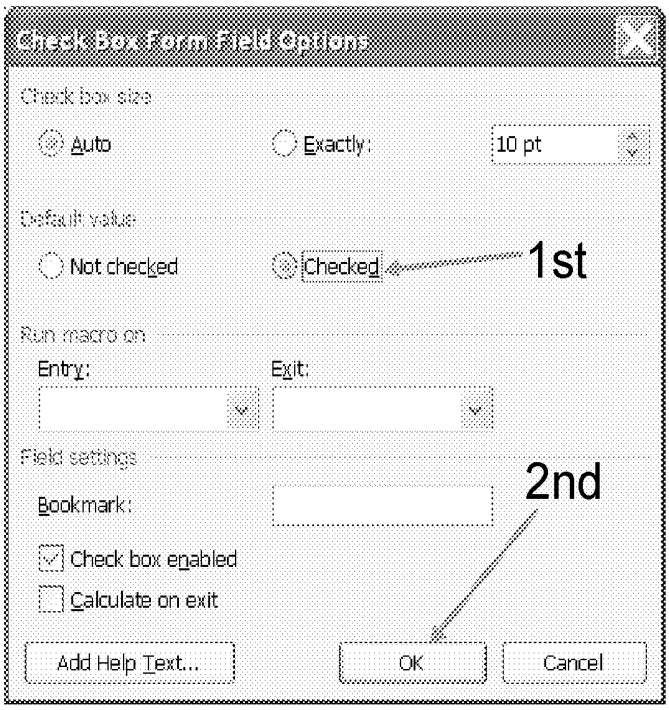
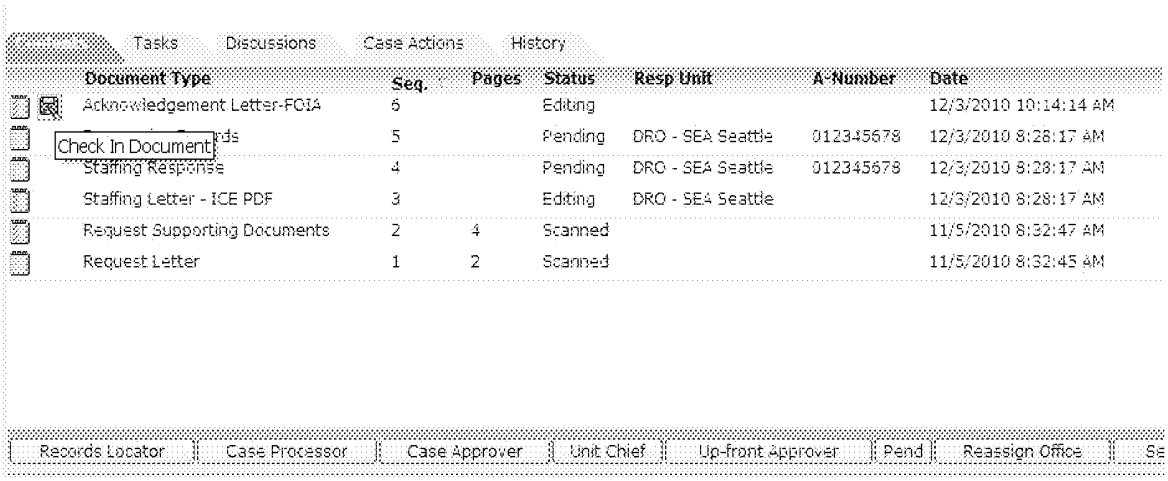


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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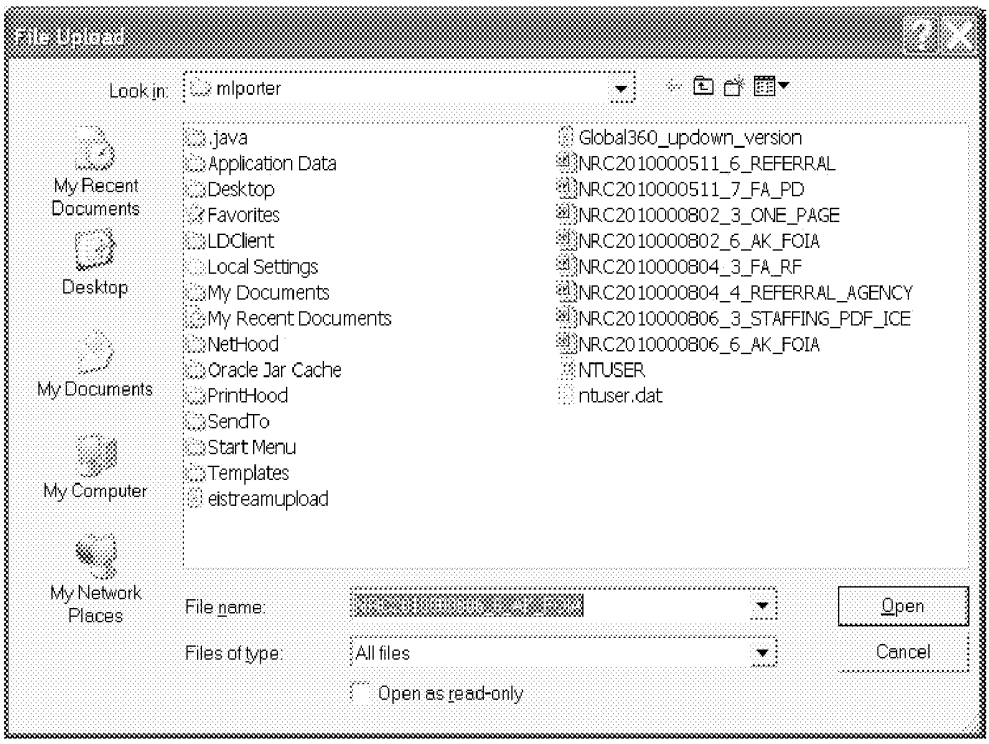
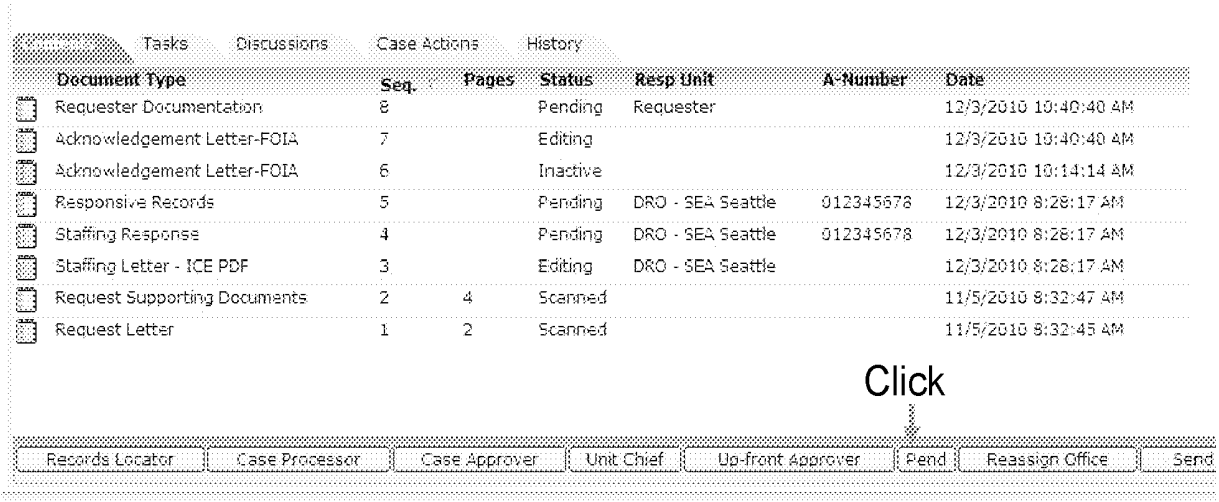


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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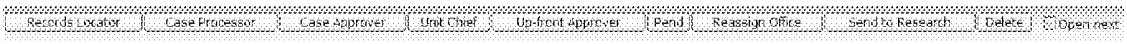
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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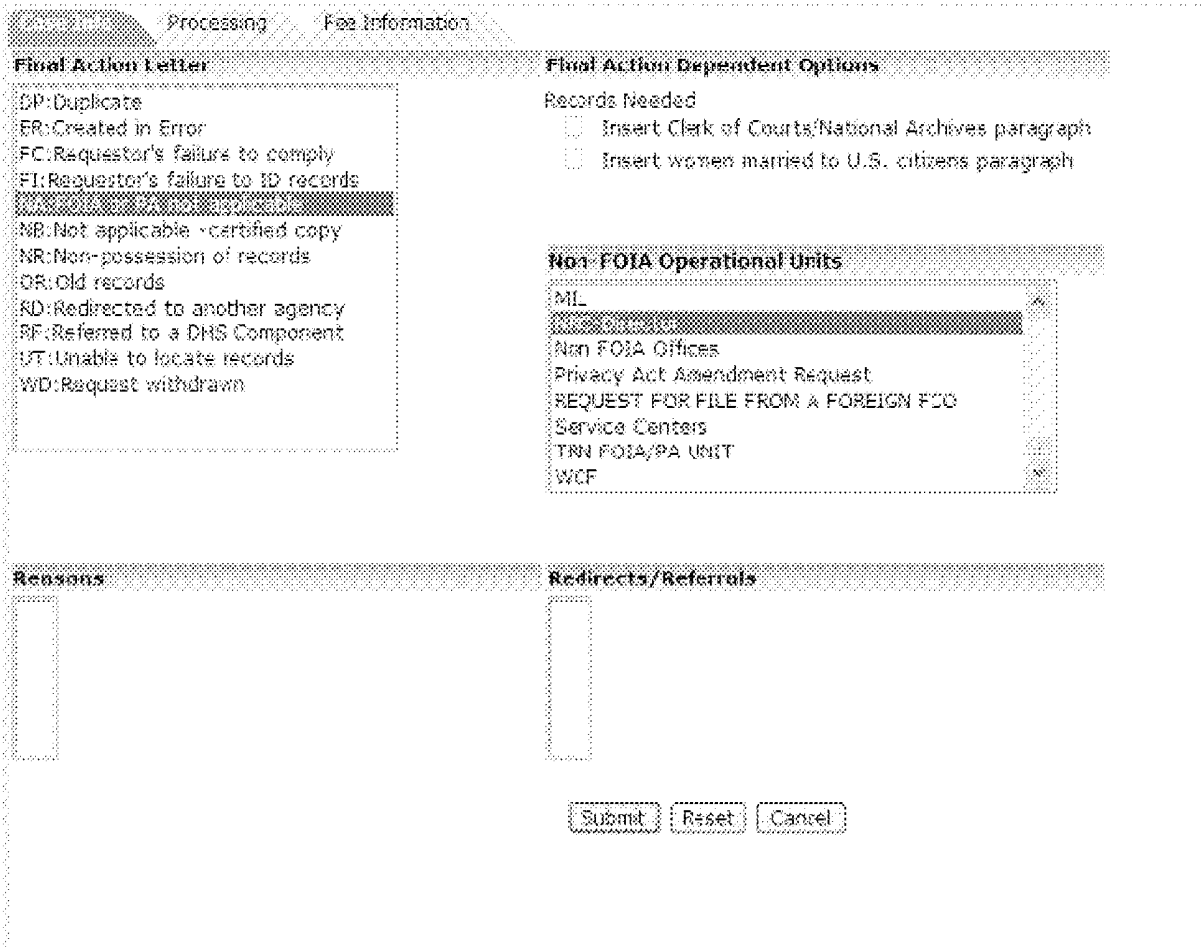

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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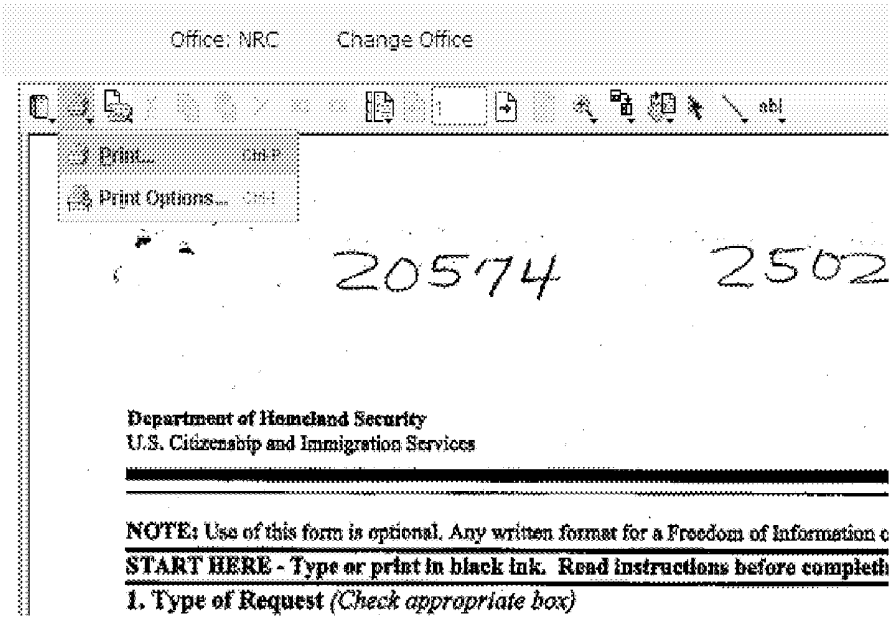
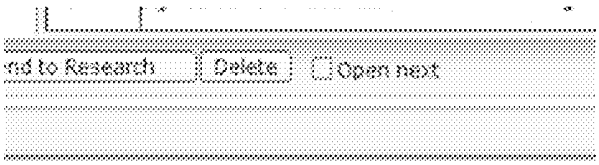


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

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Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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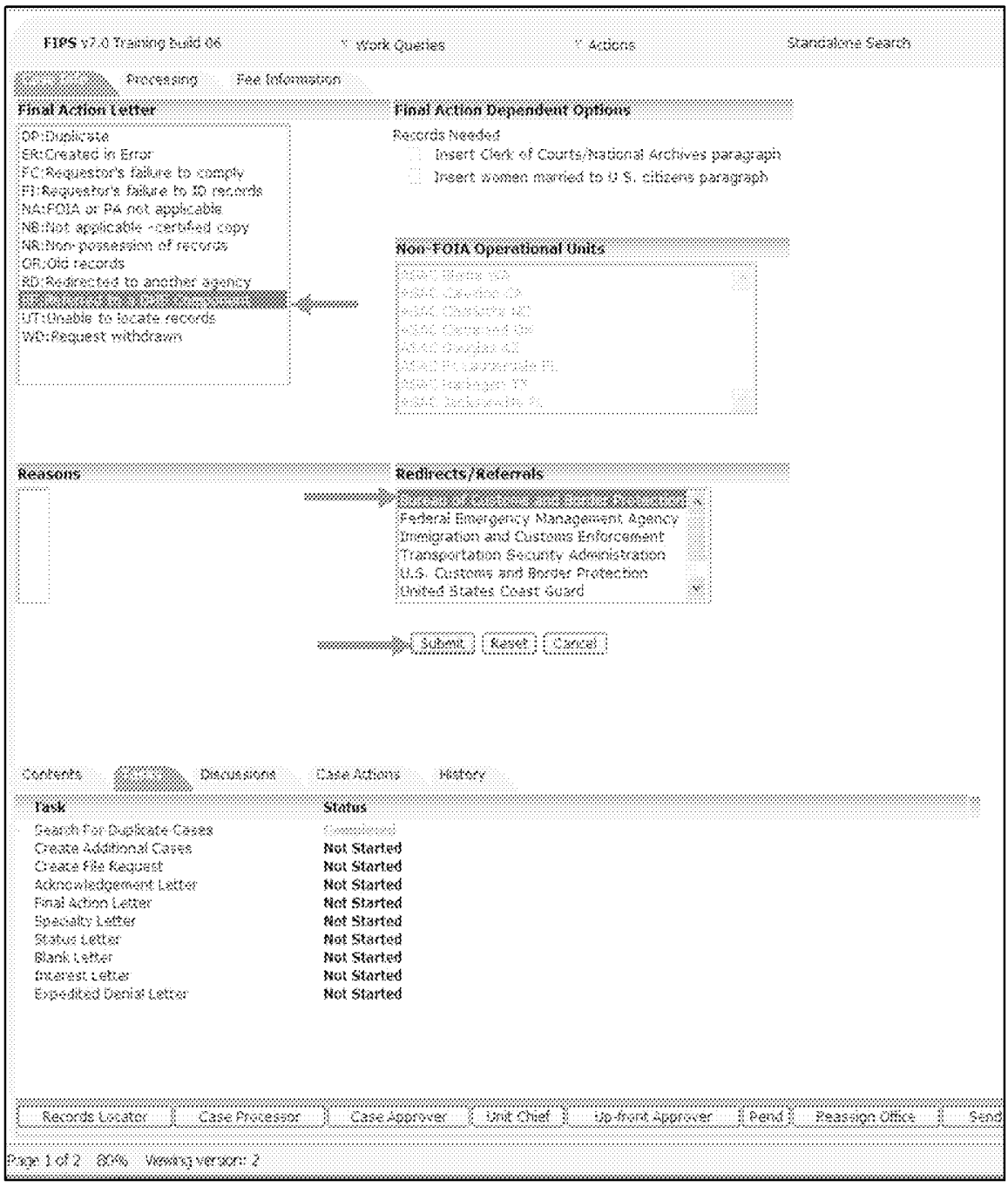

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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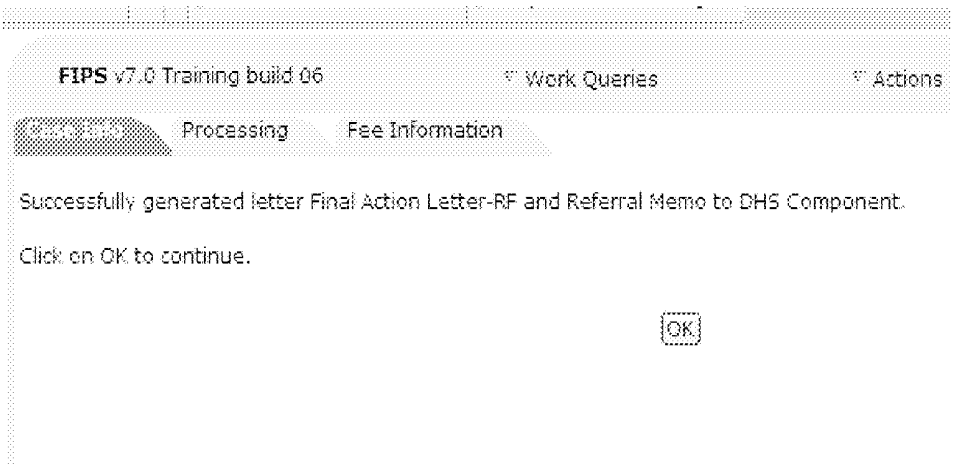
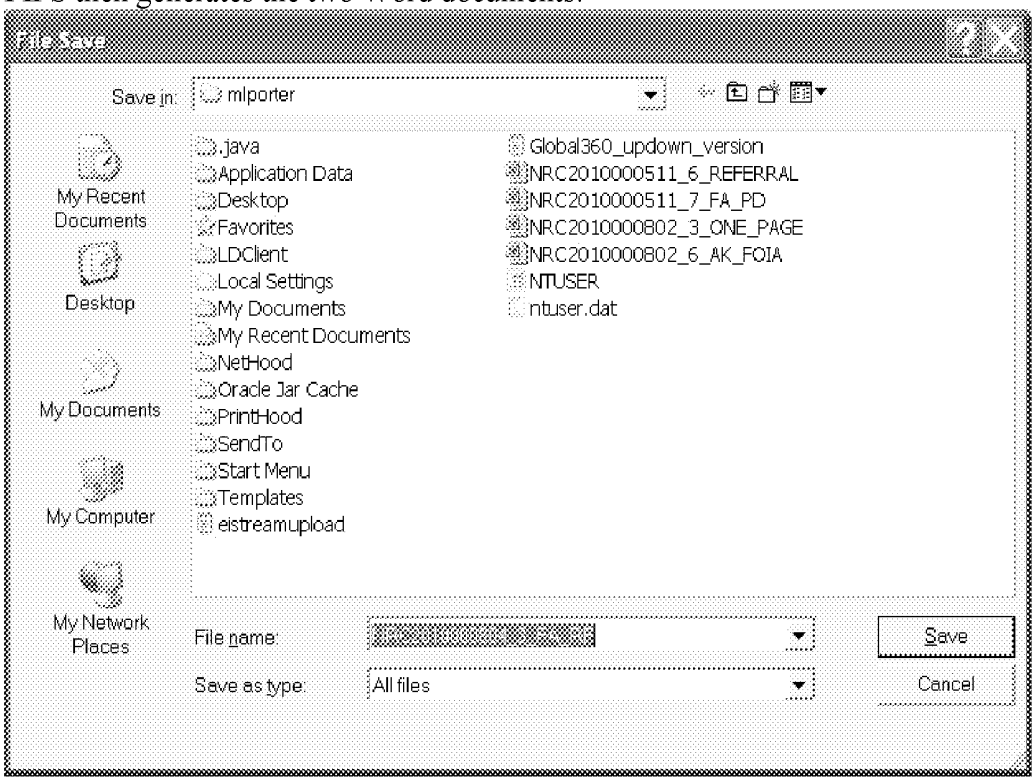


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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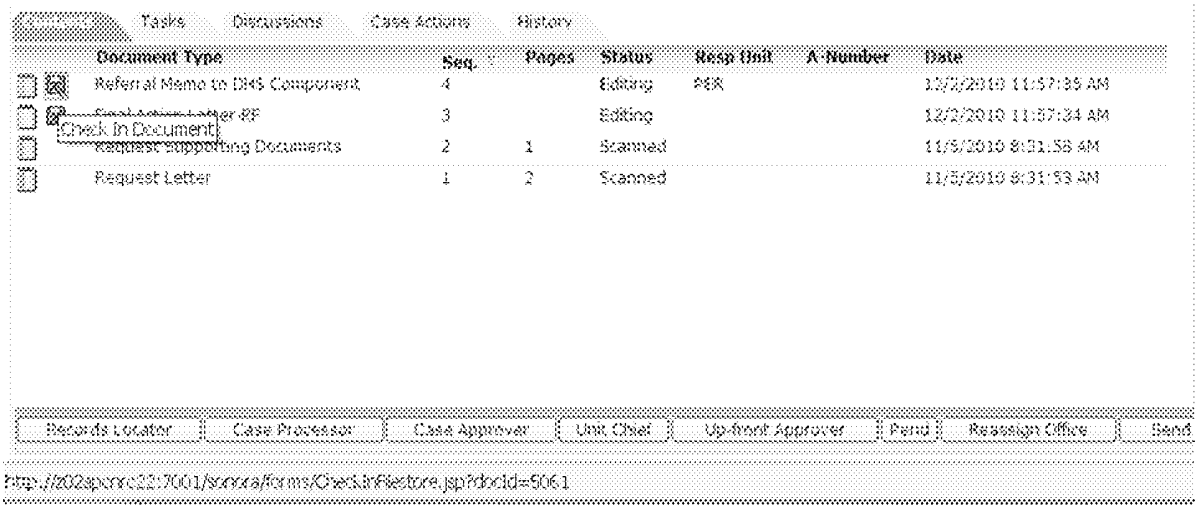
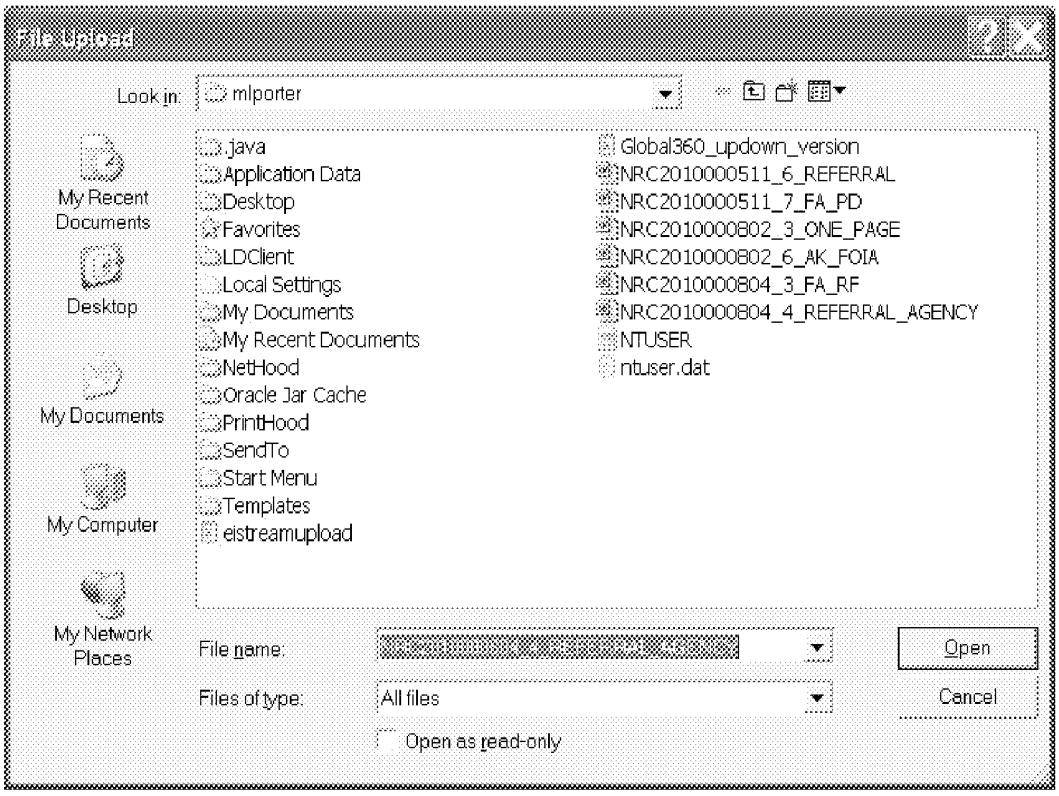


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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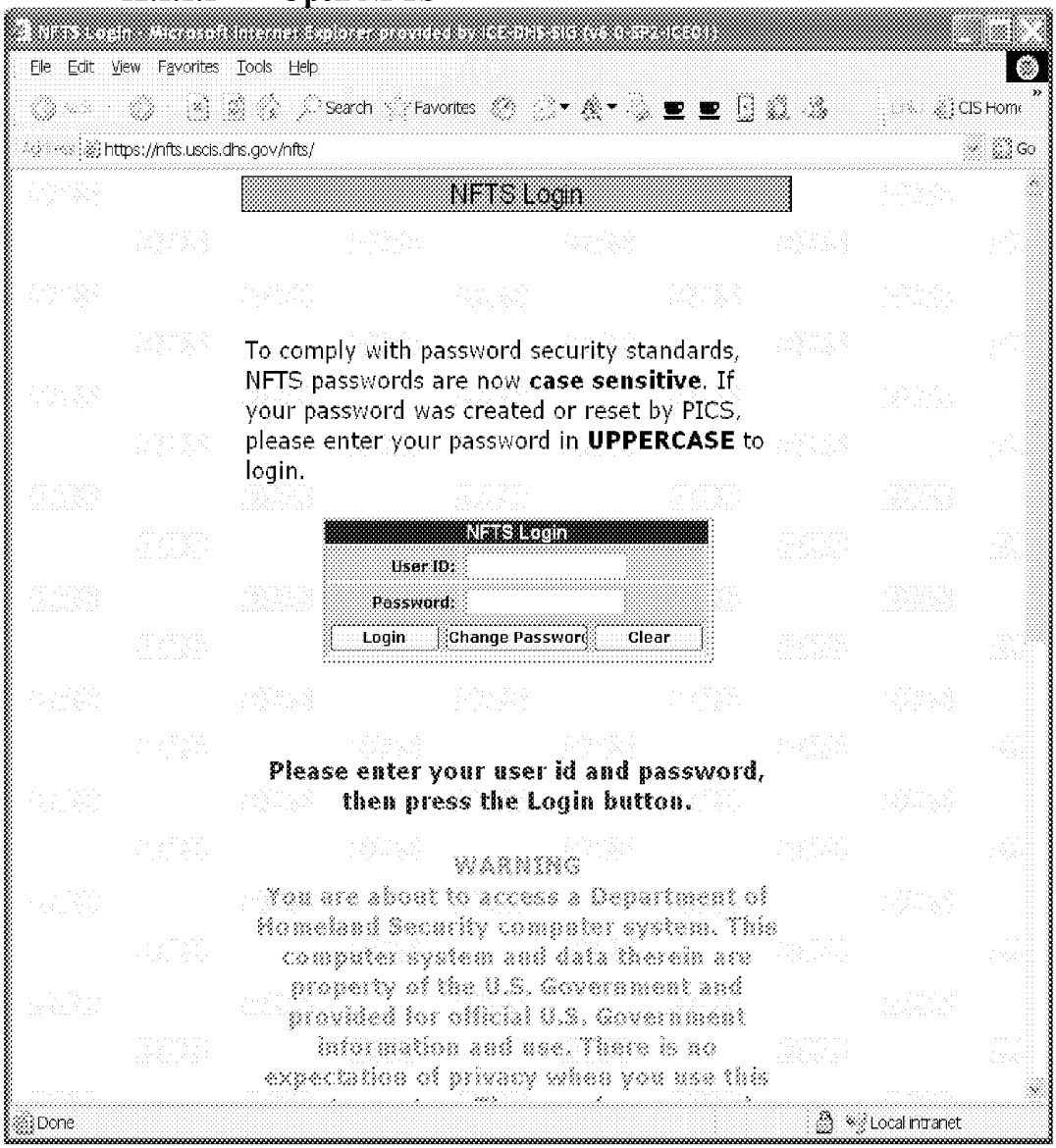
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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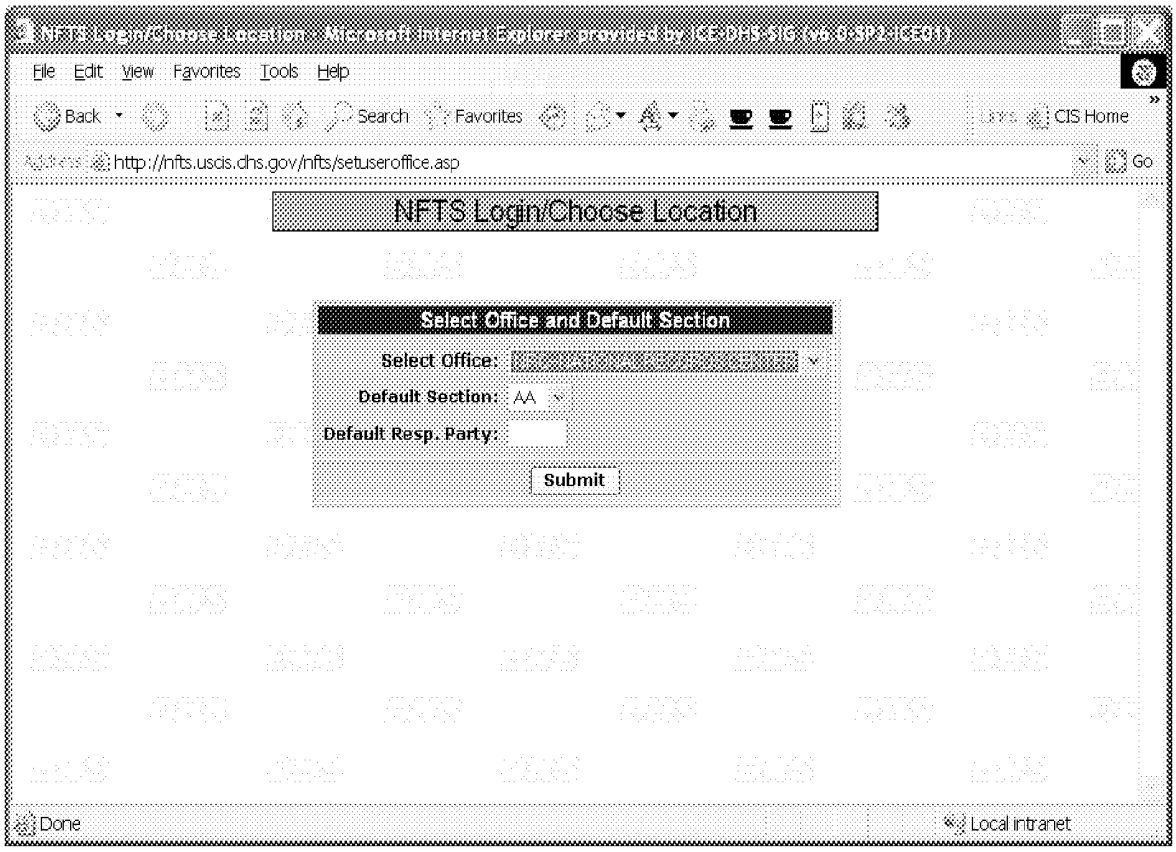
12.1.1.2 Submit your location



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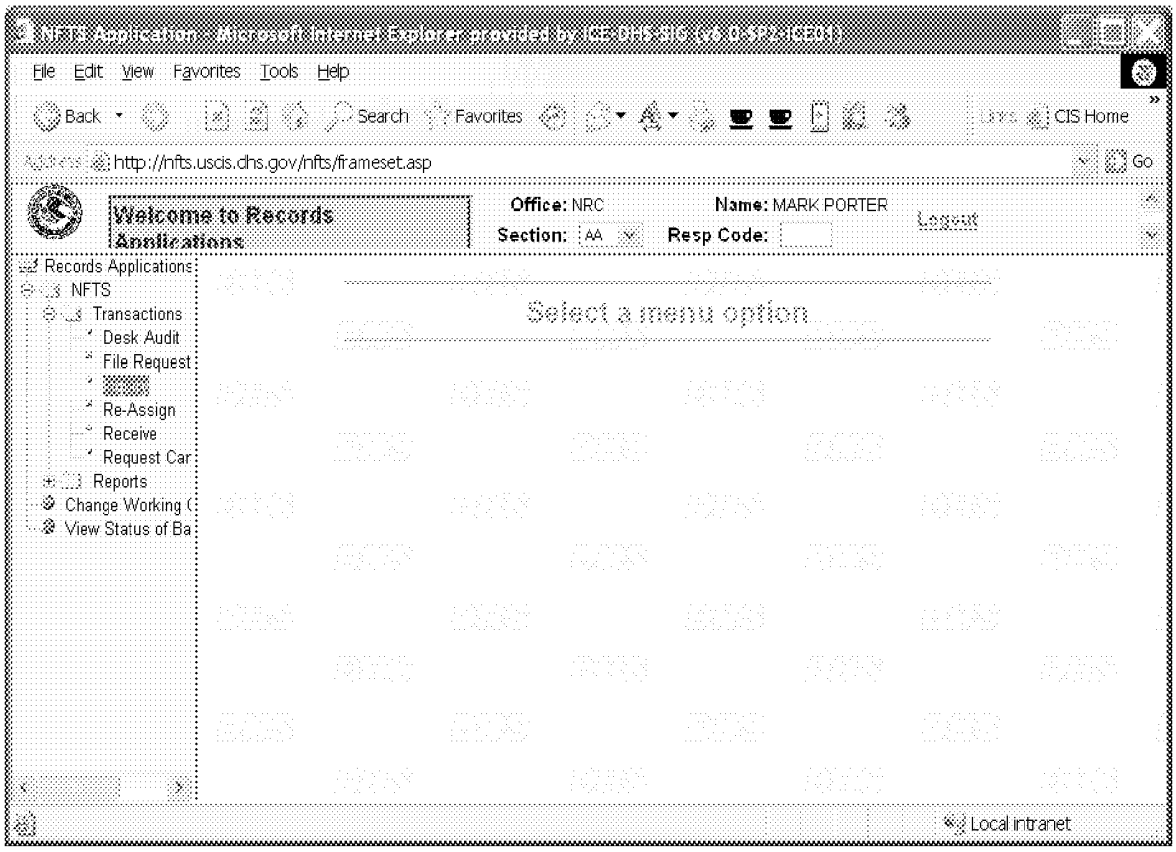
12.1.1.3 Select "Inquiry"



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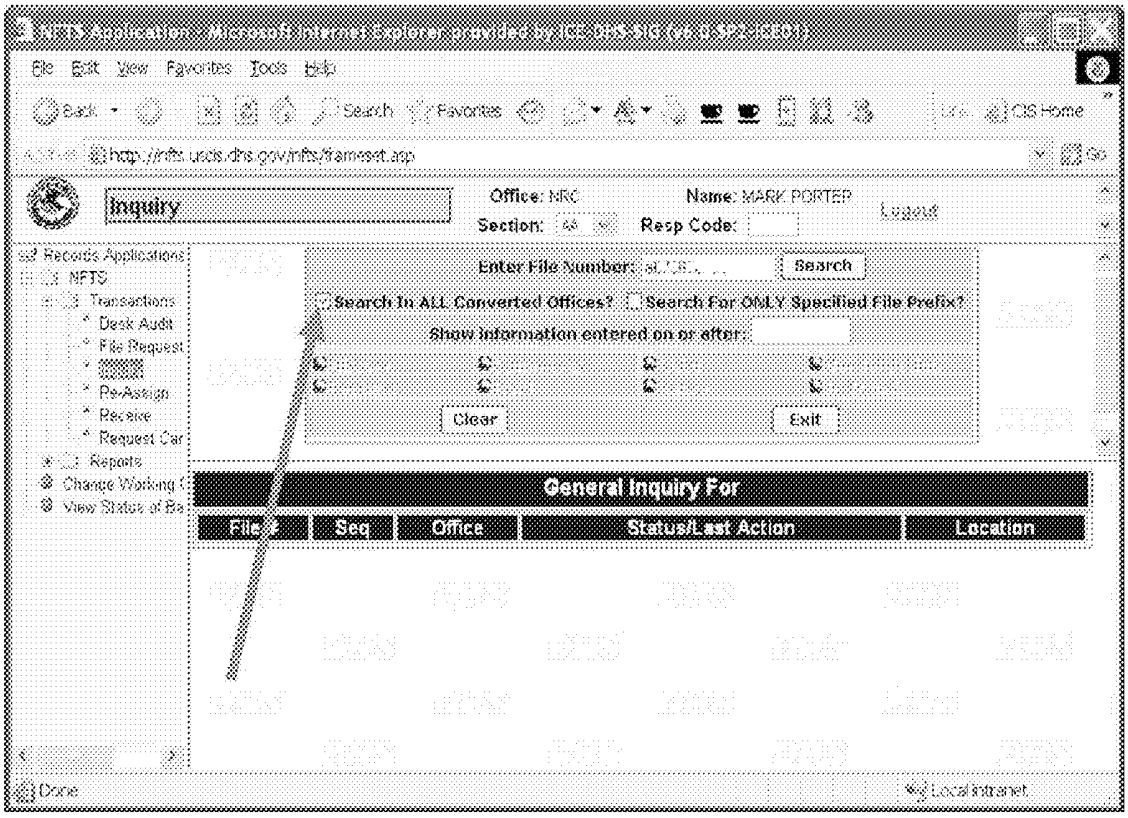
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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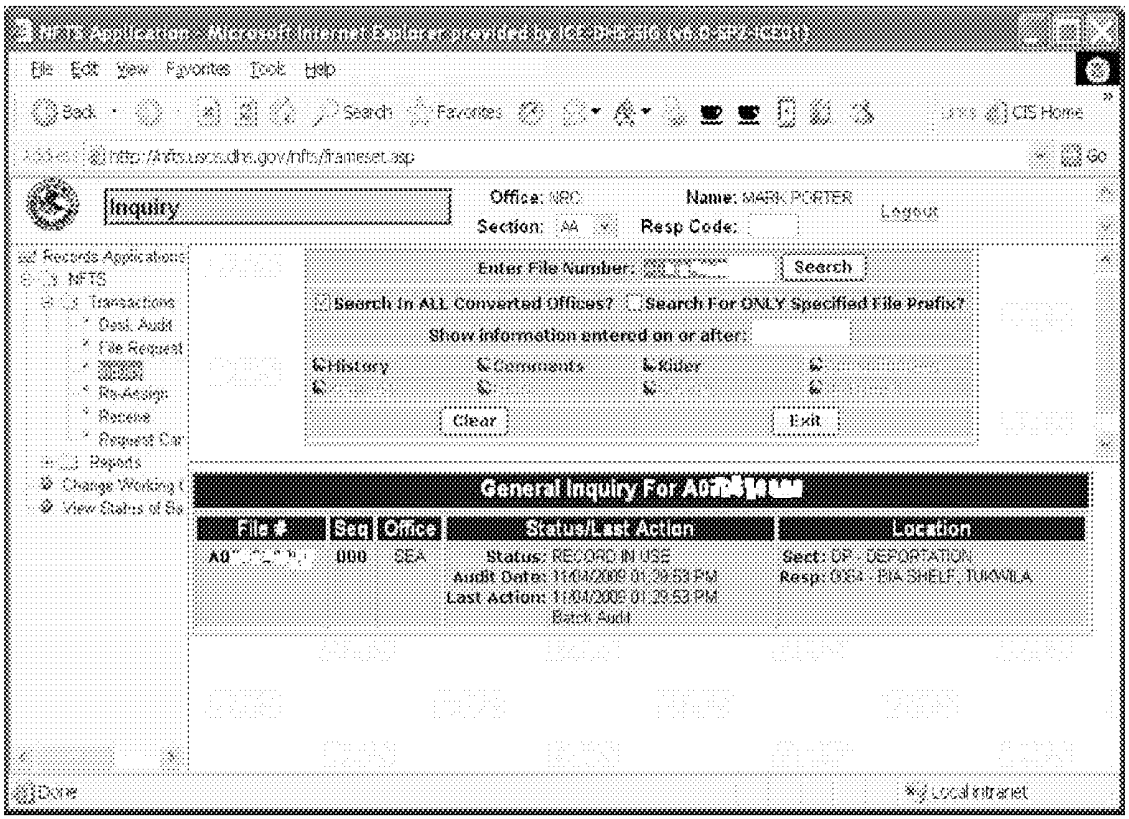
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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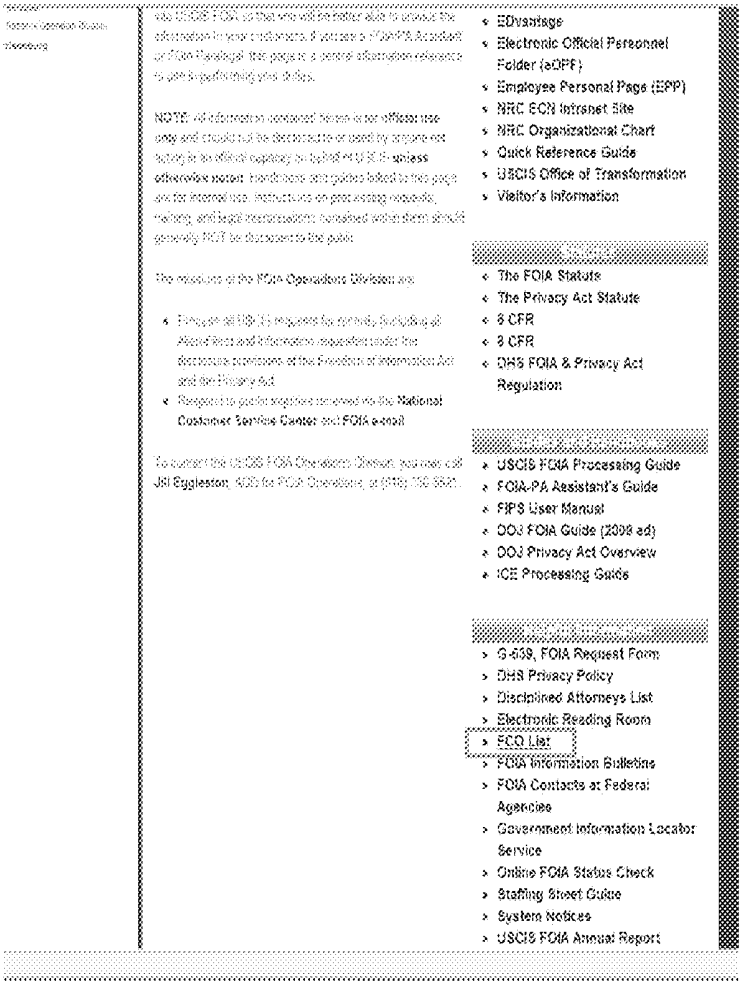
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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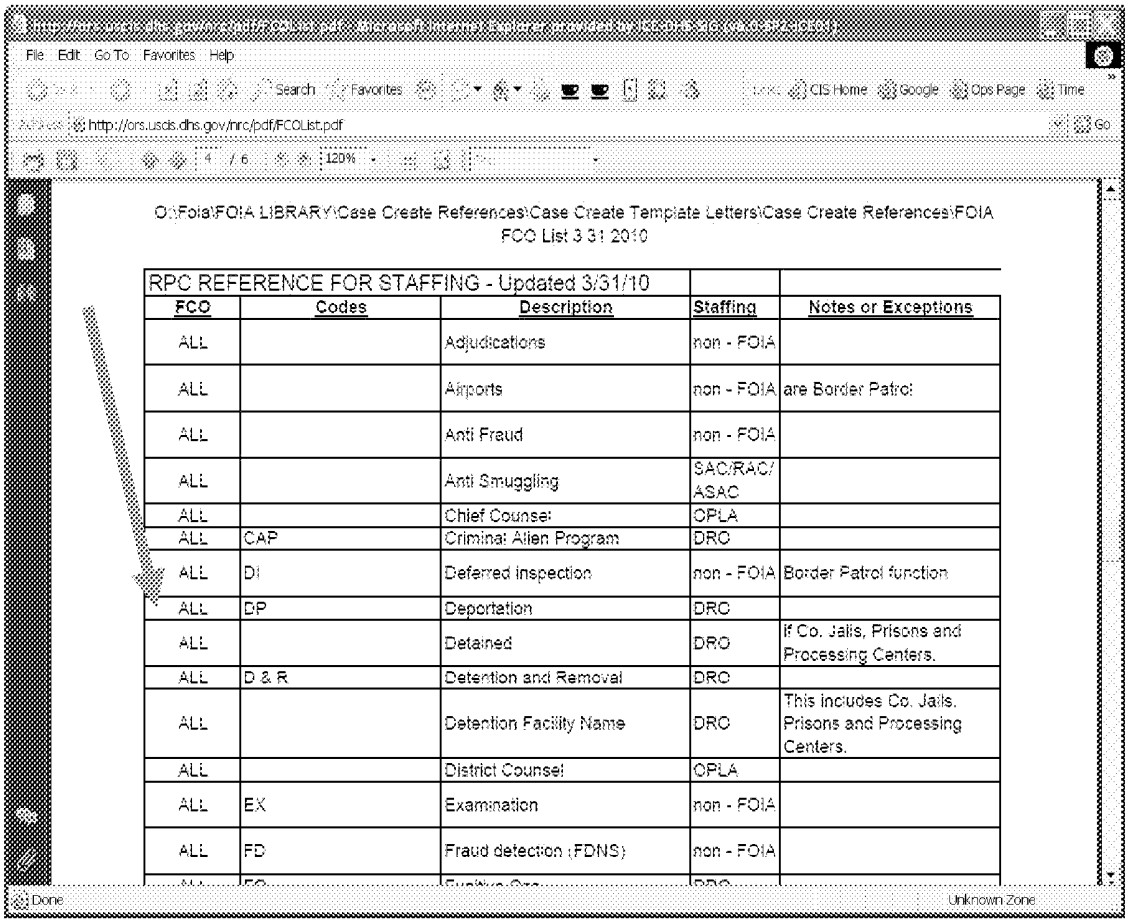
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



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RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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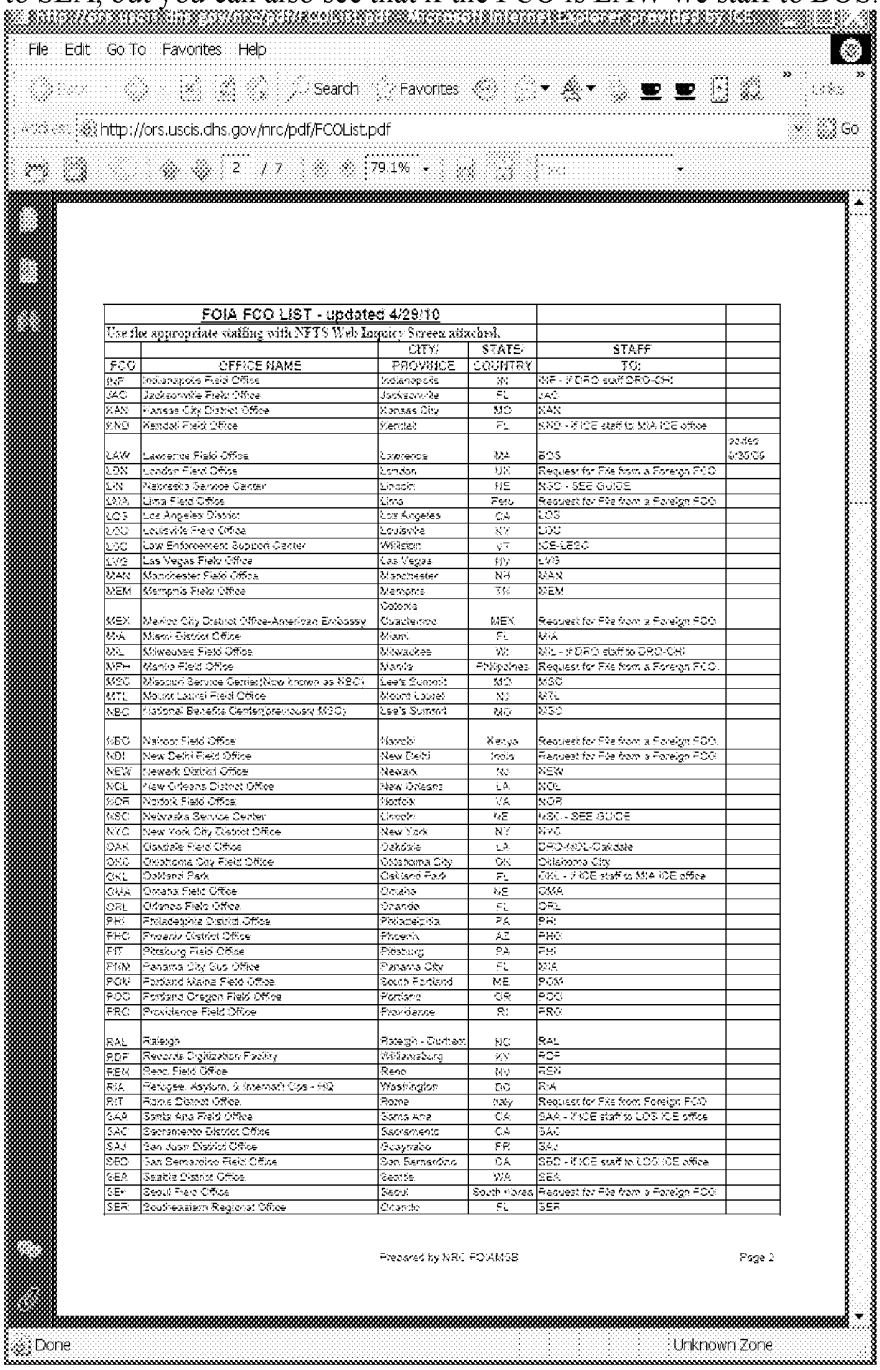
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - If DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKL	Milwaukee Field Office	Milwaukee	WI	MKL - If DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDL	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-MOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOAM3B

Page 2

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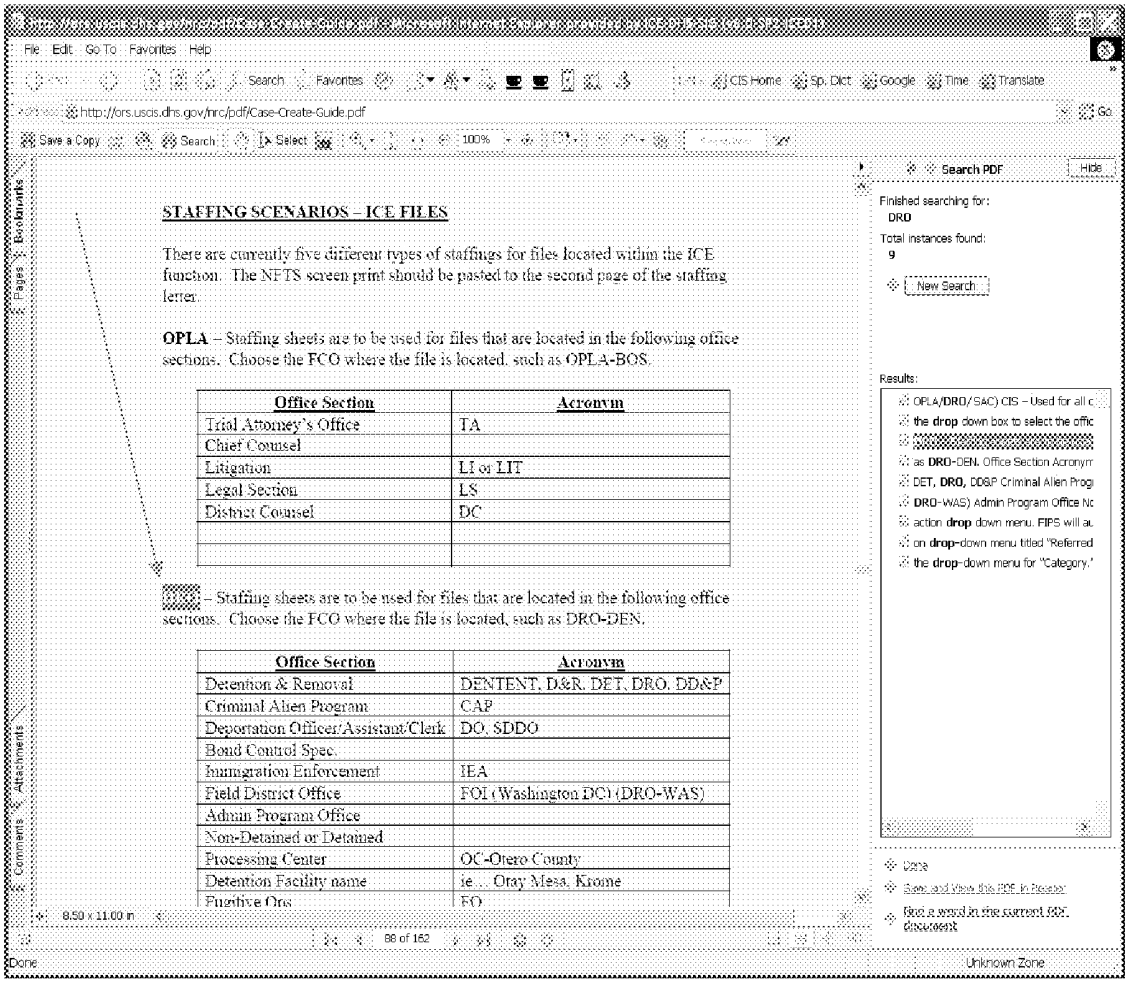
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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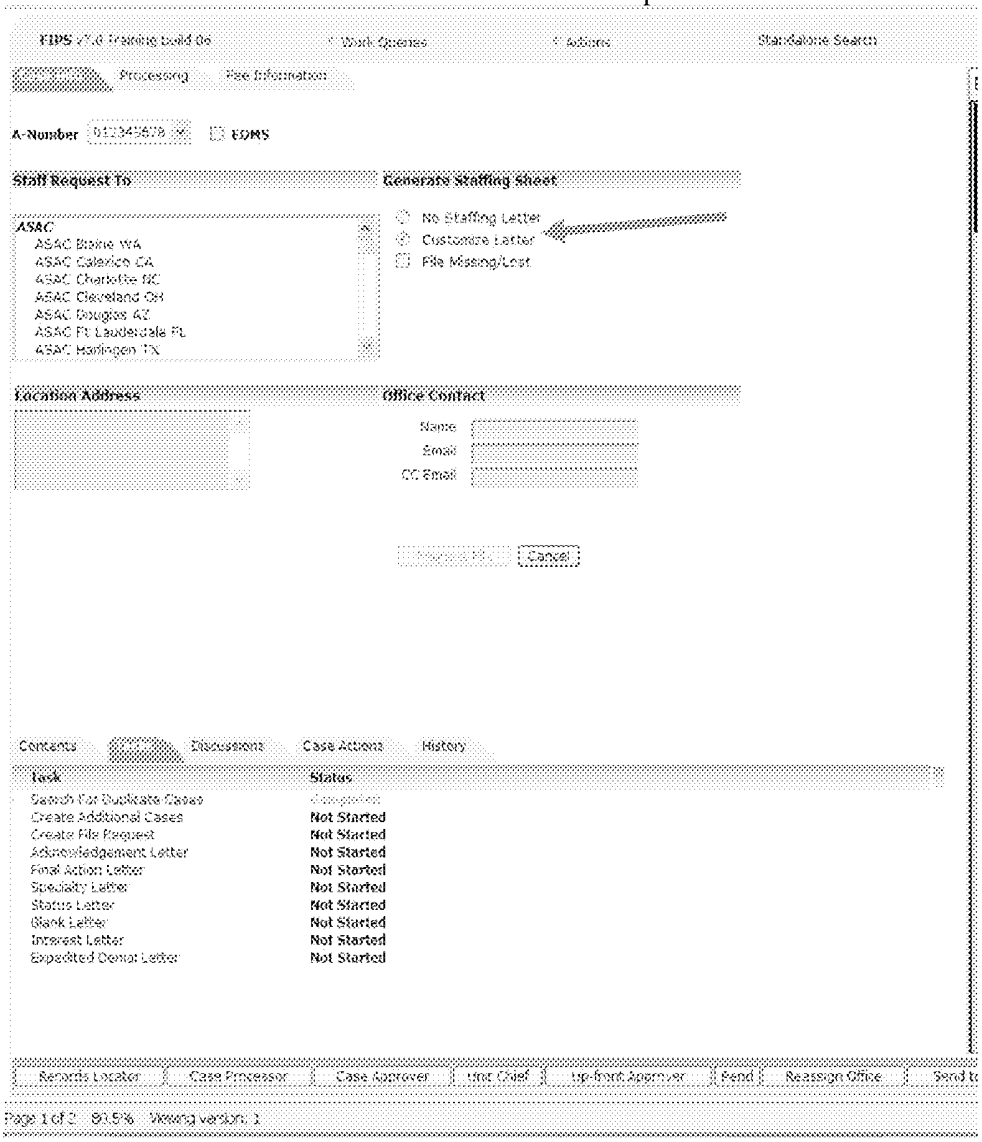
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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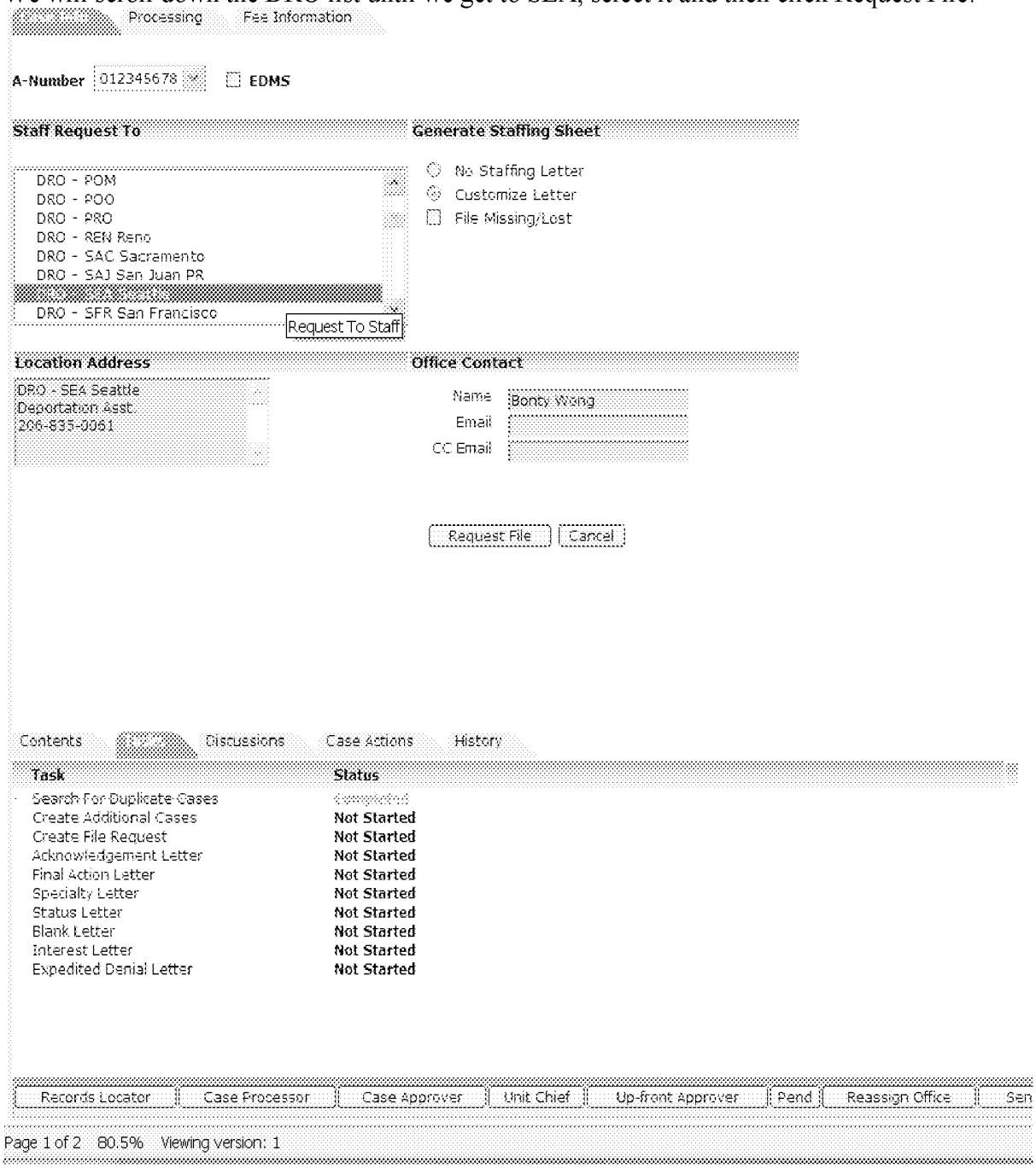
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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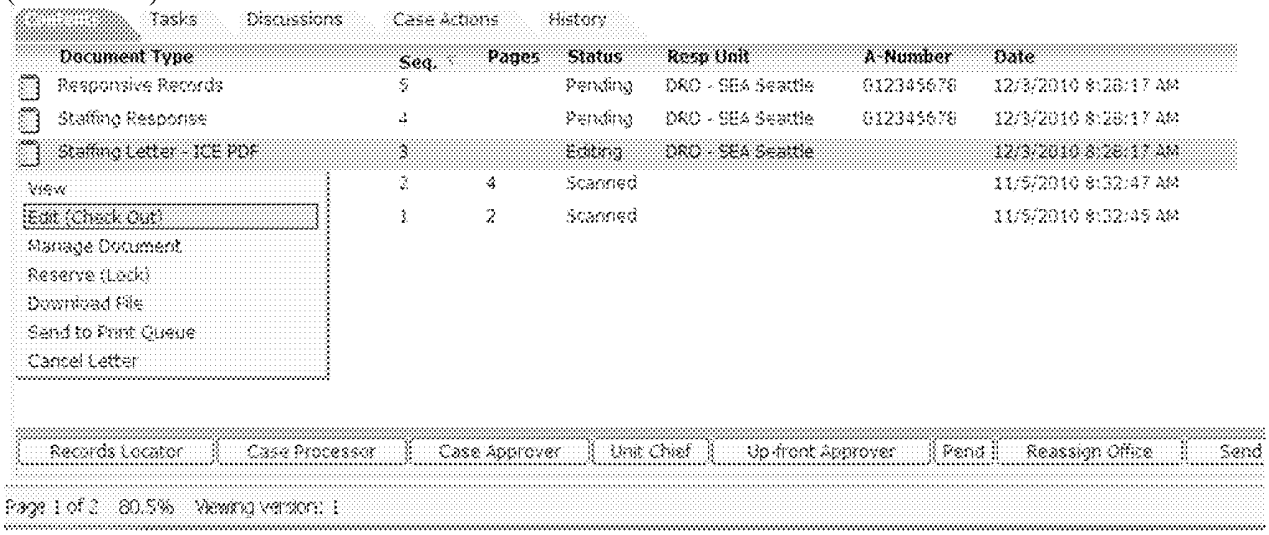
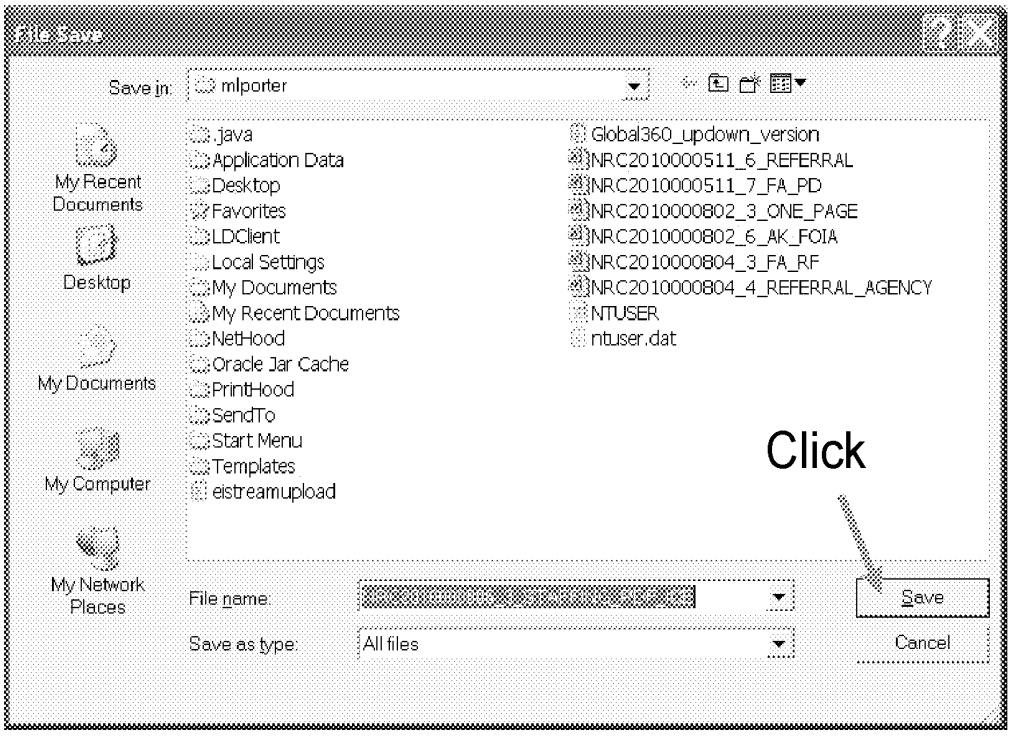
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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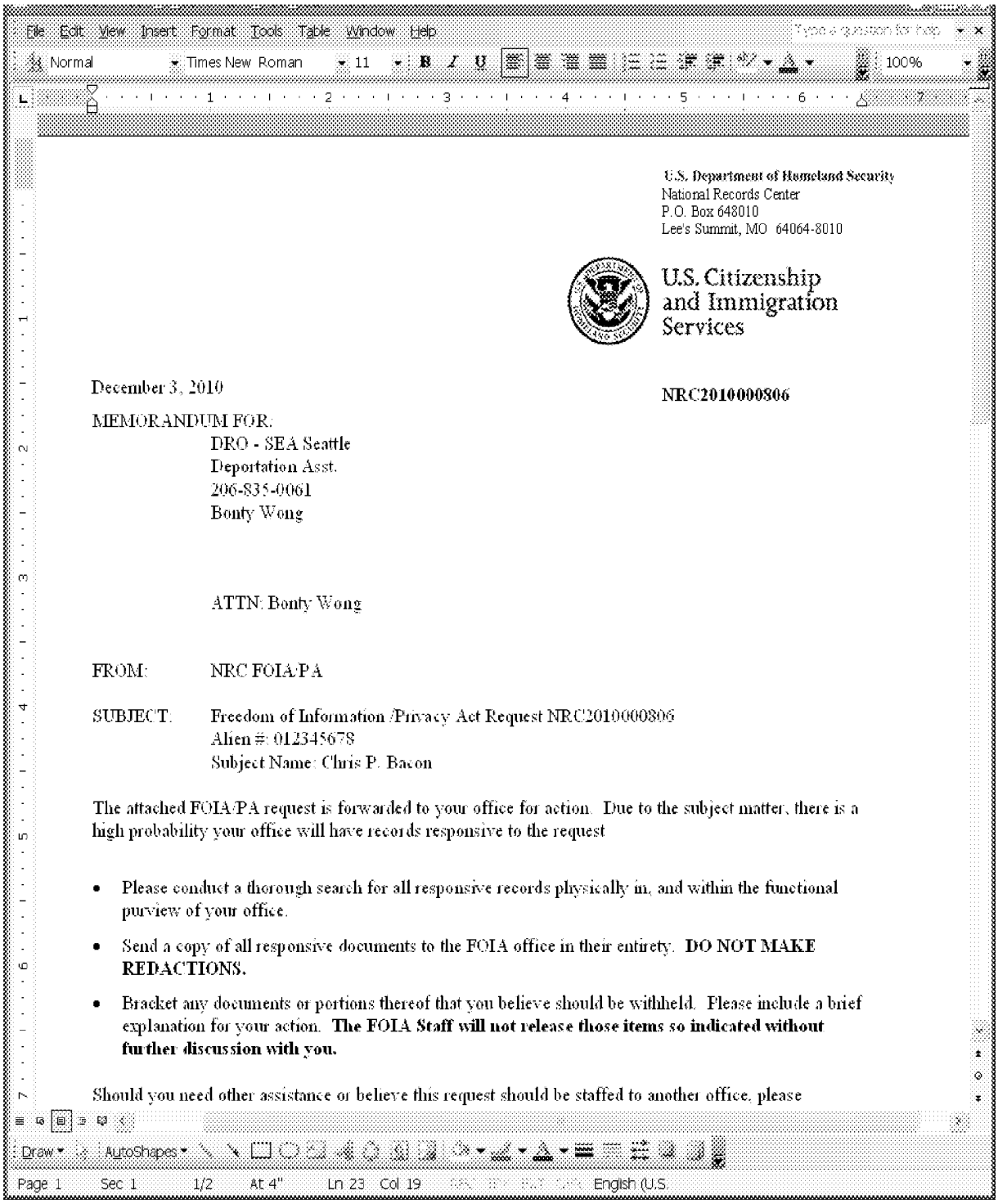
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.
206-835-0061
Bonty Wong

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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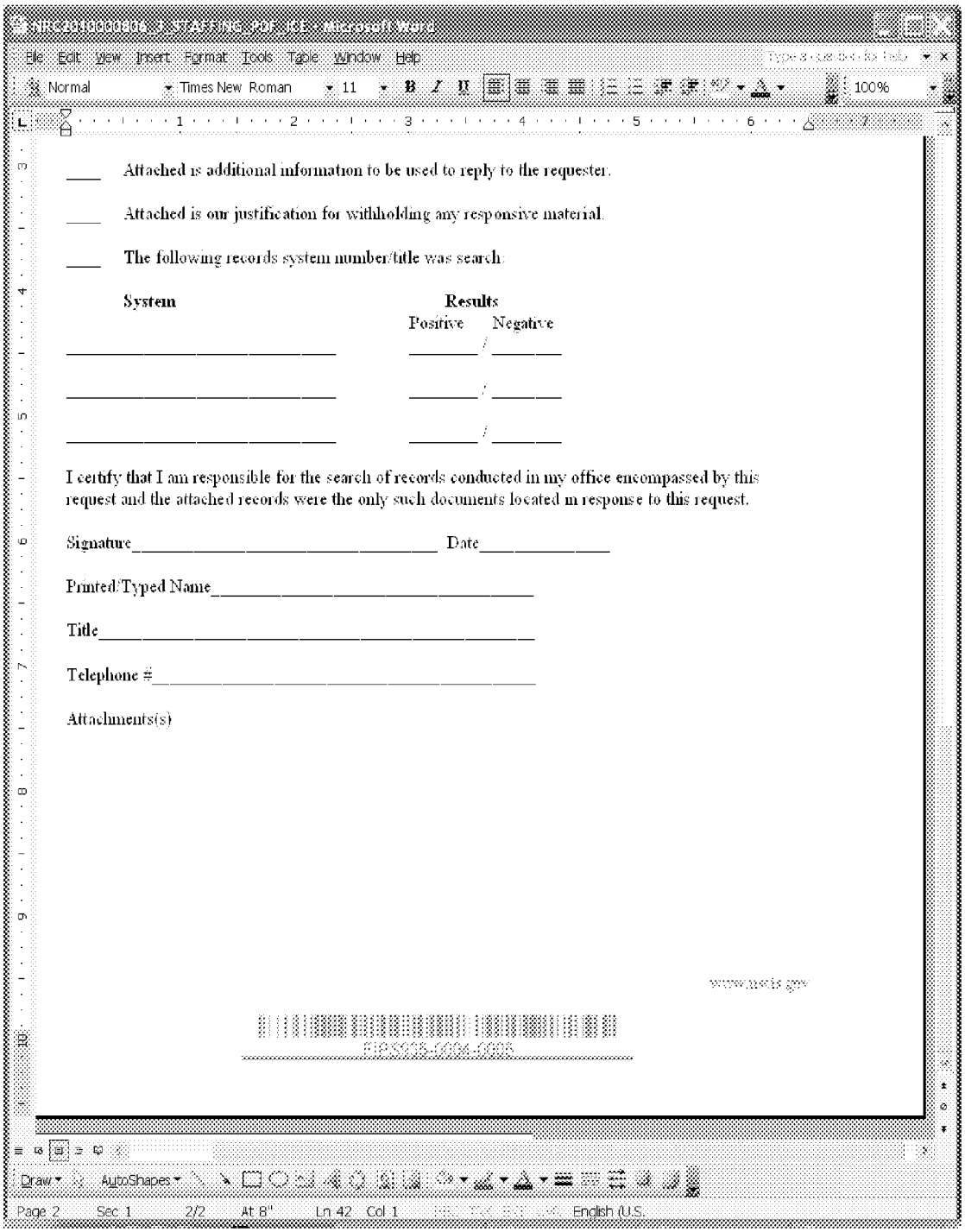
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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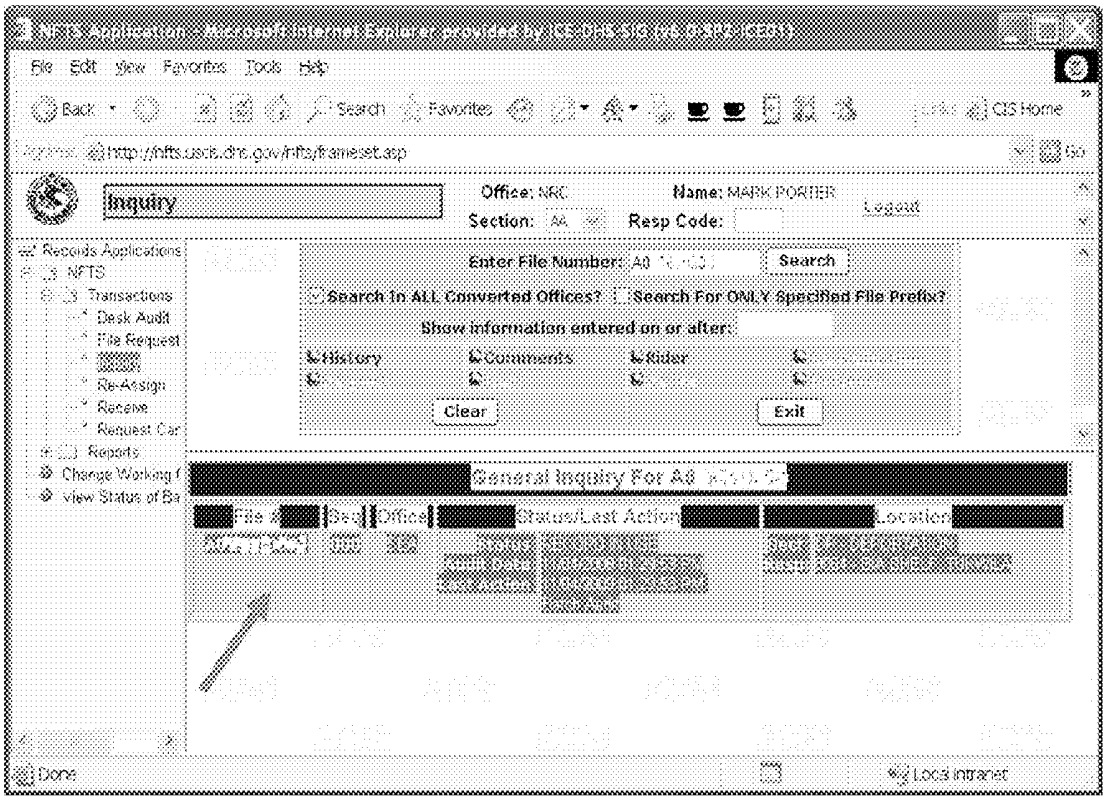
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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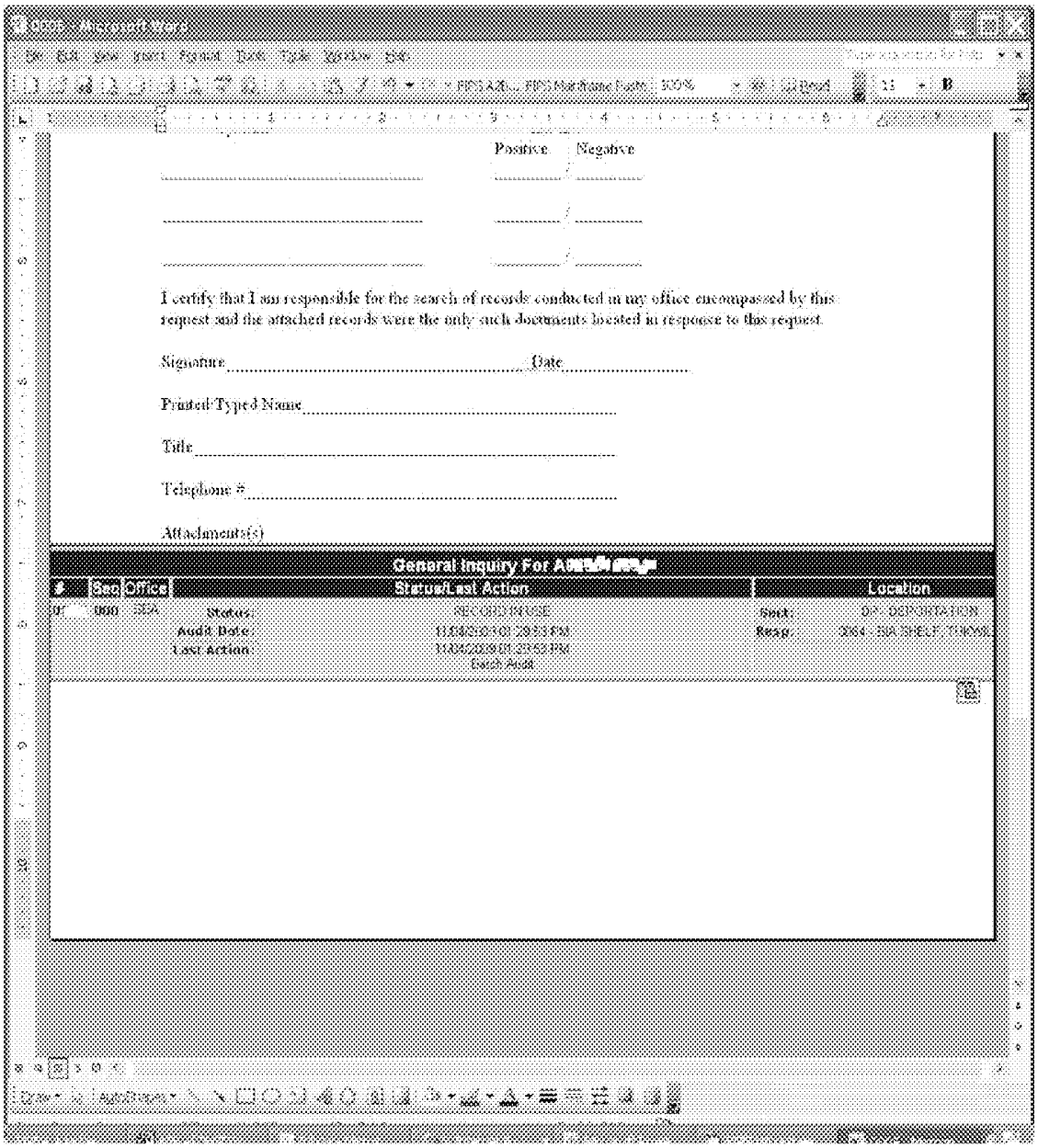
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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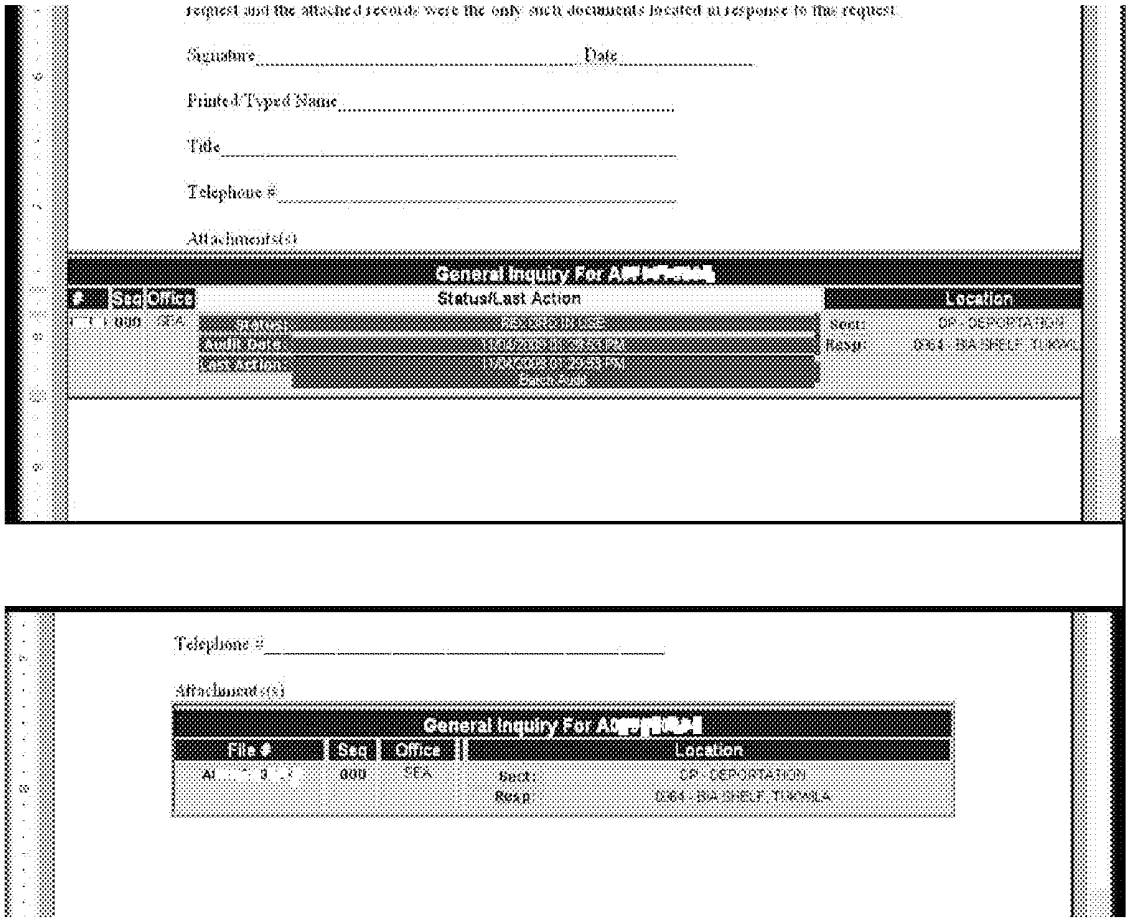
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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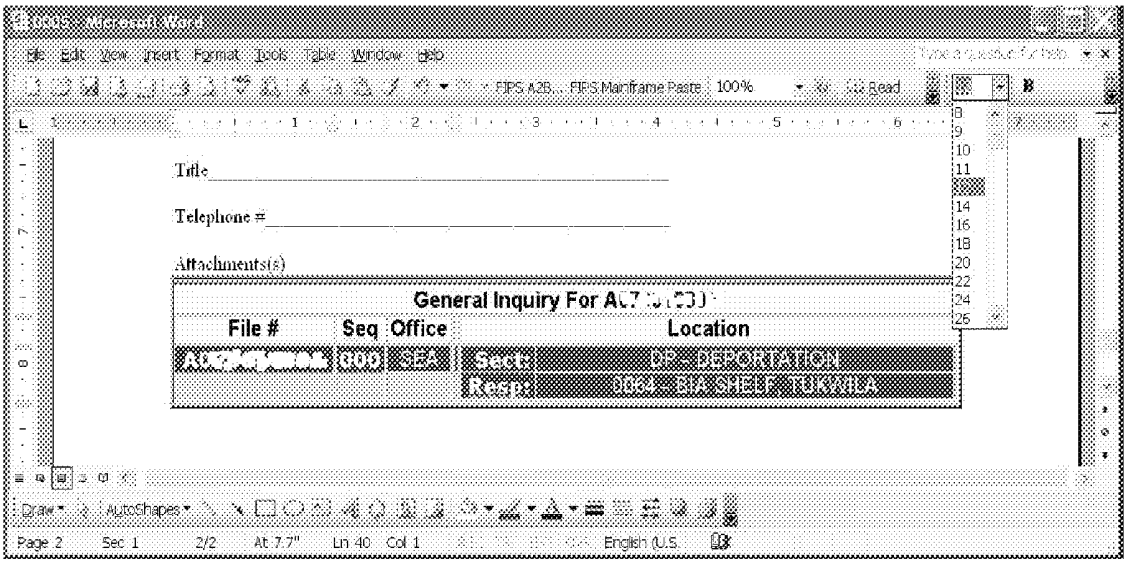
Next, highlight the whole area and change the font size to 12.



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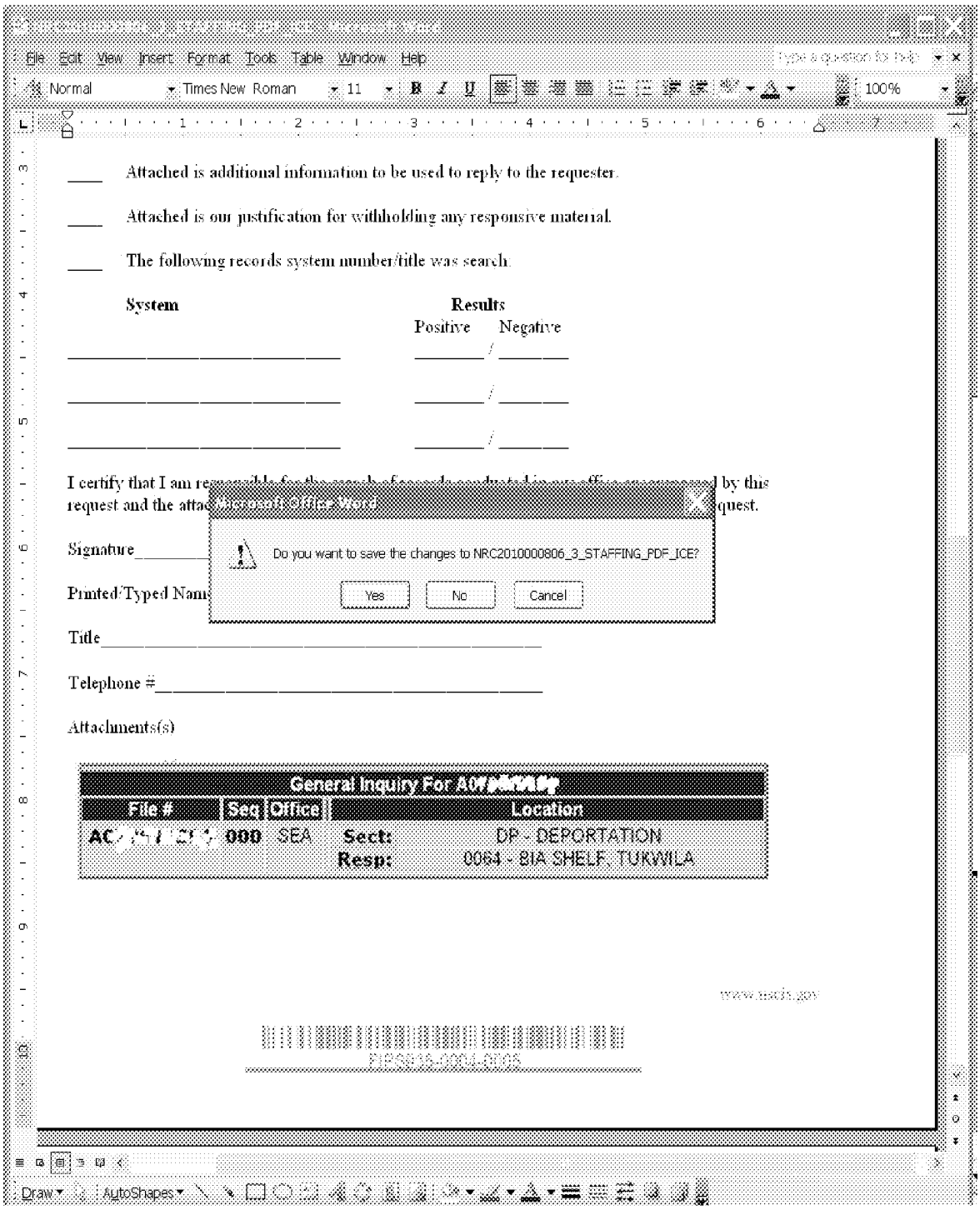
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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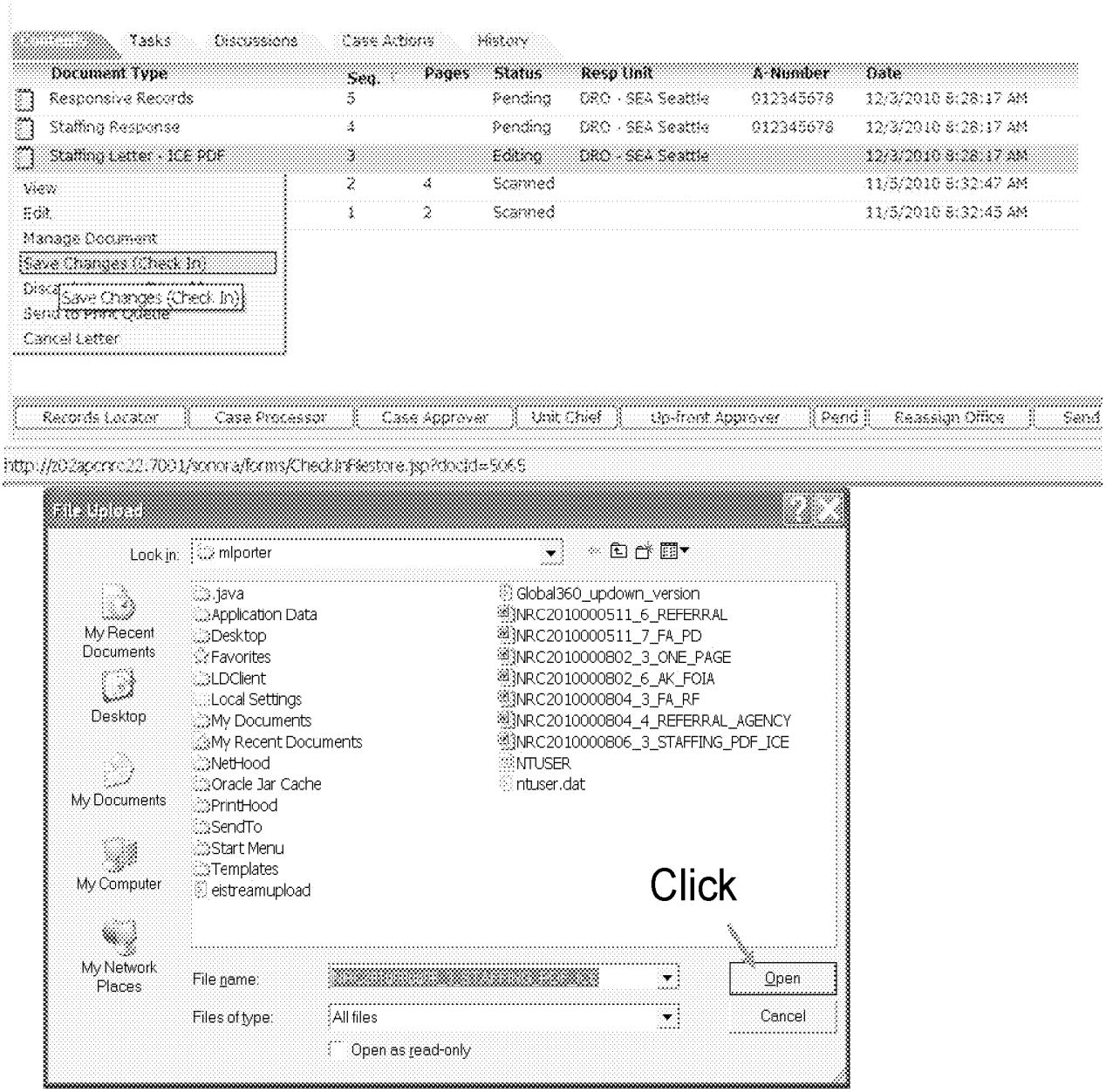
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

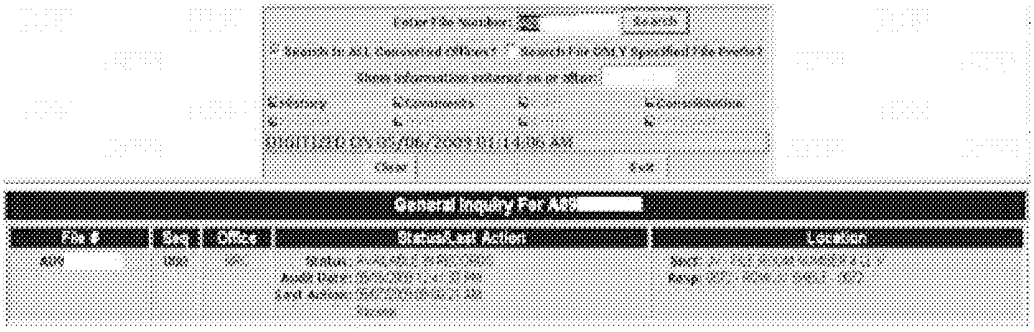
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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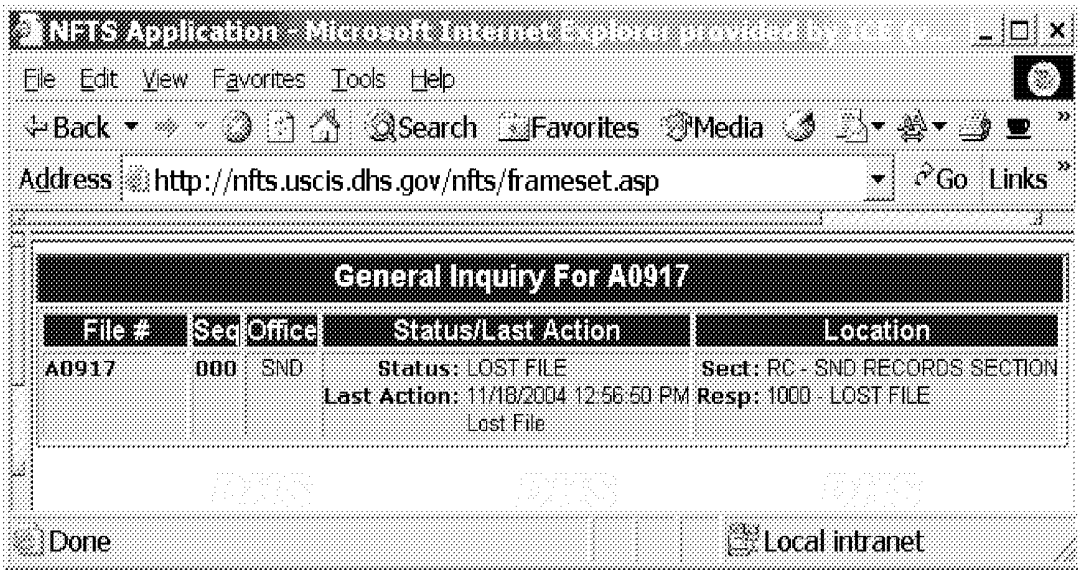
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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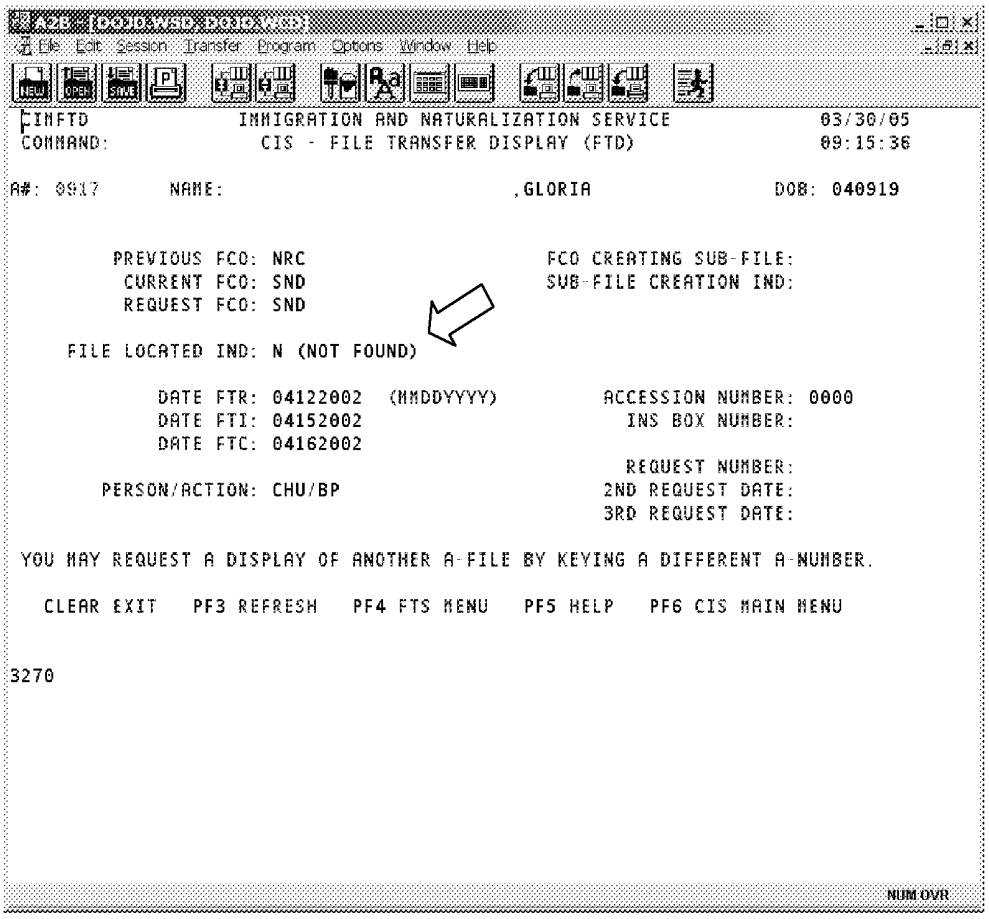
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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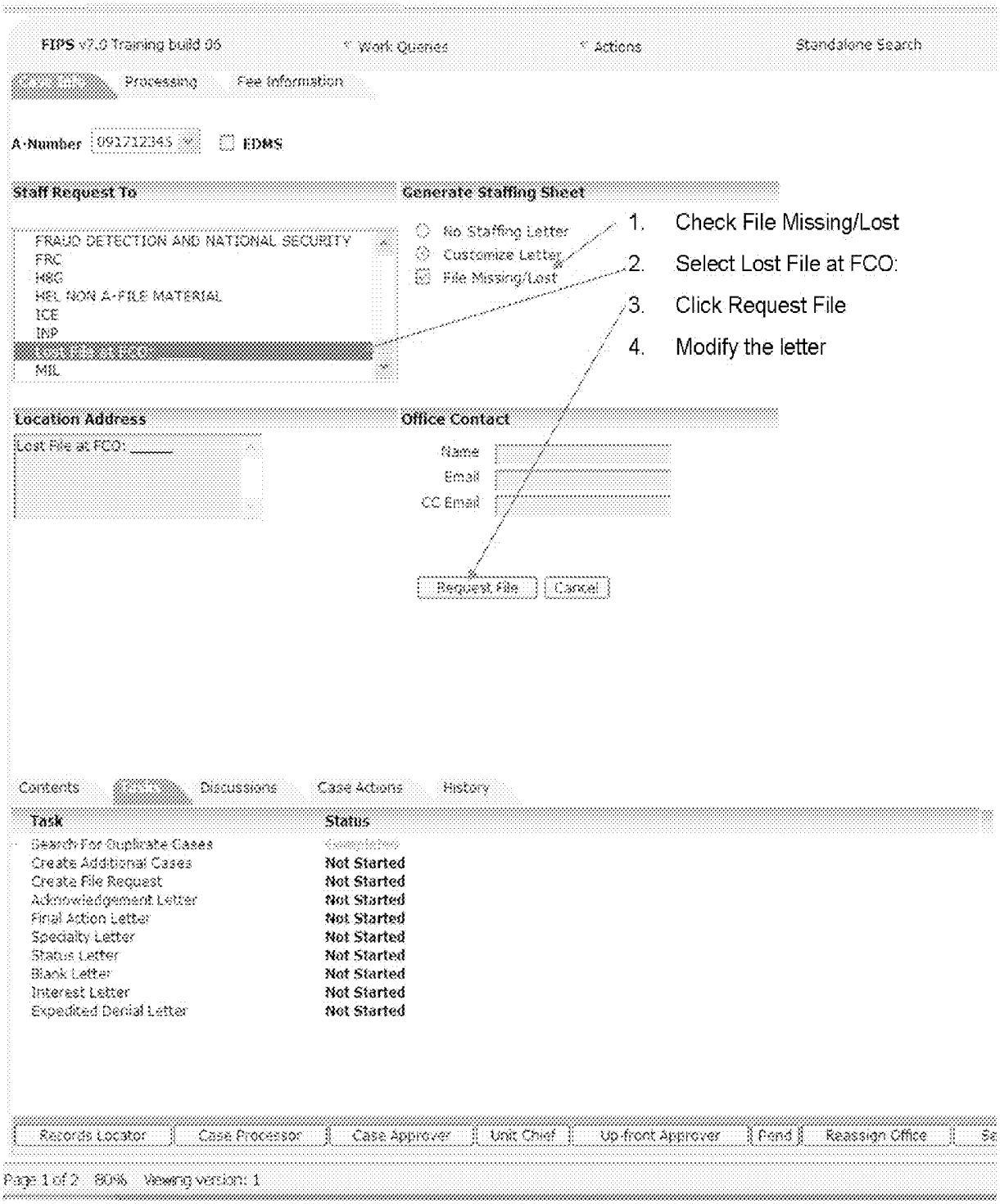

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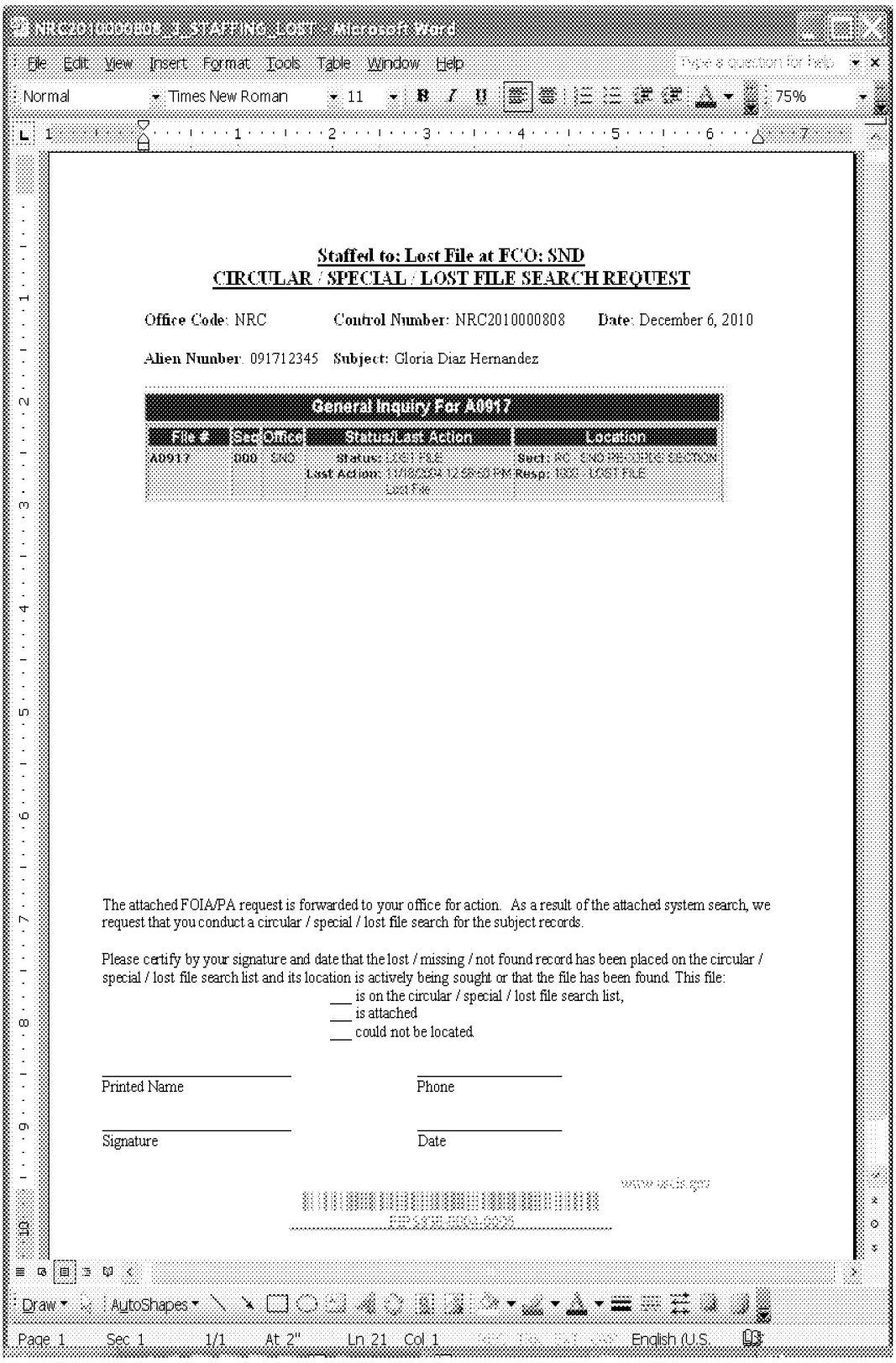

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Lost Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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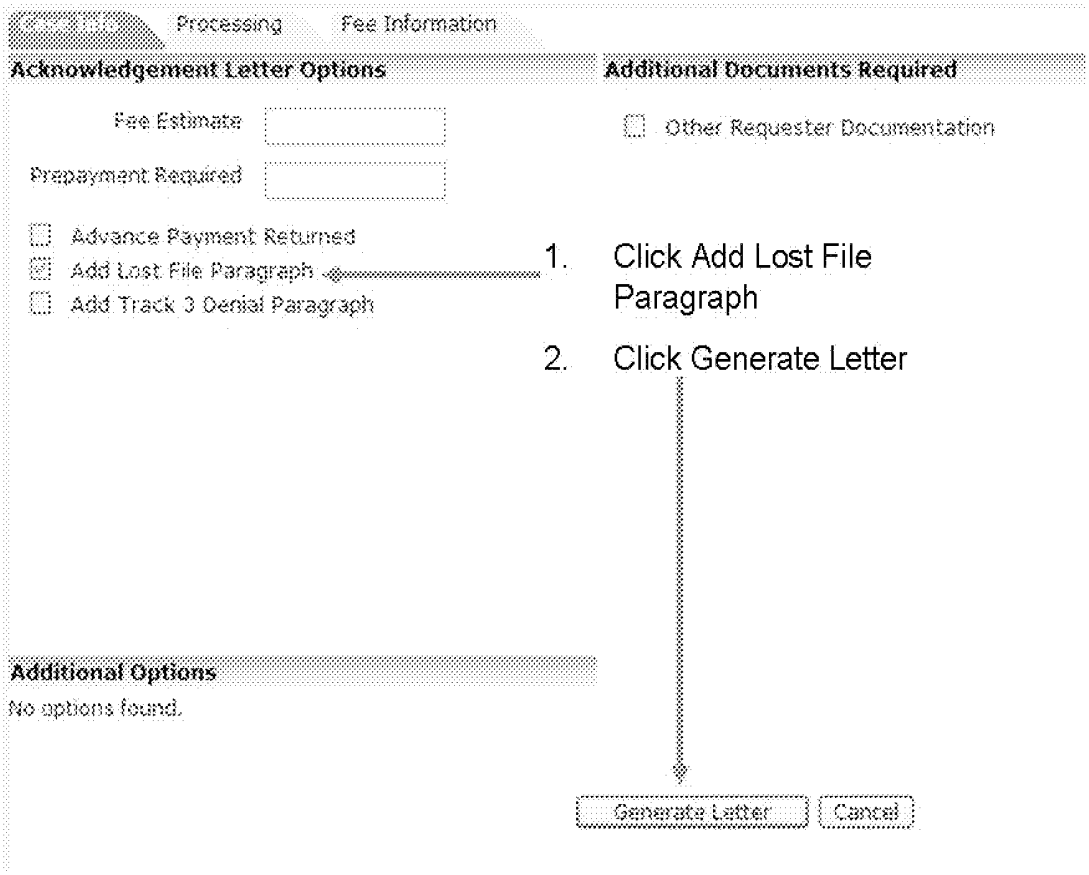

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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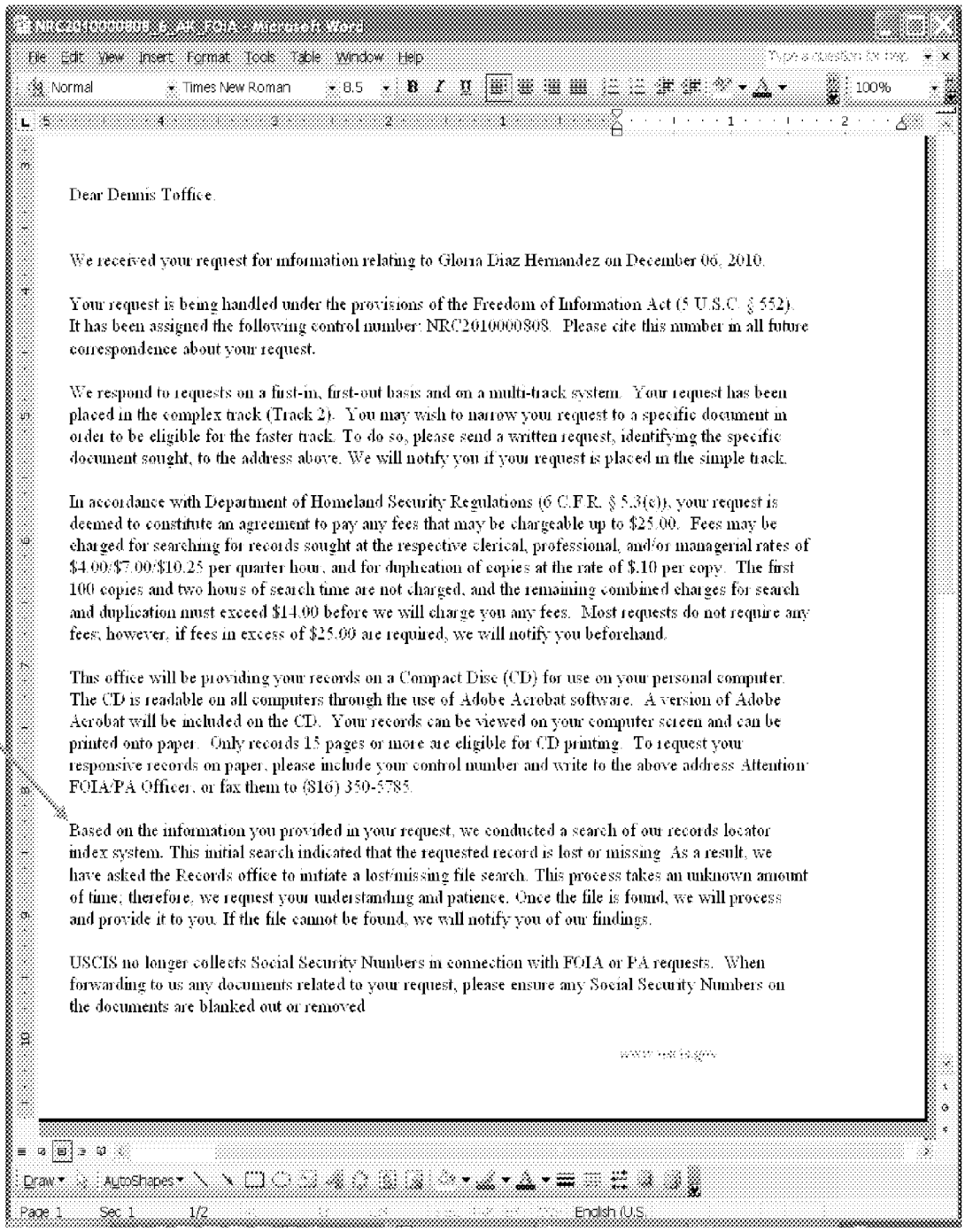

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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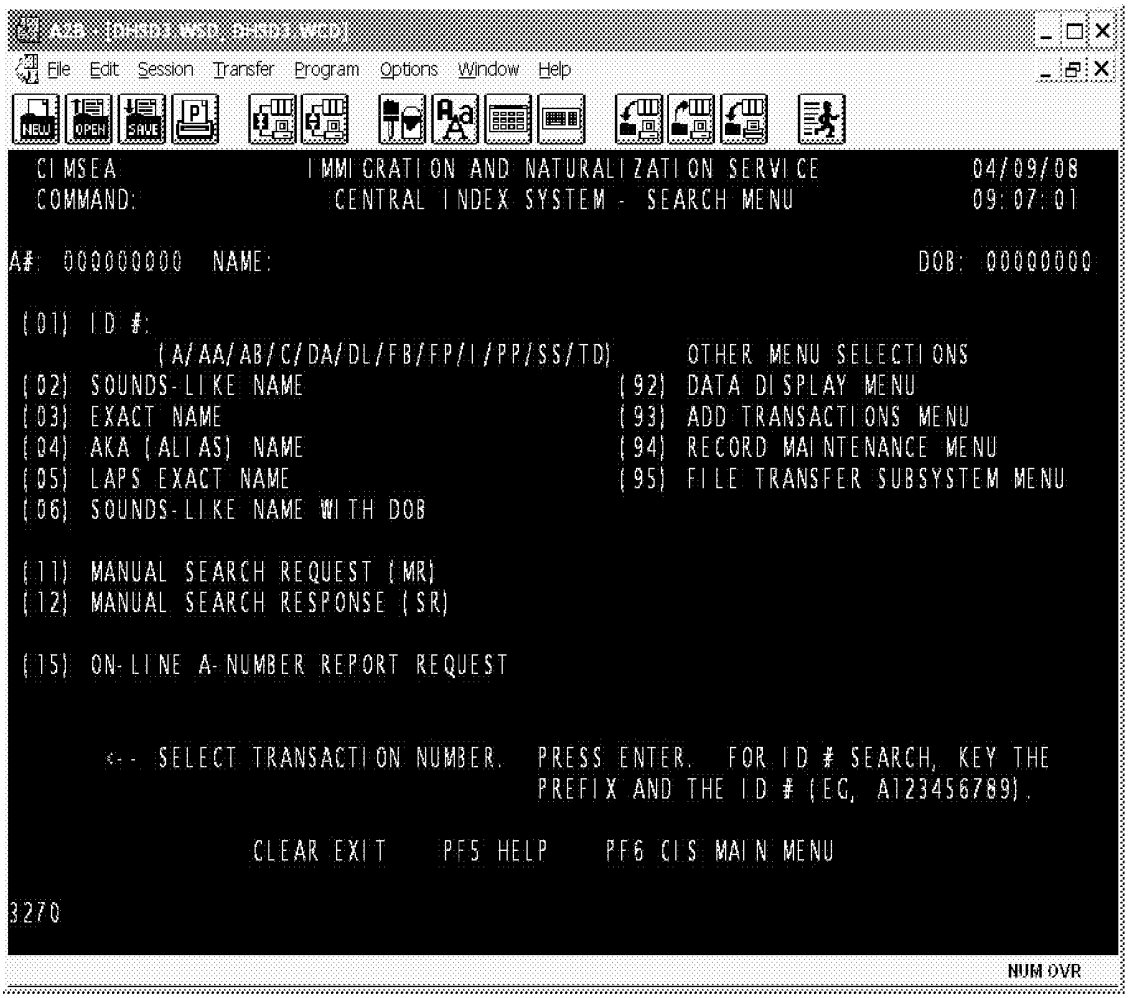

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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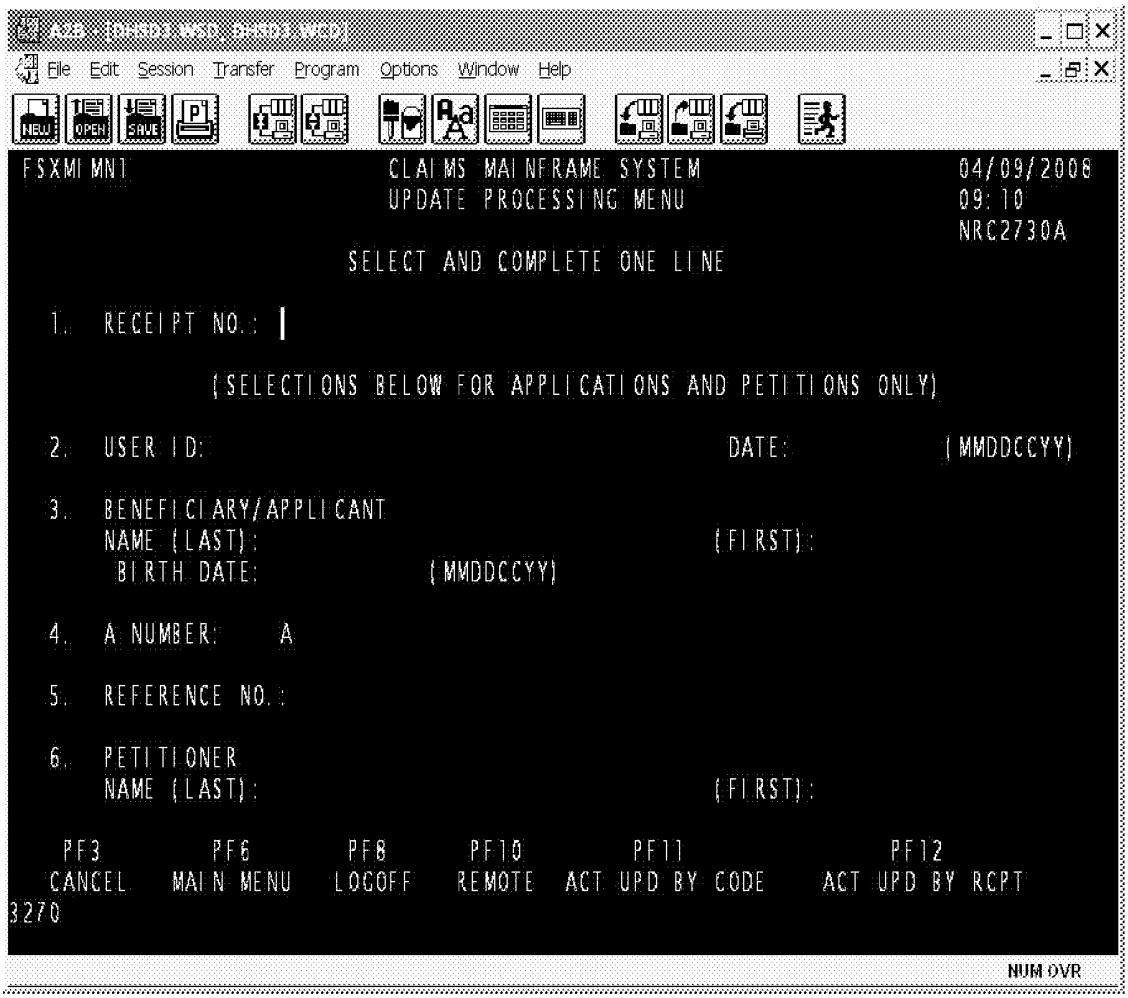

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, (b)(6) [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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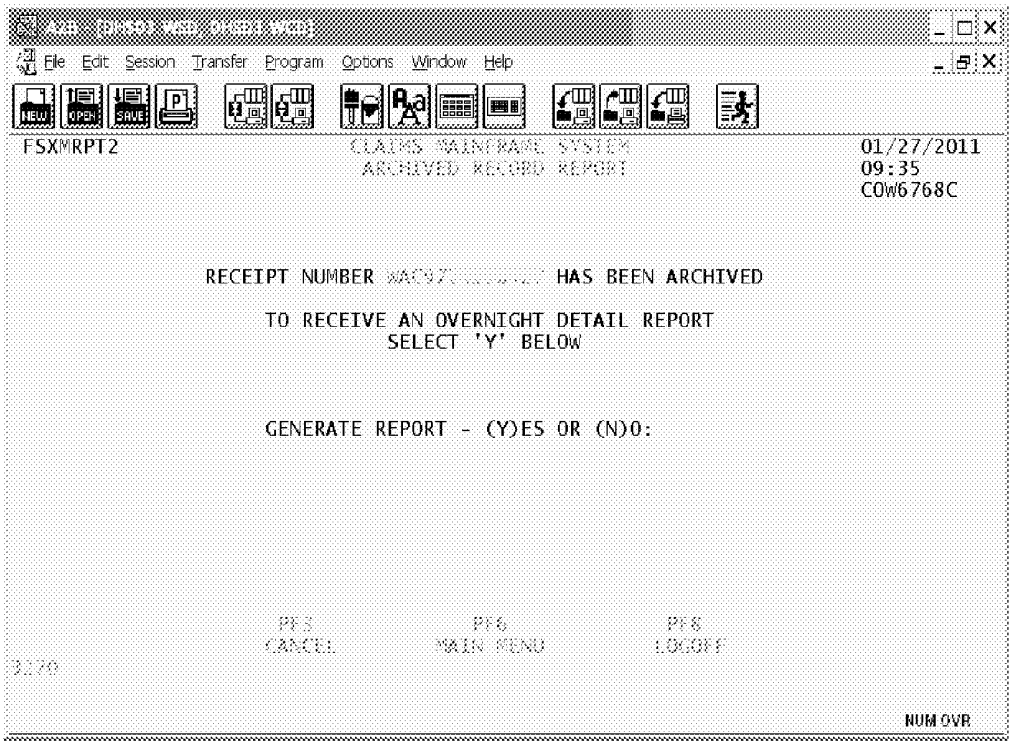
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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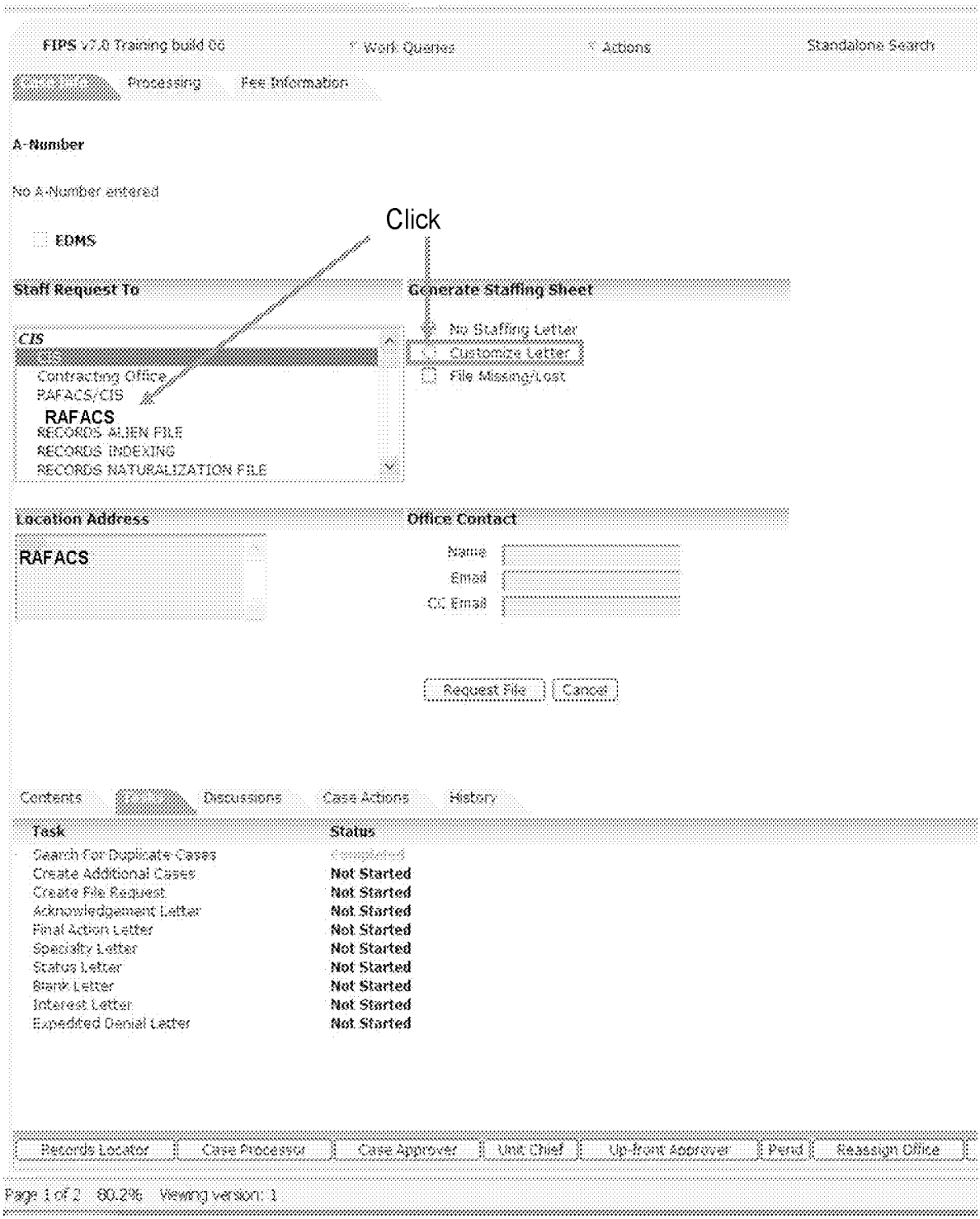

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 5, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
TO
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
..... is attached
..... could not be located.

Printed Name Phone:

WAC93

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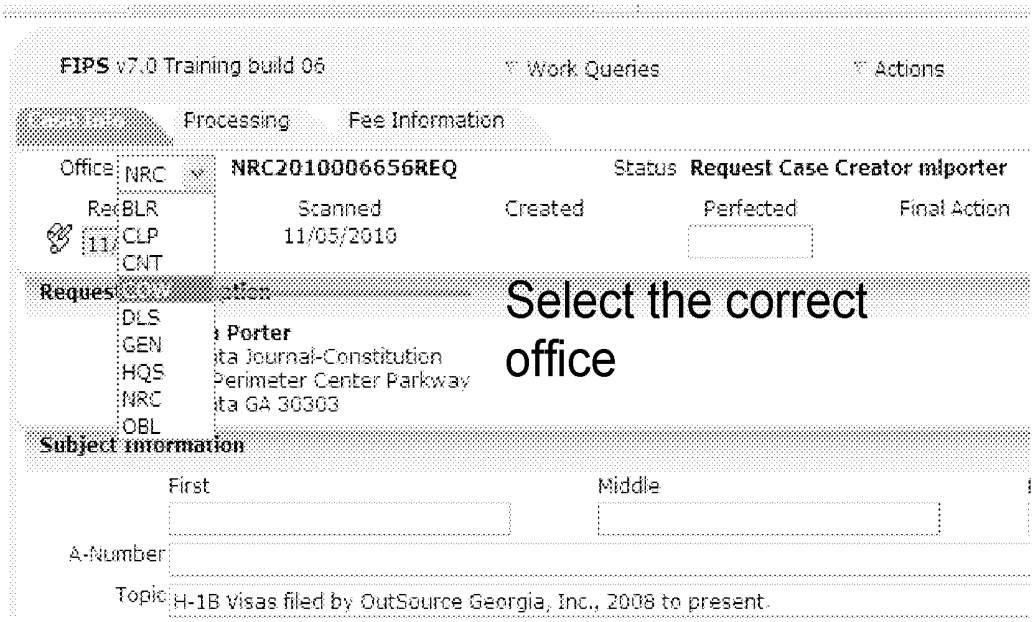
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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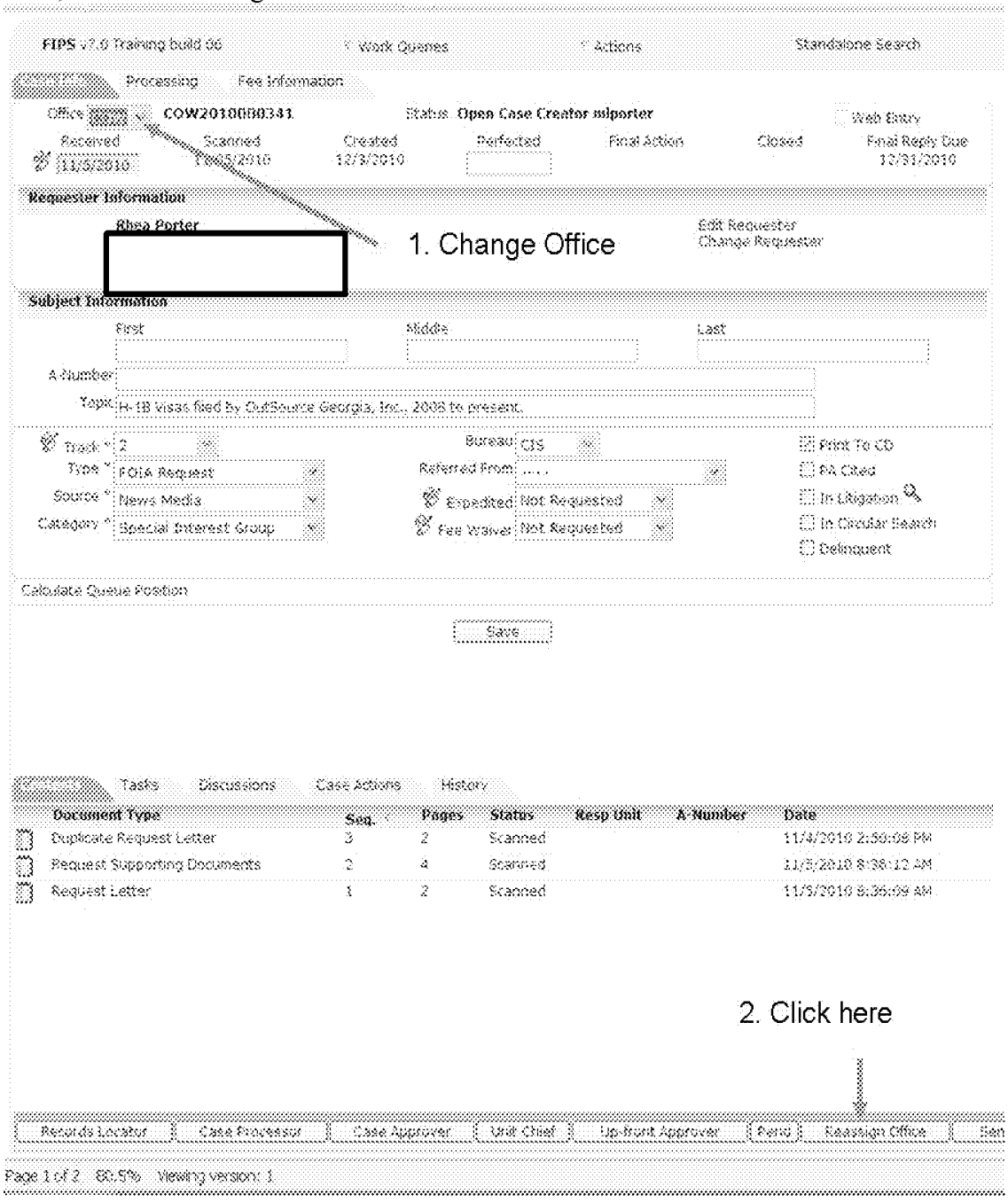
Next, click on "Reassign Office"

(b)(6)



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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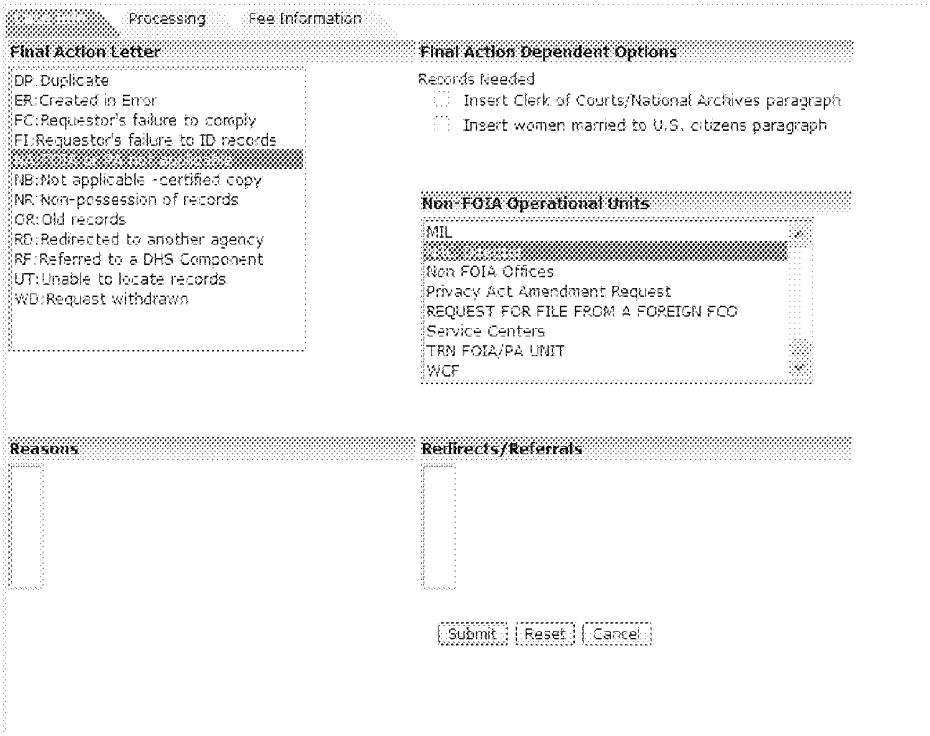
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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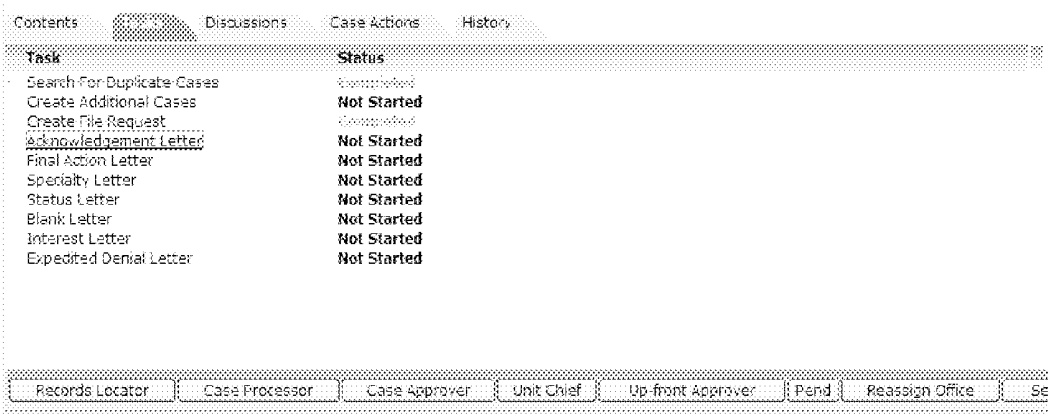
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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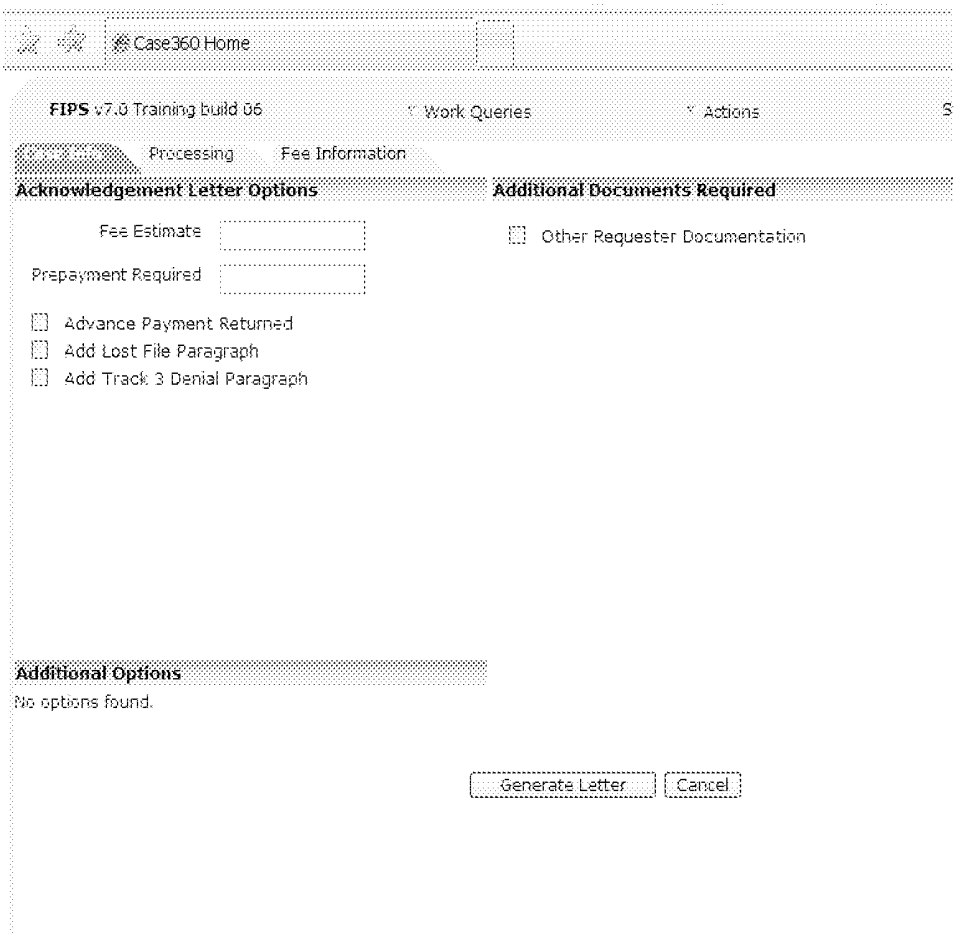
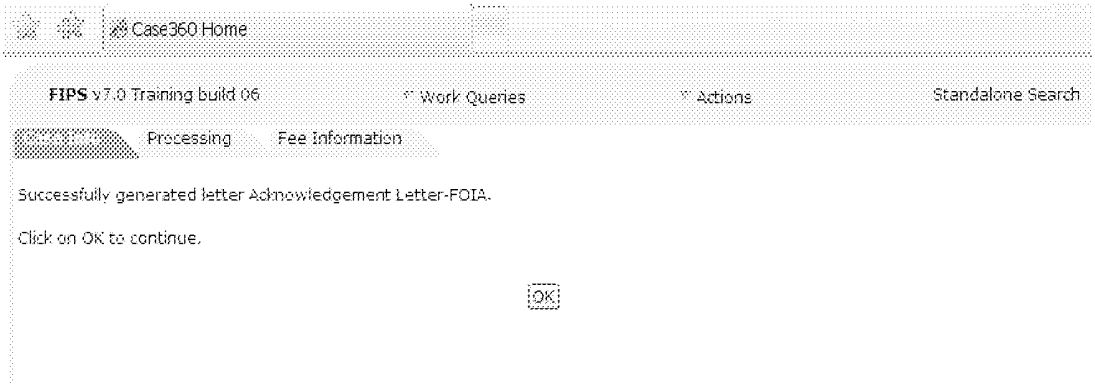


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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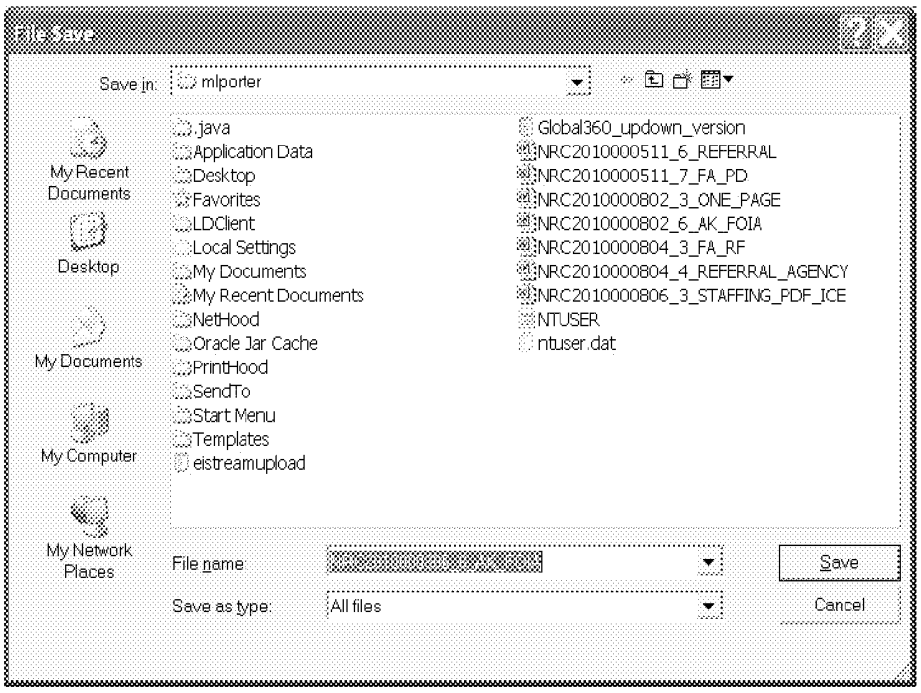

The acknowledgment letter will pop up:

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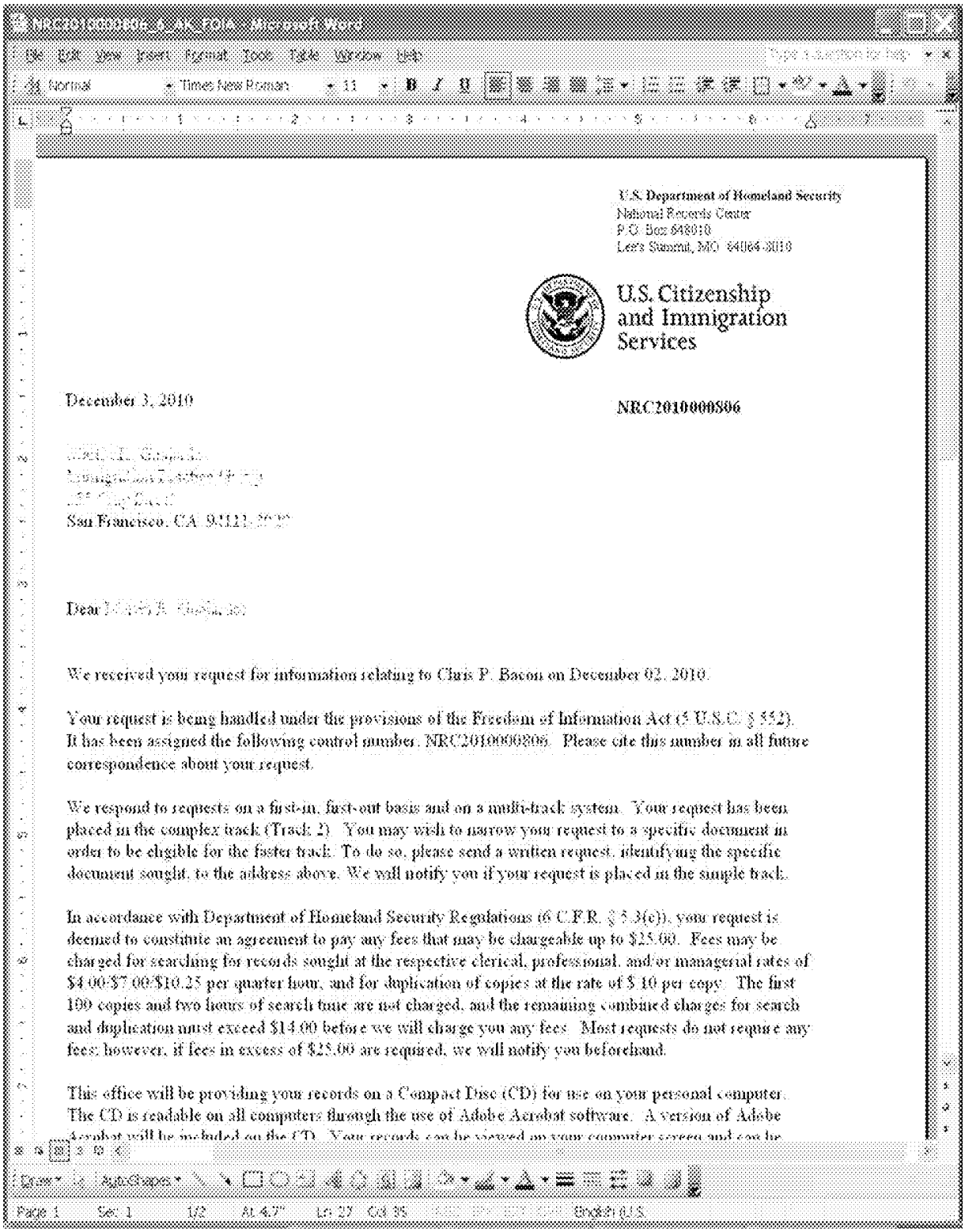

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 9[illegible]

Dear [illegible]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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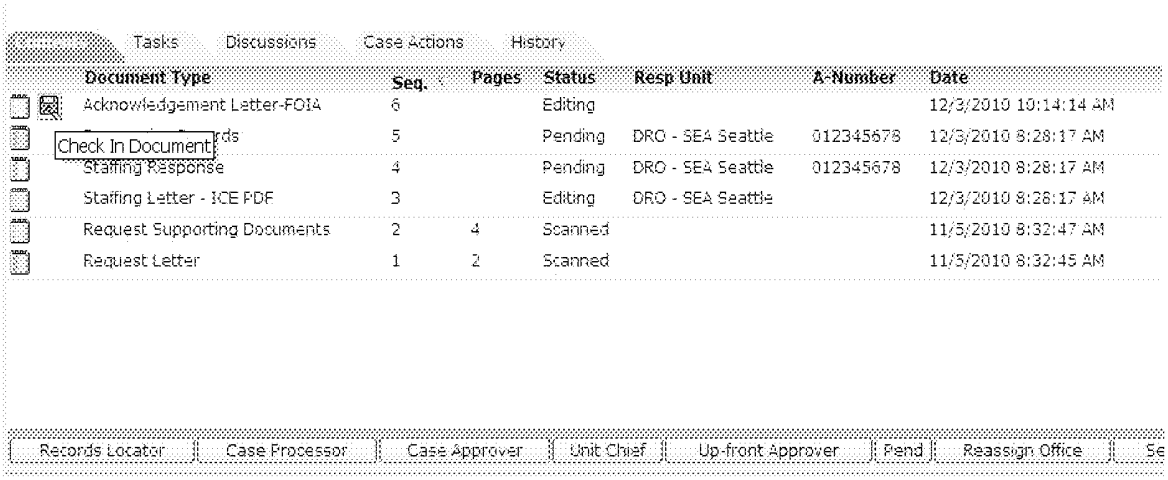
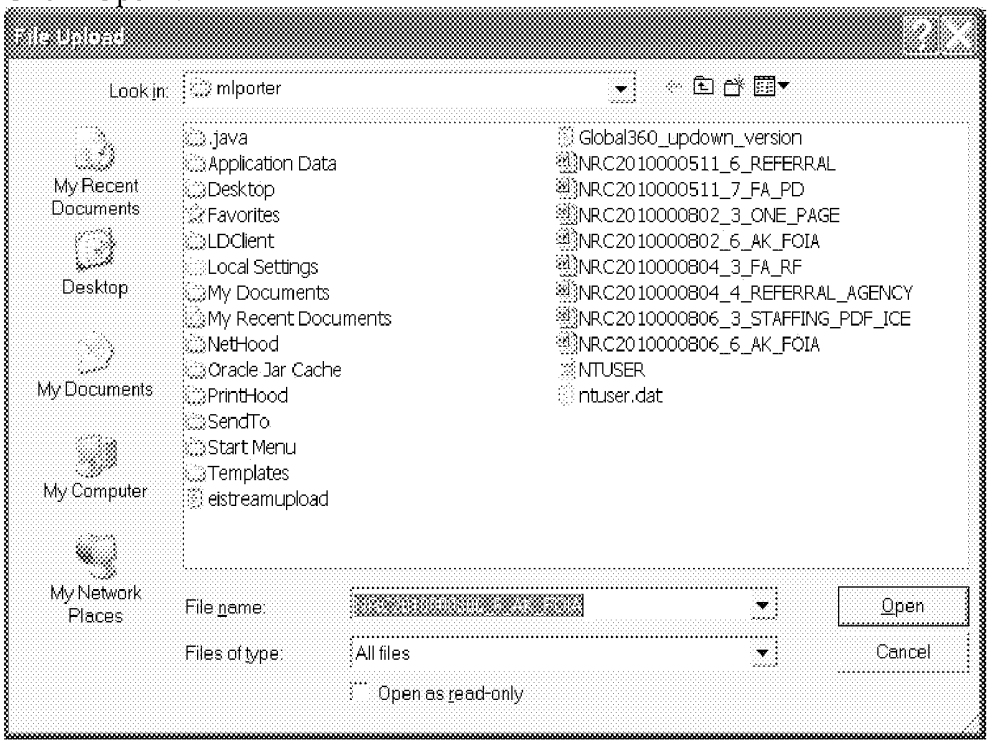


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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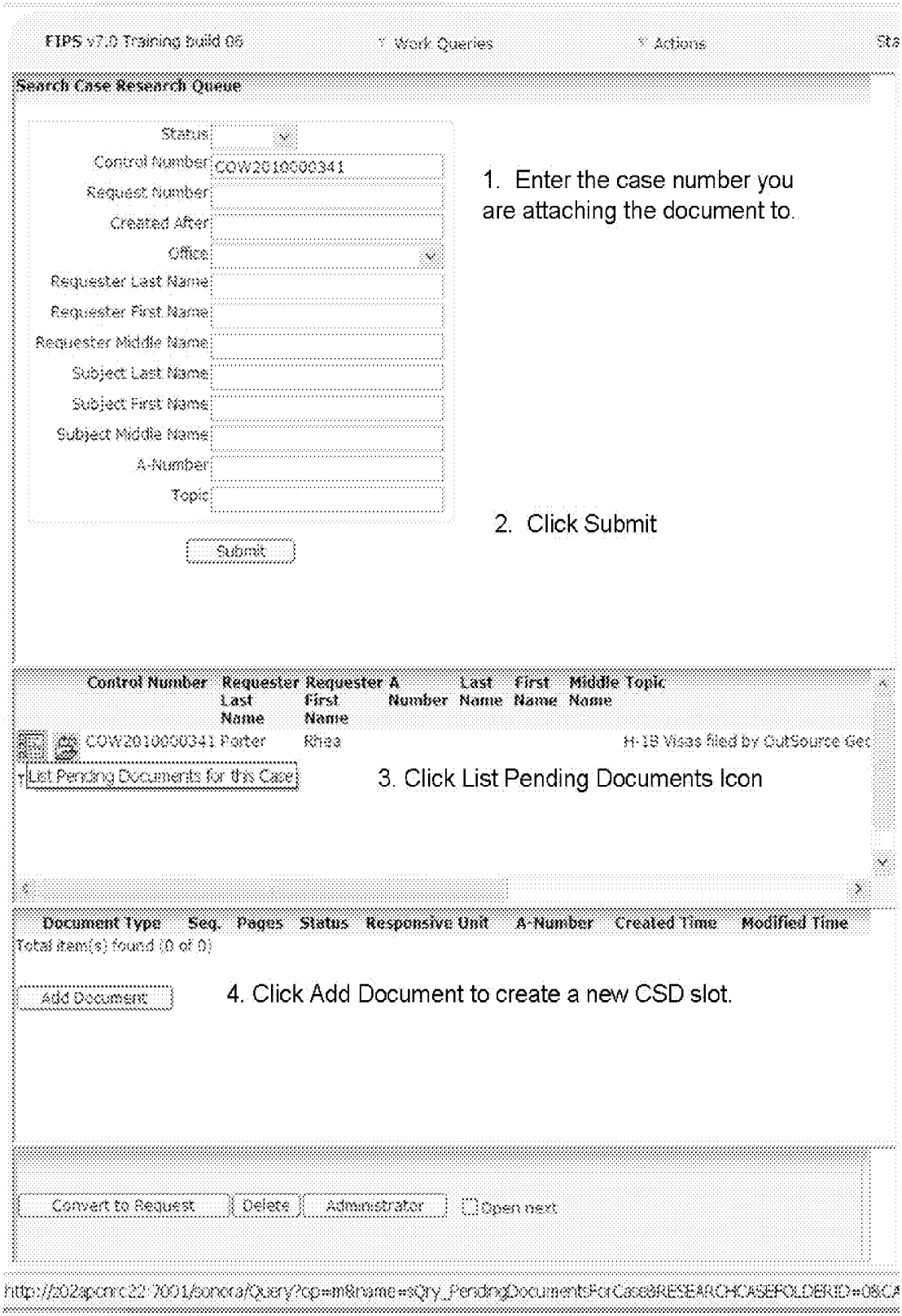

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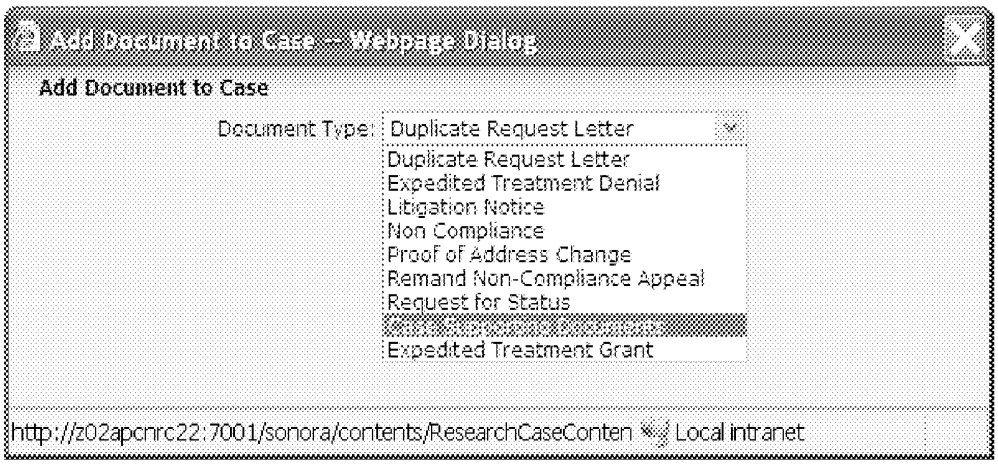

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM (NRC, FOIAOA)

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB (NRC, NRCFOIAMSB)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

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1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

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32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get

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consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

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32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

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34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

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36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

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41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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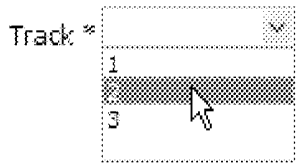
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

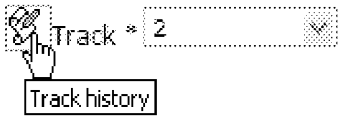
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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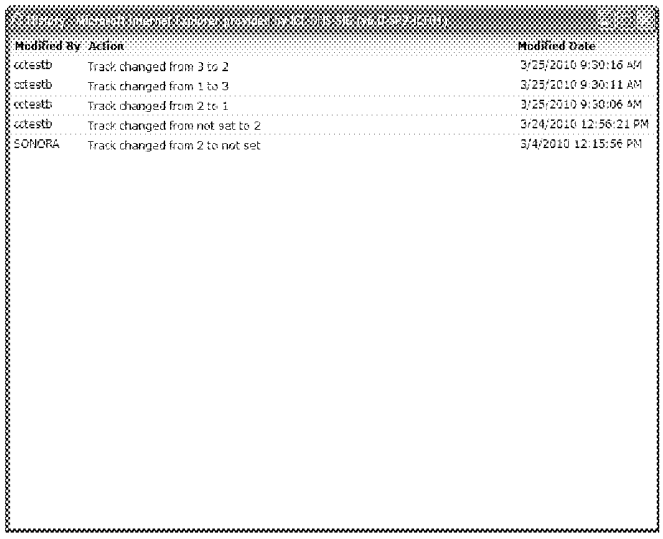
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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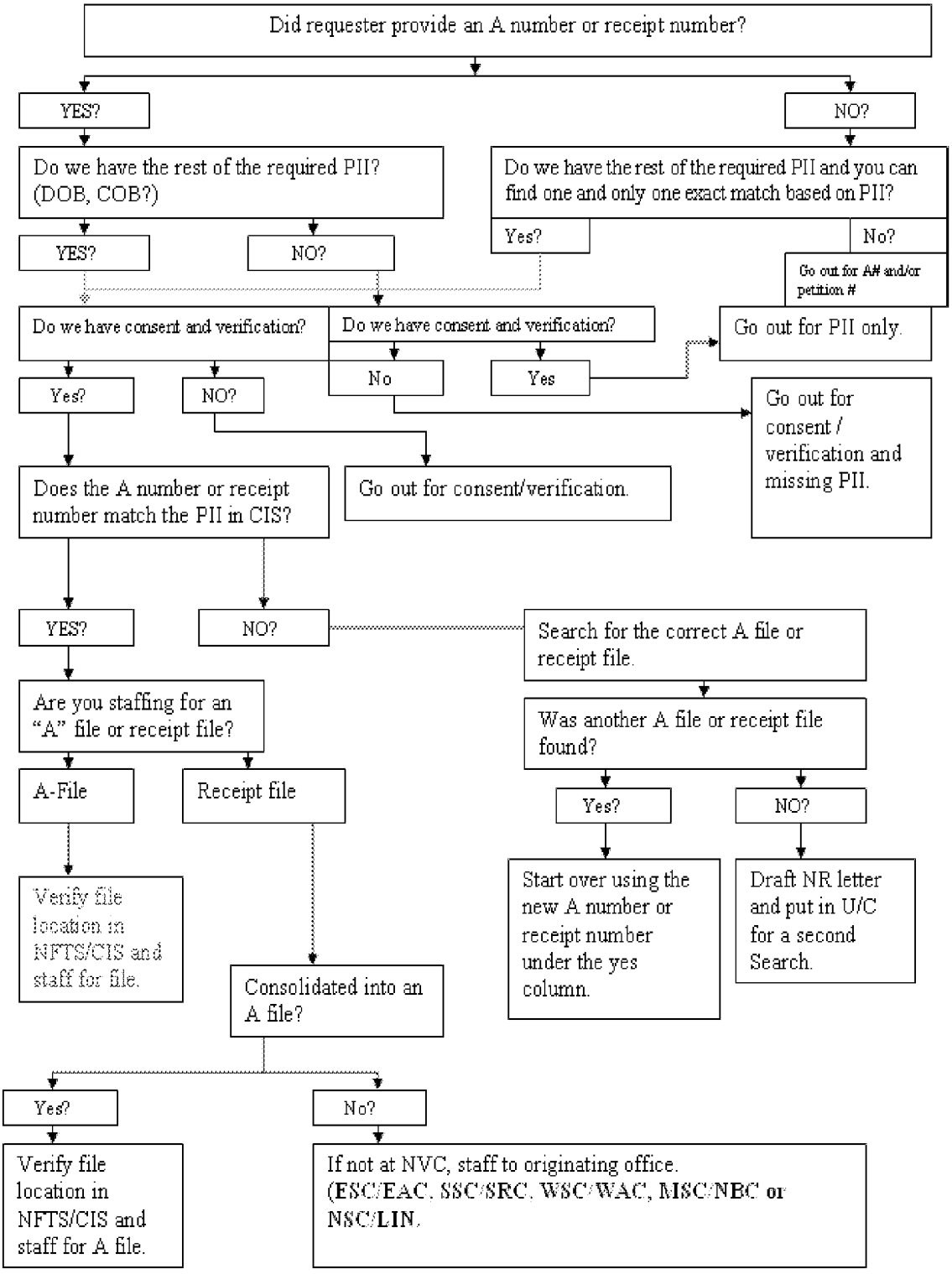
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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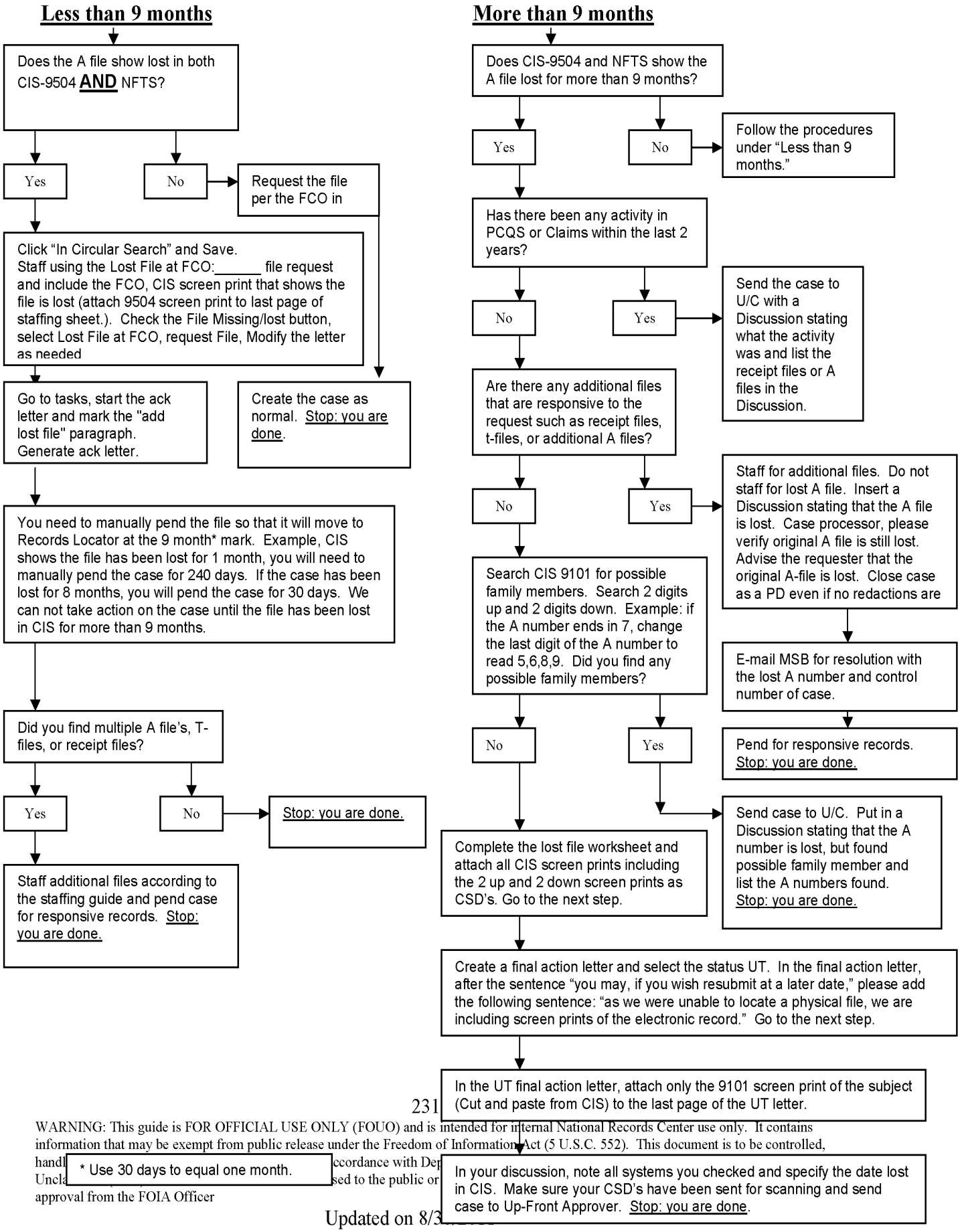
Updated on 8/30/2011

Lost File Flowchart



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Updated on 8/3

APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 015-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 088-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program.

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

***Paragraph 7.1,* Consent of Parents or Guardians,** *of the **FOIA/PA Assistant's Guide** has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

(b)(6)

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen

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prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information*." Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.
>
> ---

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information":

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- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

October 24, 2011

We have added a sentence to **Paragraph 8.21**, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

Paragraph 32.12 is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

> **32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

We have added a sentence to **Paragraph 34**, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

Paragraph 36 is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

[The following paragraph has been deleted in its entirety] Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** has been changed as follows (~~old version in strikethrough~~) (new version in red):

~~Just before you create the case,~~ Before you begin filling in the worksheet, you should look for duplicates.

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the *FOIA/PA Assistant's Guide*

December 14, 2011

Paragraph 7.4, **Third Party Requests** has been changed as follows (new information in red, deleted information in strikethrough)

Third party requesters are not entitled to any public documents that may be in the file they are seeking, as well as nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply. simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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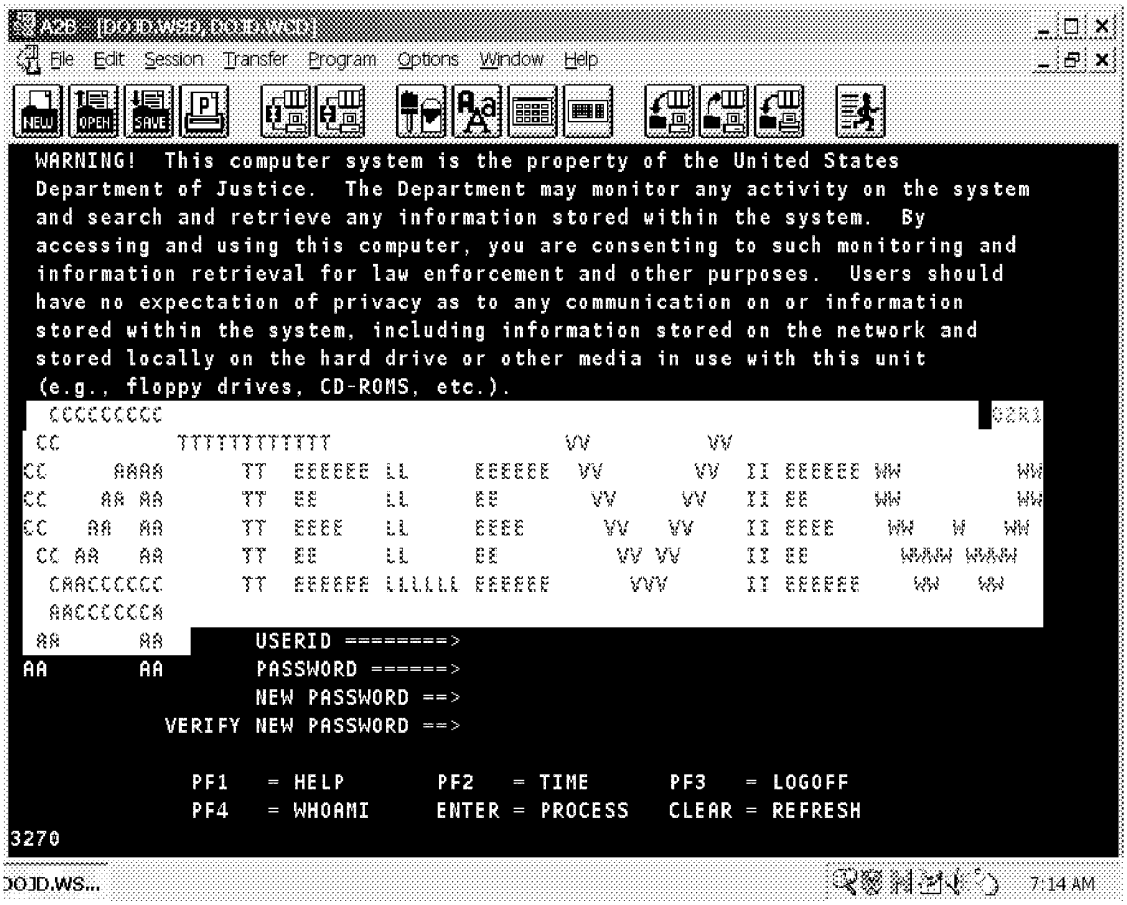
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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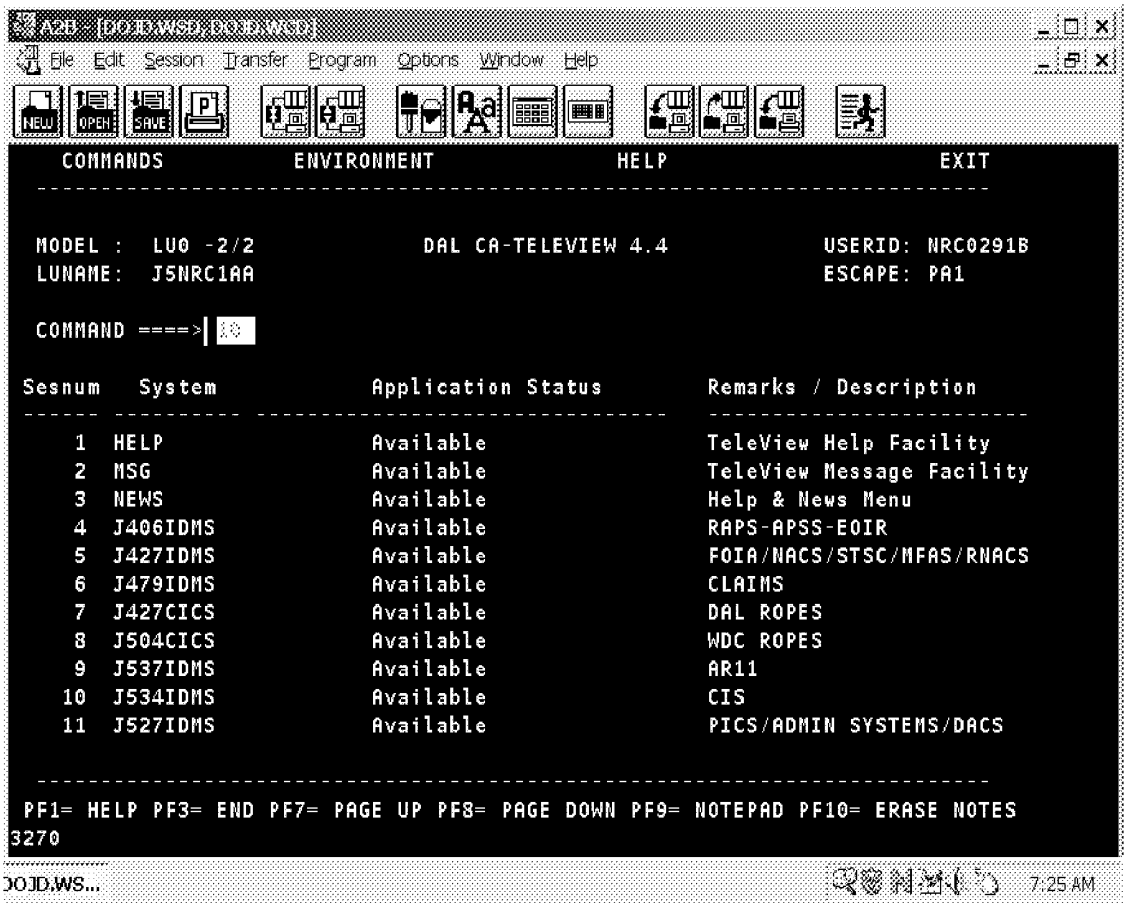
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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5.1.4 CIS Main Menu

This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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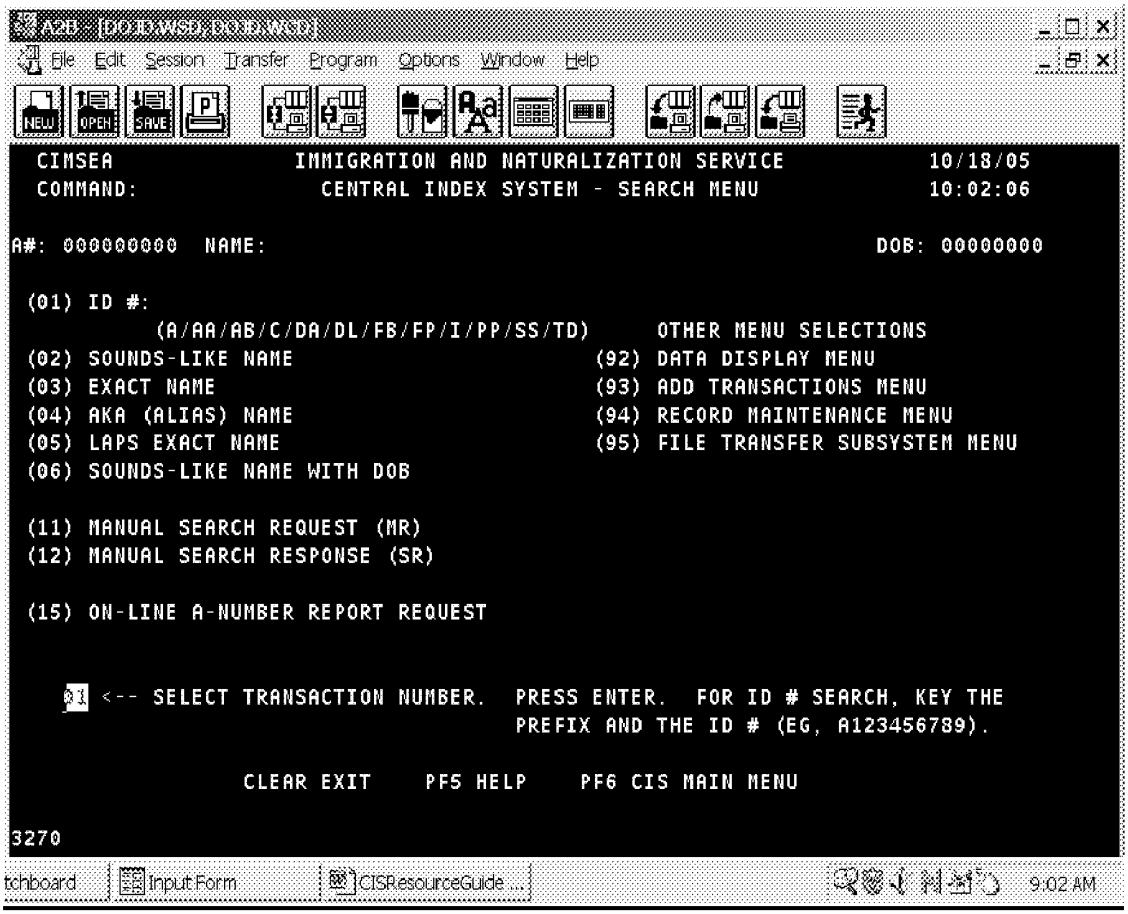
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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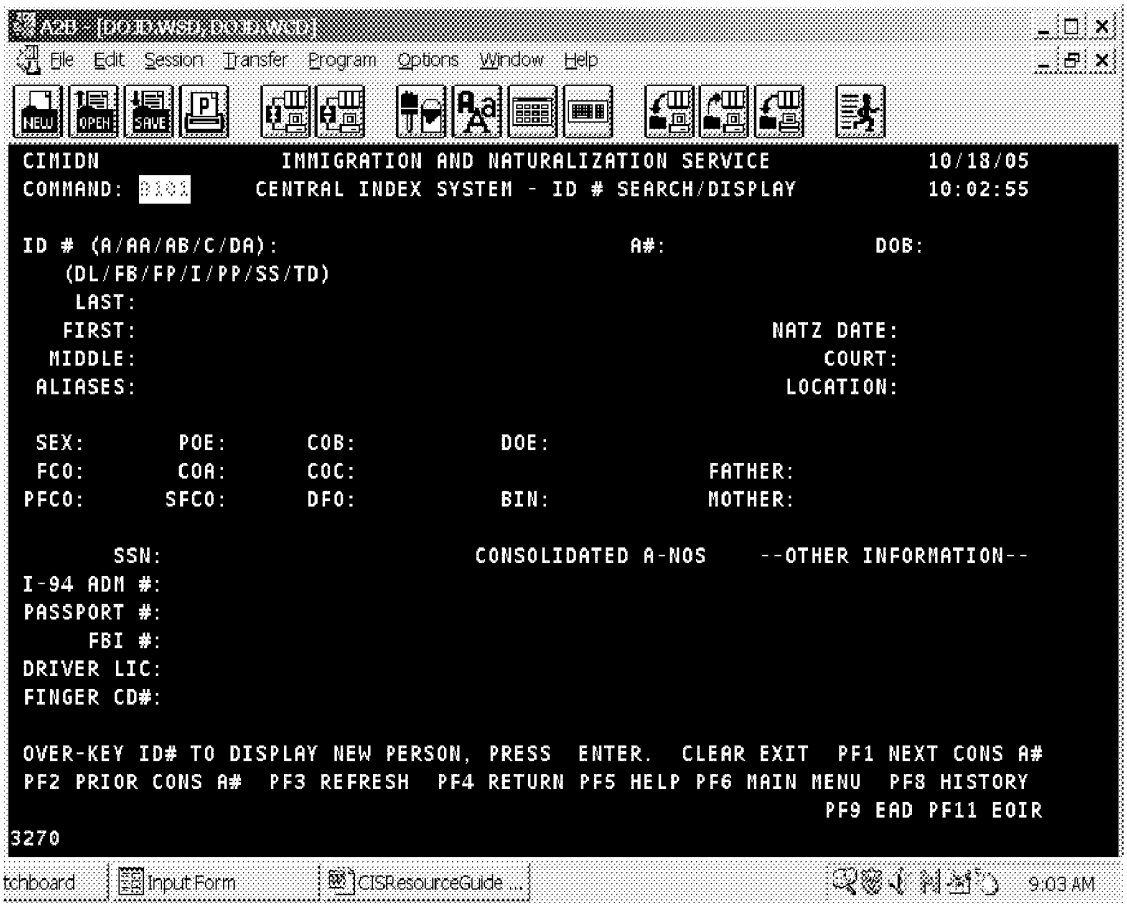
5.1.4.2 Search by A-number (9101)



In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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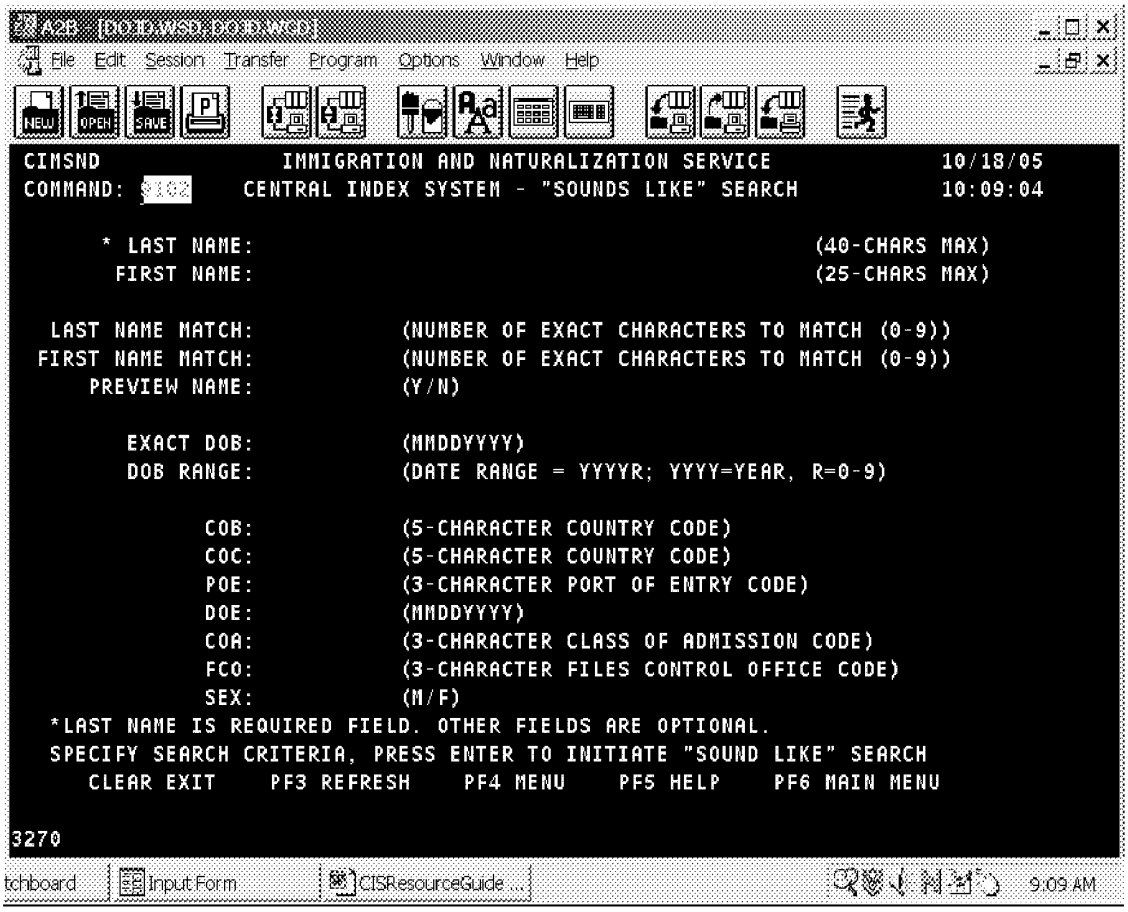

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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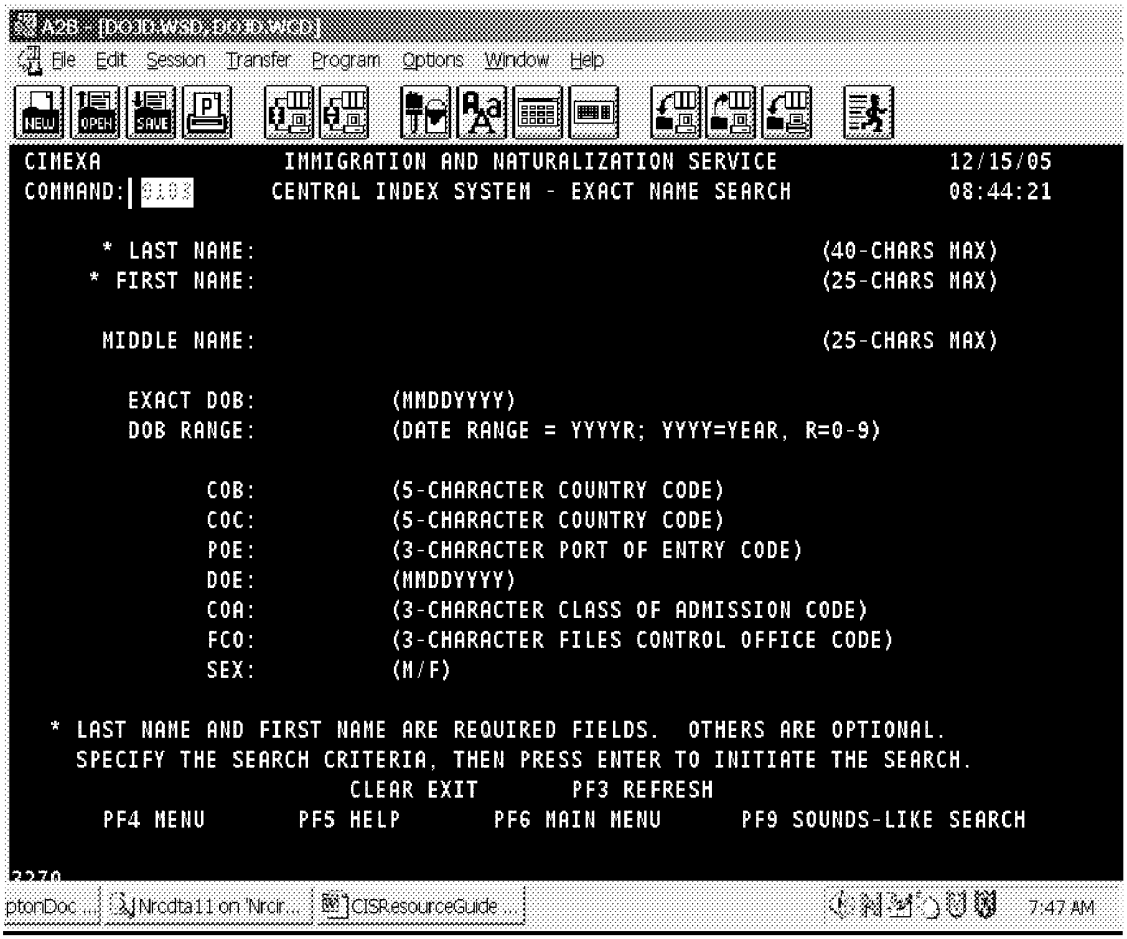
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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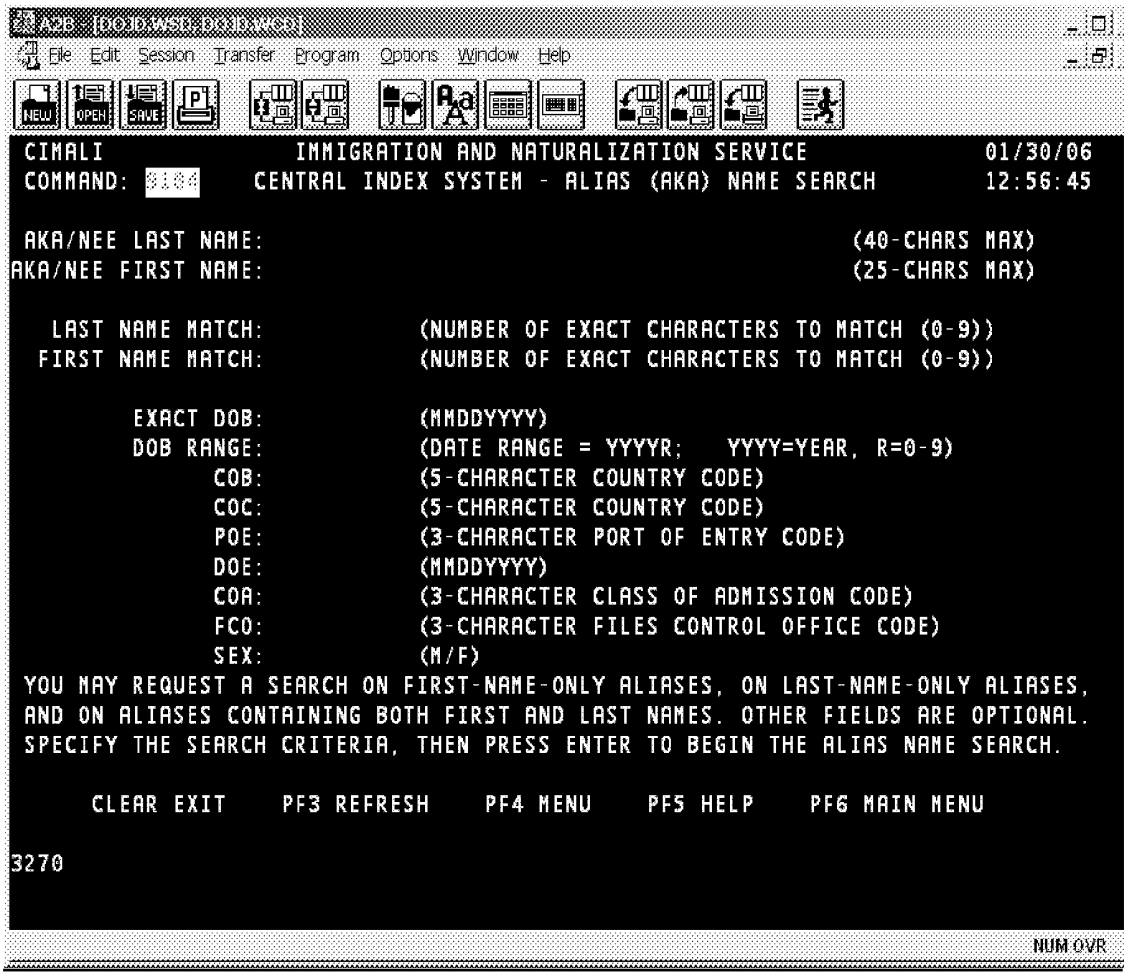
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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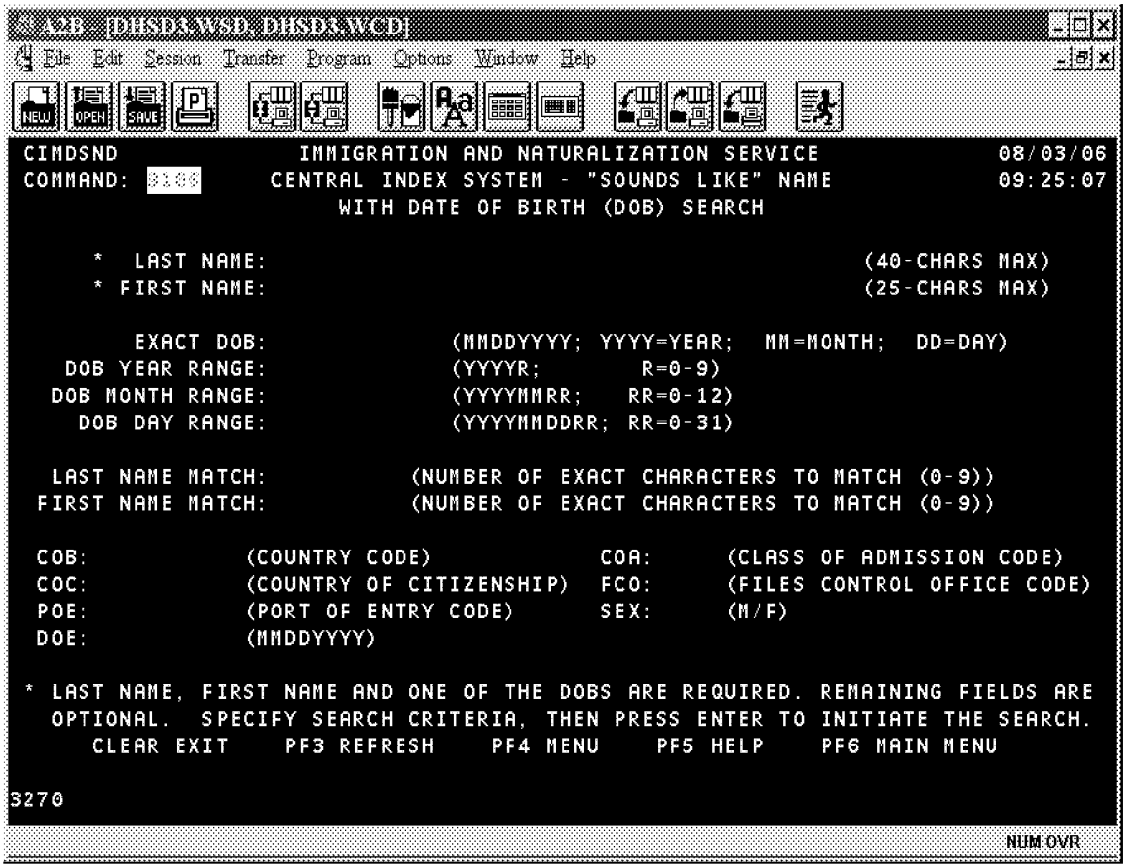
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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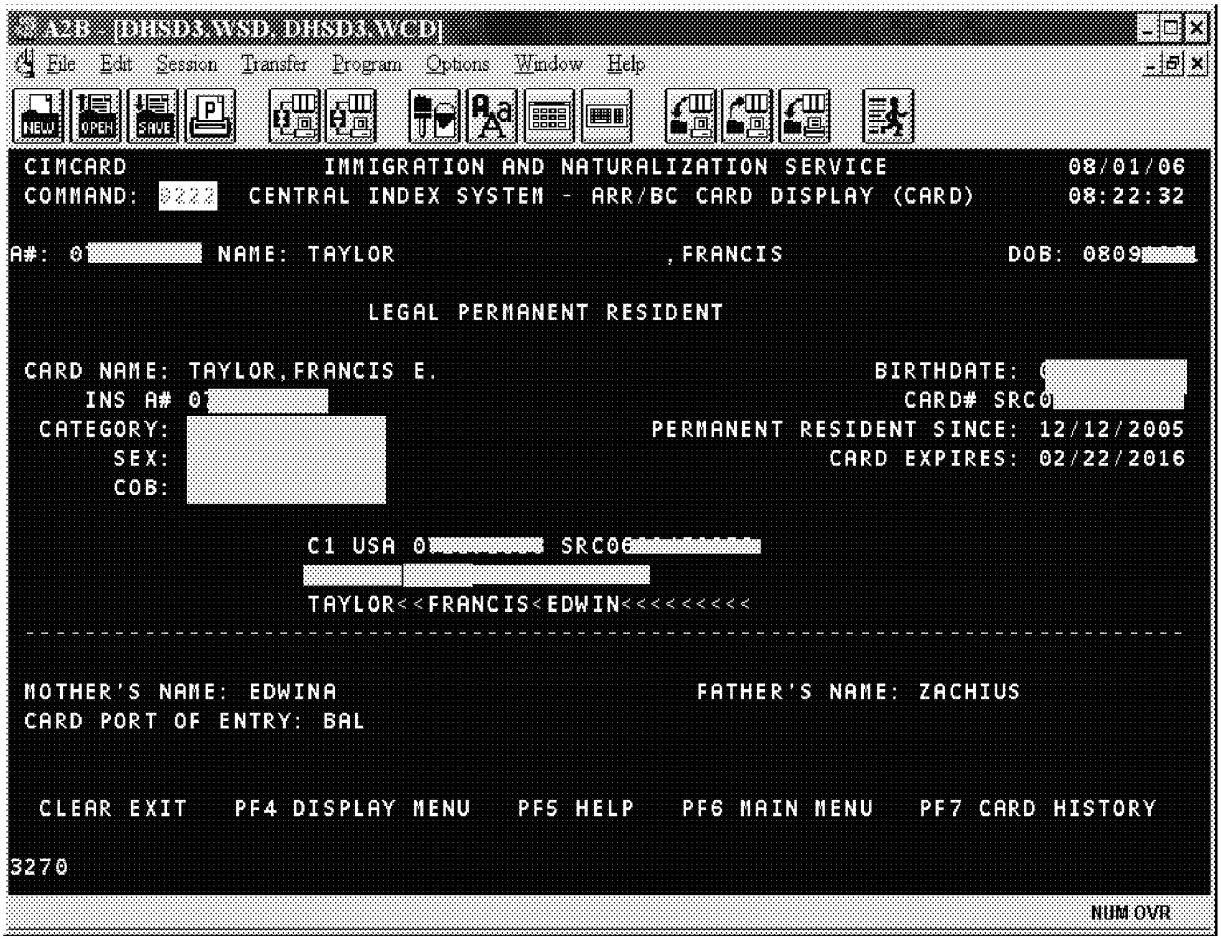
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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5.1.10 File Transfer Display (9504)

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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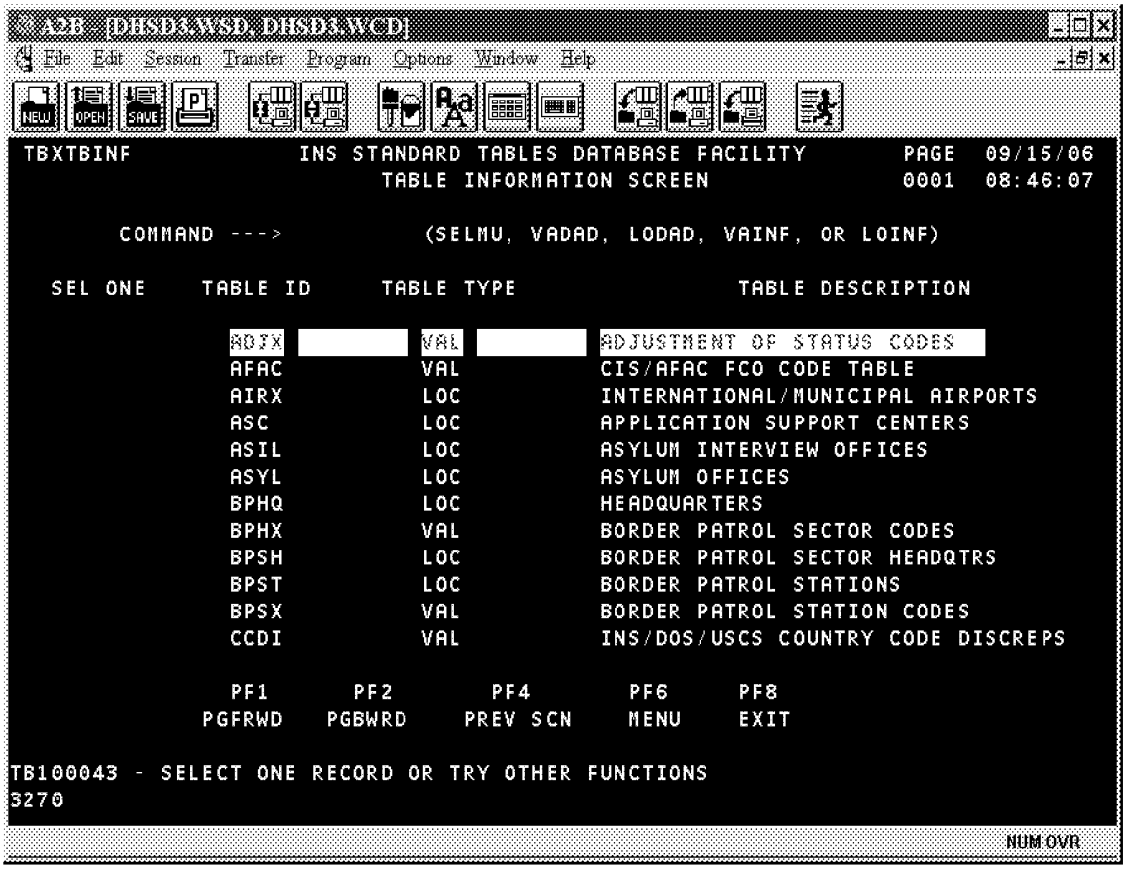
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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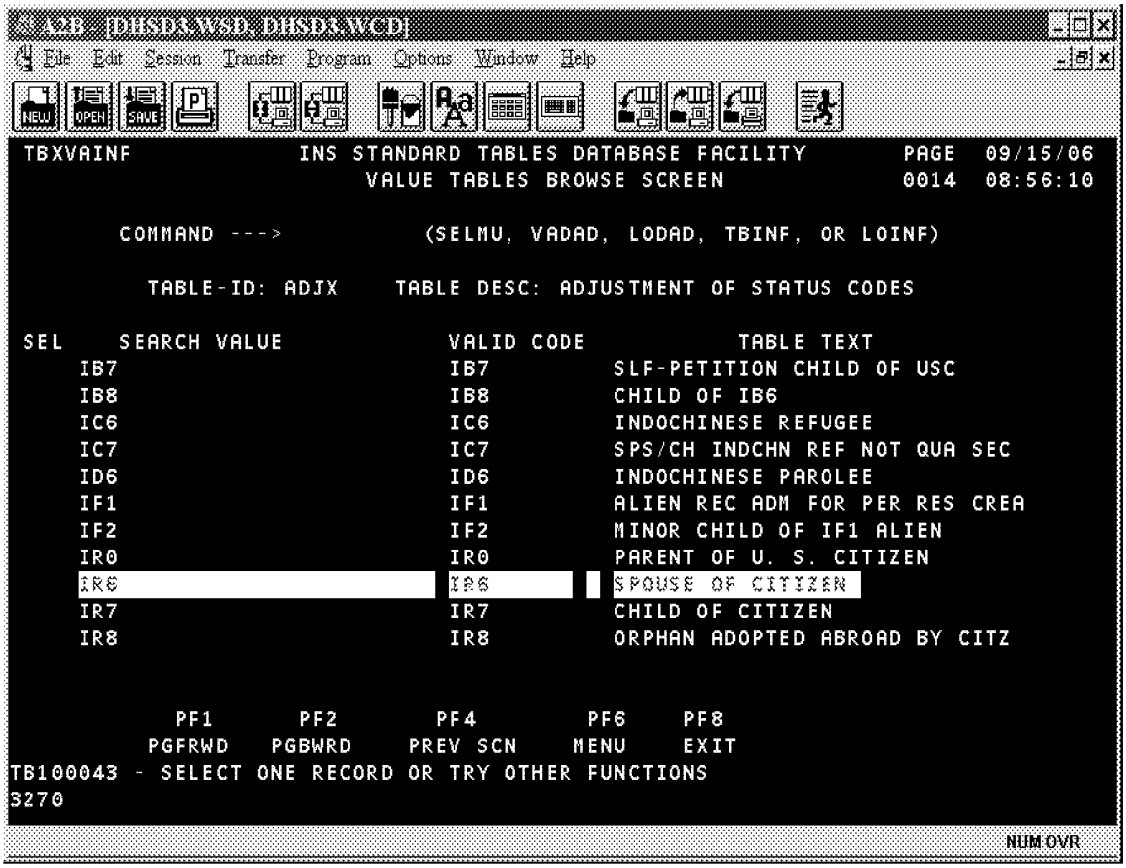
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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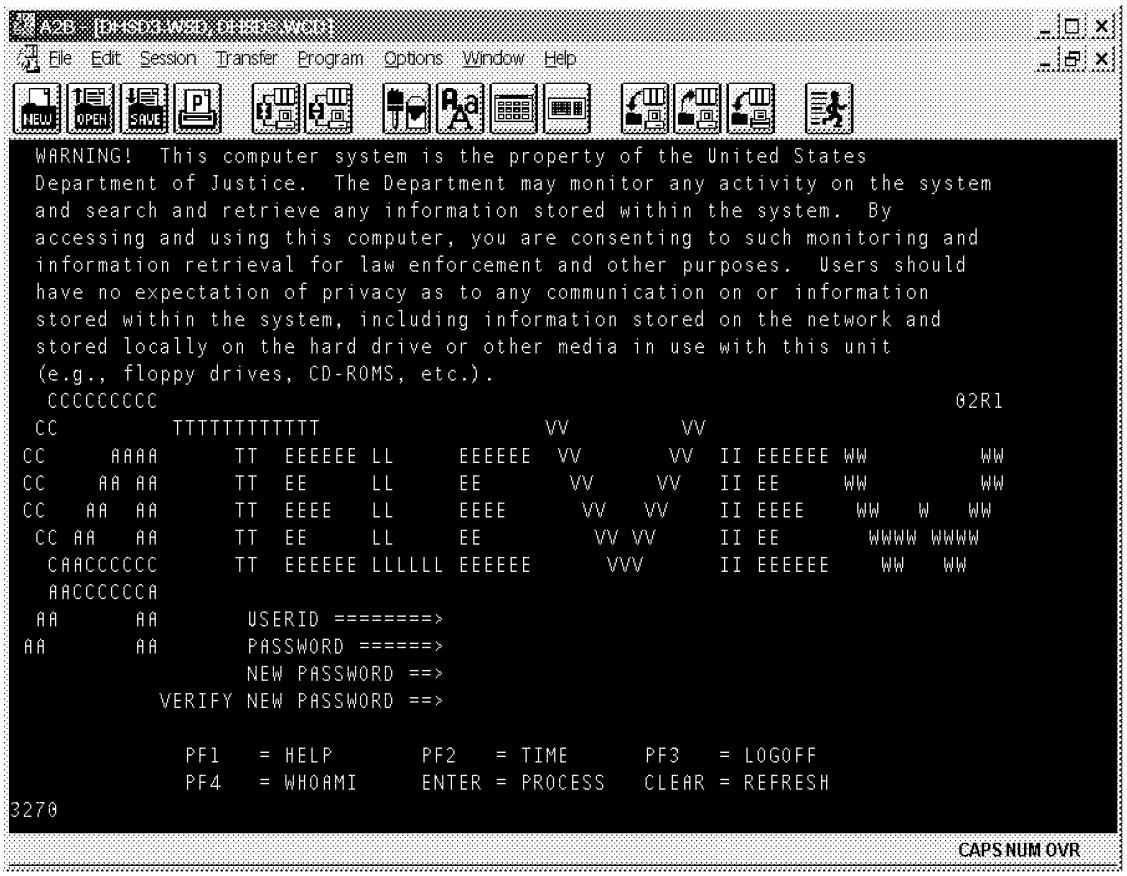
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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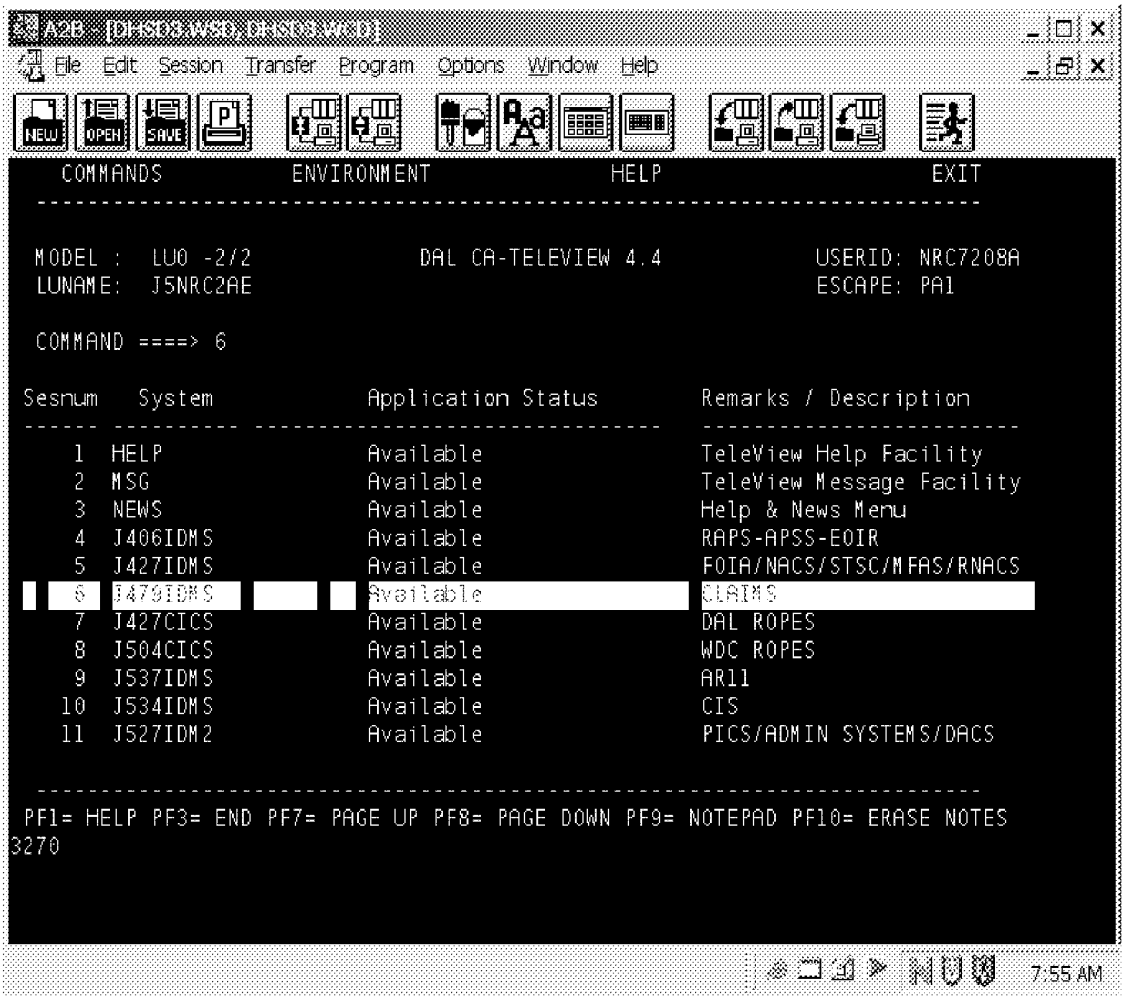
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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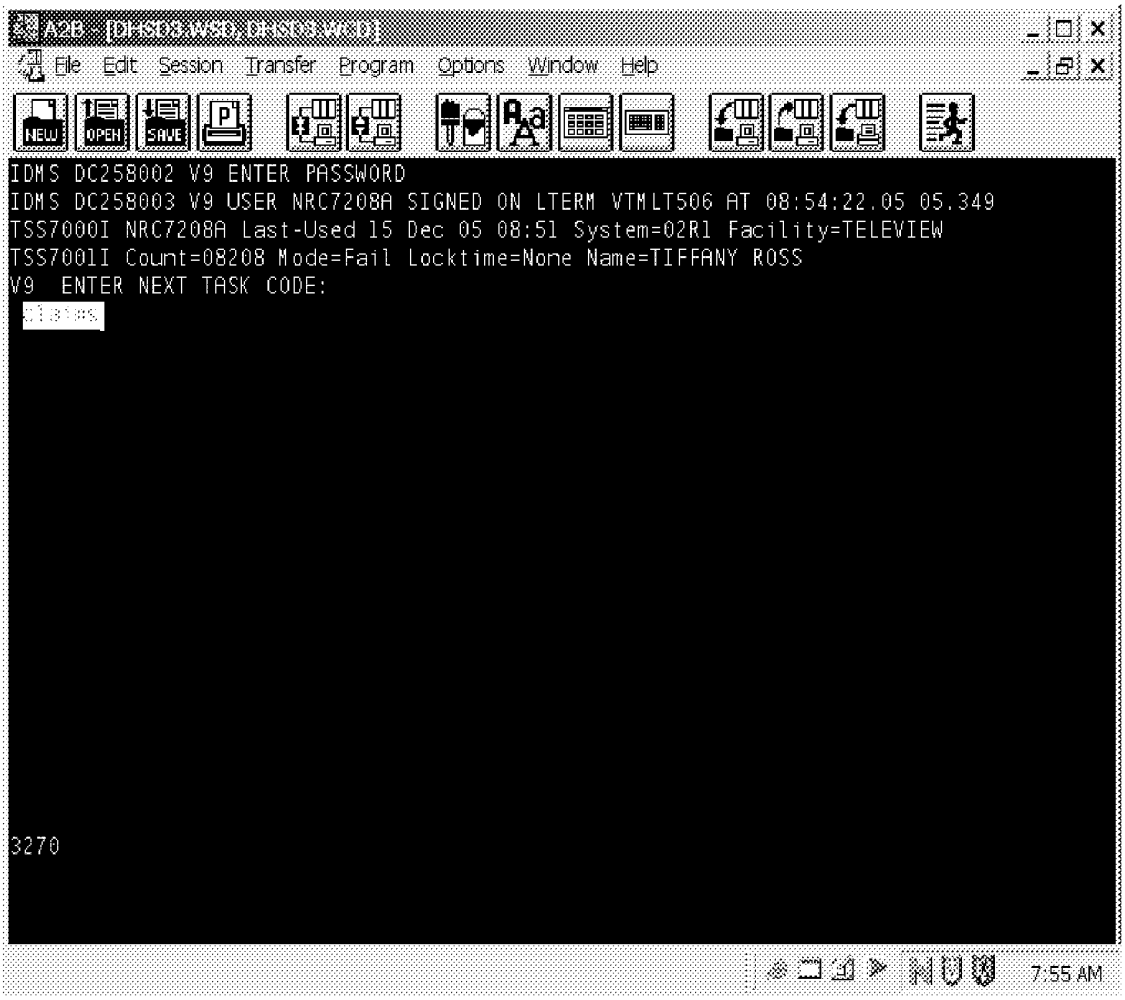
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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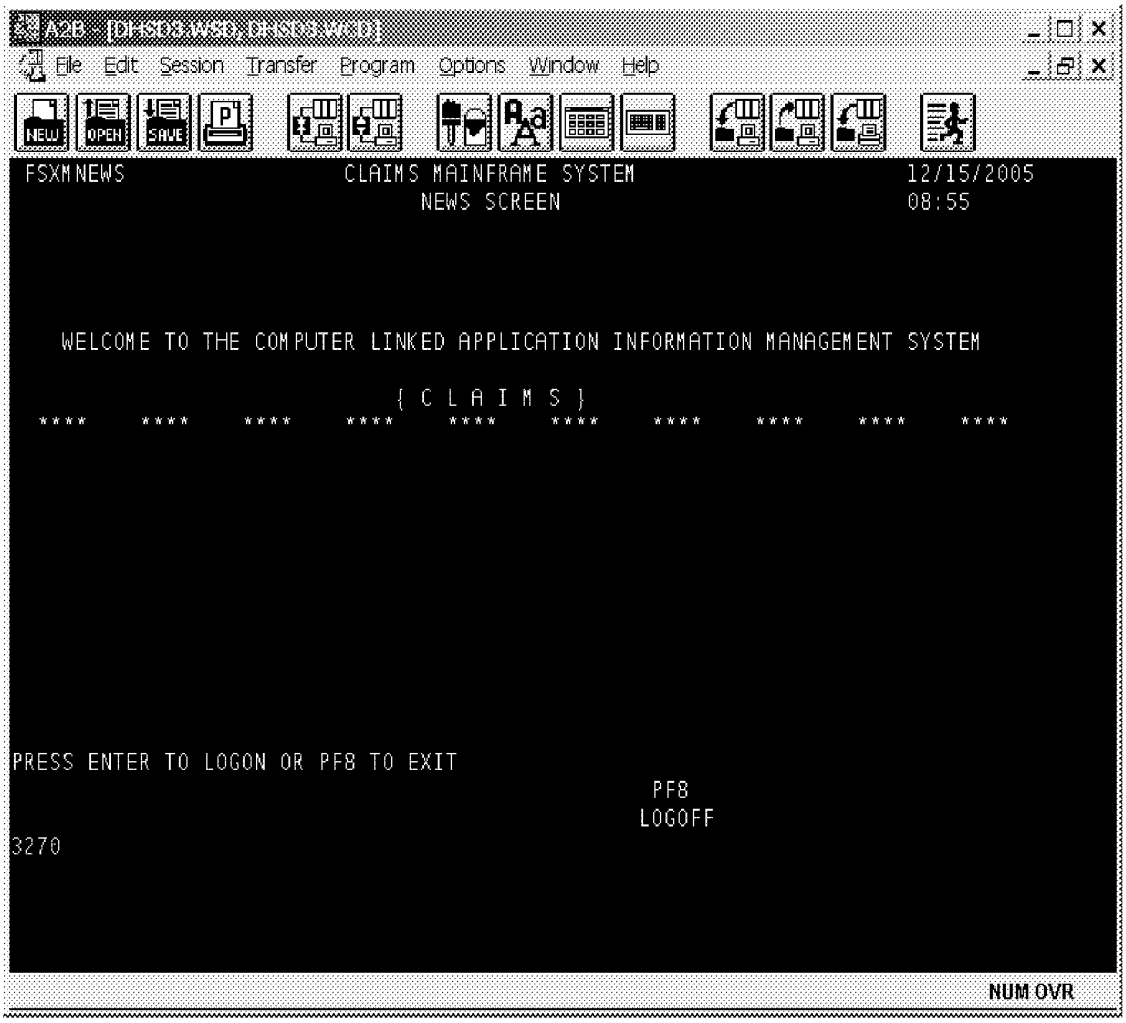
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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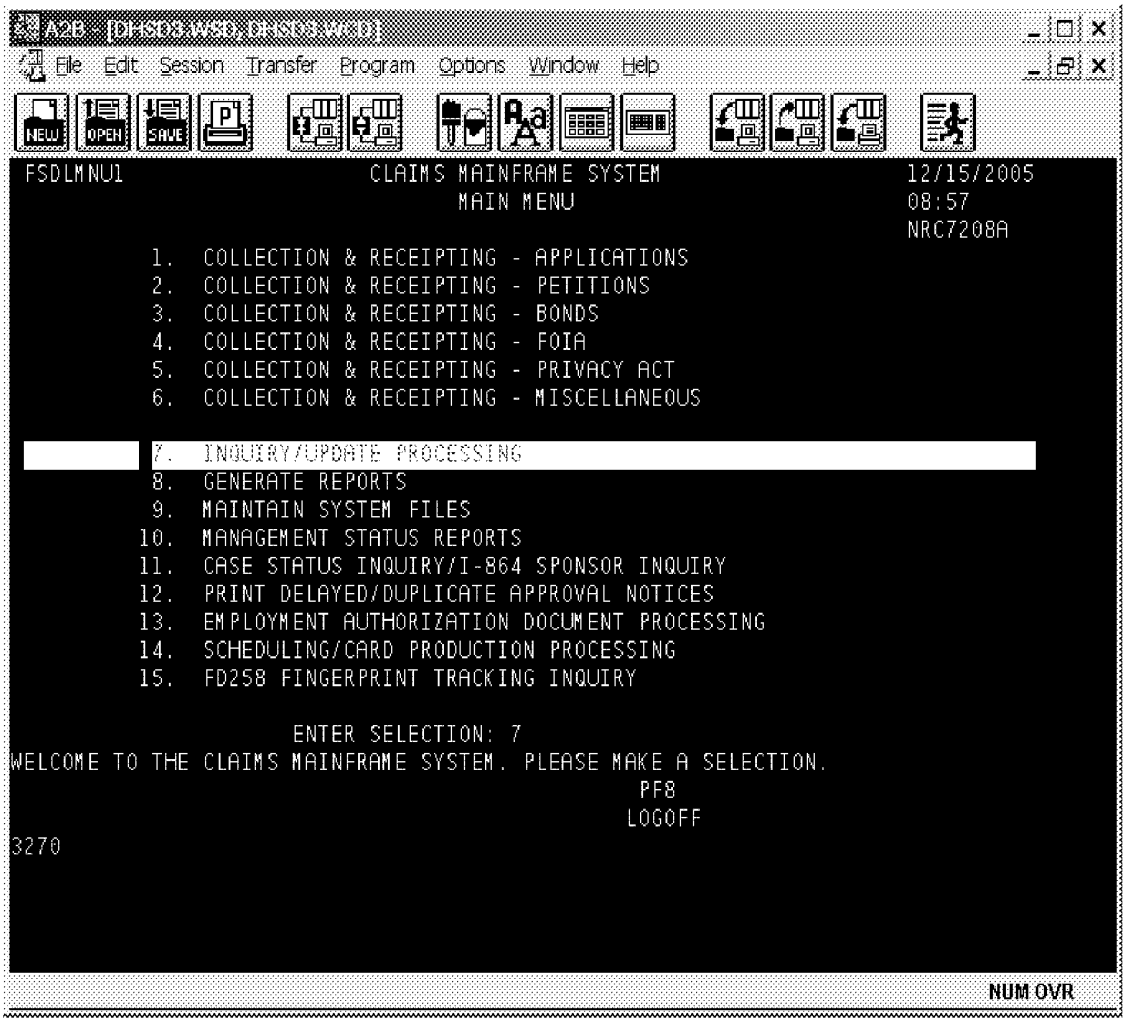
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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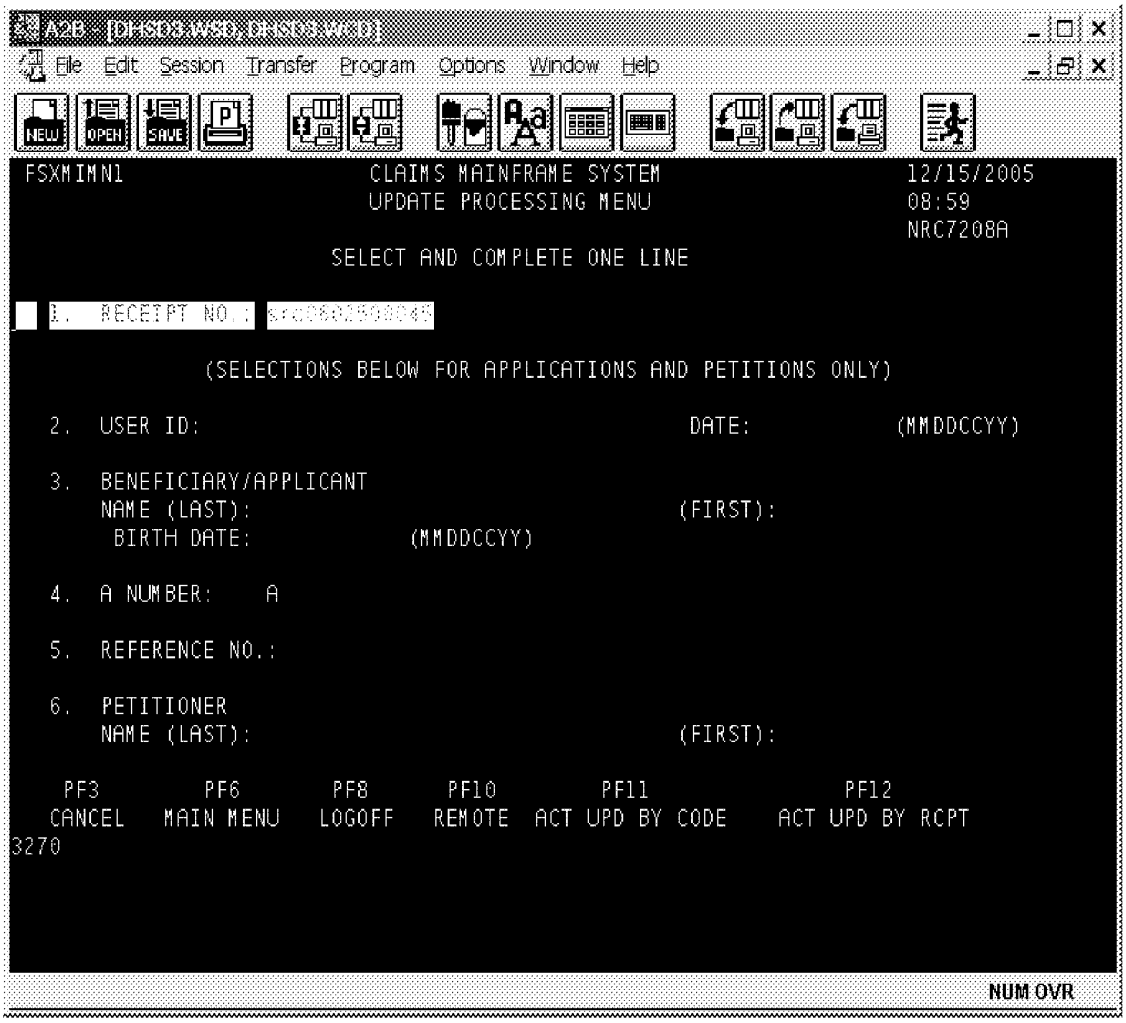
5.2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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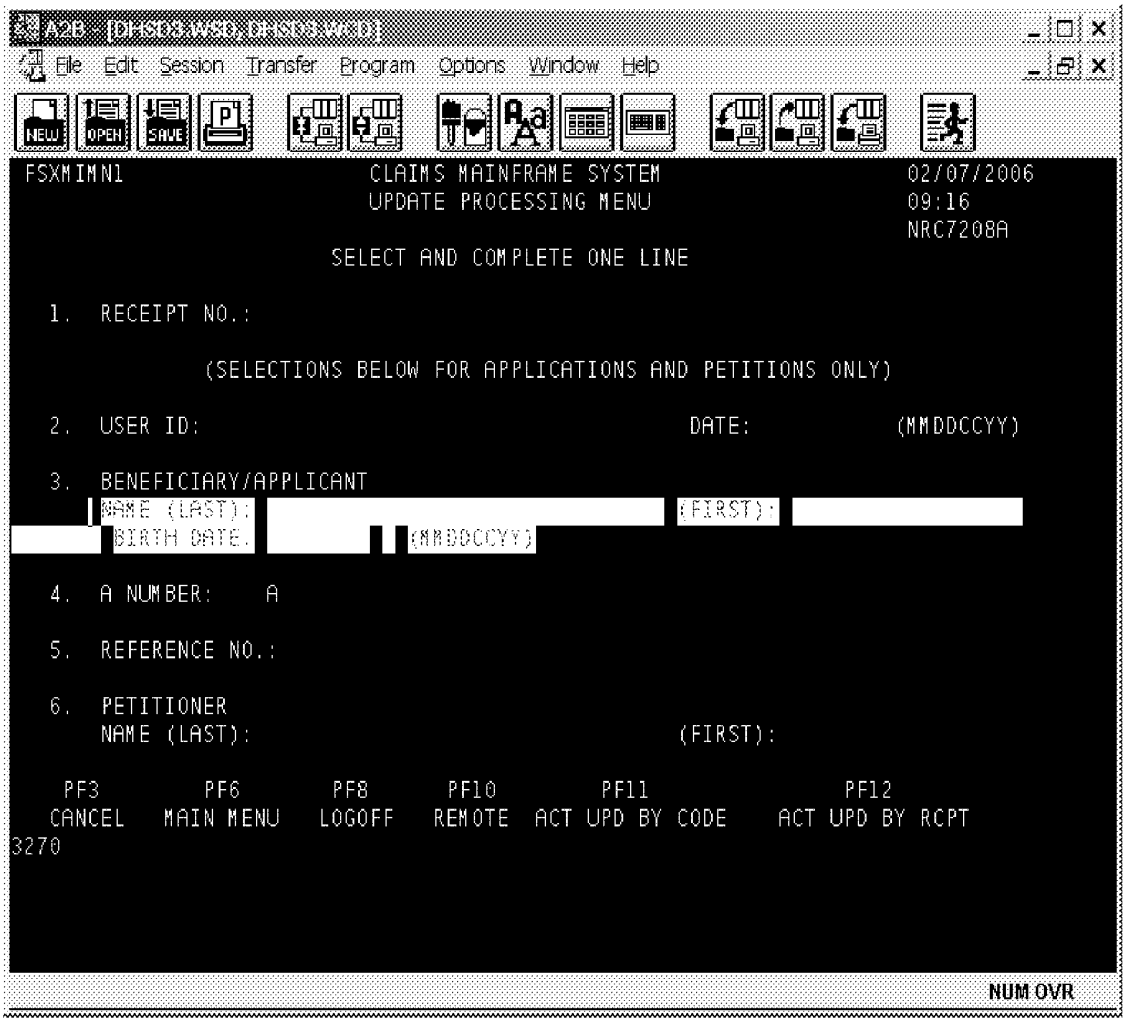
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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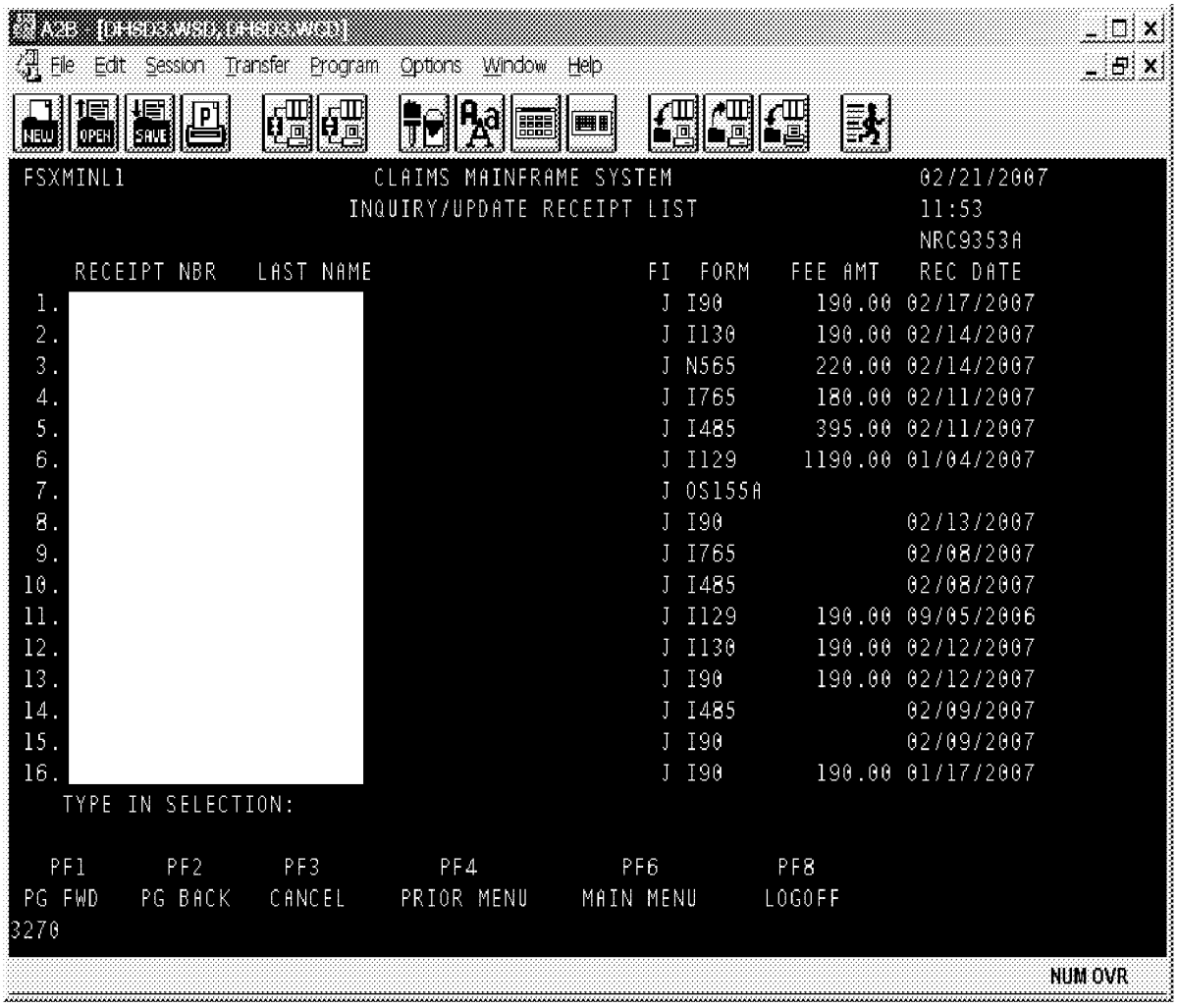
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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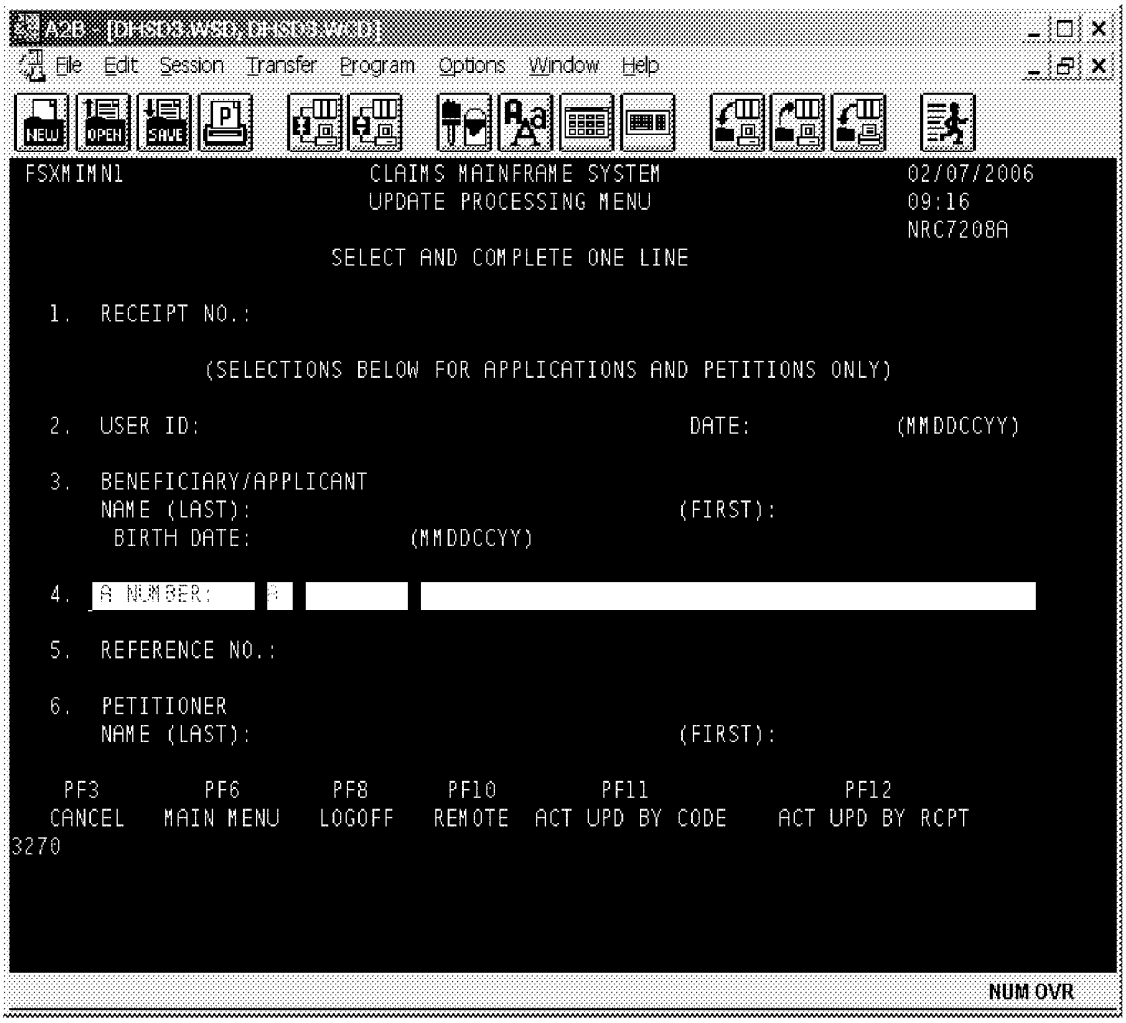
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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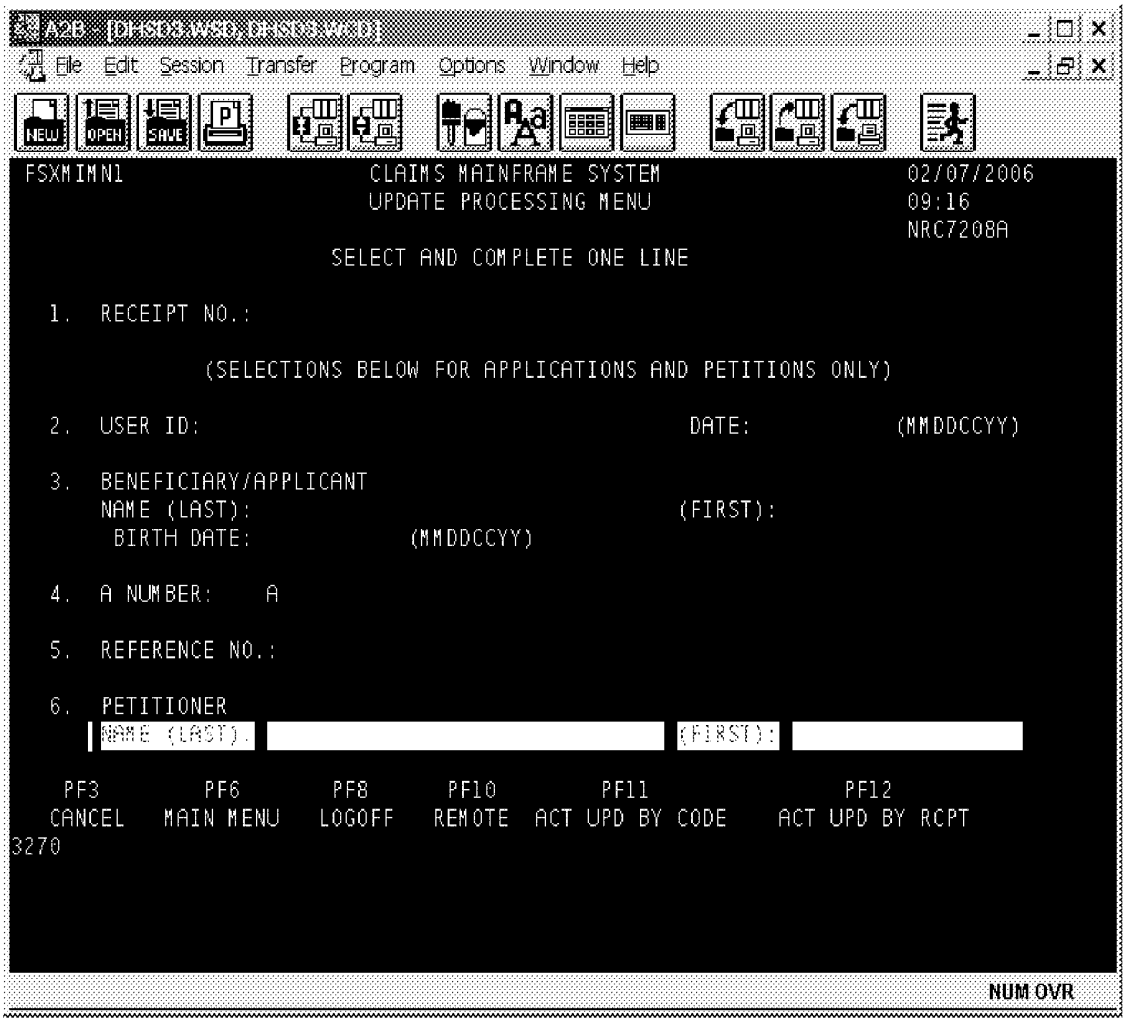
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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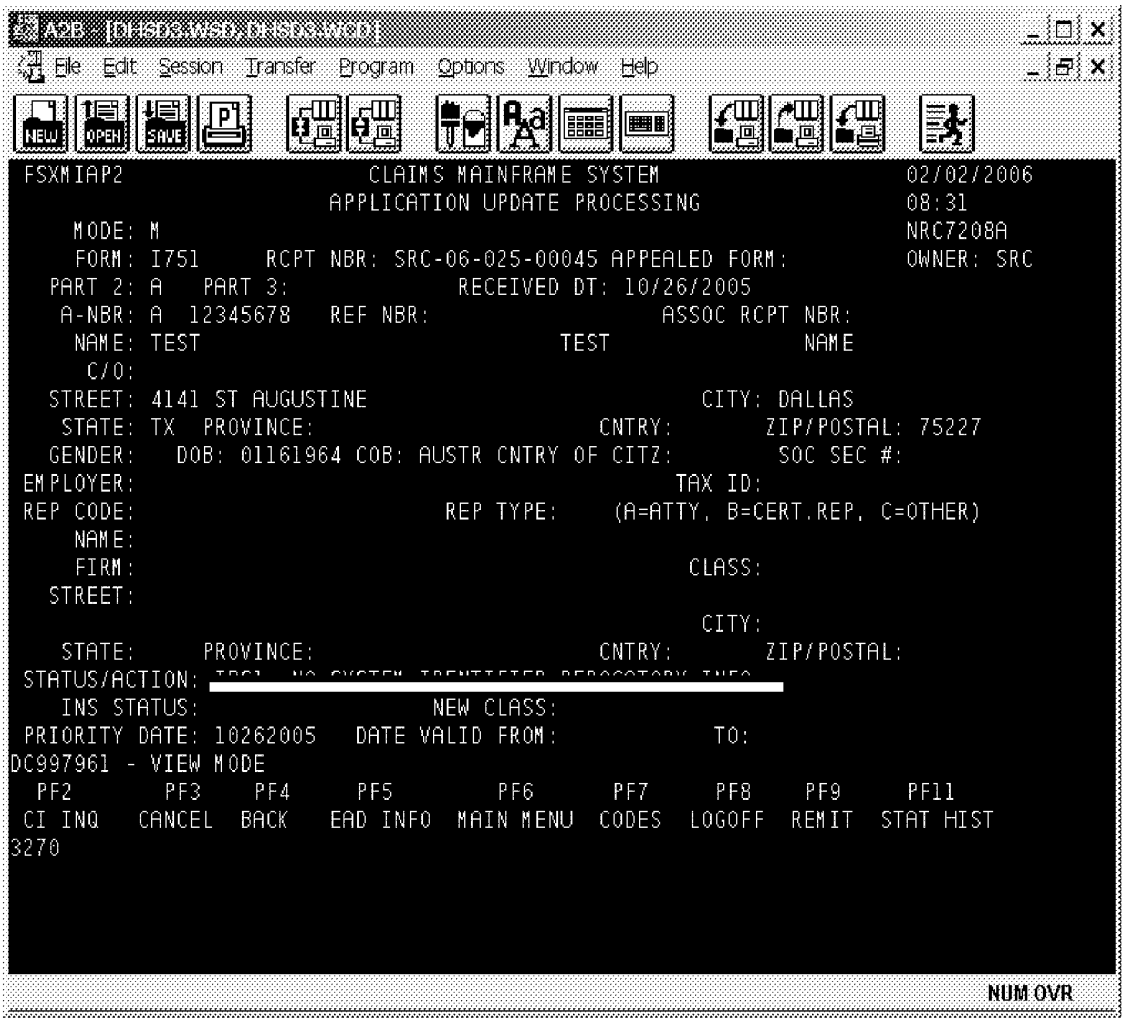
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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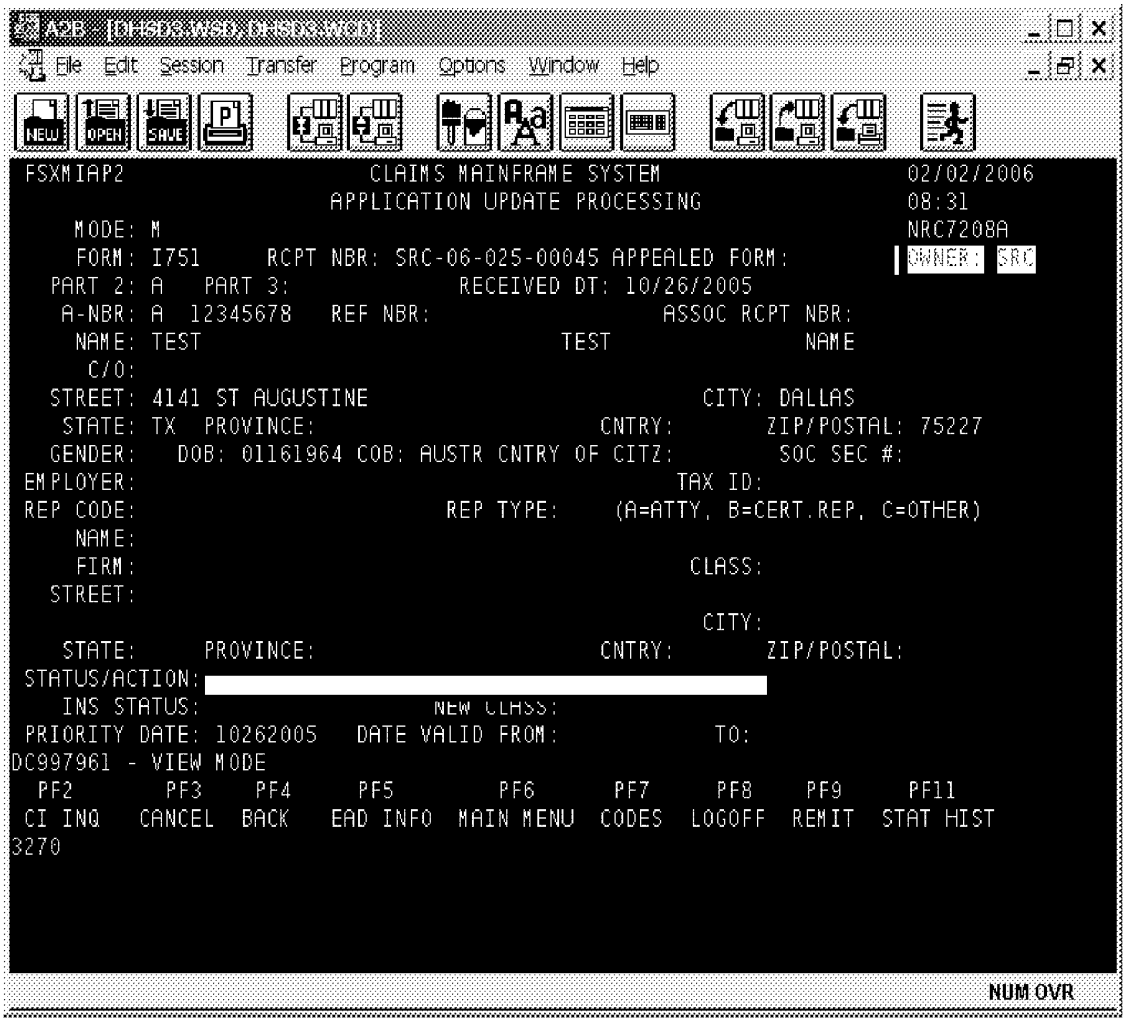

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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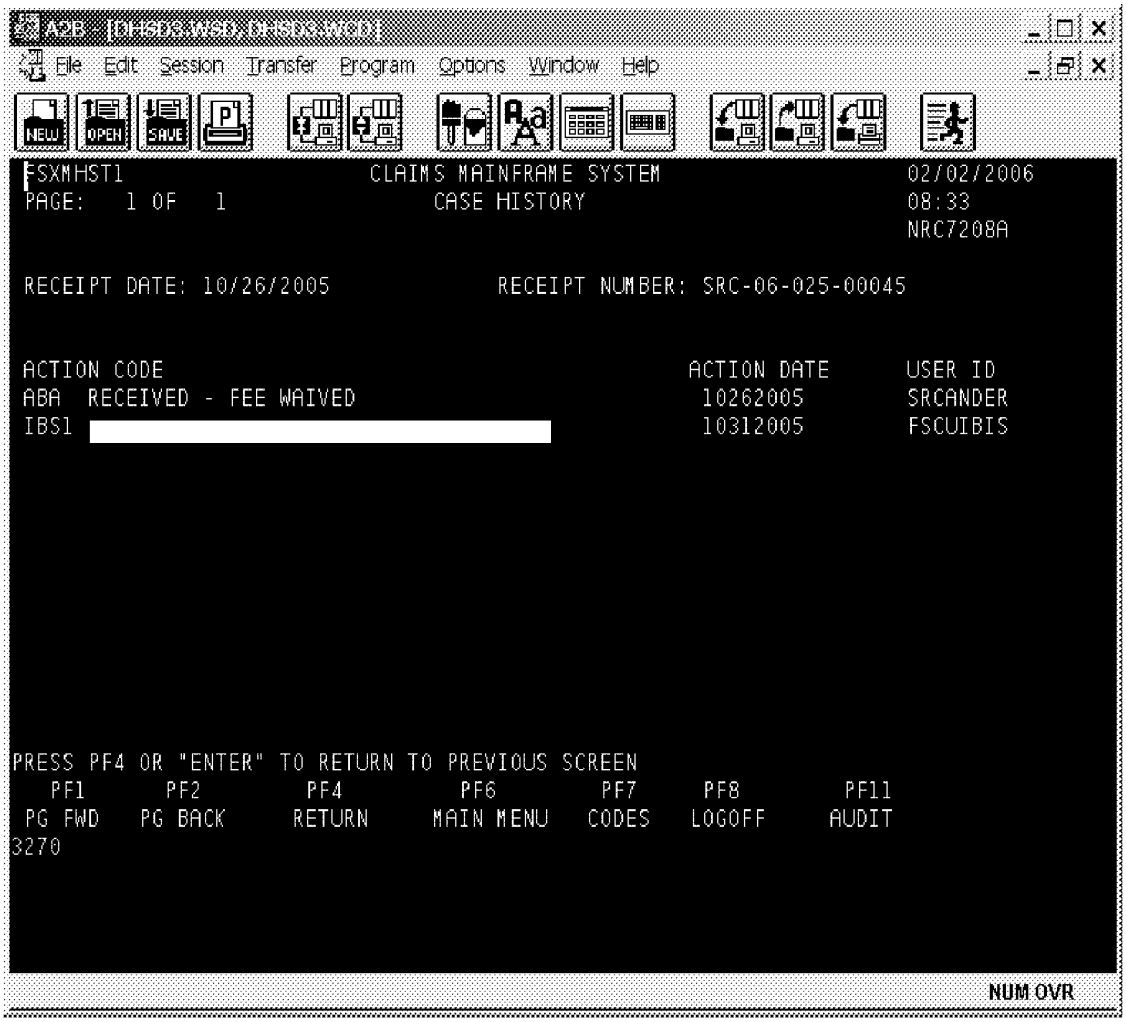
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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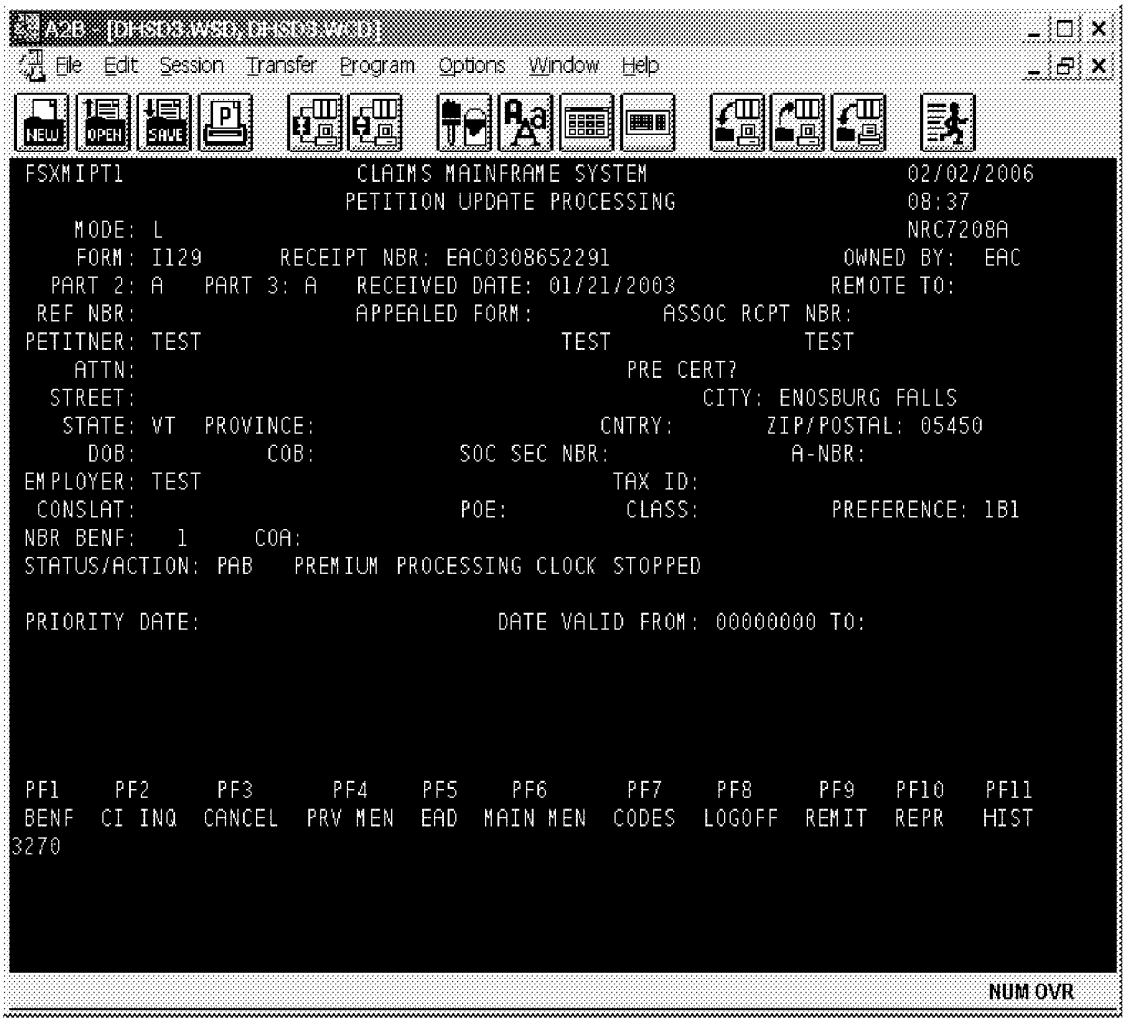
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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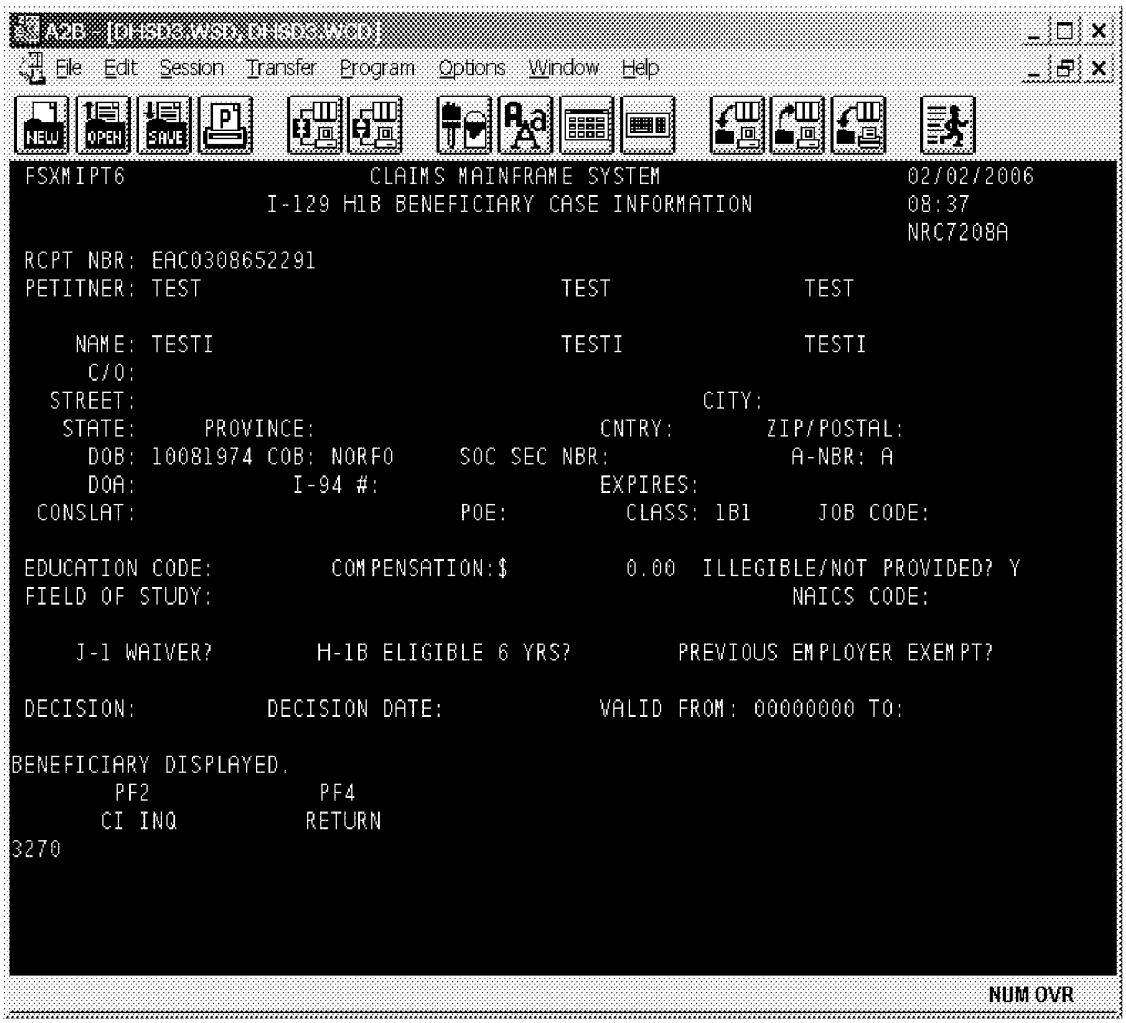
To see the beneficiary information press F1.



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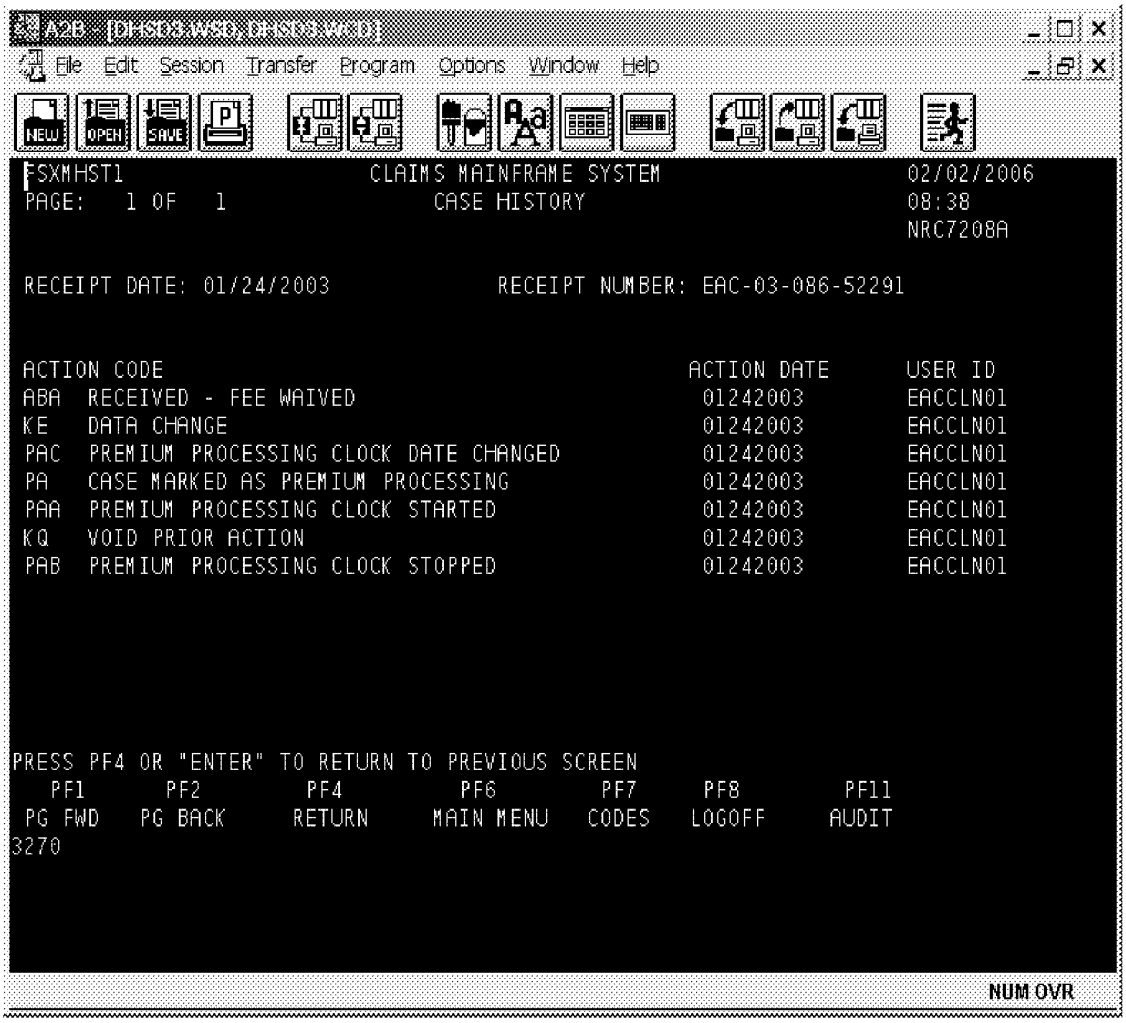
To view the history, press the F4 key to return to the previous screen, and enter F11.



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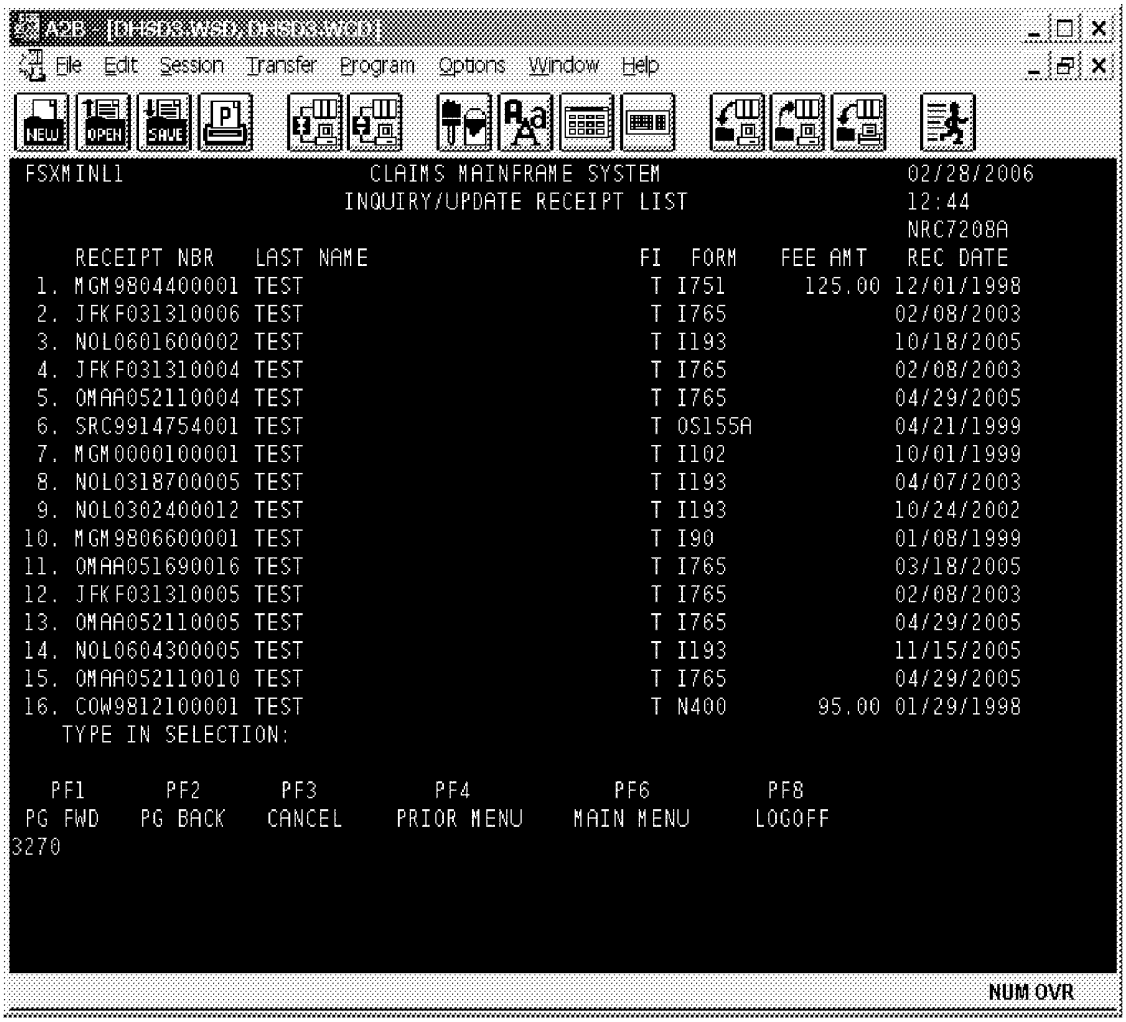

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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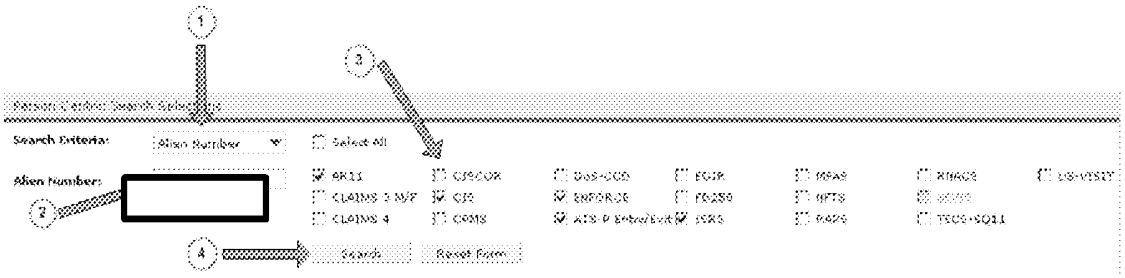
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)



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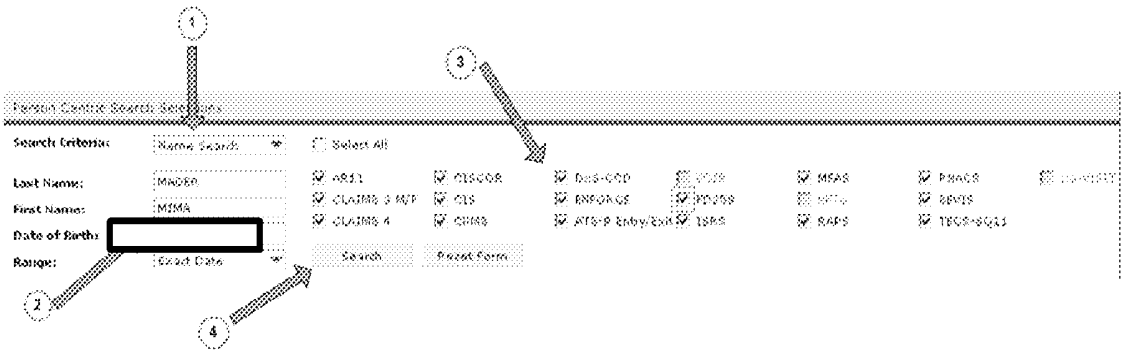

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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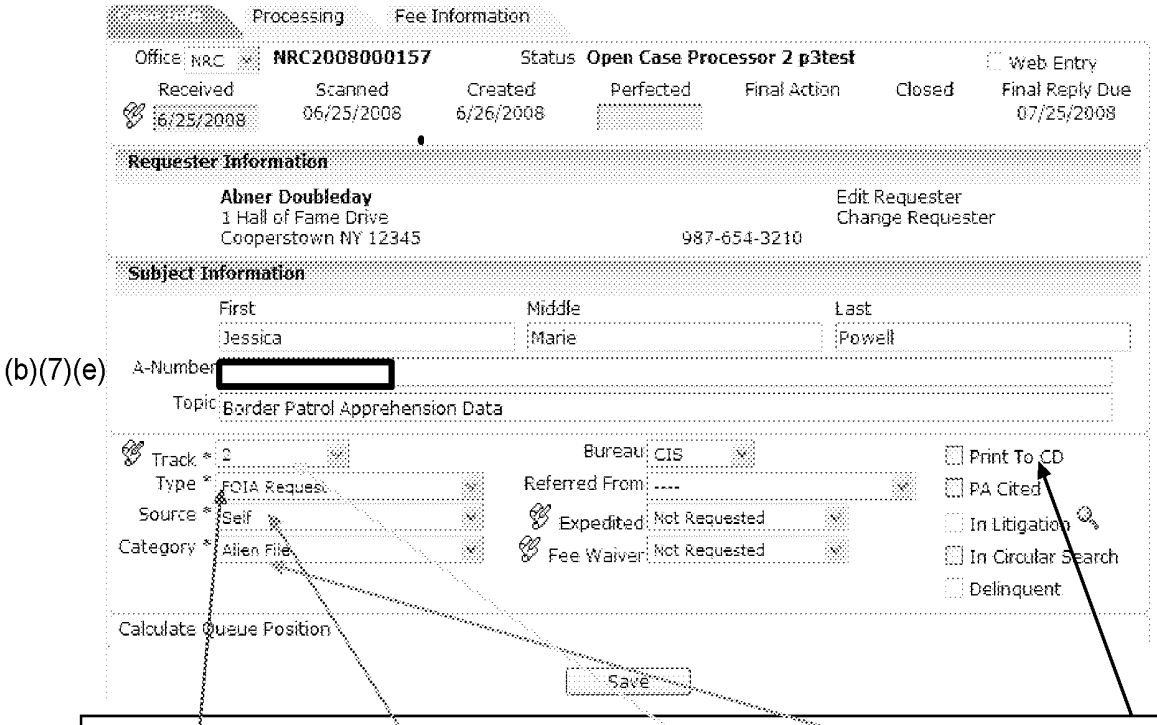

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
• Always FOIA	• Attorney • Commercial • Education/Scientific • Foreign Government • News Media • Others • Representative • Self • White House/Congressional		• Alien File • Asylum • Specific Documents • Non A-File Material • Personnel • Special Interest Group • SFR cases at NRC	

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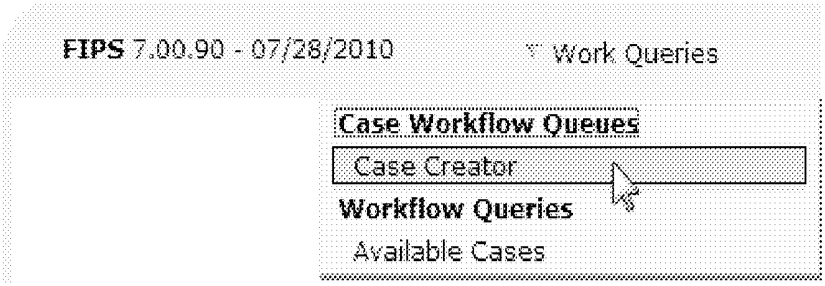
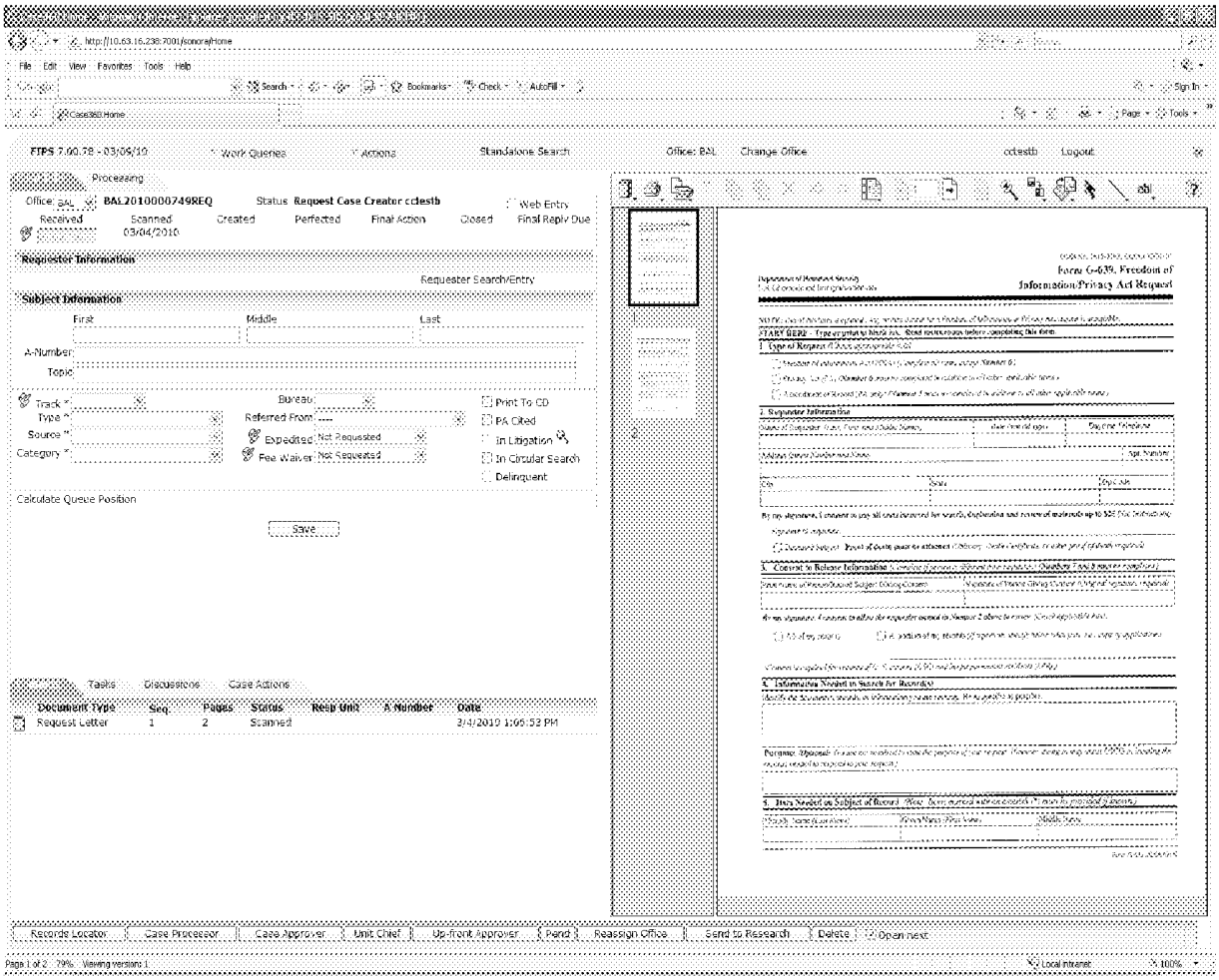
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28.

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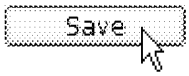
Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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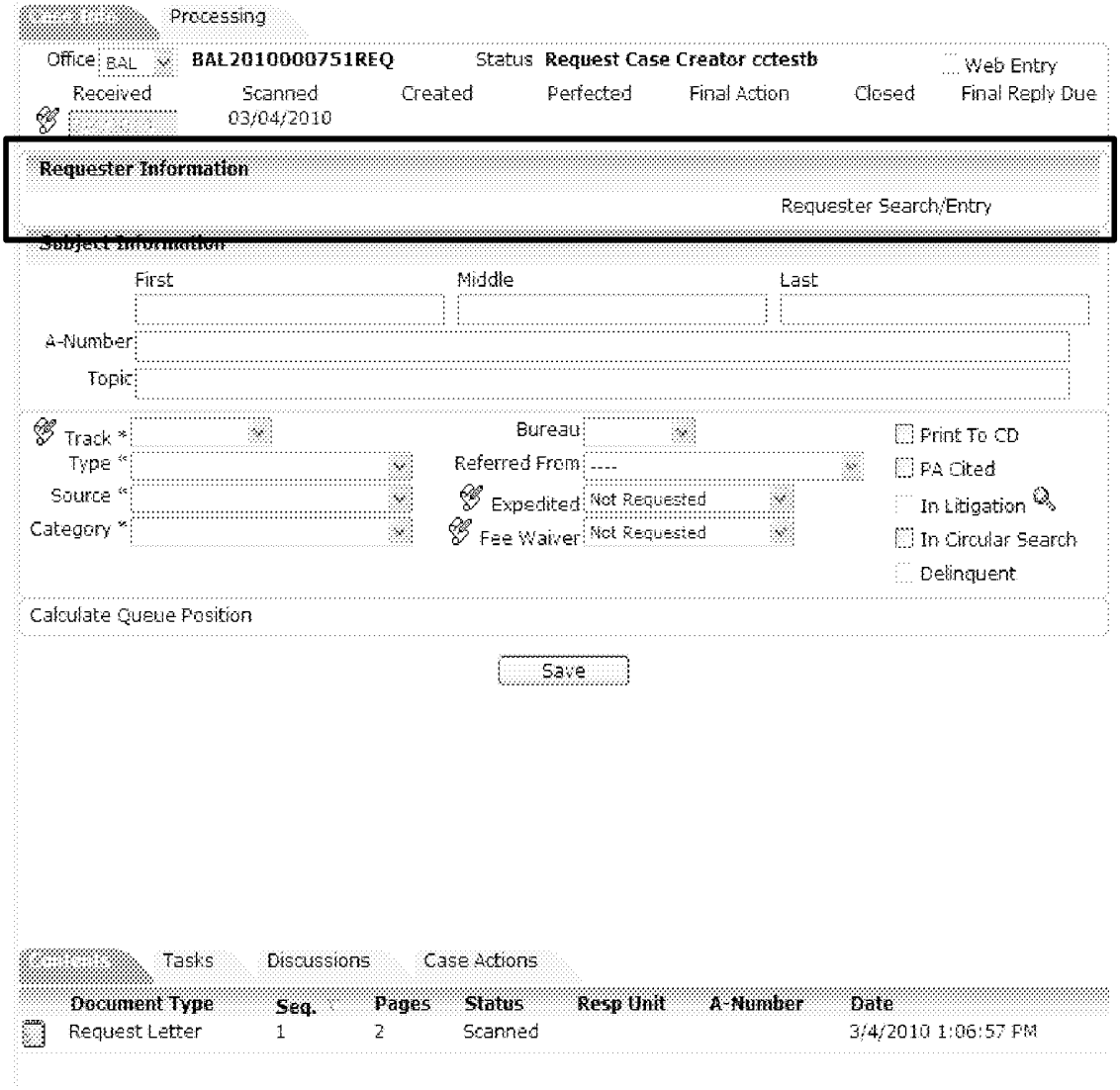
6.1 REQUESTER INFORMATION



6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes ('). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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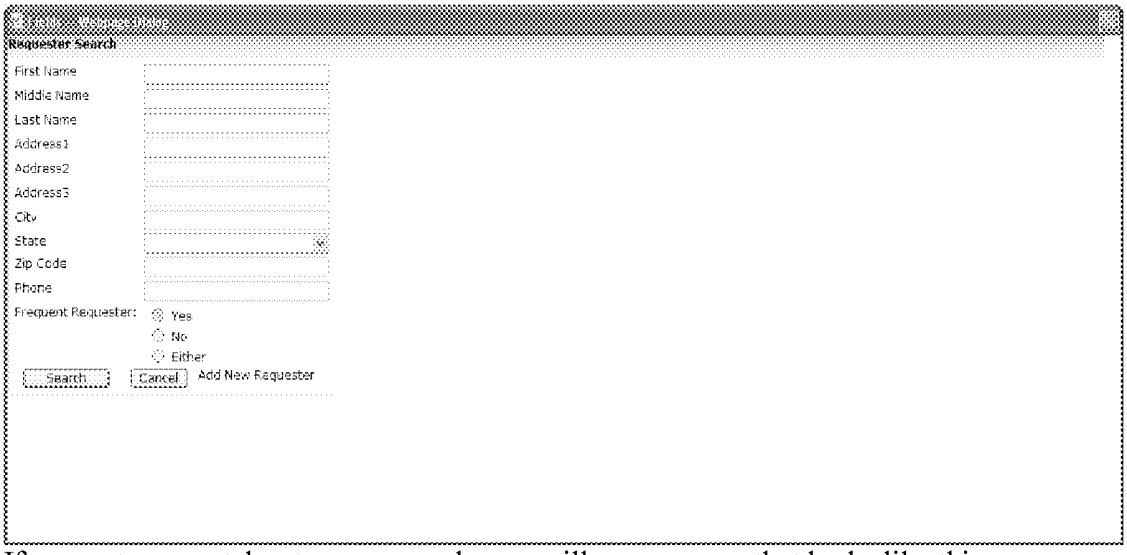
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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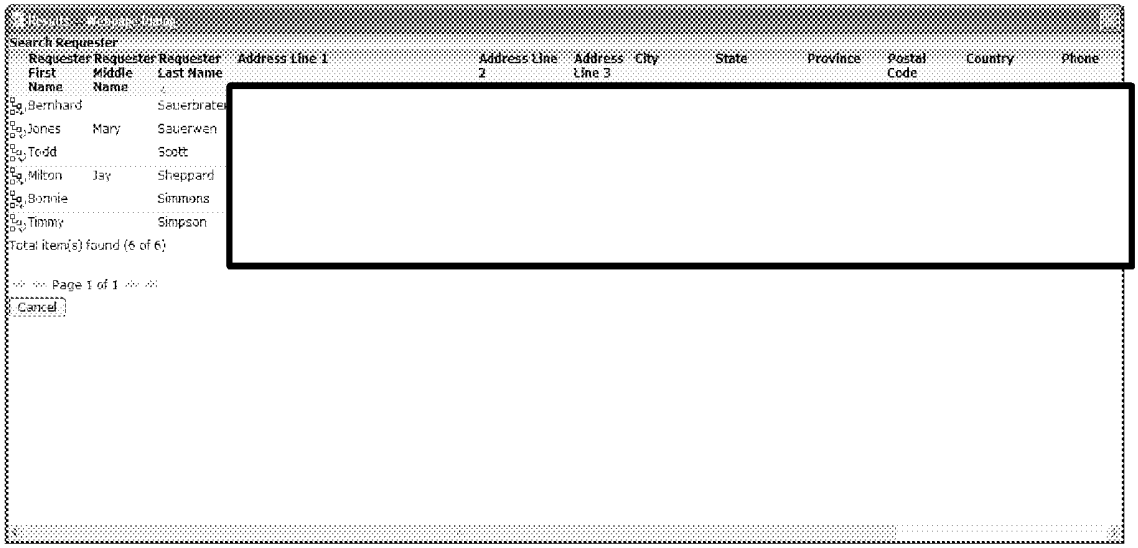
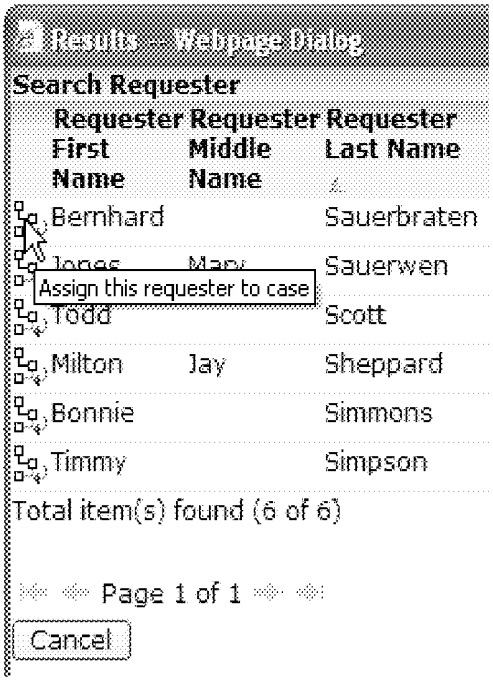


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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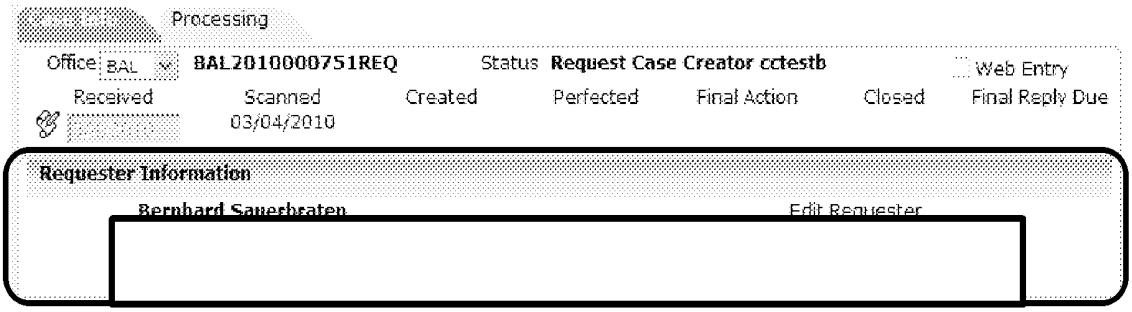

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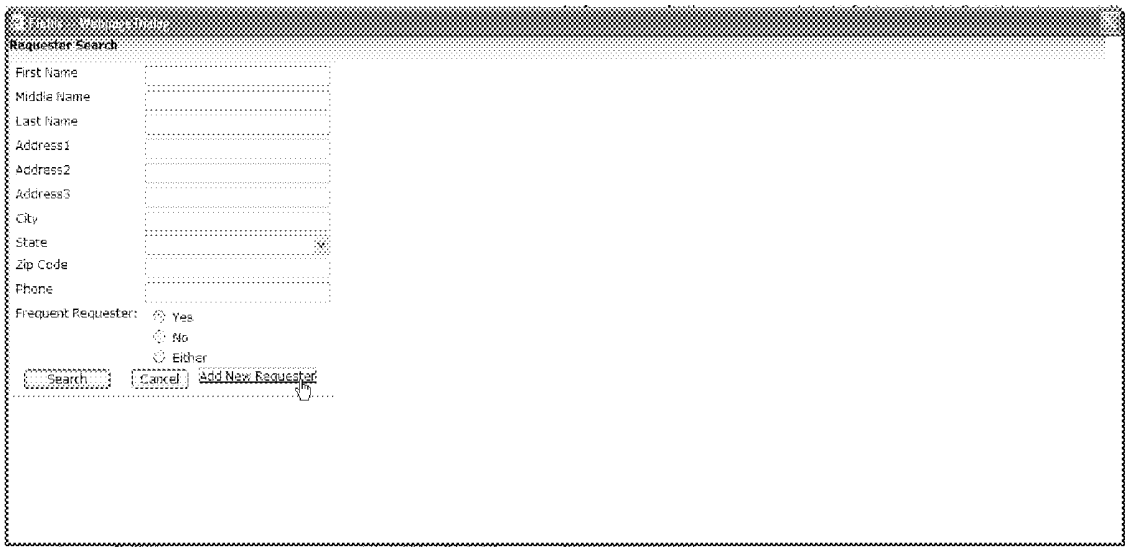
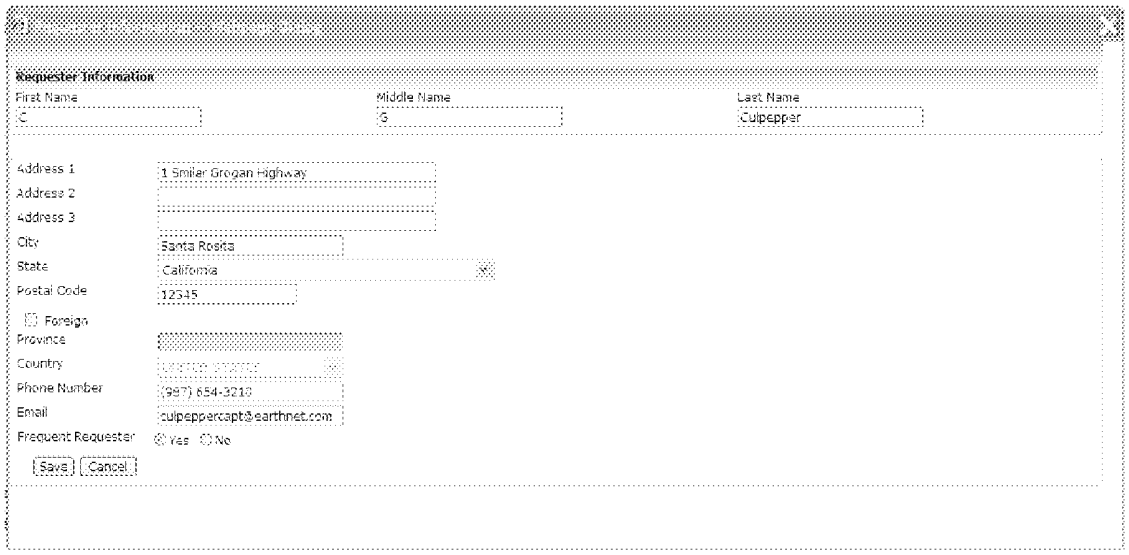
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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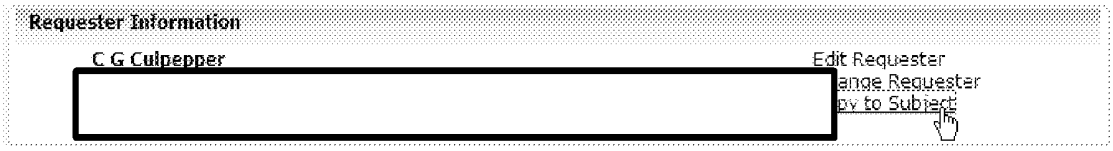

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

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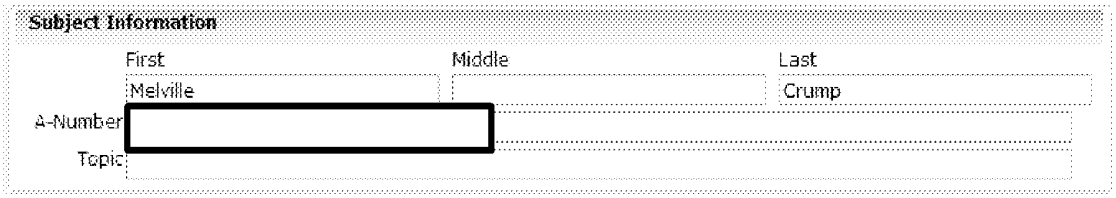

6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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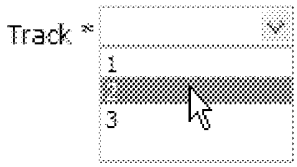
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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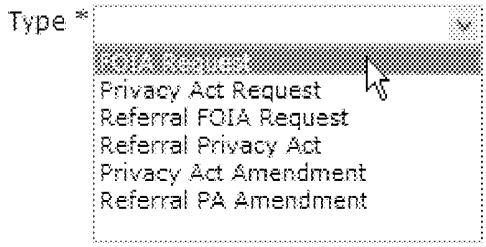
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

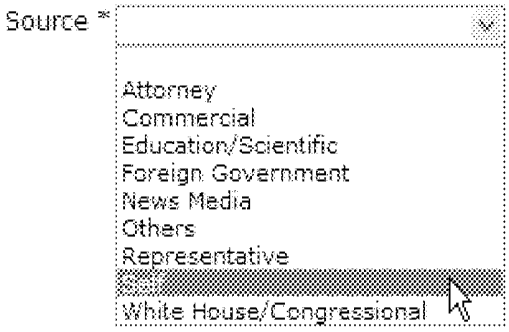
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial

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- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently [redacted] with the control number.

(b)(6)

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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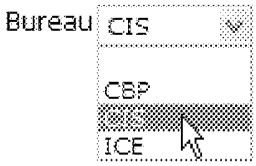
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



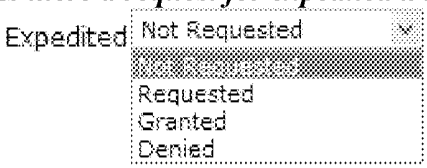
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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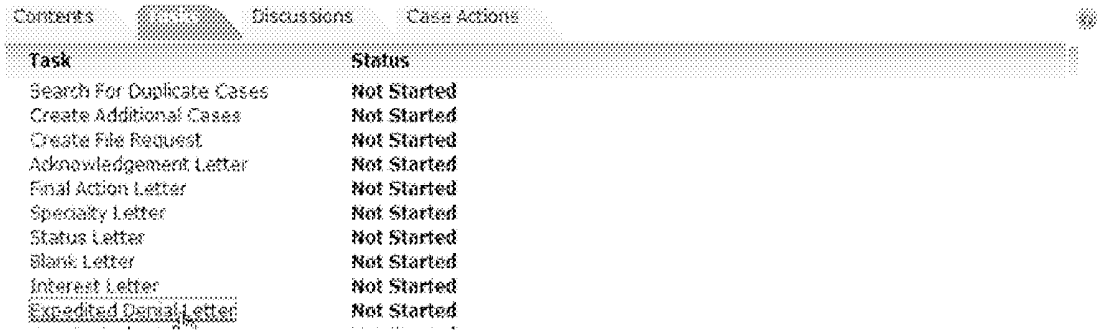
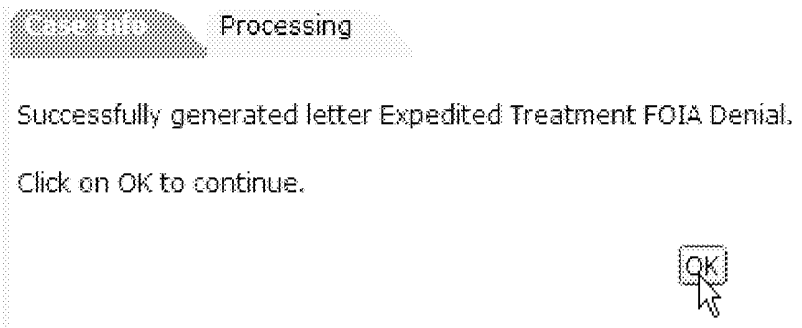
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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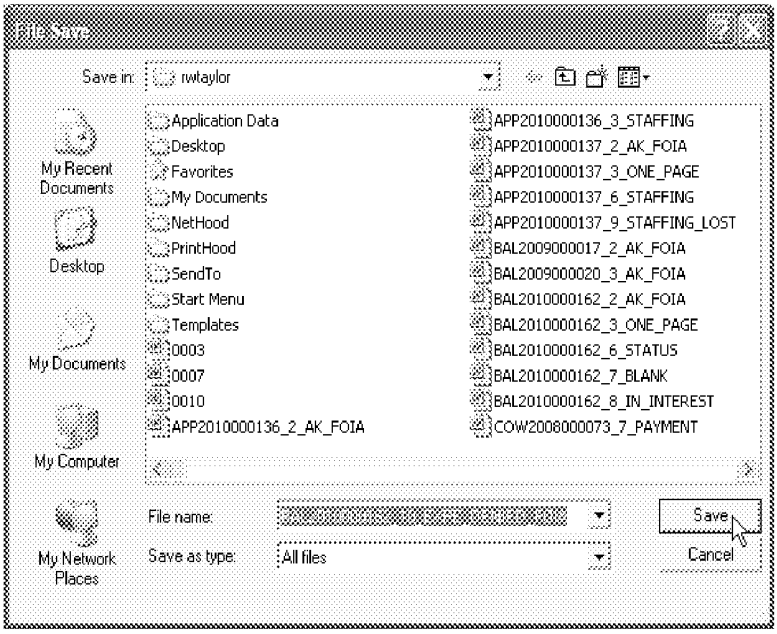

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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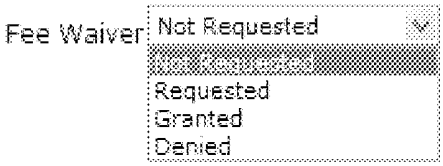
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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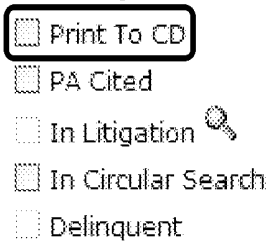
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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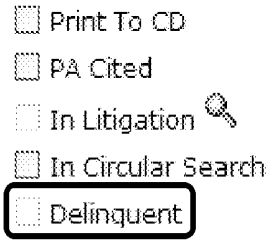
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

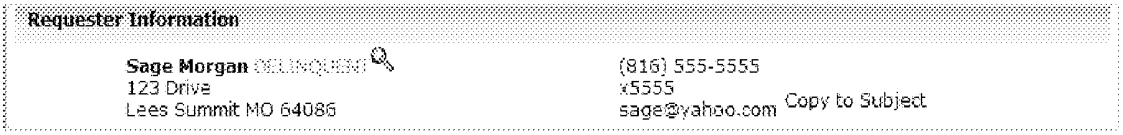
6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

6.3.9 Is this a delinquent requester?

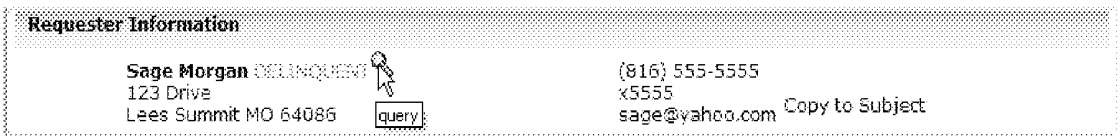


The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



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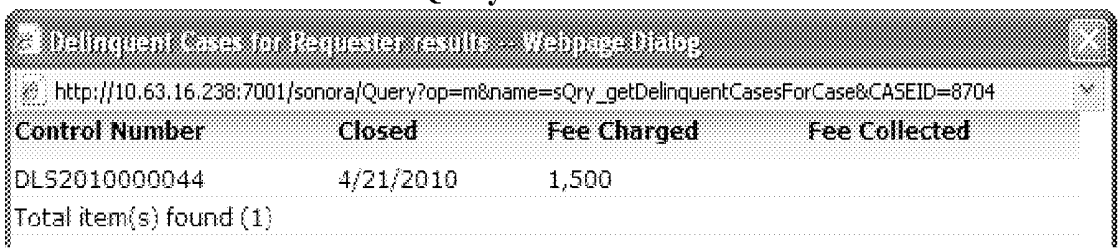
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

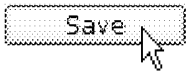
NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.

Before you move to another part of the case create process, click:



6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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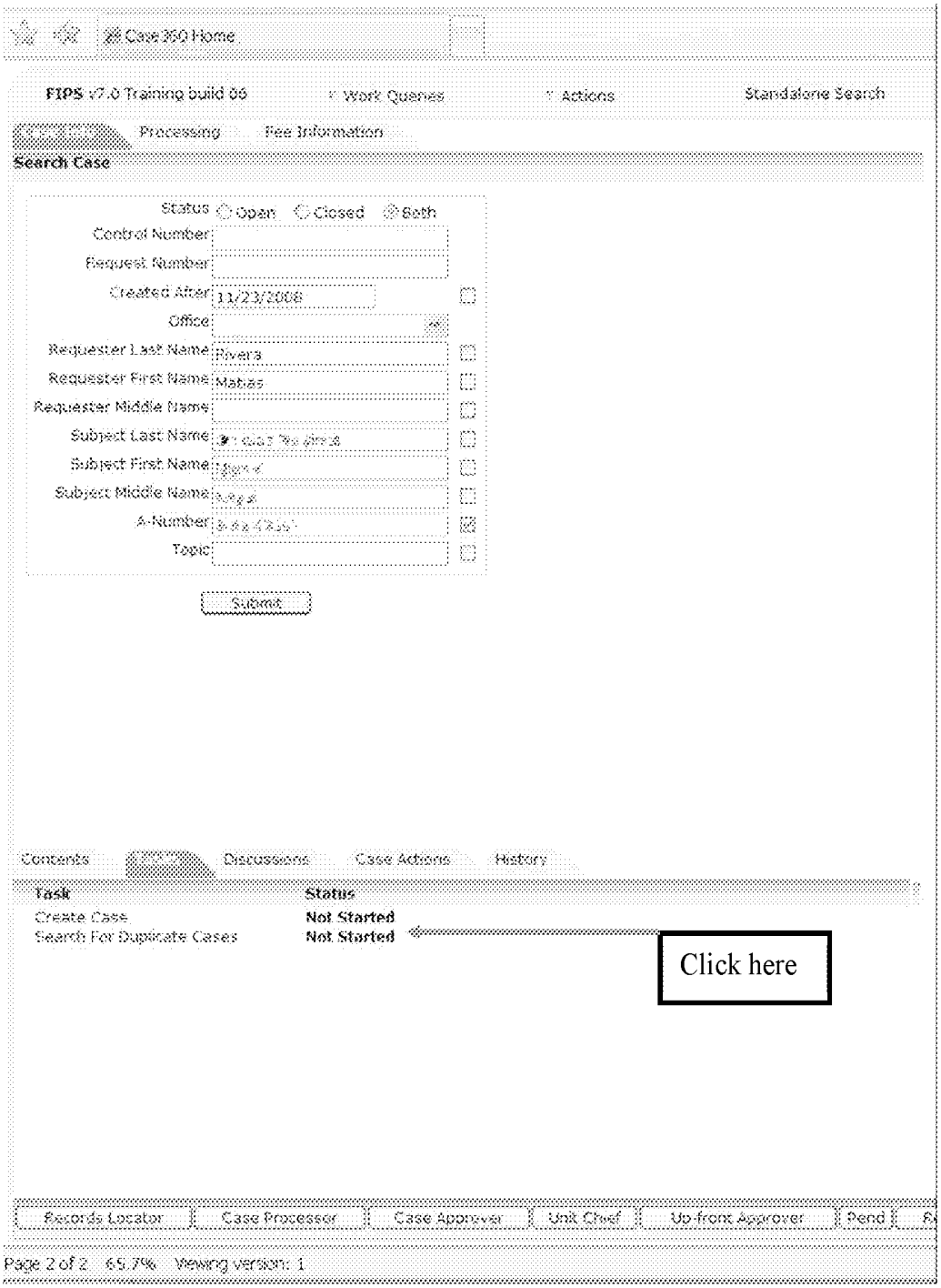

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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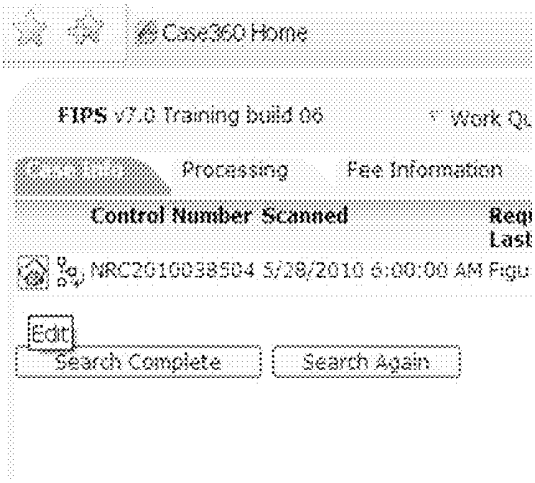
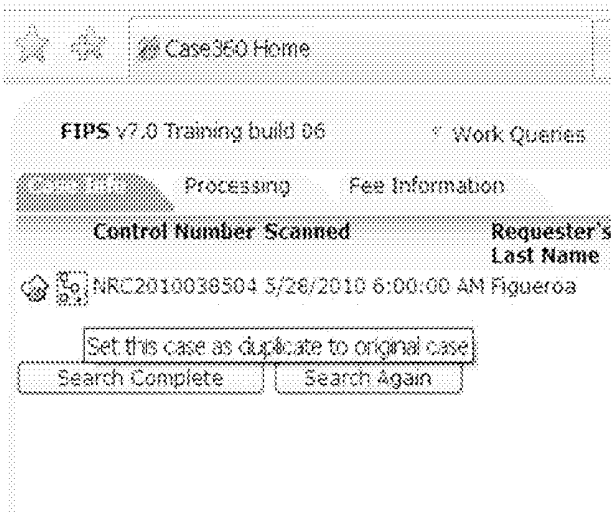


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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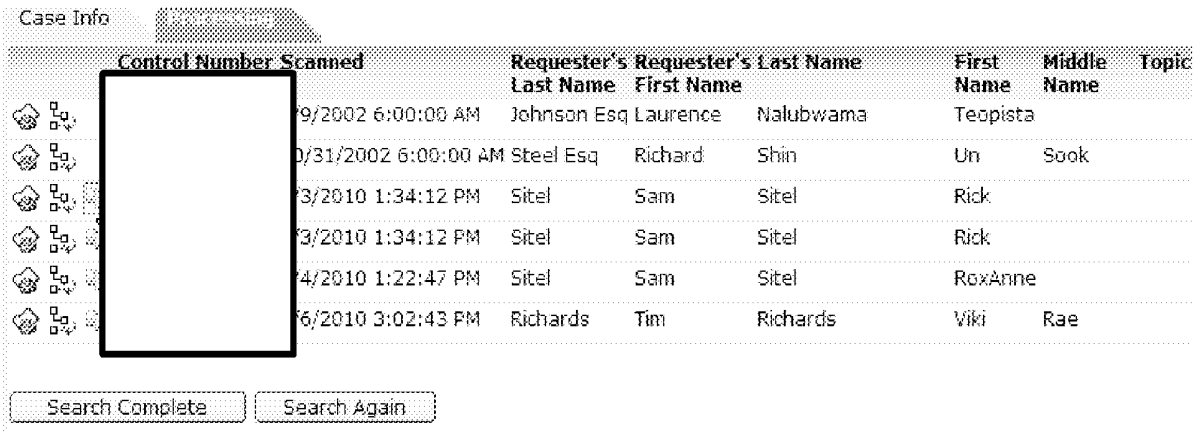
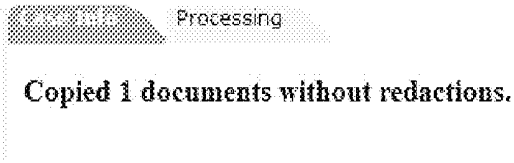
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

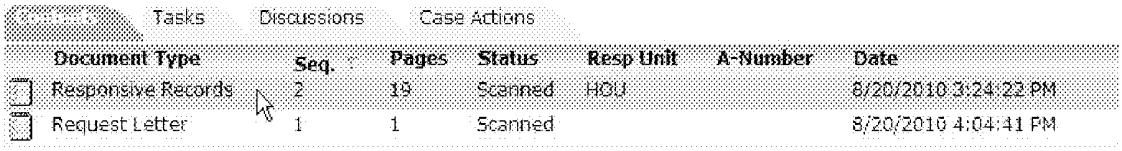
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library.
A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

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Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

"I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
Executed on (date).
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

"I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
(SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library. The exception to this rule is a Third-Party Request (see paragraph 7.4).

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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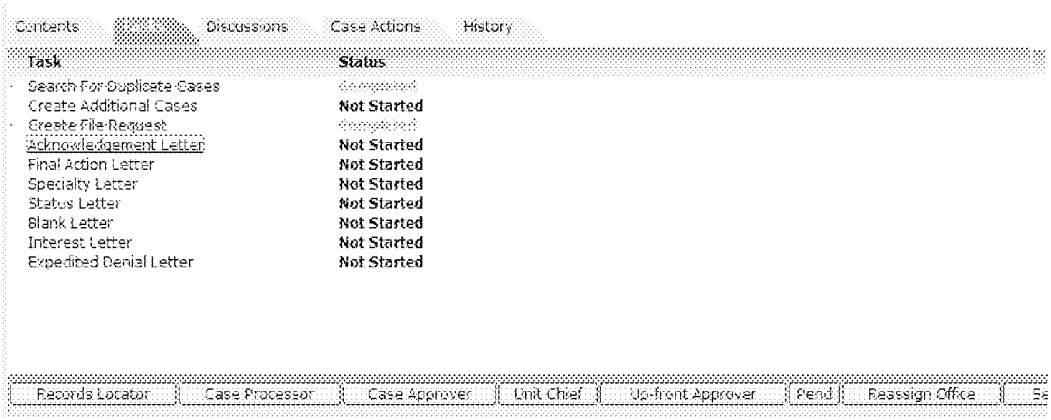
Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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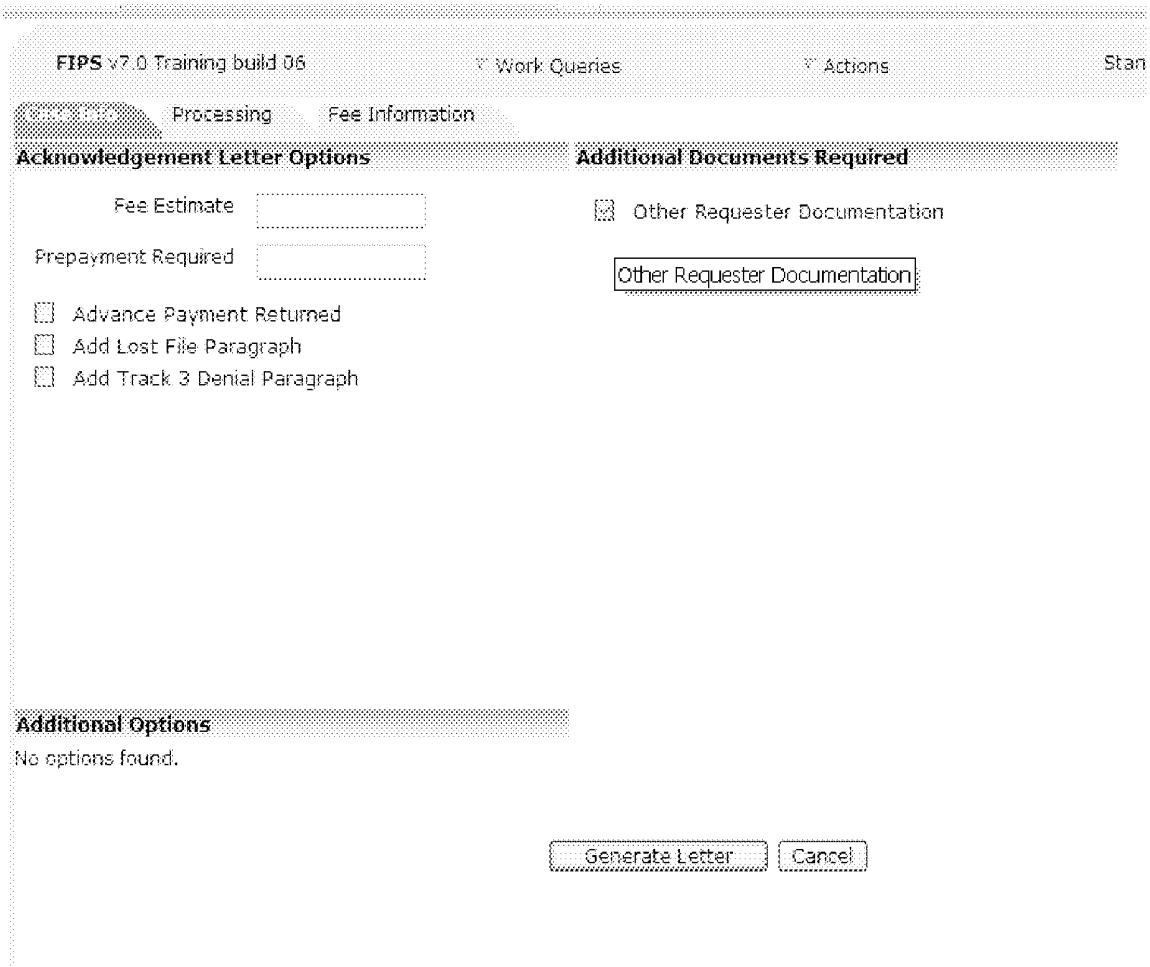
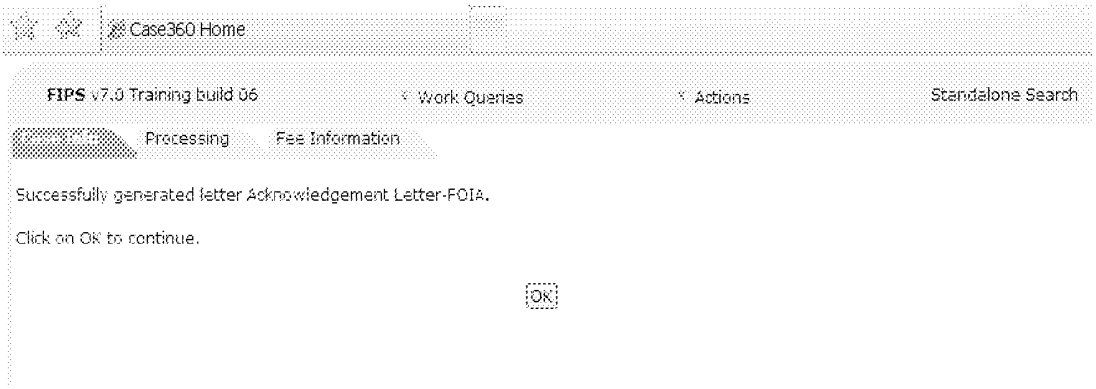


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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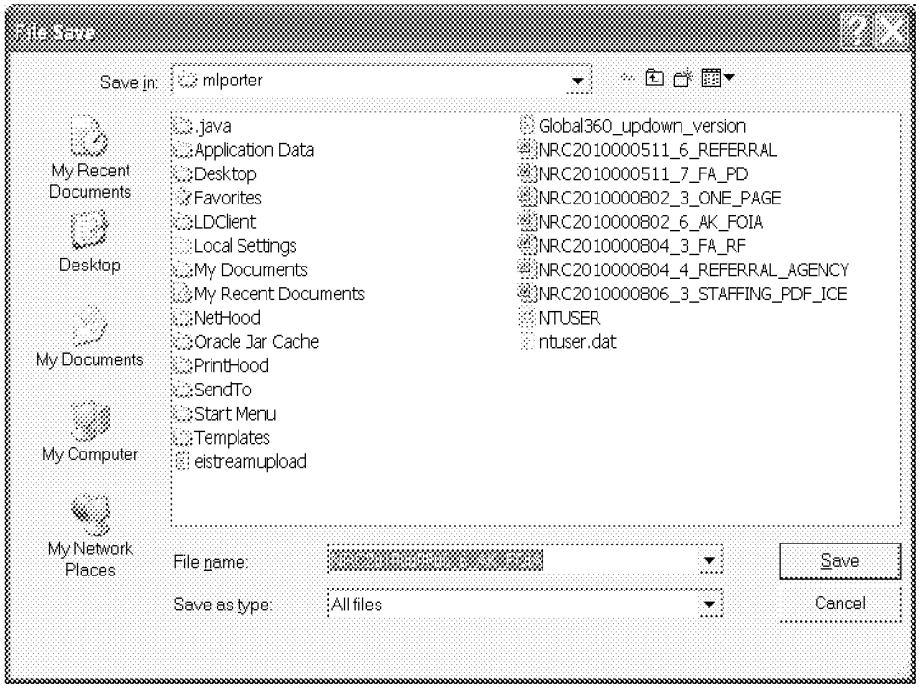

The acknowledgment letter will pop up:

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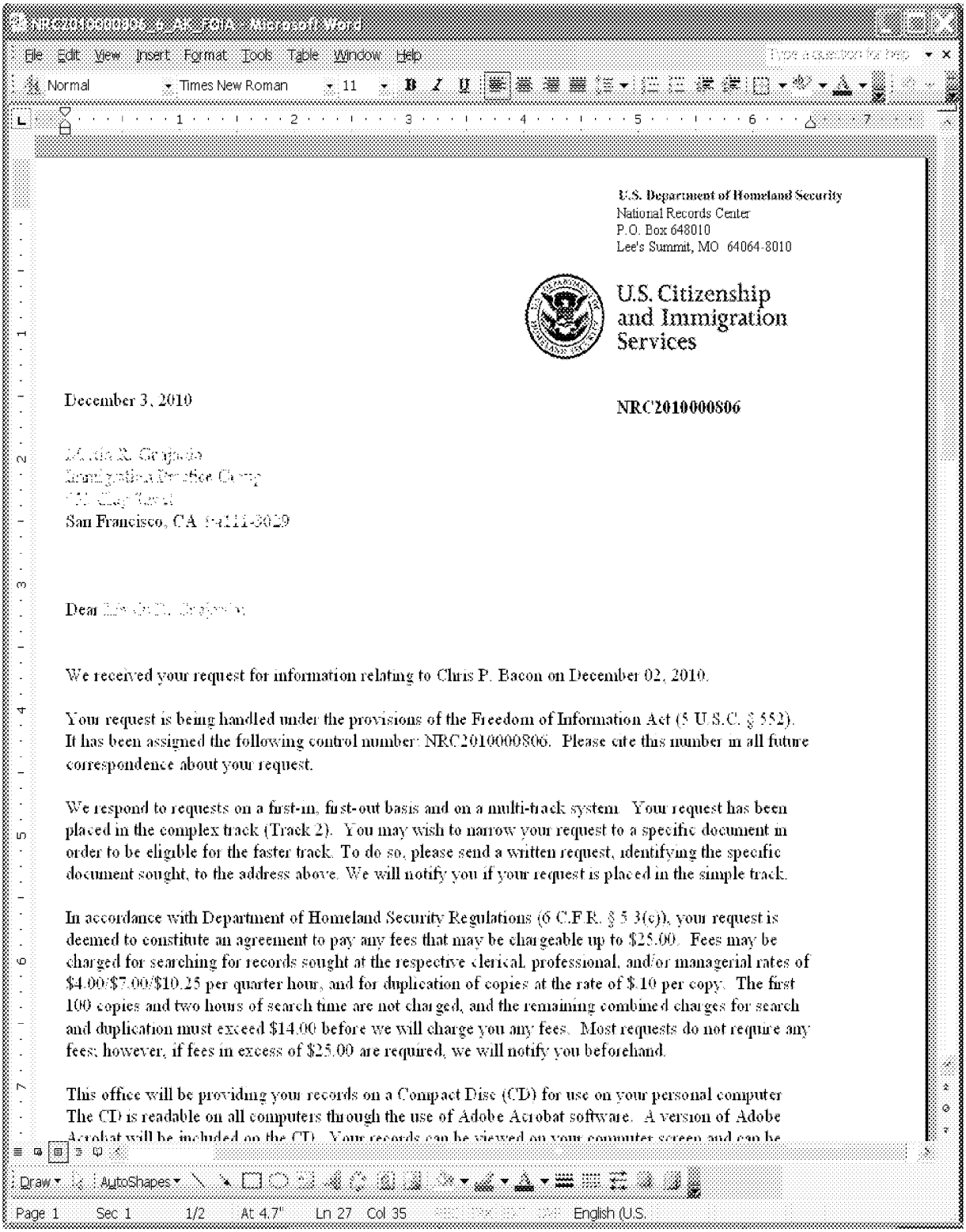

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]:

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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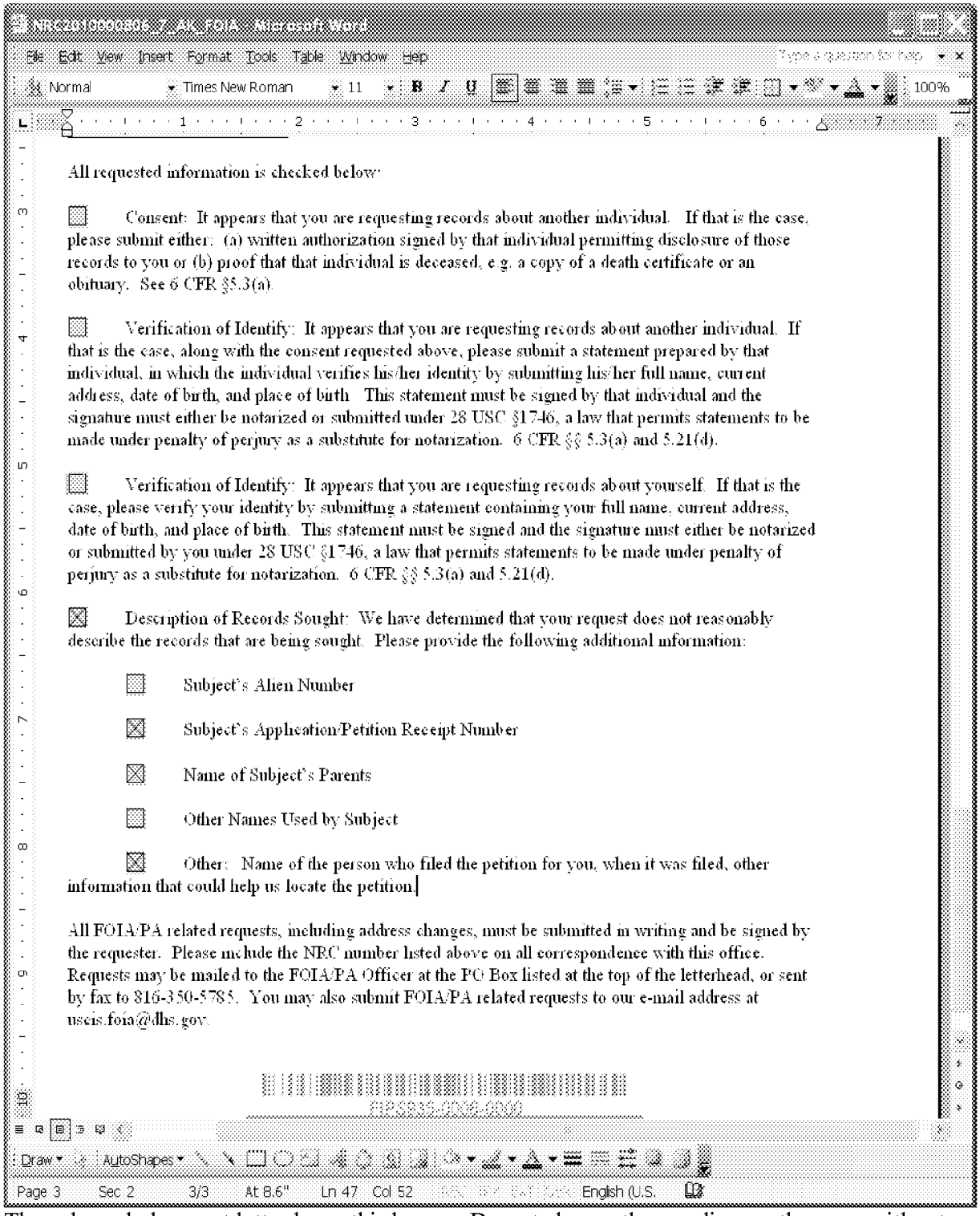

All requested information is checked below:

☐ Consent: It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information:

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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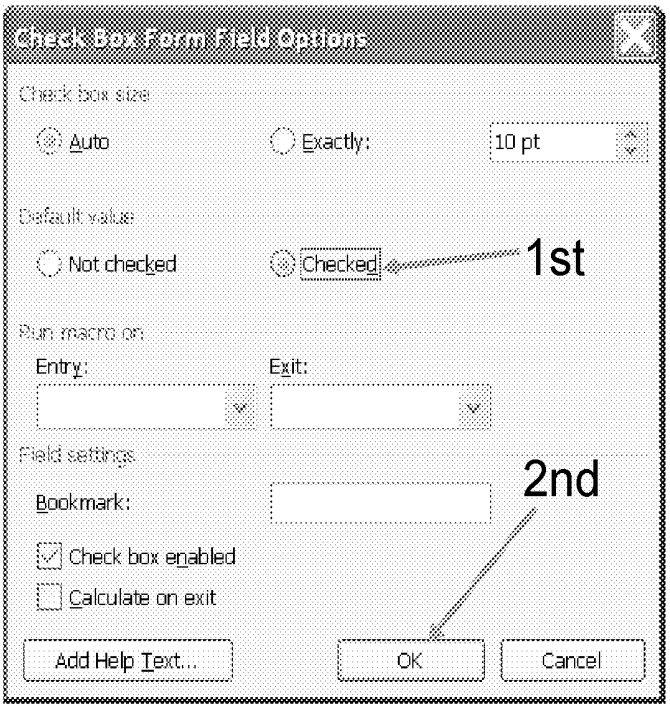
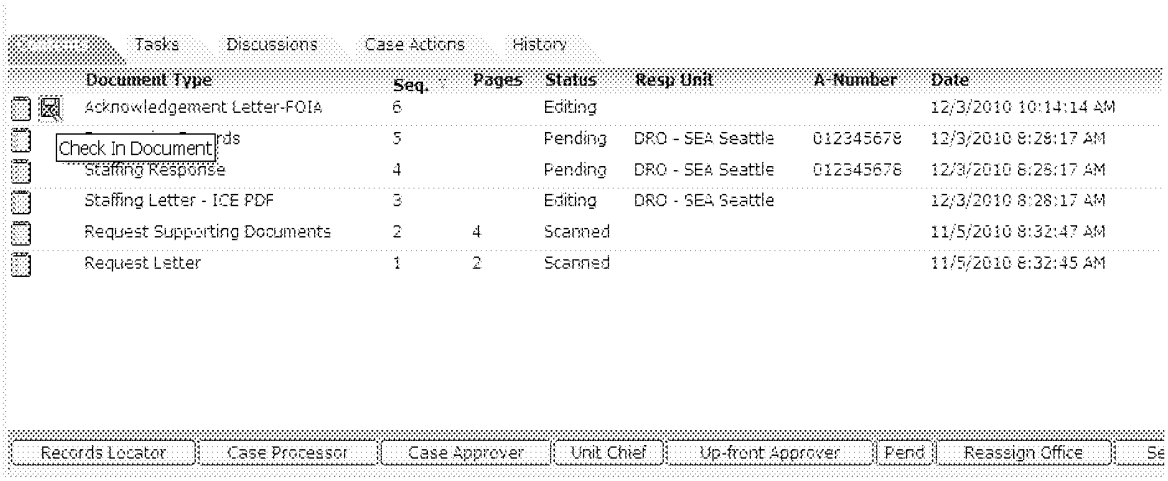


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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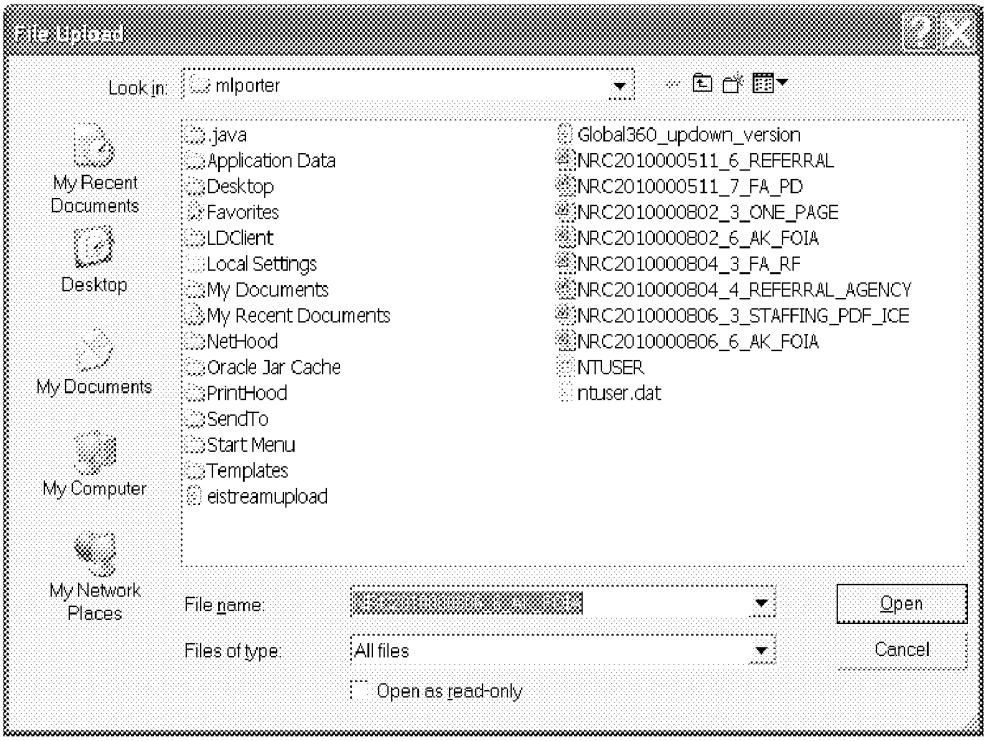
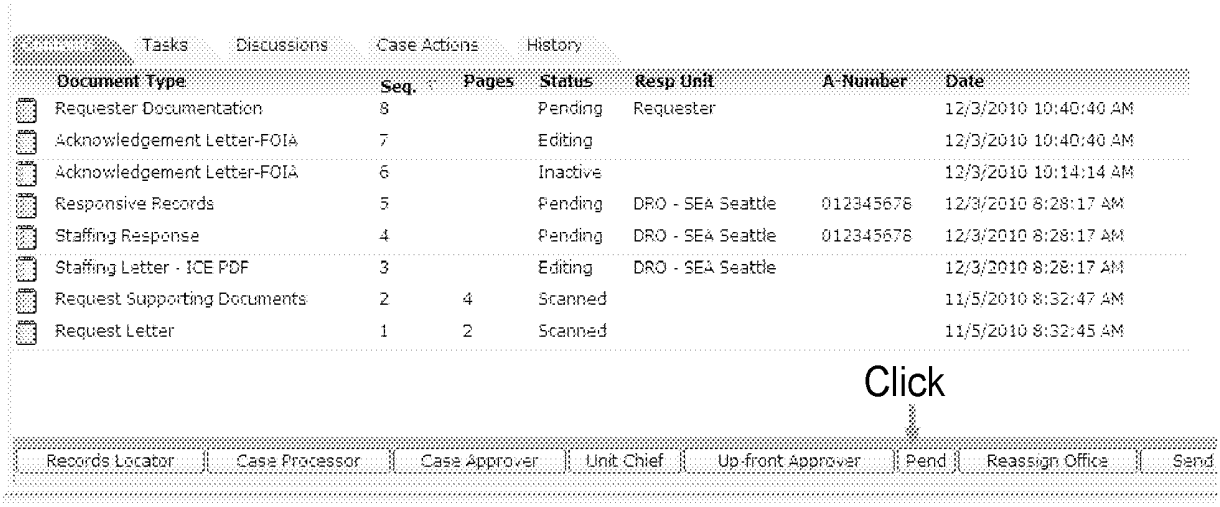


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are not entitled to any public documents that may be in the file they are seeking, nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their

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supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or

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order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit

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800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-

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Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

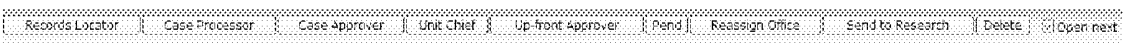
As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

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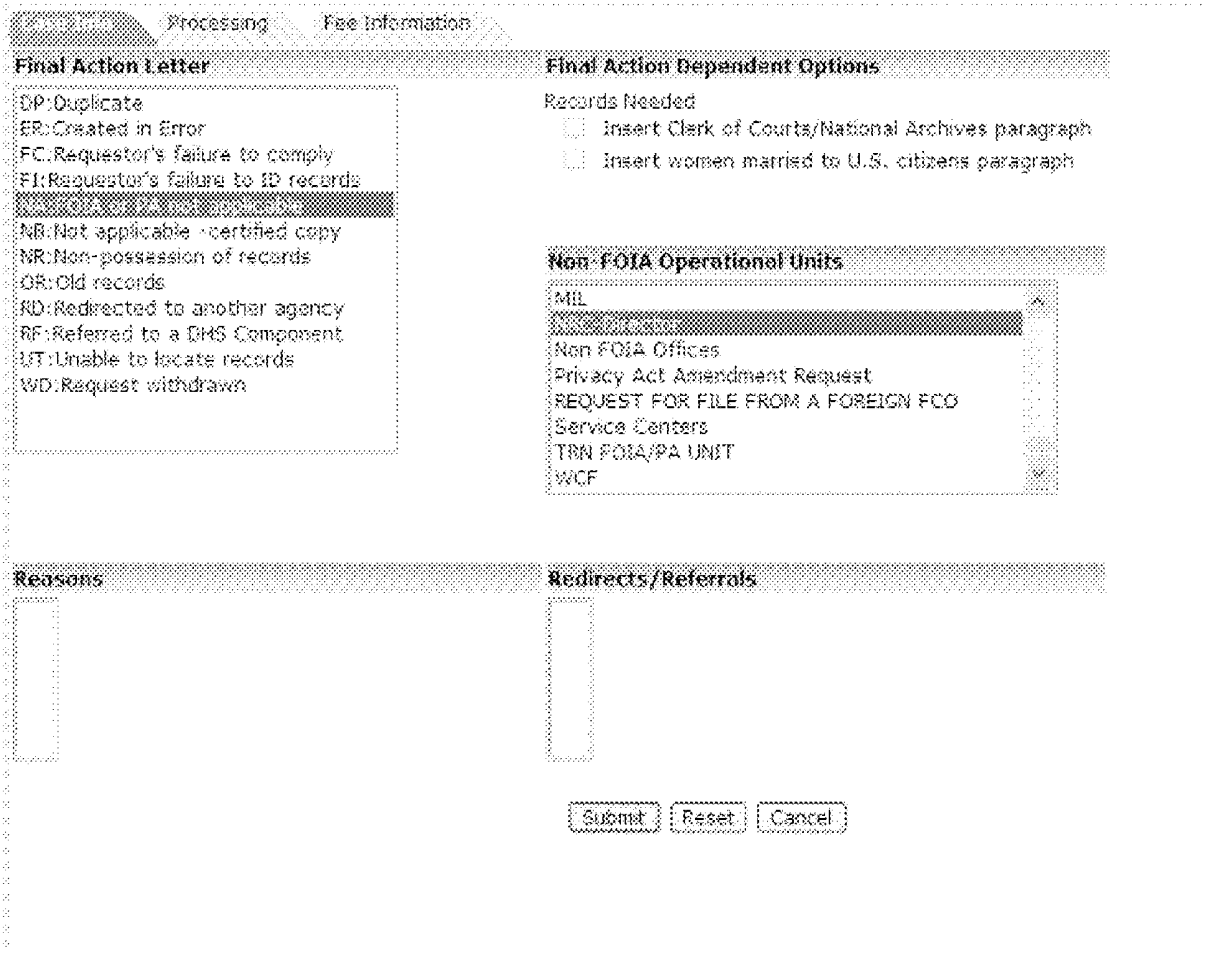
8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.



8.10 REQUESTS: Red Cross / Last known address

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Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

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A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

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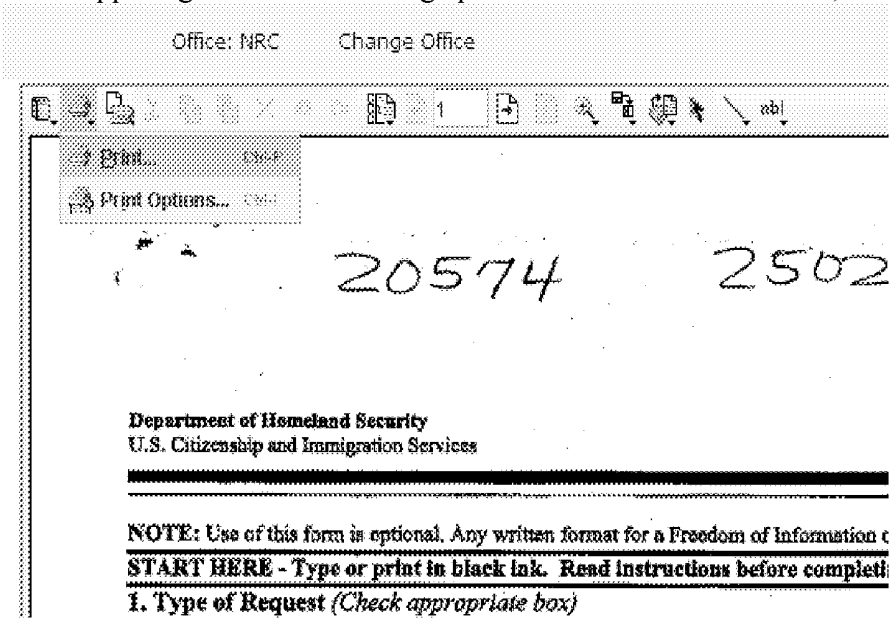
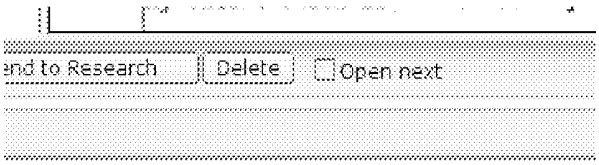
8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:



Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

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To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services

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ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

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"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to

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middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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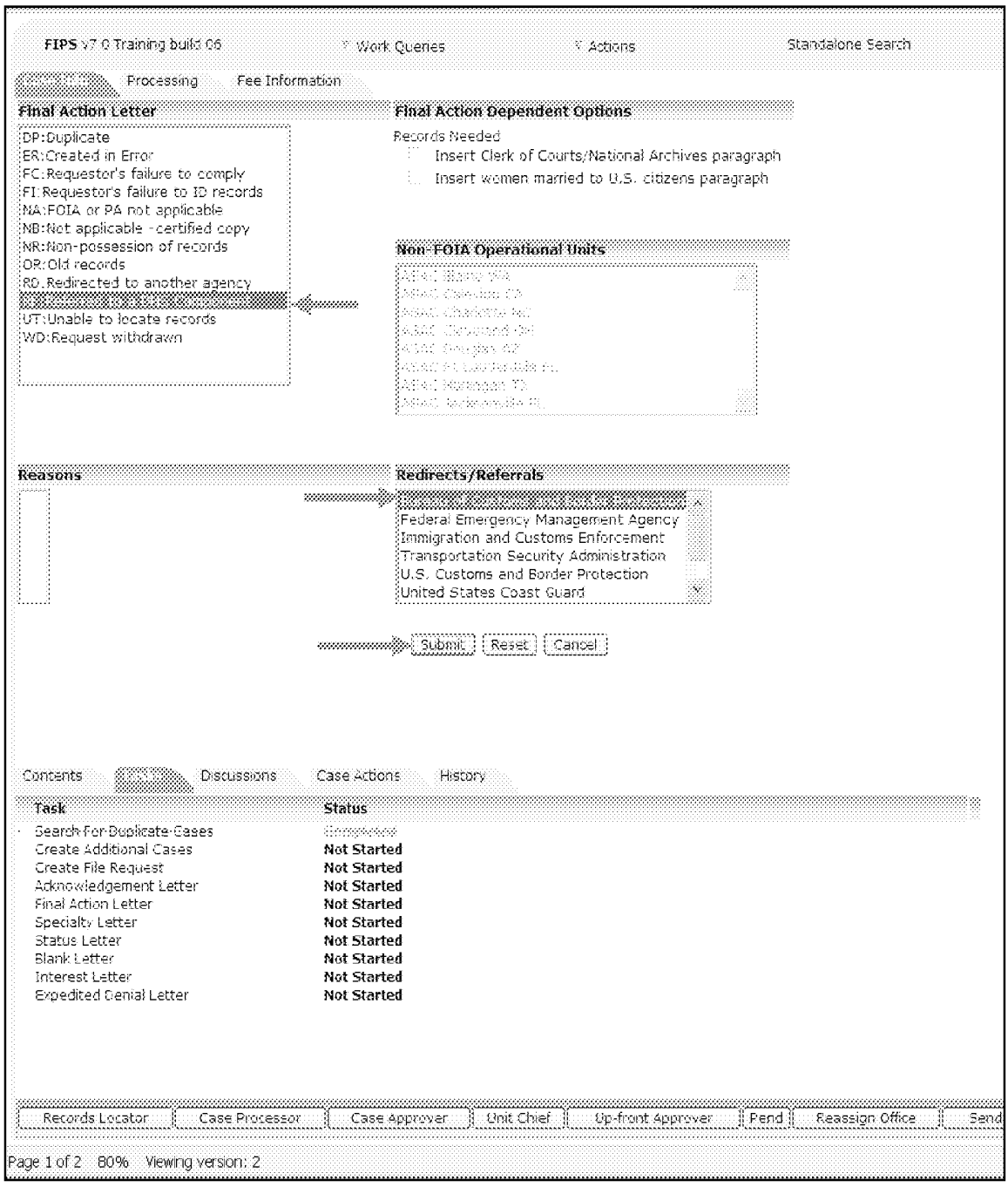

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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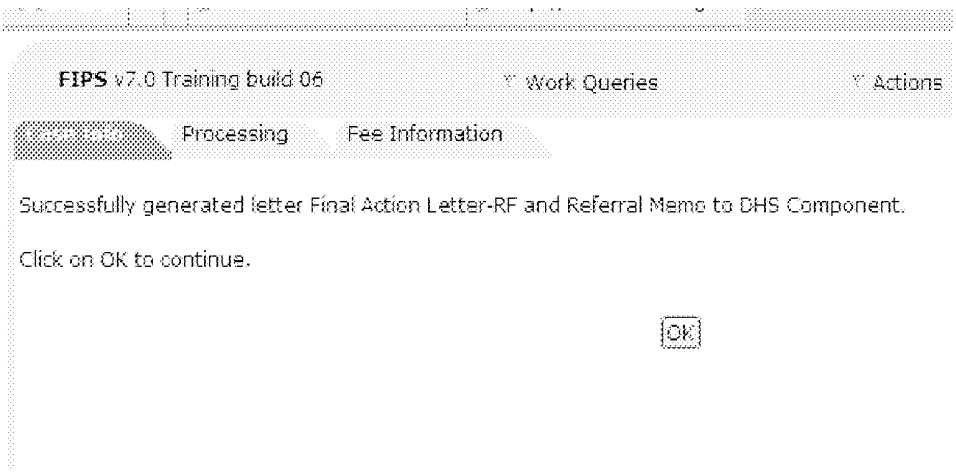
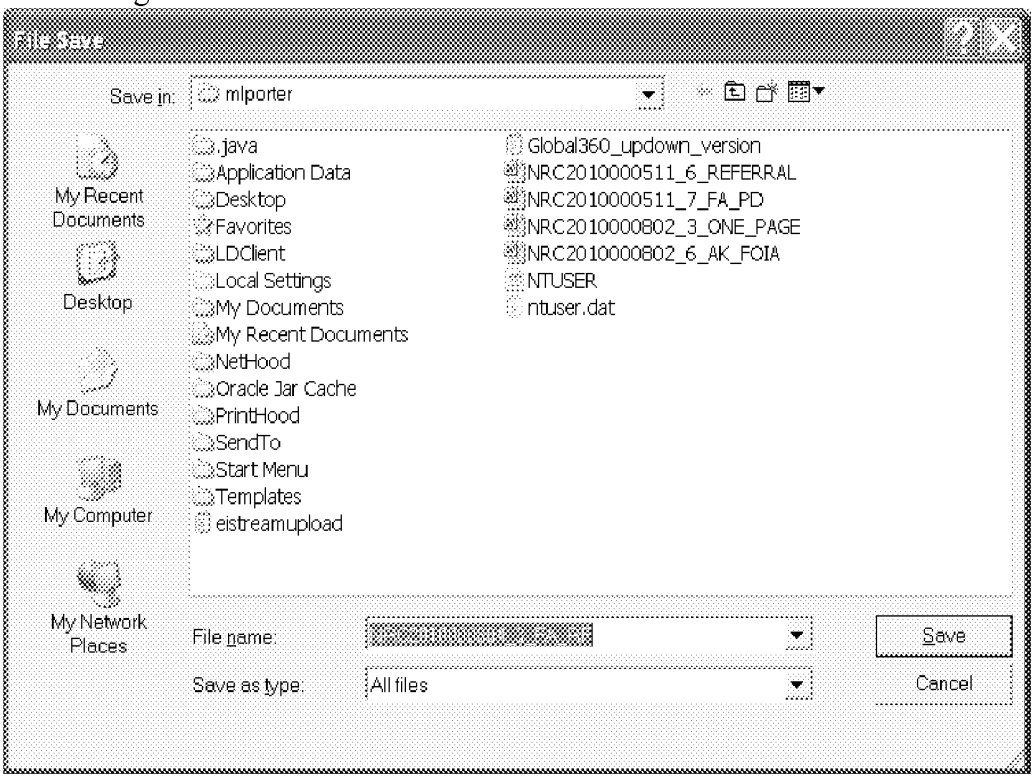


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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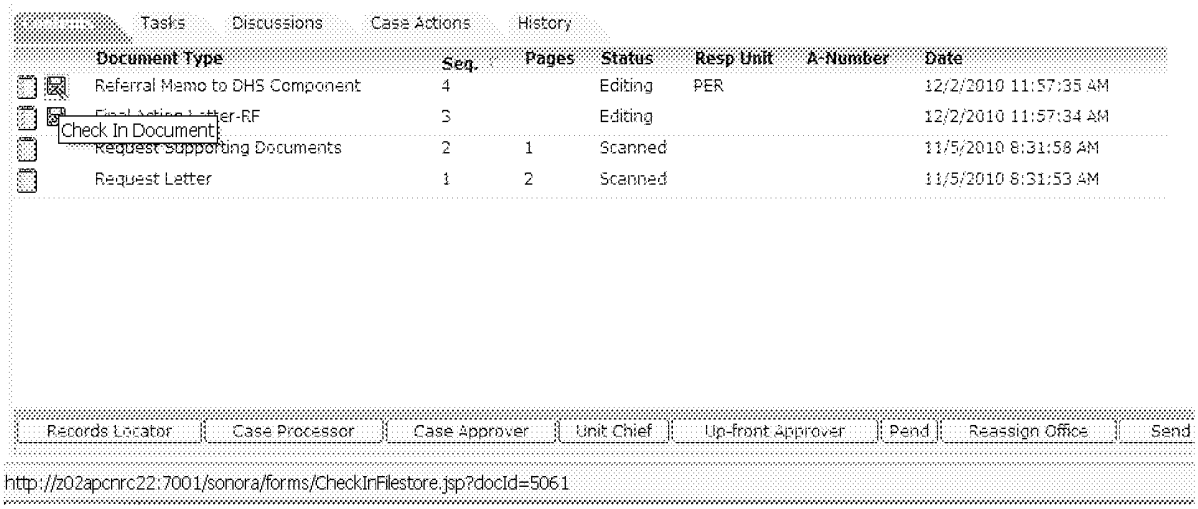
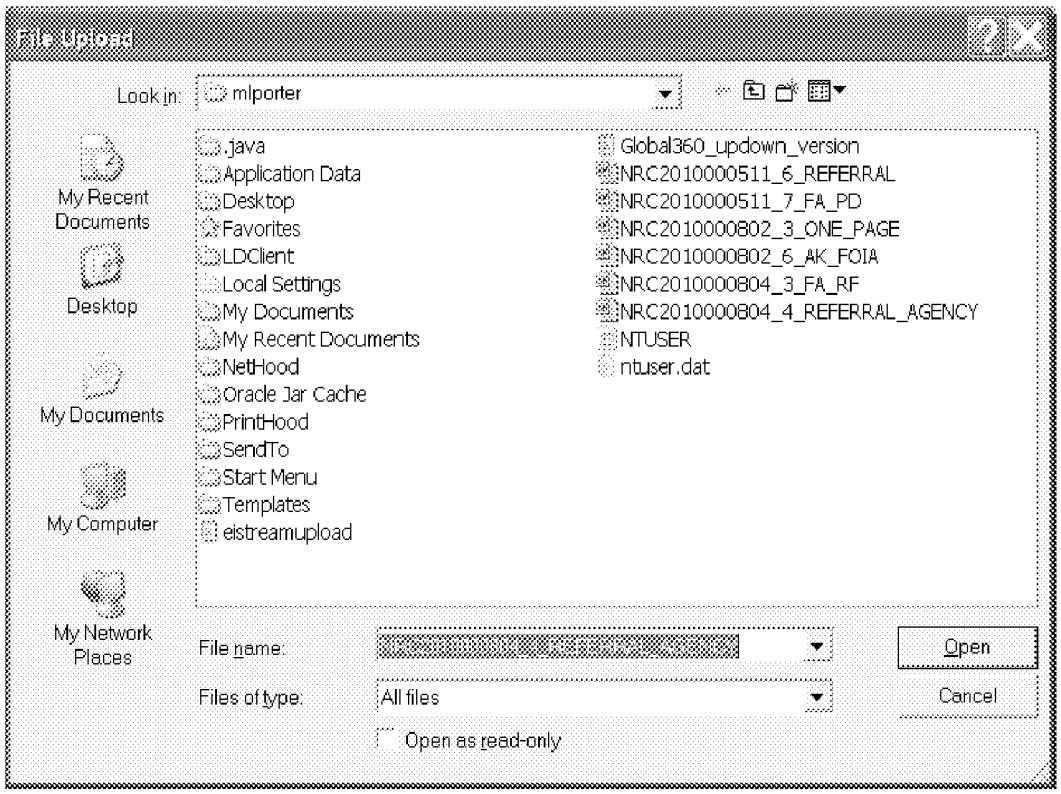


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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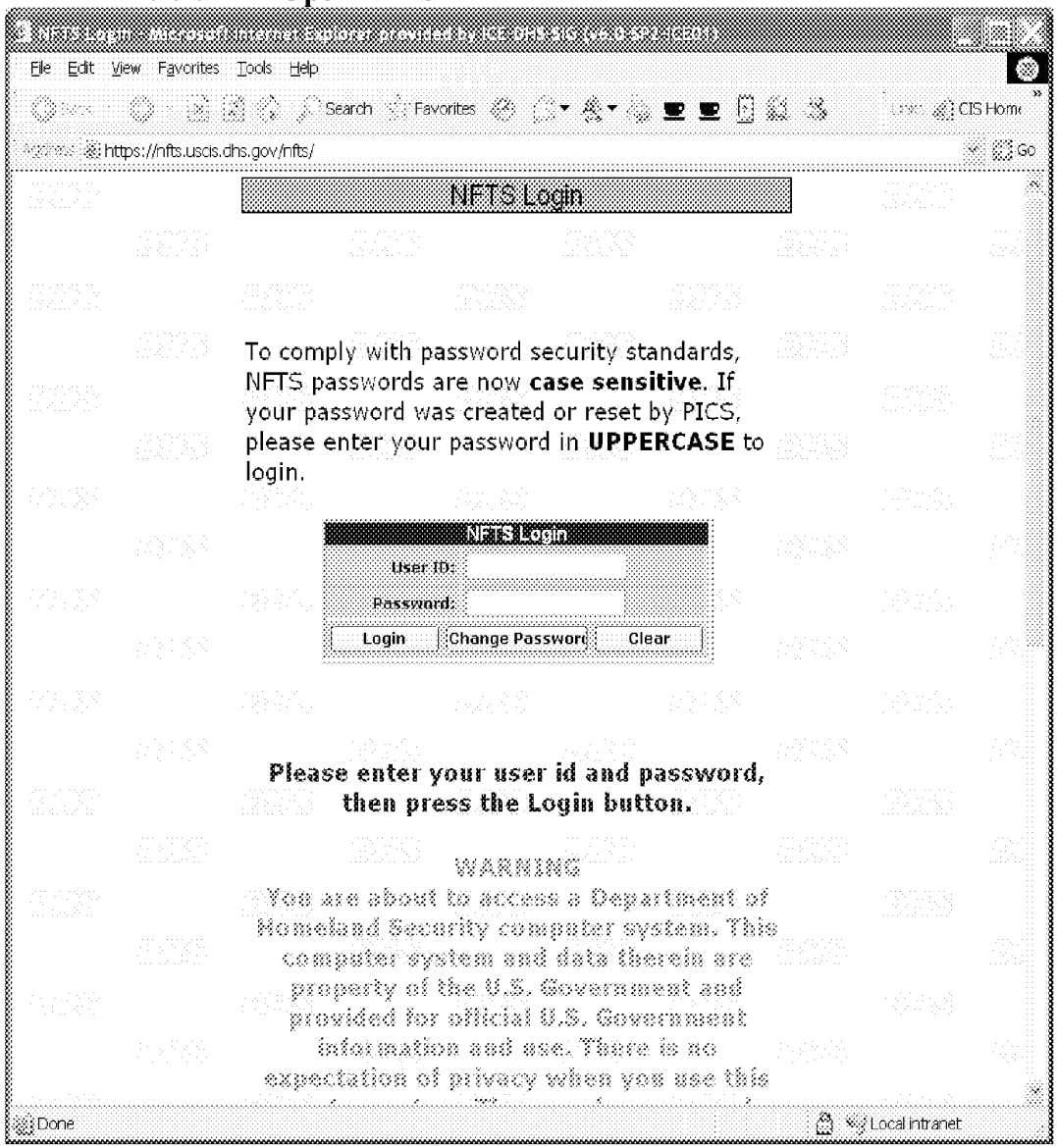
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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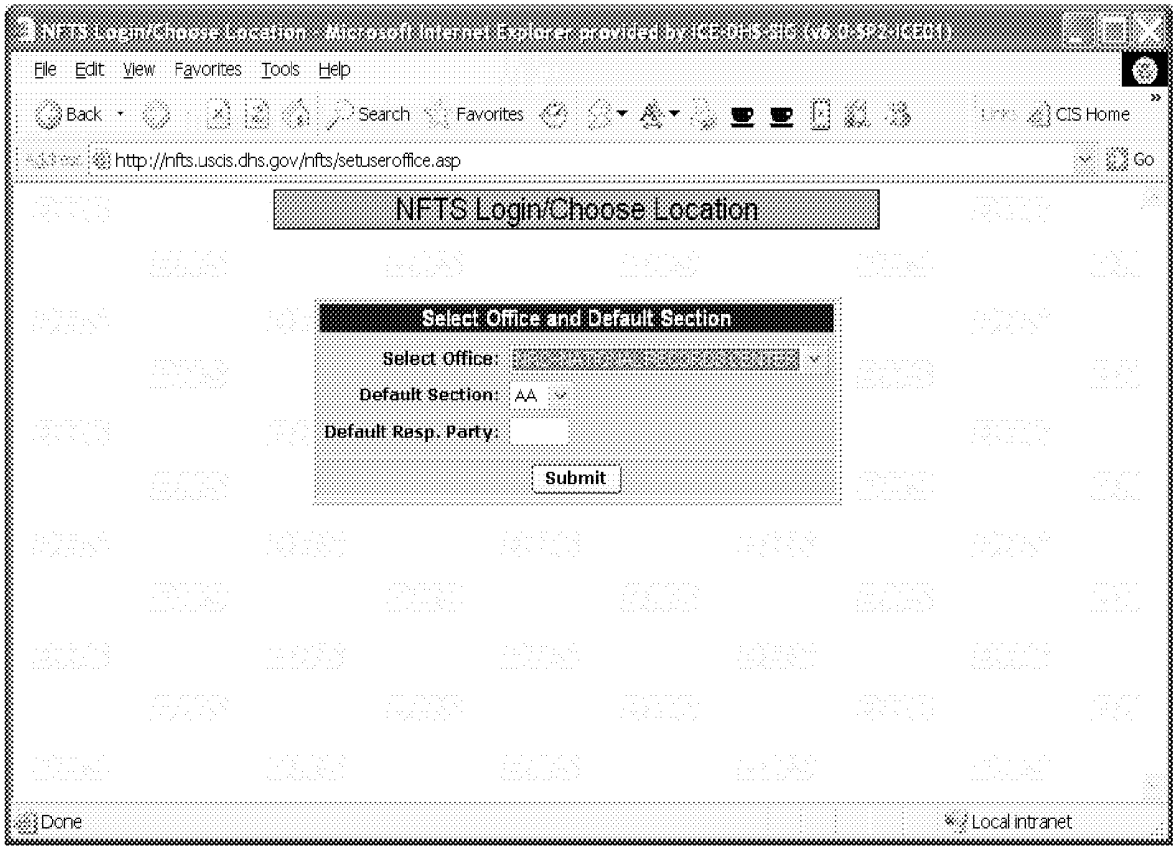
12.1.1.2 Submit your location



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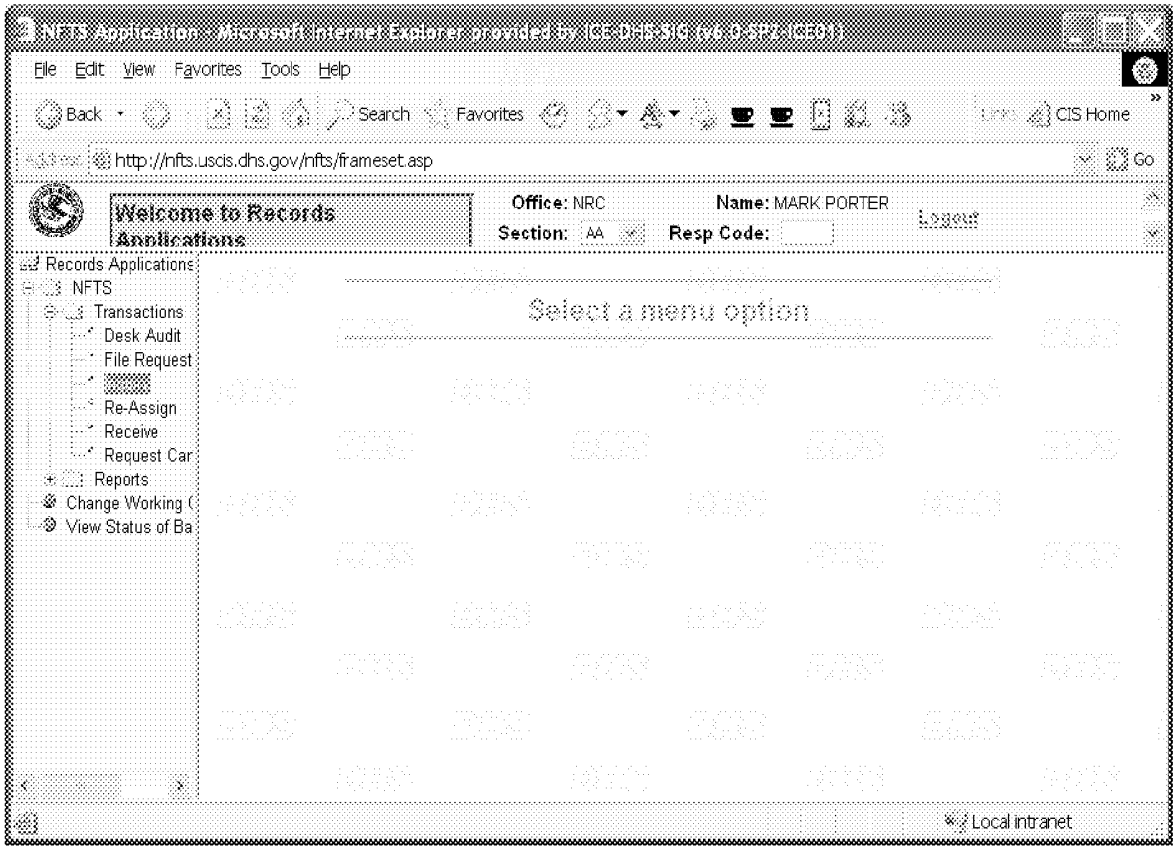
12.1.1.3 Select "Inquiry"



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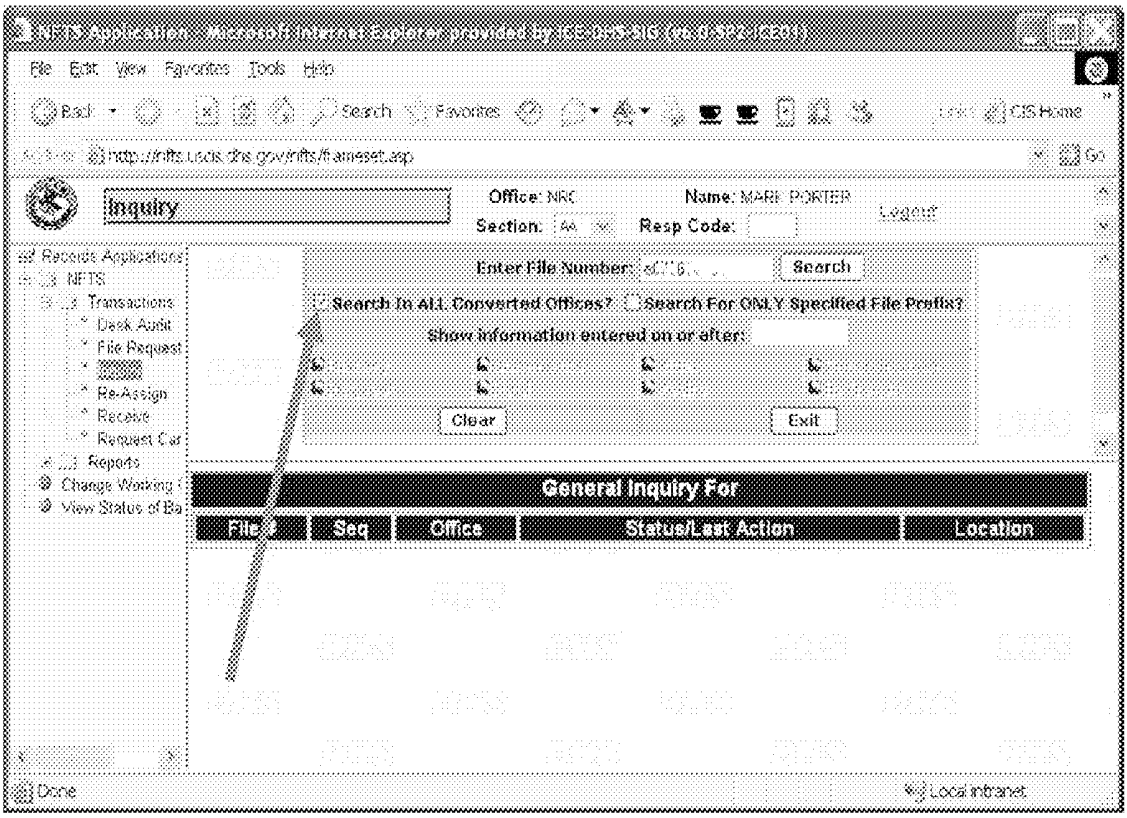
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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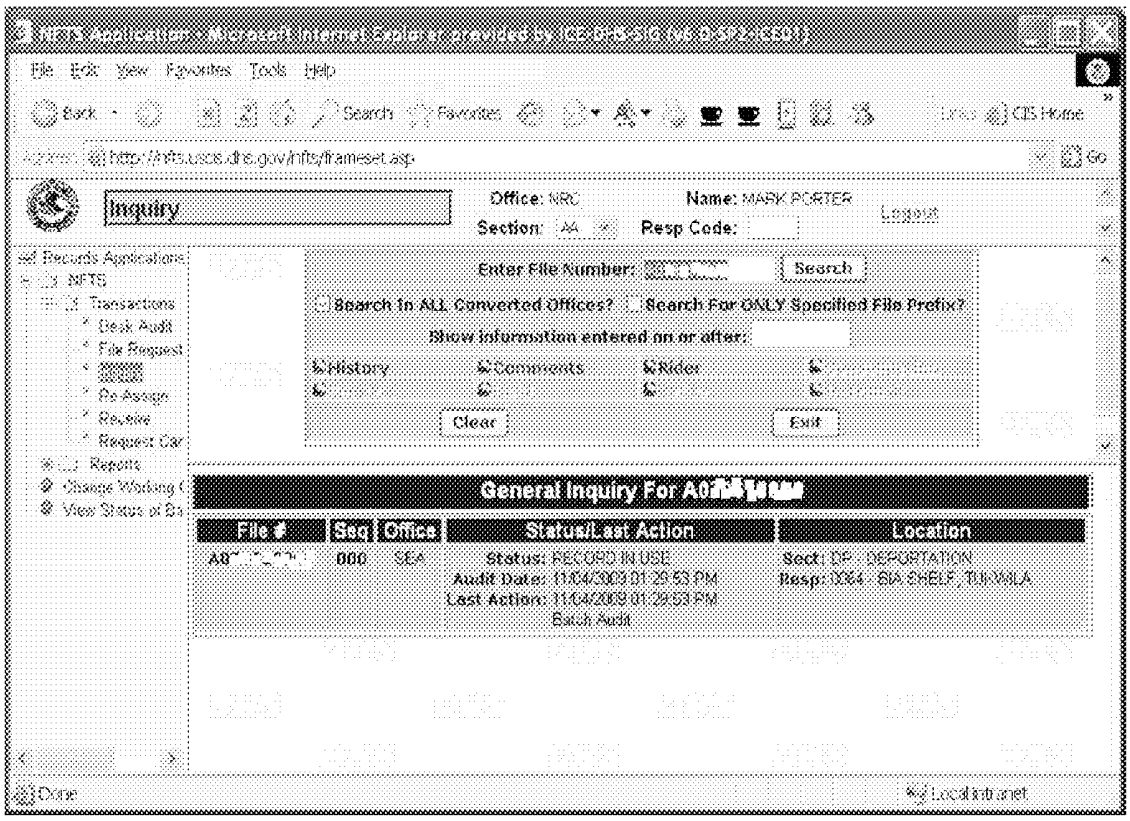
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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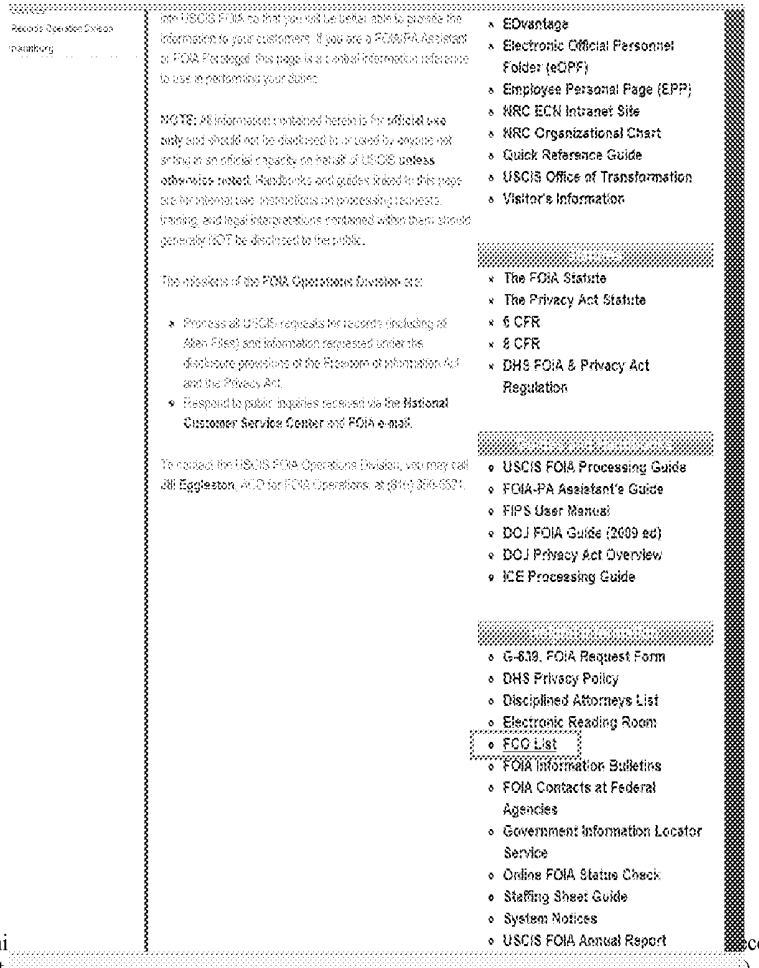
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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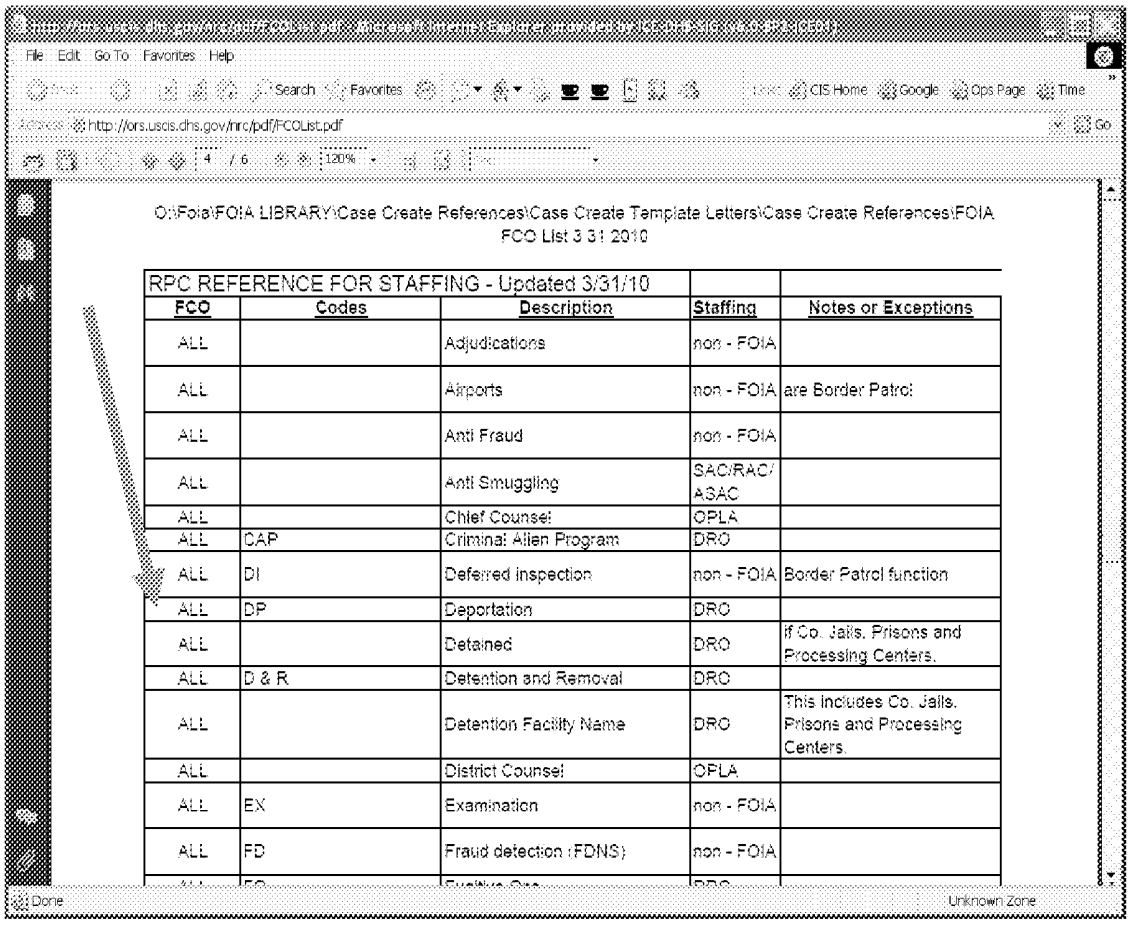
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	if Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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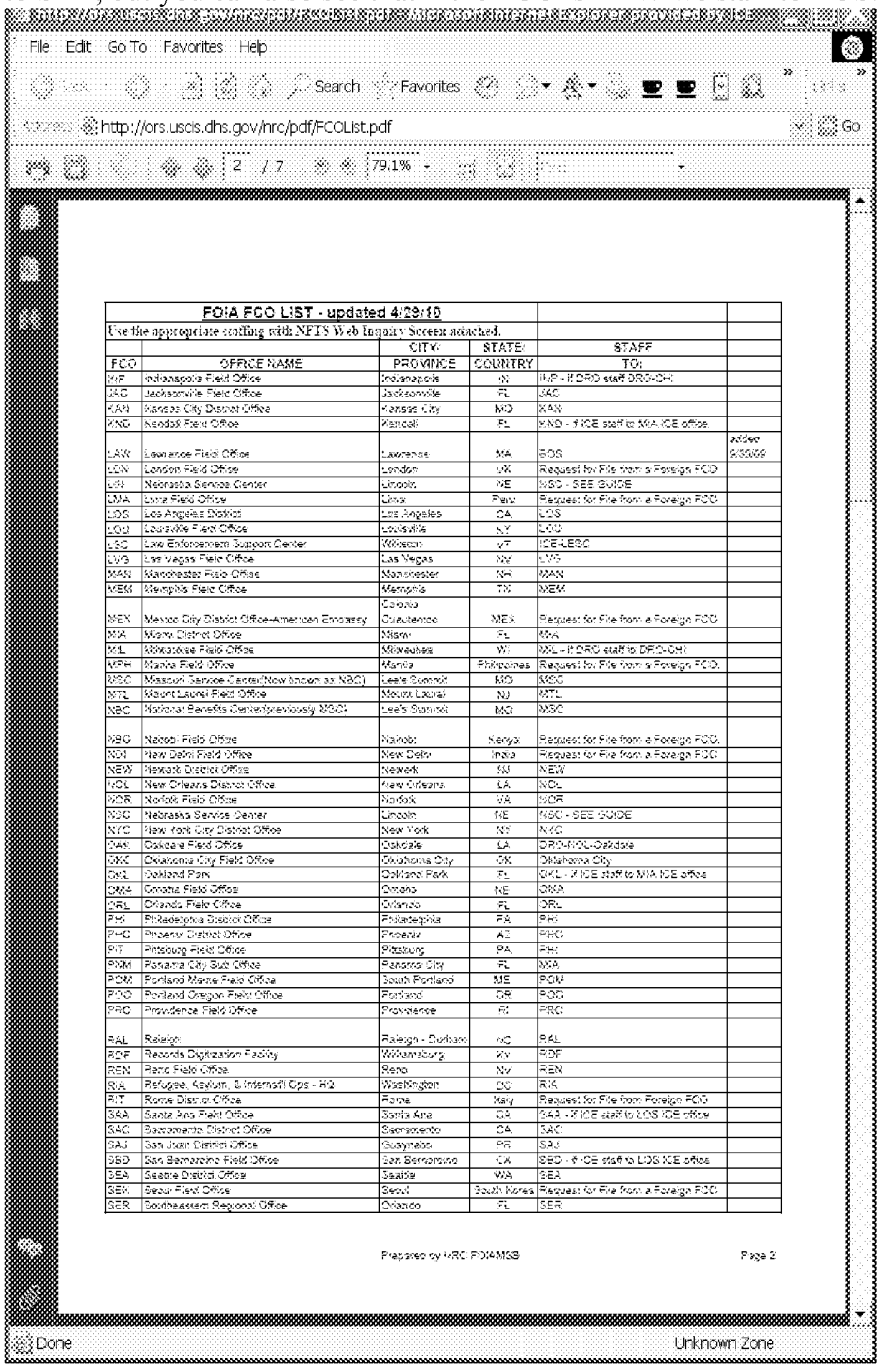
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate coding with NFTS Web Inquiry Screens attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
IMF	Indianapolis Field Office	Indianapolis	IN	IMP - If DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 6/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LIM	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MIL	Milwaukee Field Office	Milwaukee	WI	MIL - If DRO staff to DRO-CHI	
MNH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO.	
MSC	Missouri Service Center(Now known as NBC)	Lees Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO.	
NDH	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Oakdale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PHI	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internatl Ops - HQ	Washington	DC	RIA	
ROM	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEK	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/MSB

Page 2

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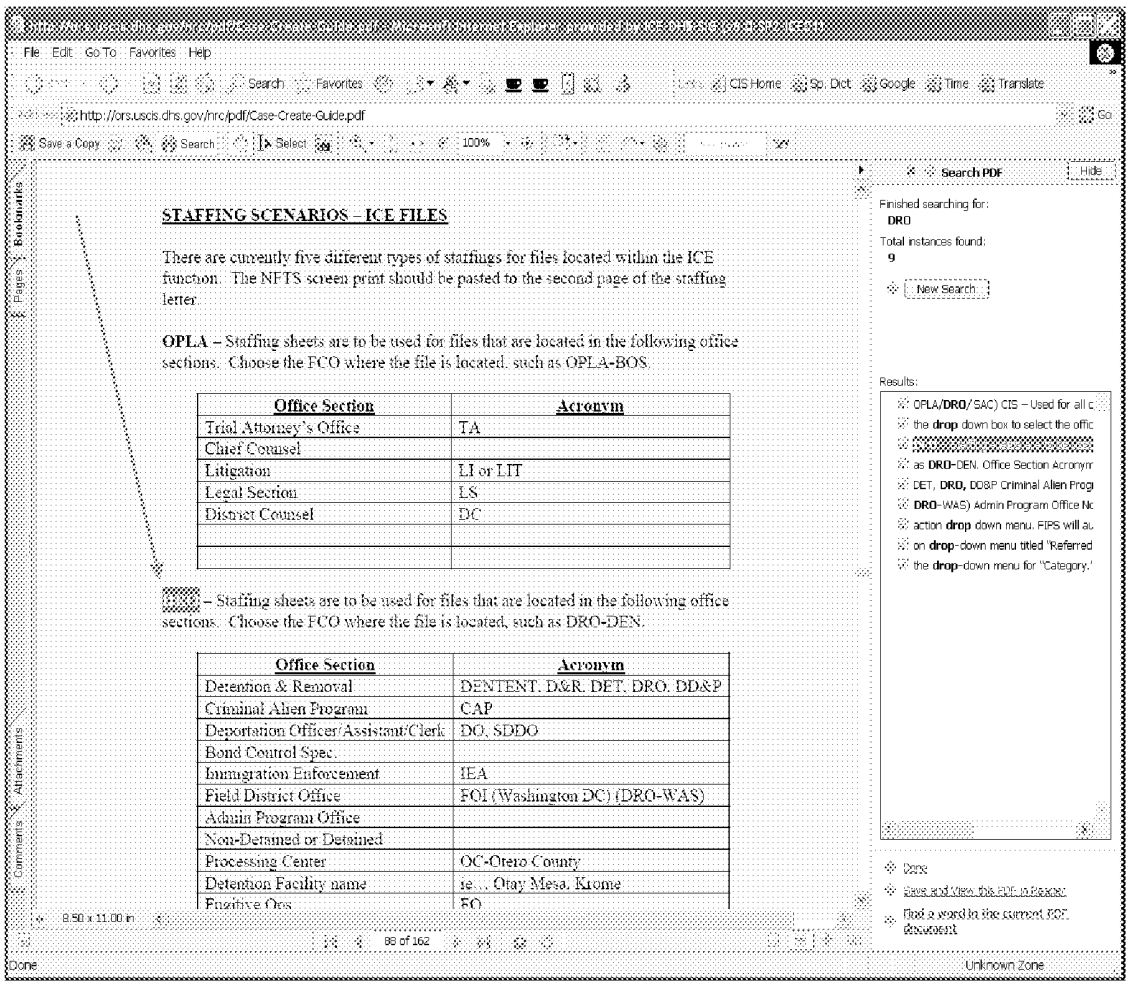
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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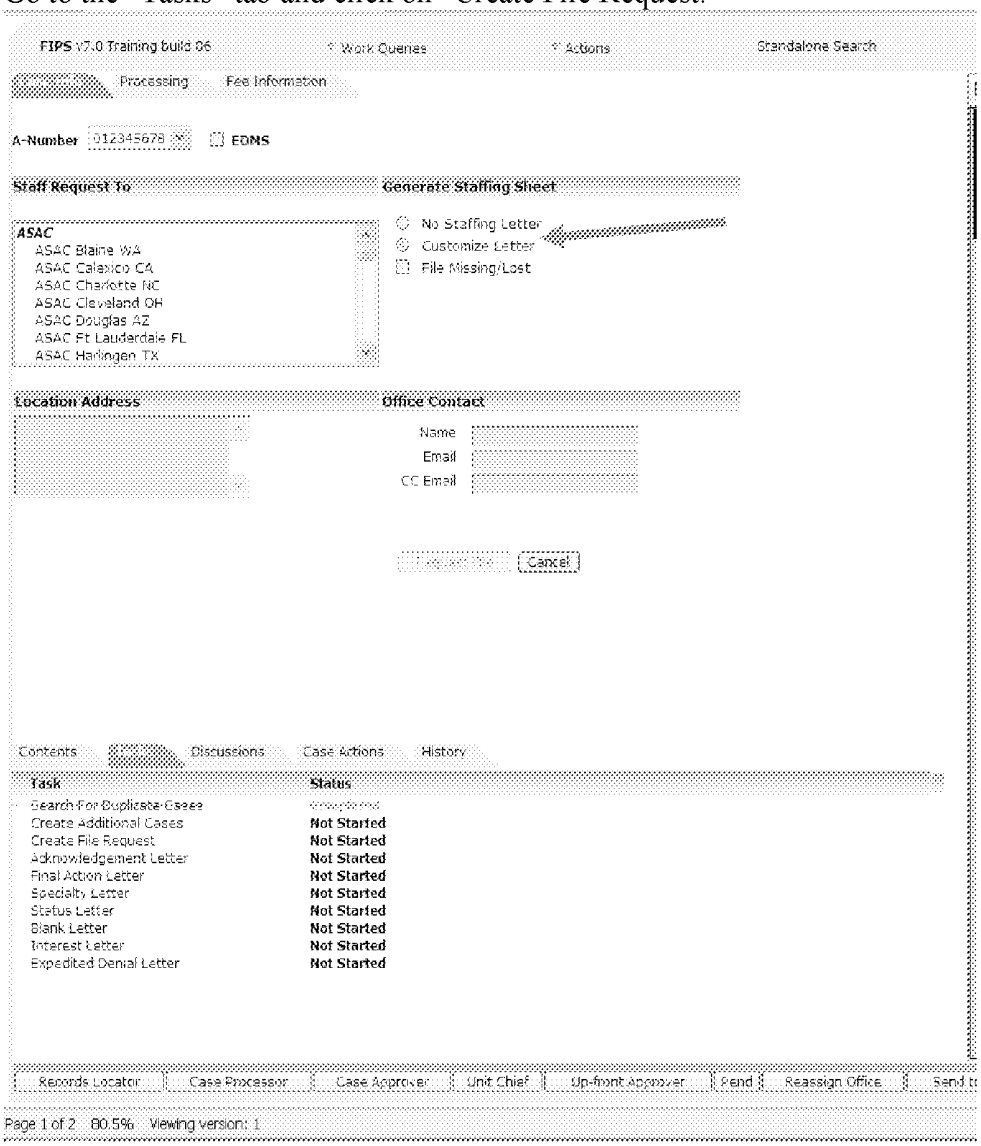
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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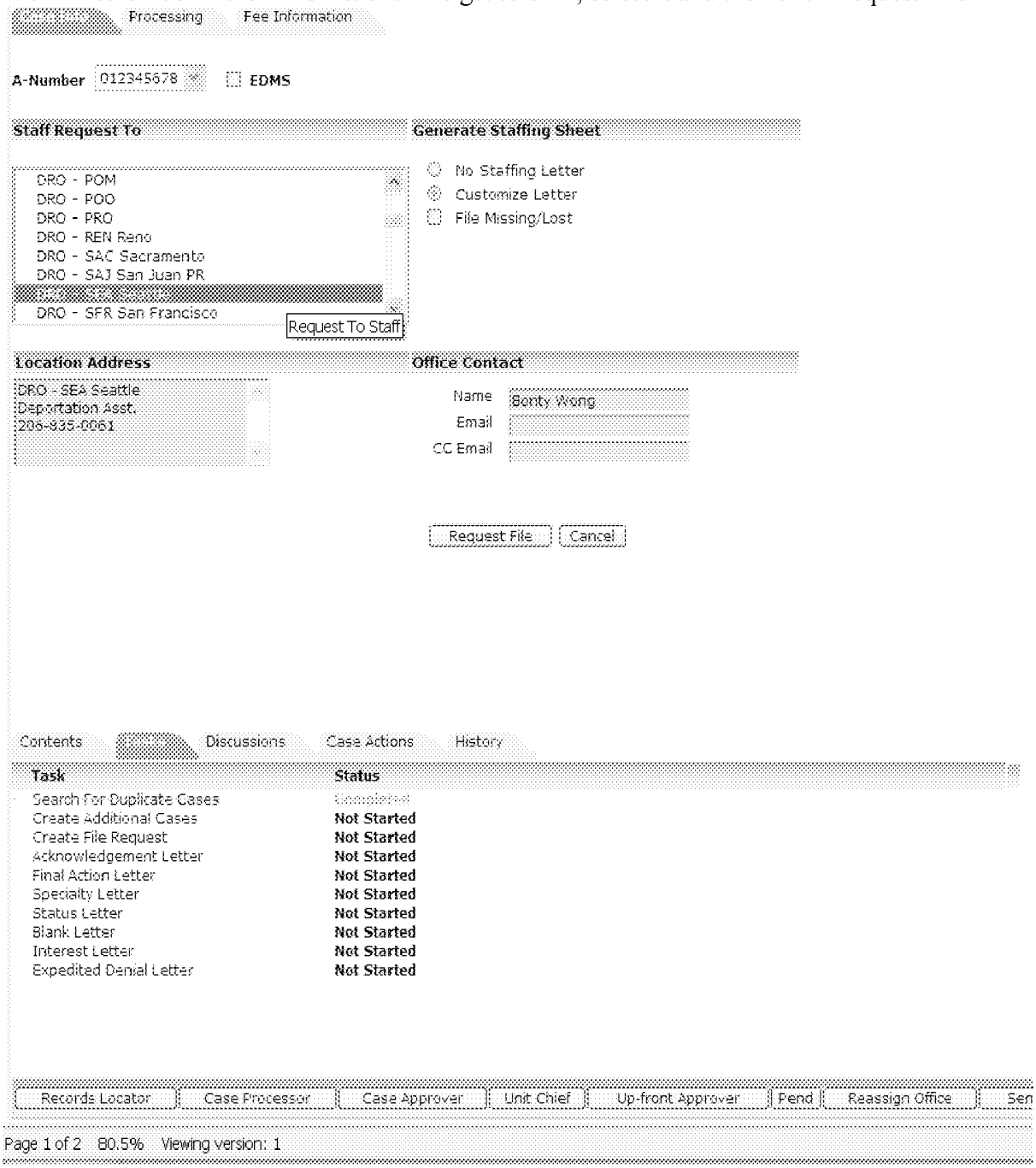
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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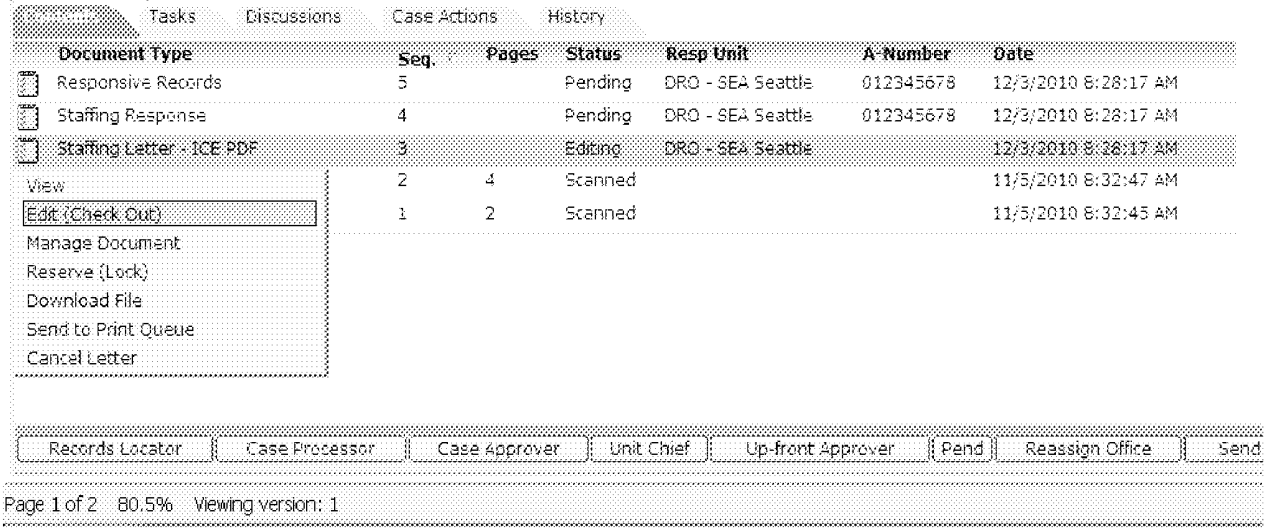
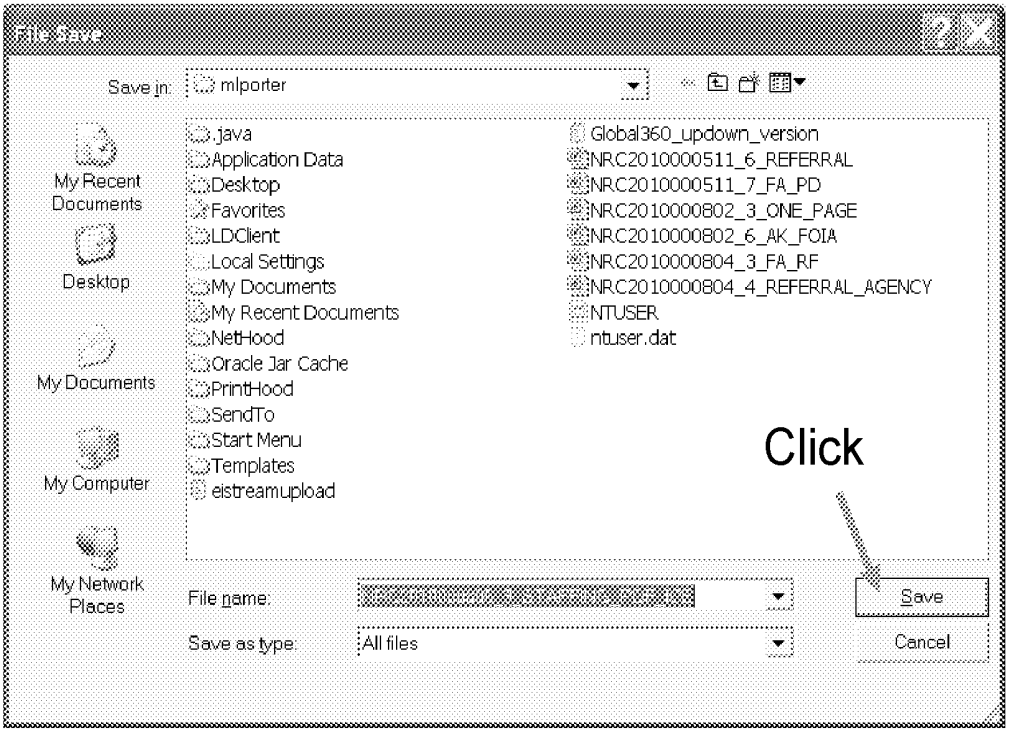
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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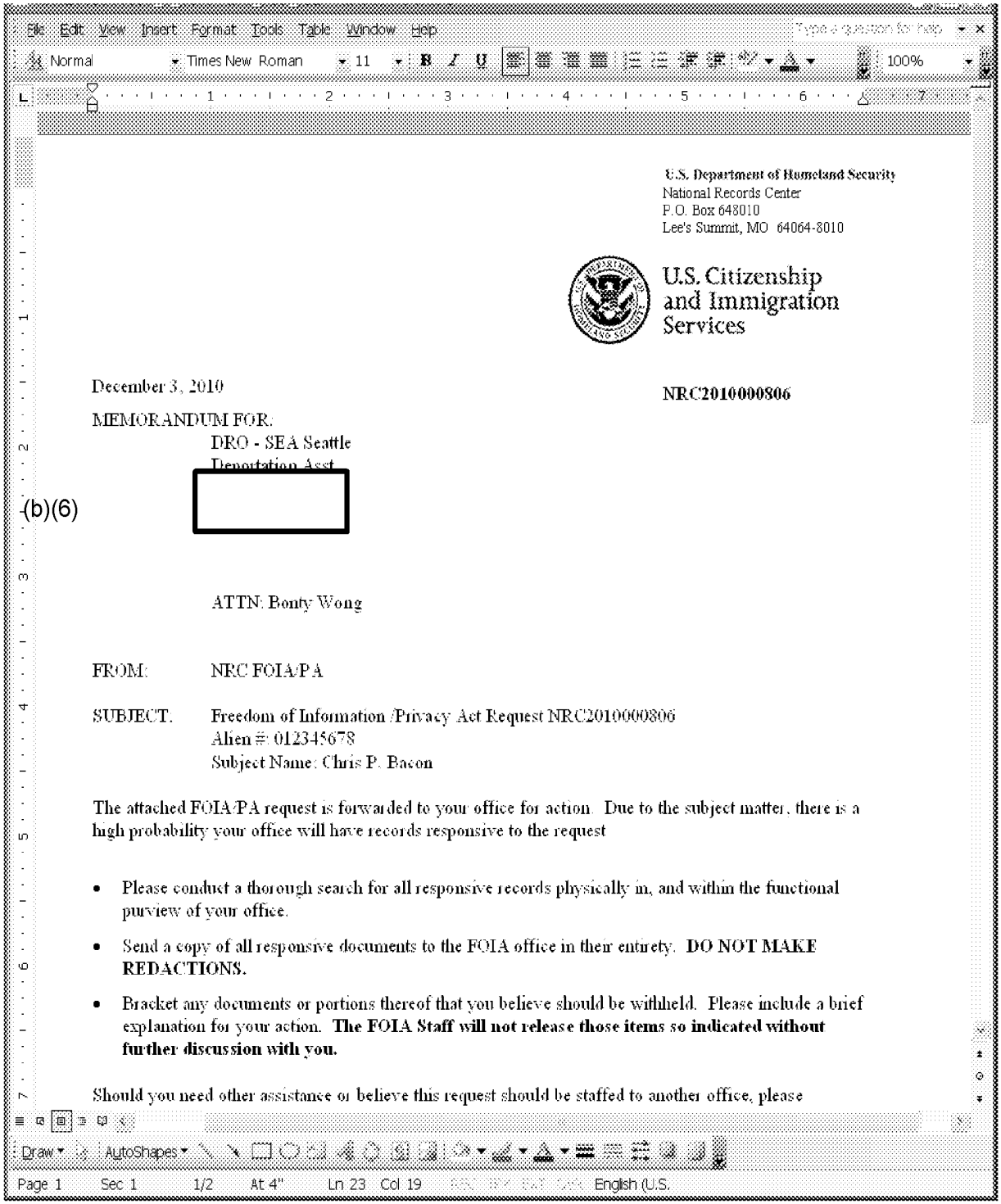
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst

(b)(6)

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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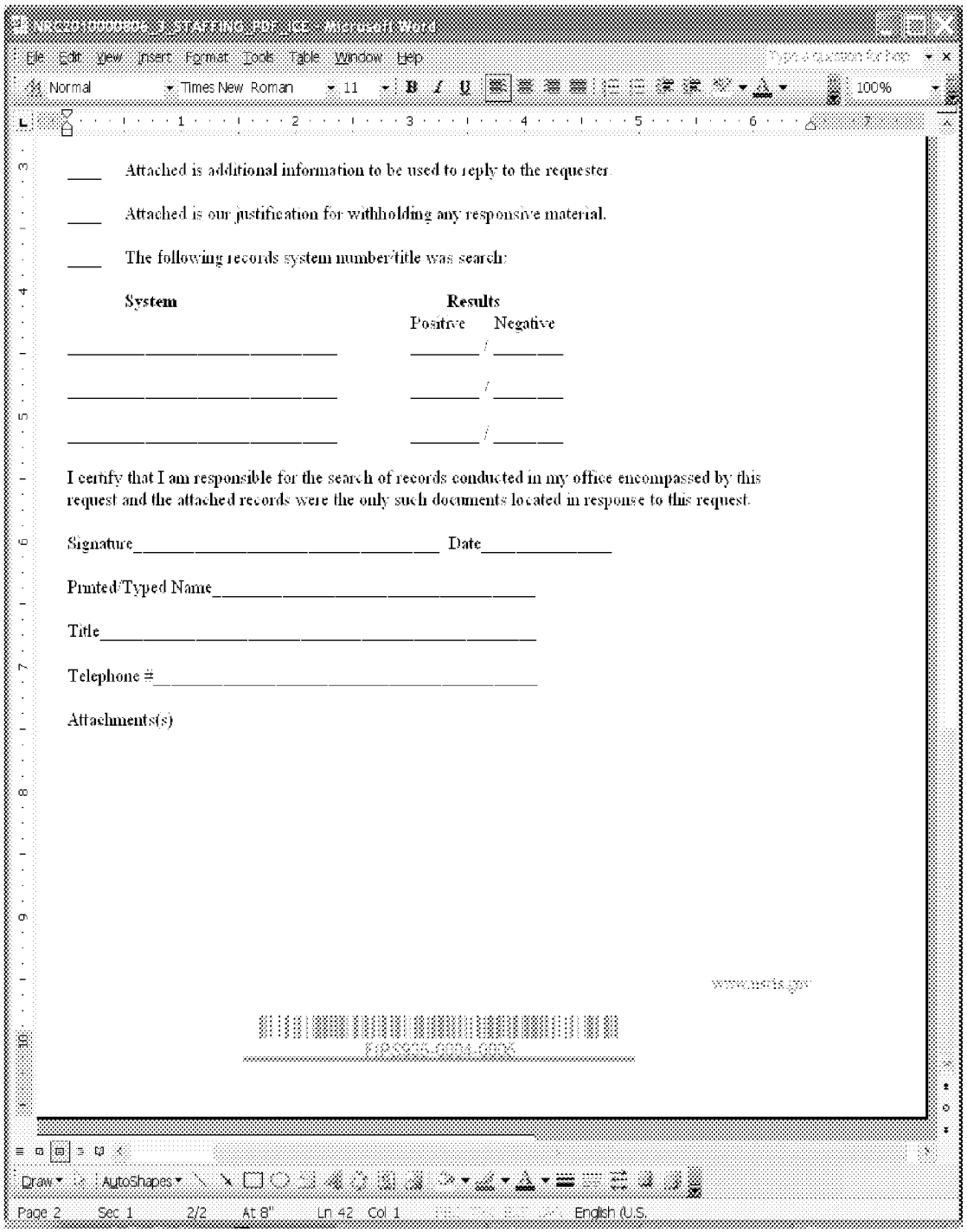
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

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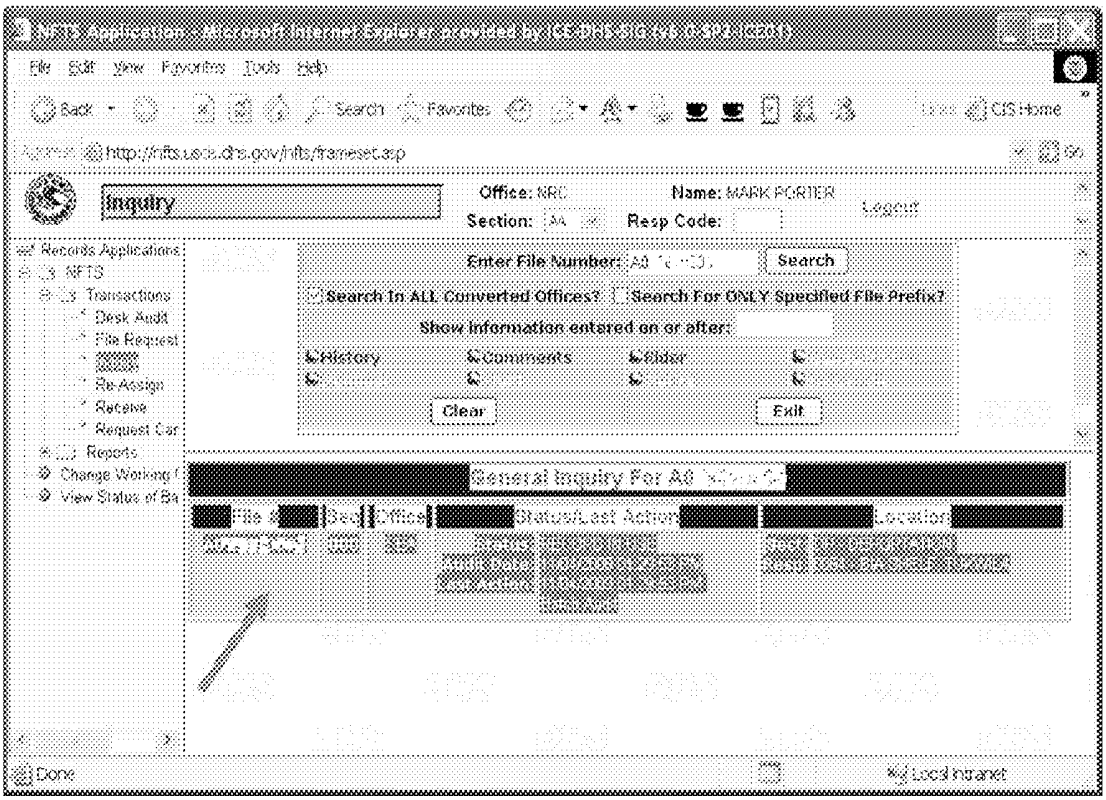
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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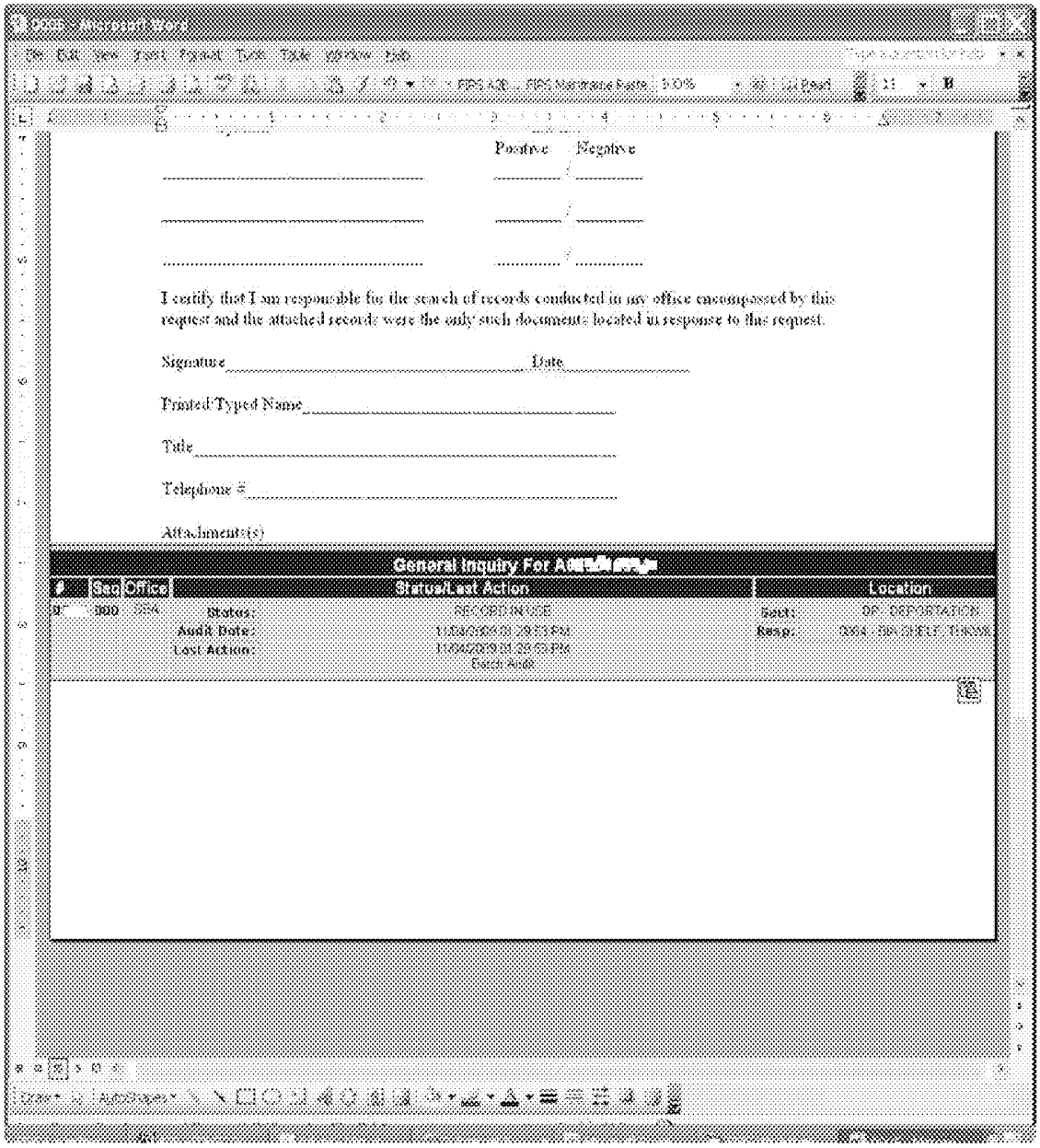
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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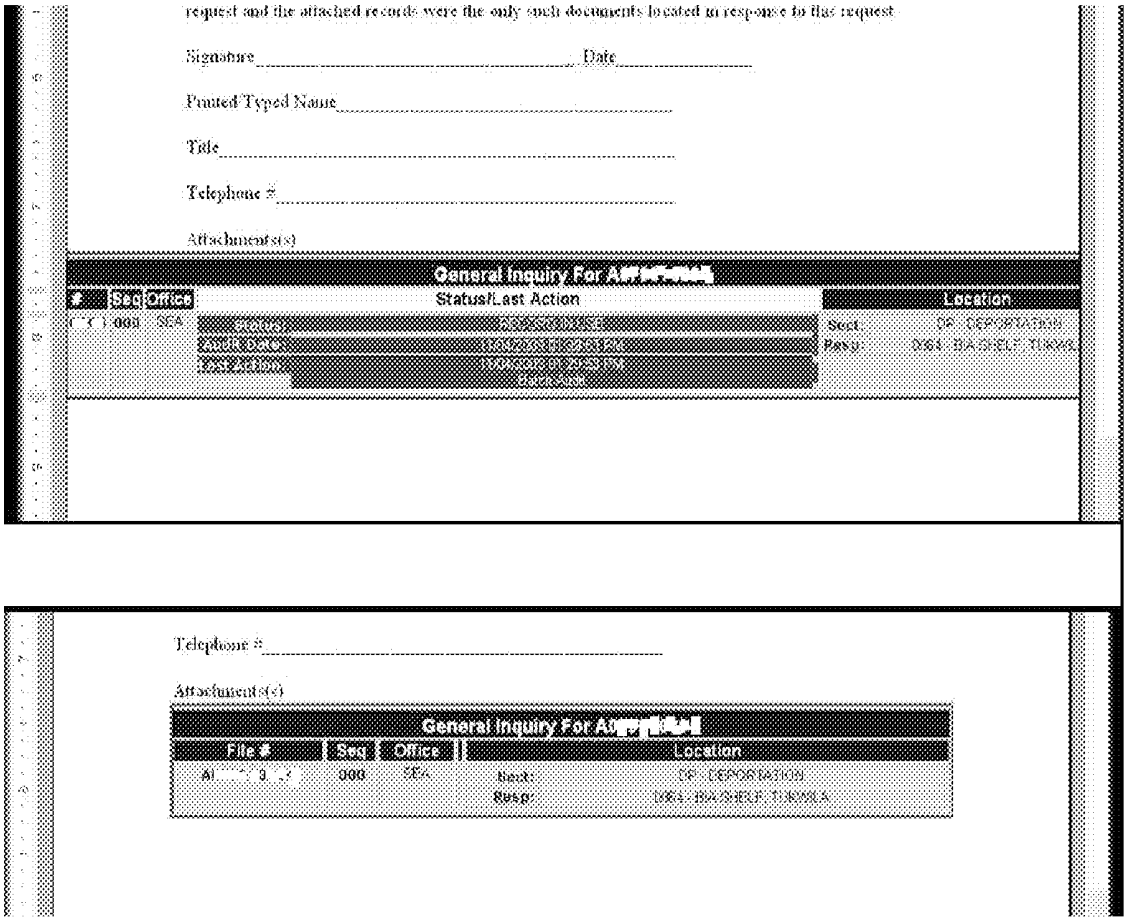
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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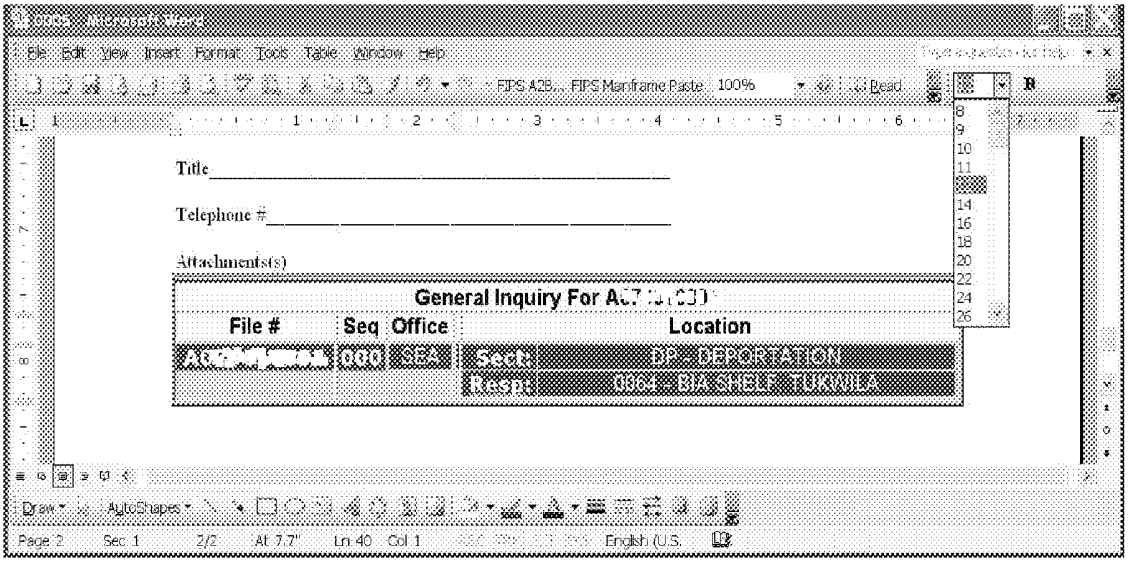
Next, highlight the whole area and change the font size to 12.



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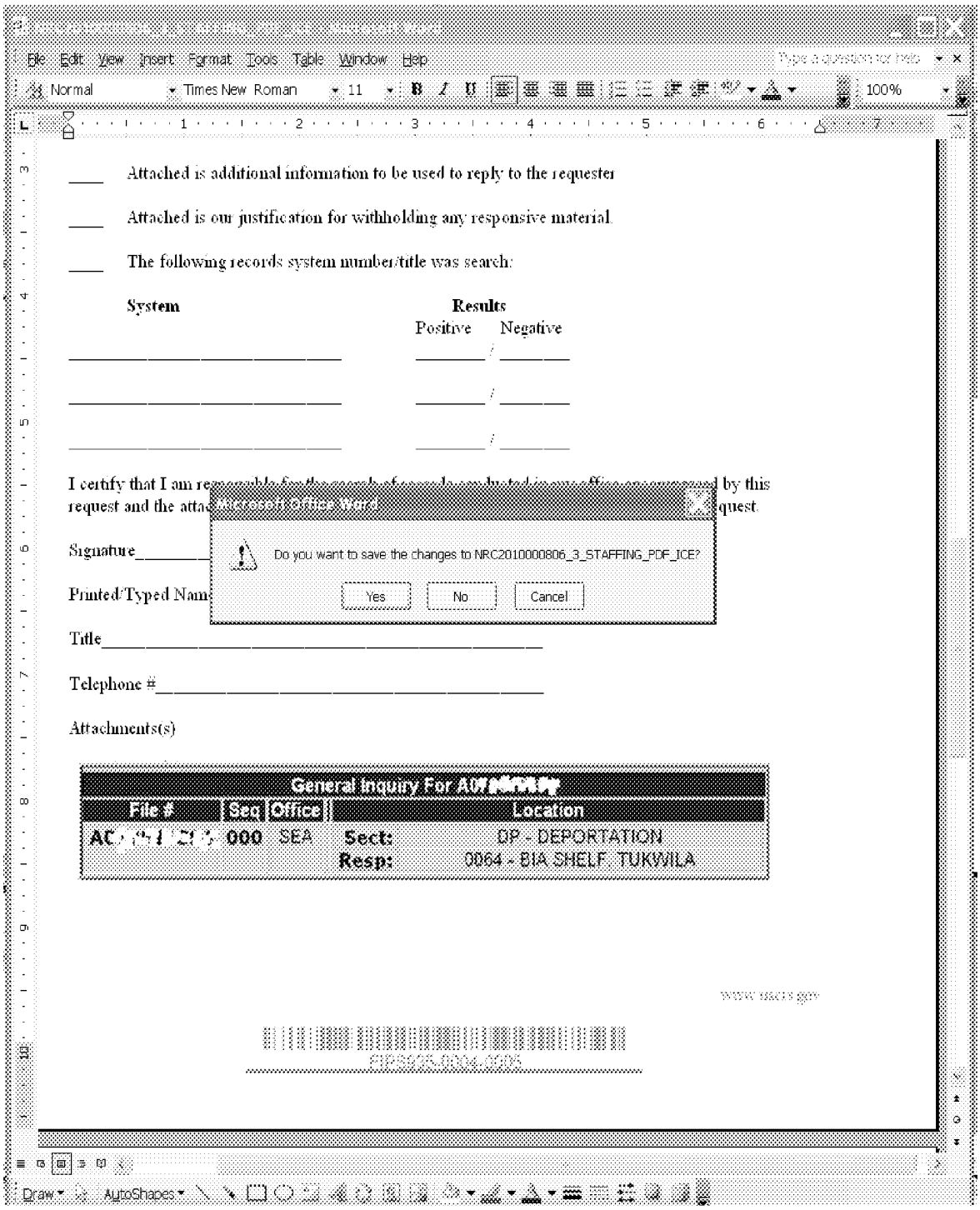
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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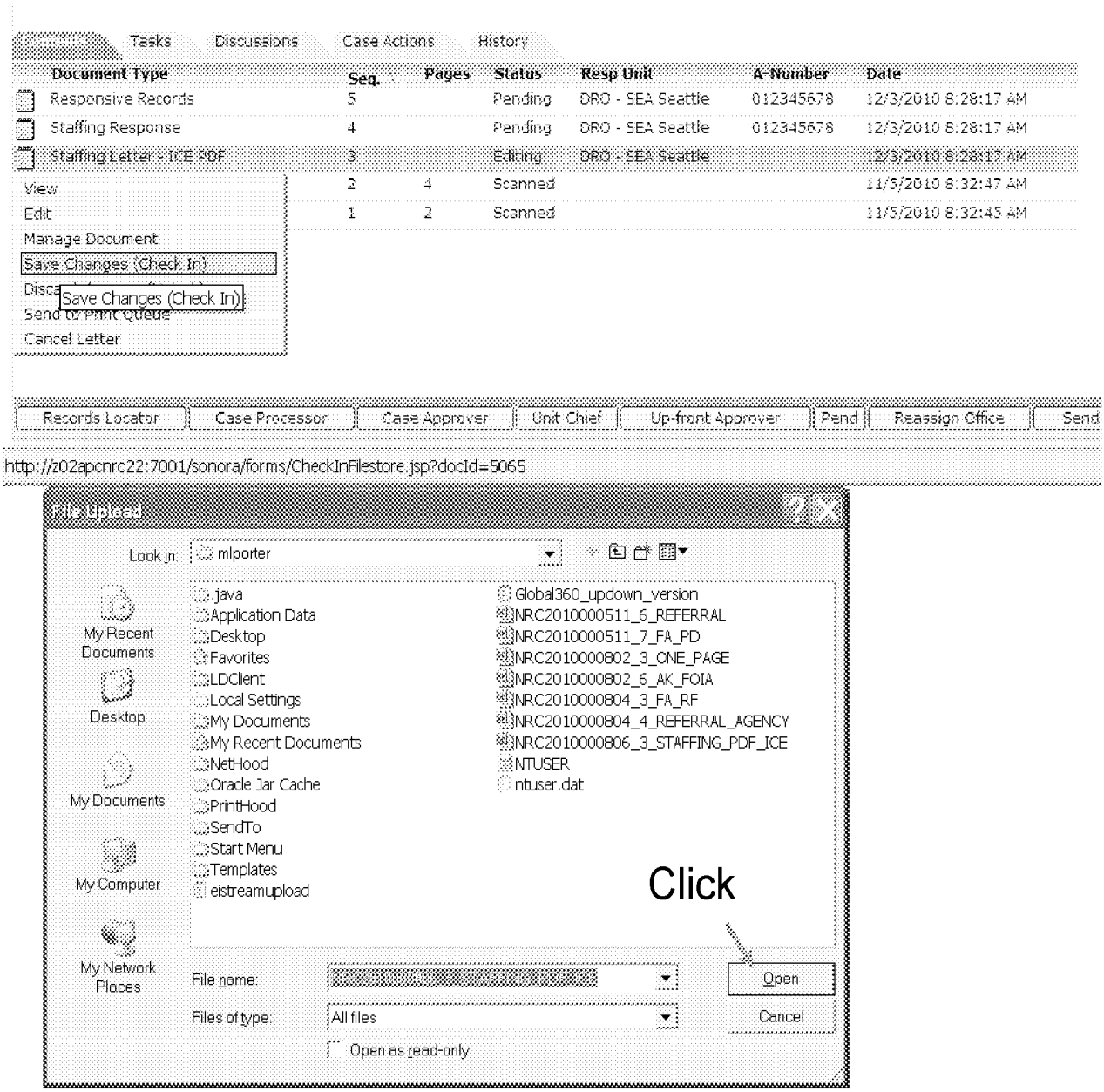
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

12.7 Staffing Scenarios

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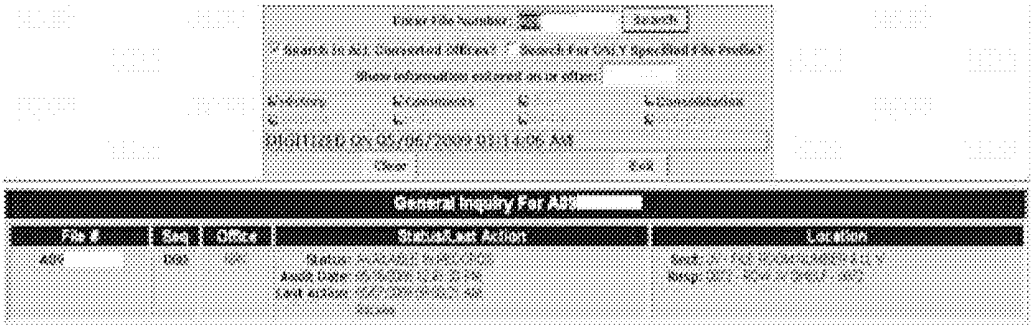
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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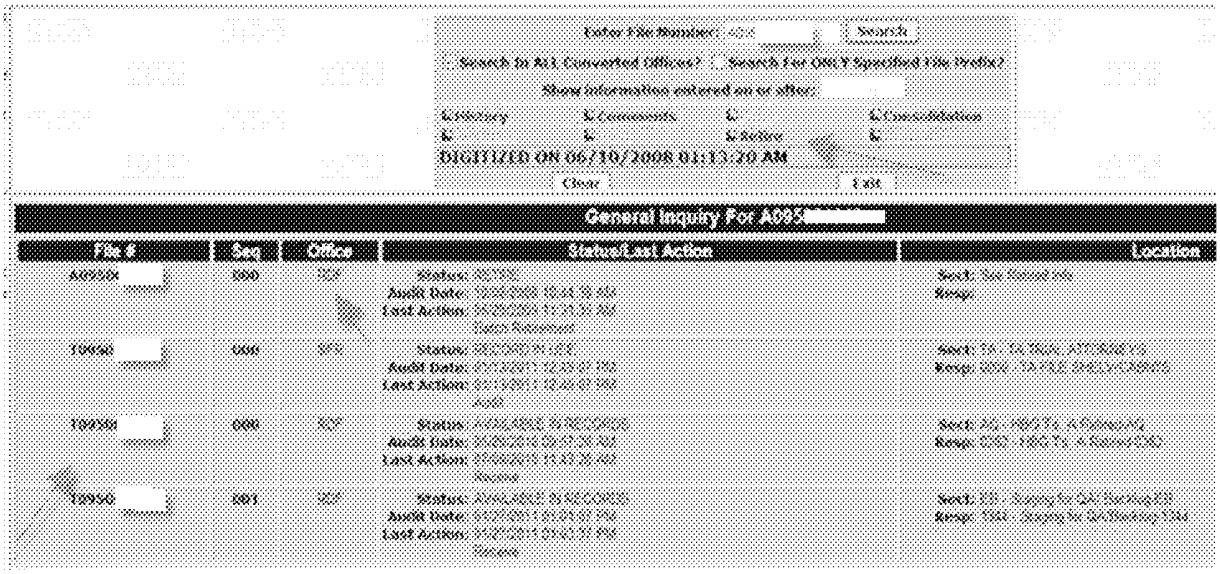
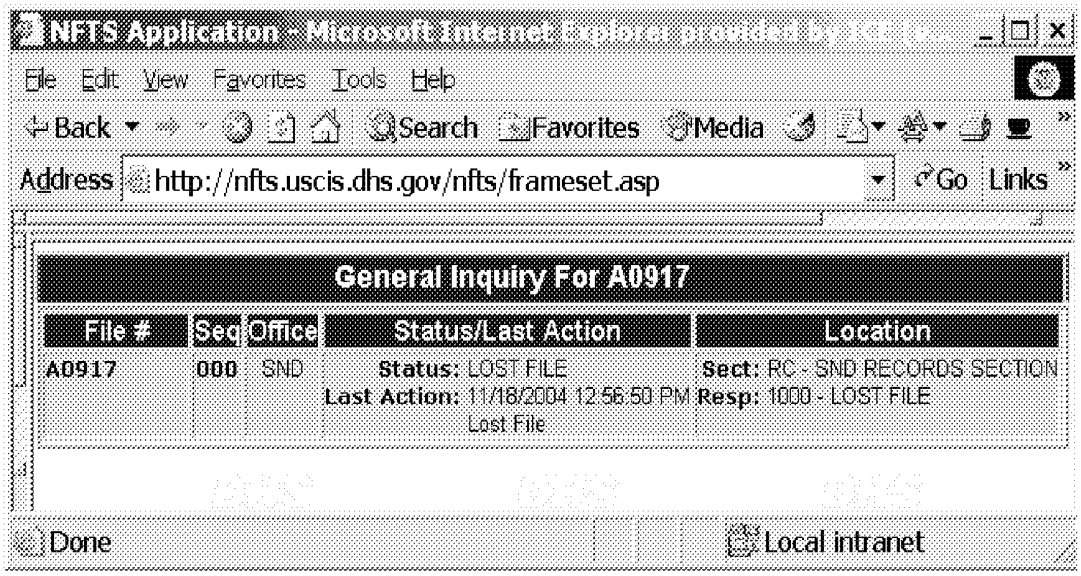


In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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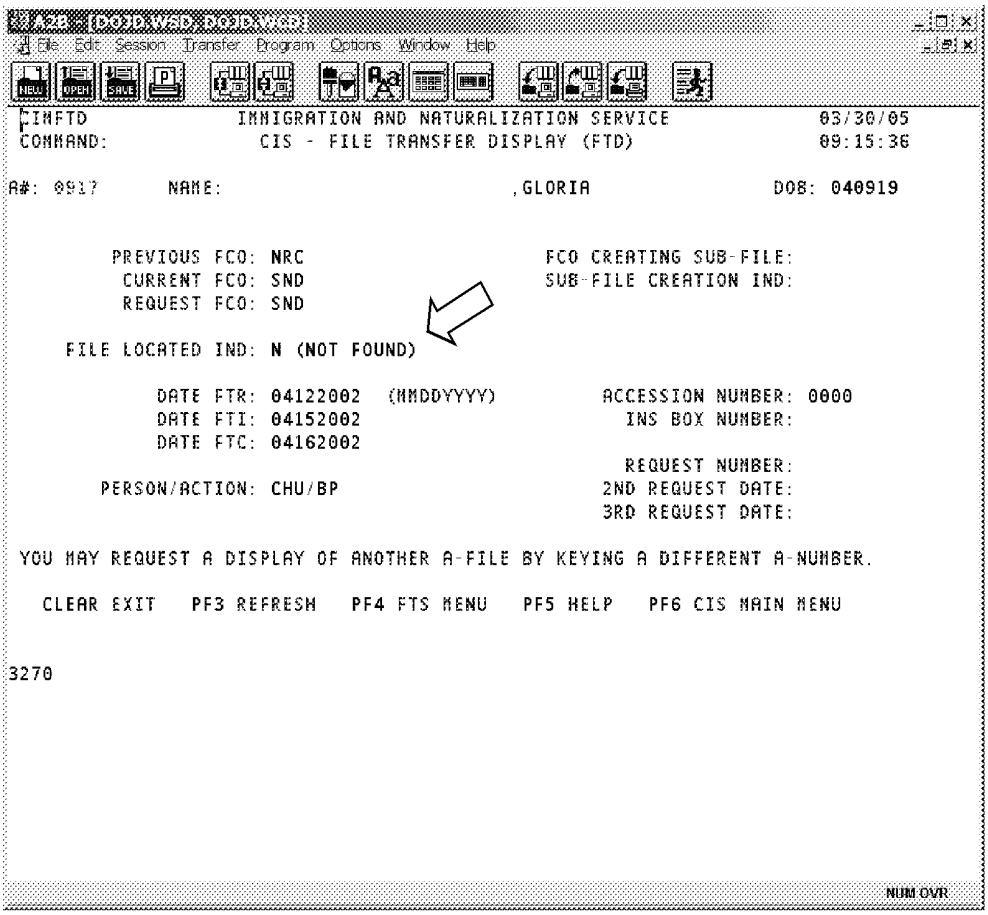
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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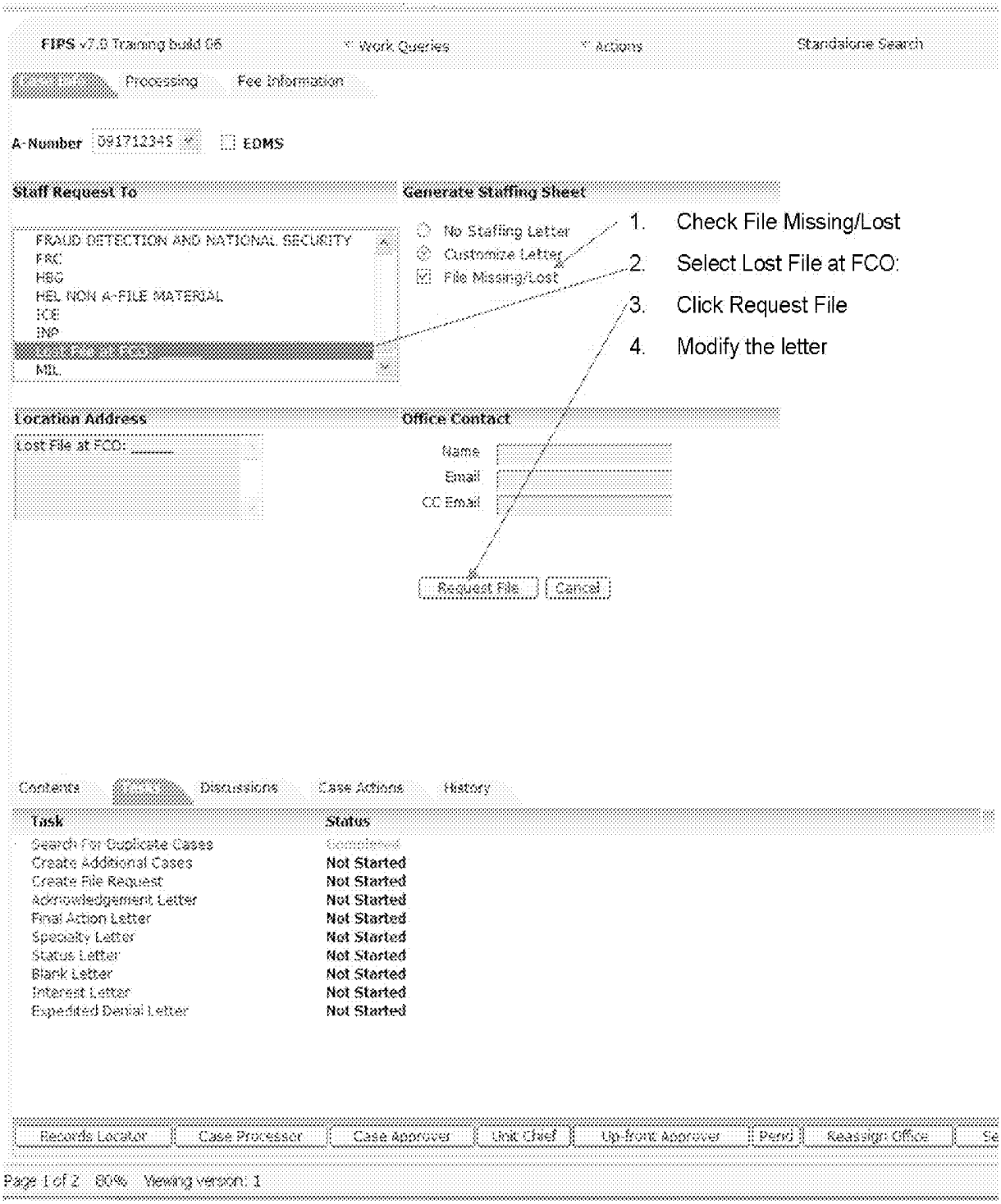

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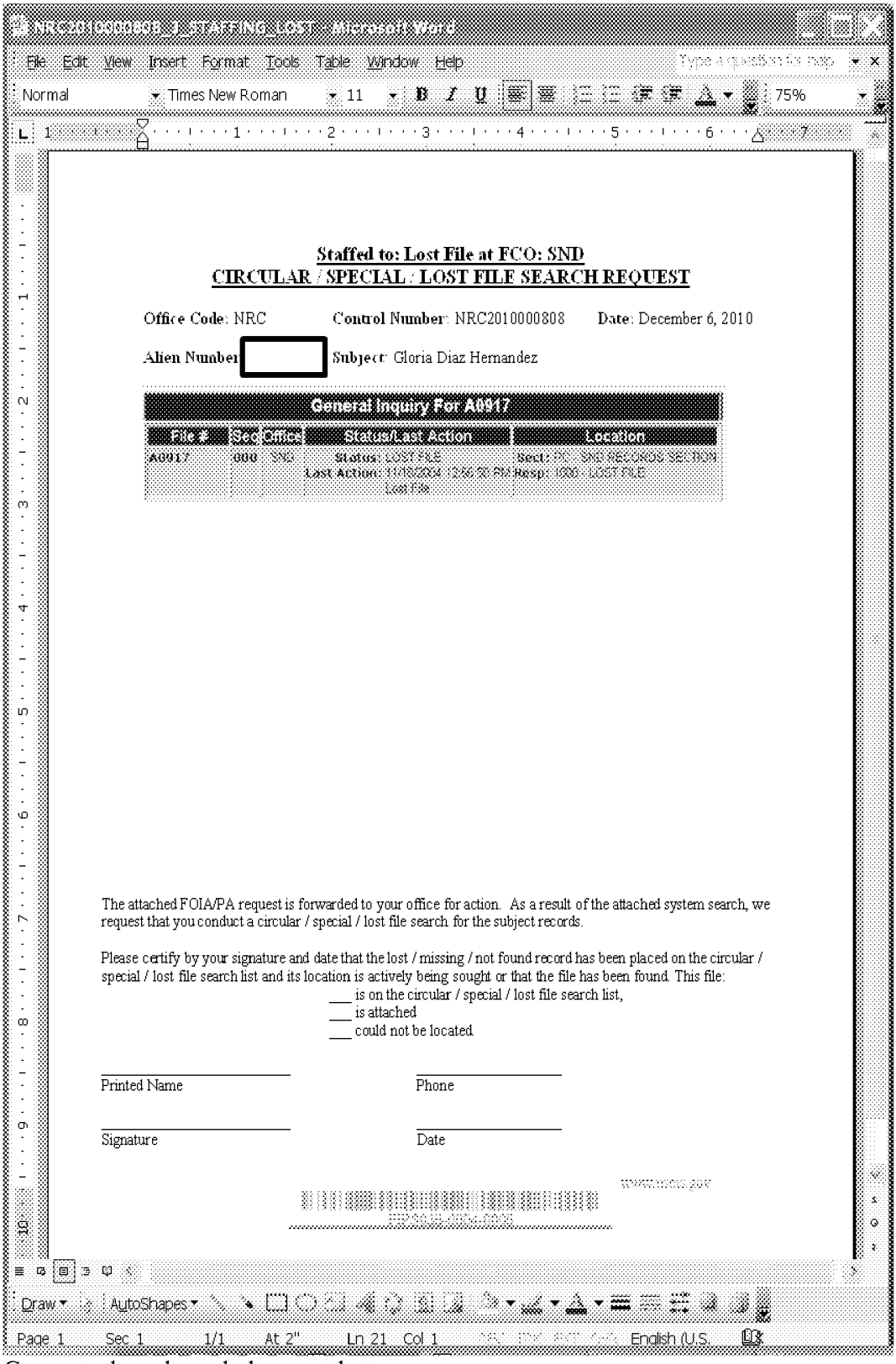
(b)(6)



Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number [redacted] **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:56:30 PM Lost File	Sect: SND RECORDS SECTION Resp: 000 - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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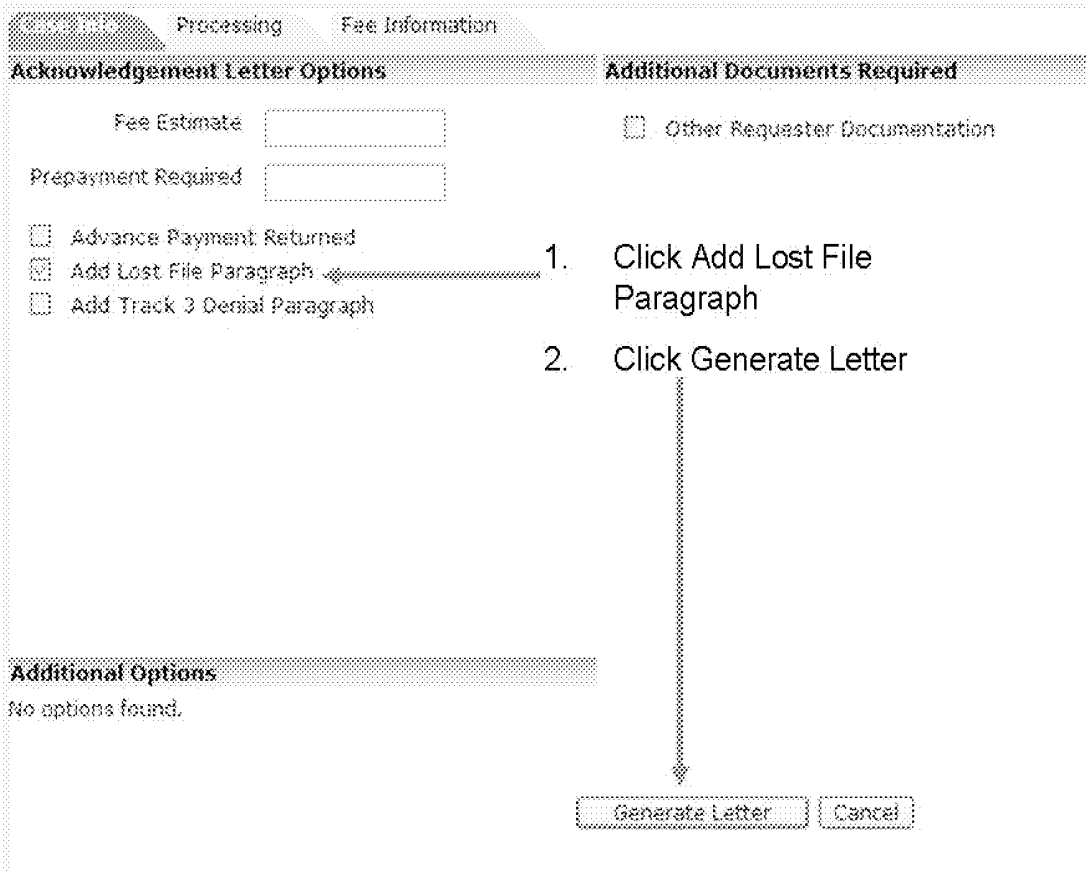

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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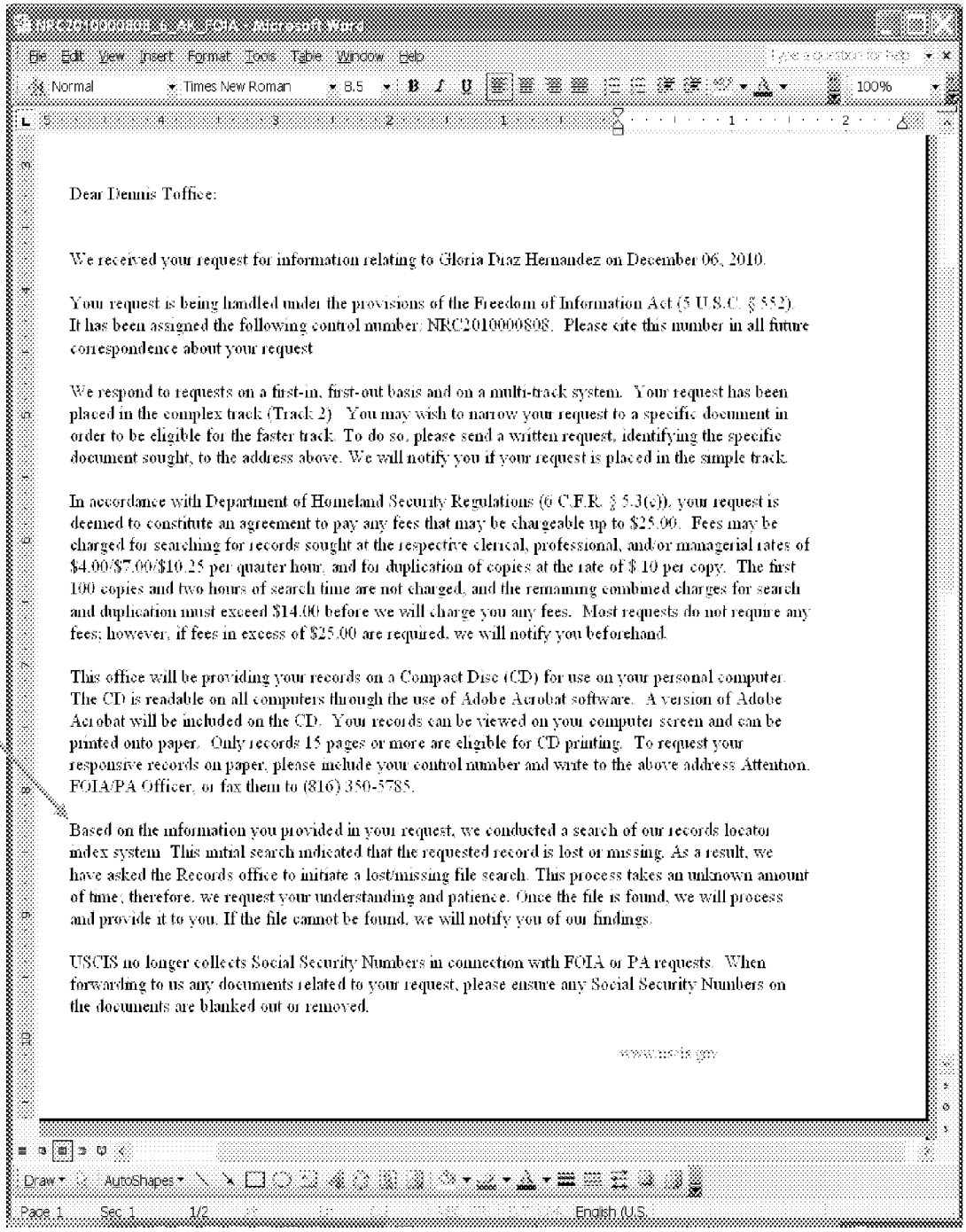

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $ 10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO RECORDS. It is important that you provide as much information as

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possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

Records Remarks:

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TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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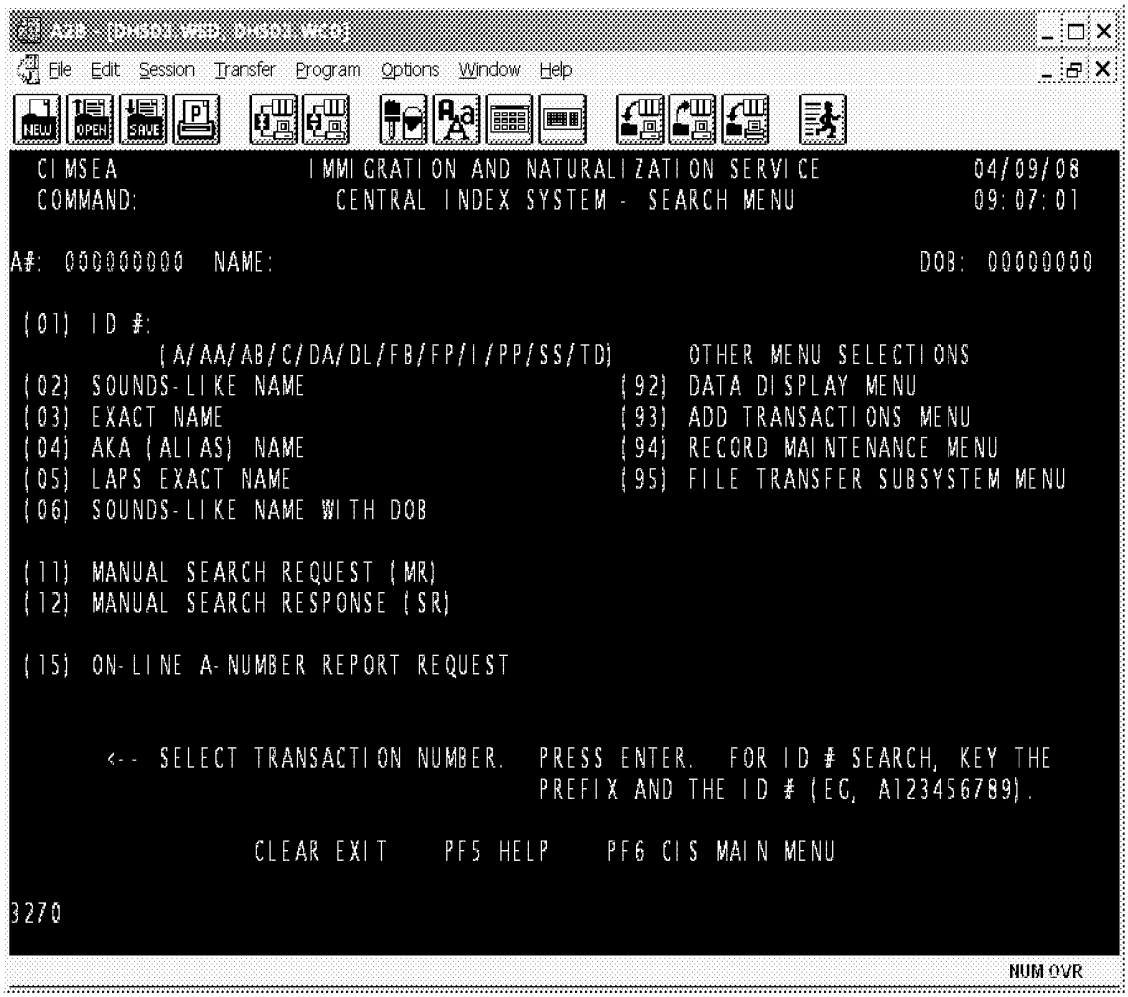

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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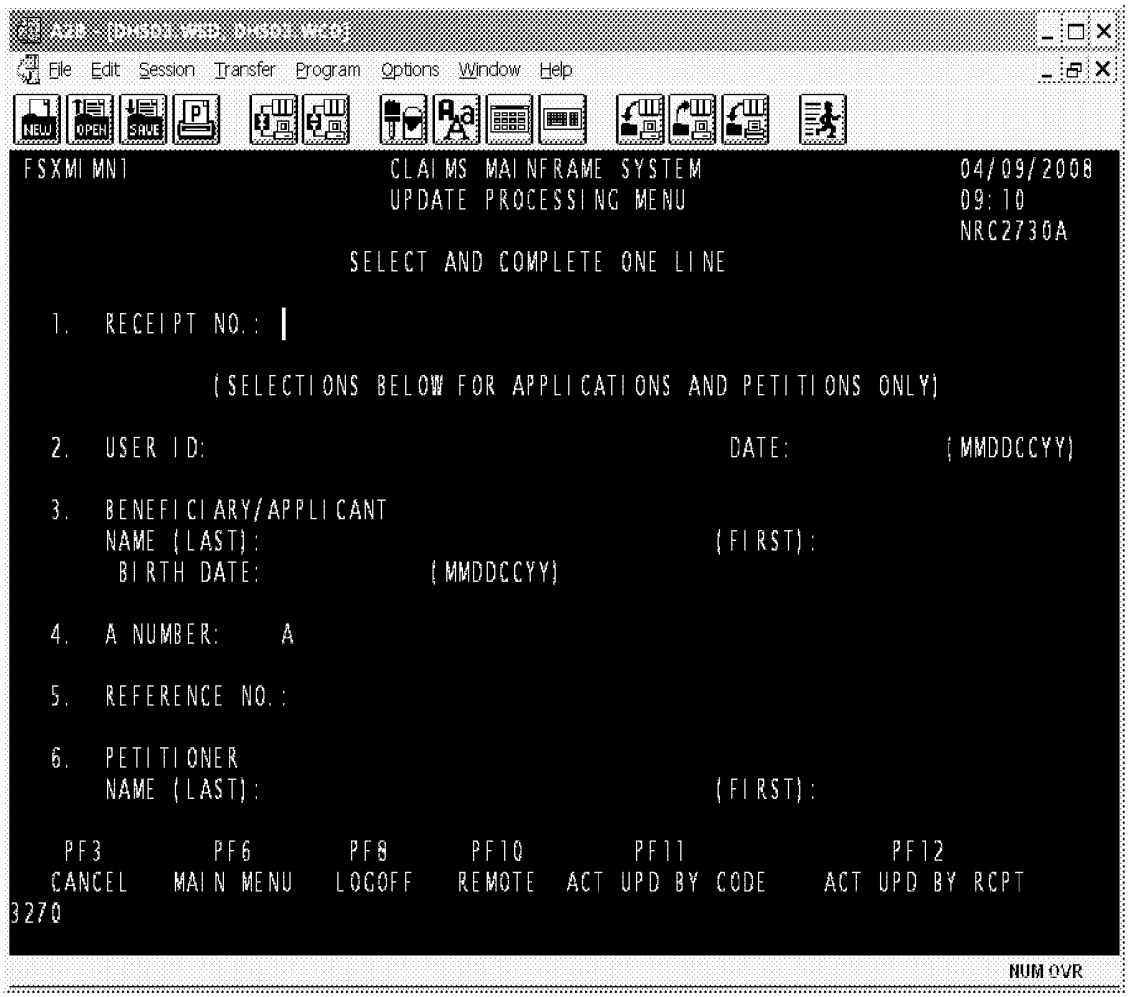

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter. OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**

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Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another

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example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the

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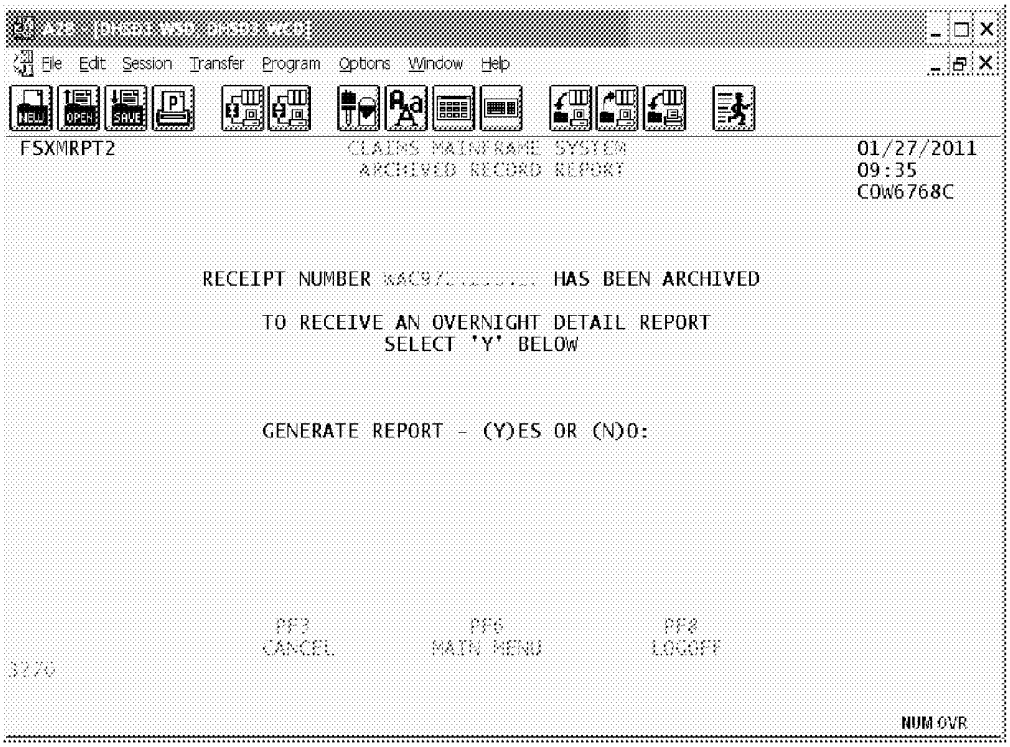
CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

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3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions in Paragraph 12.7.14, *Receipt files; Lost receipt file, File destroyed or File cannot locate*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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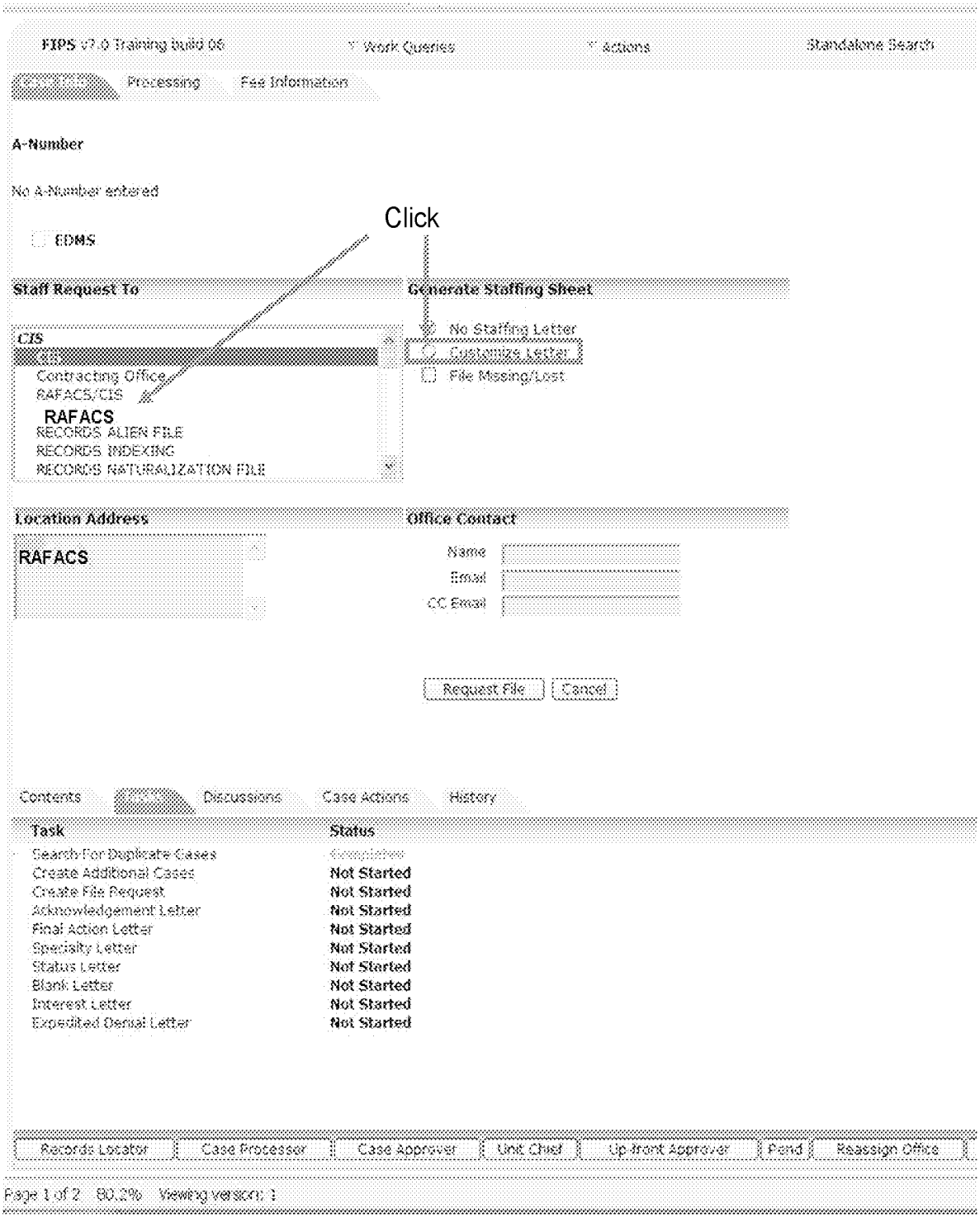

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012393 **Date:** June 5, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	0001	04/20/1992	Filing Mail	WSC	RAFACS CONVERSION	
WAC93	0000	04/20/1992	Filing Mail	WSC	RAFACS CONVERSION	

RECEIVED
JUN 08 2009
F.O.I.A.

According to CLAIMS this file is owned by WAC
2nd Staffing

A28 - [DHS03.WSC, DHS03.WSC]

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I (we) have conducted a thorough search for the above listed A file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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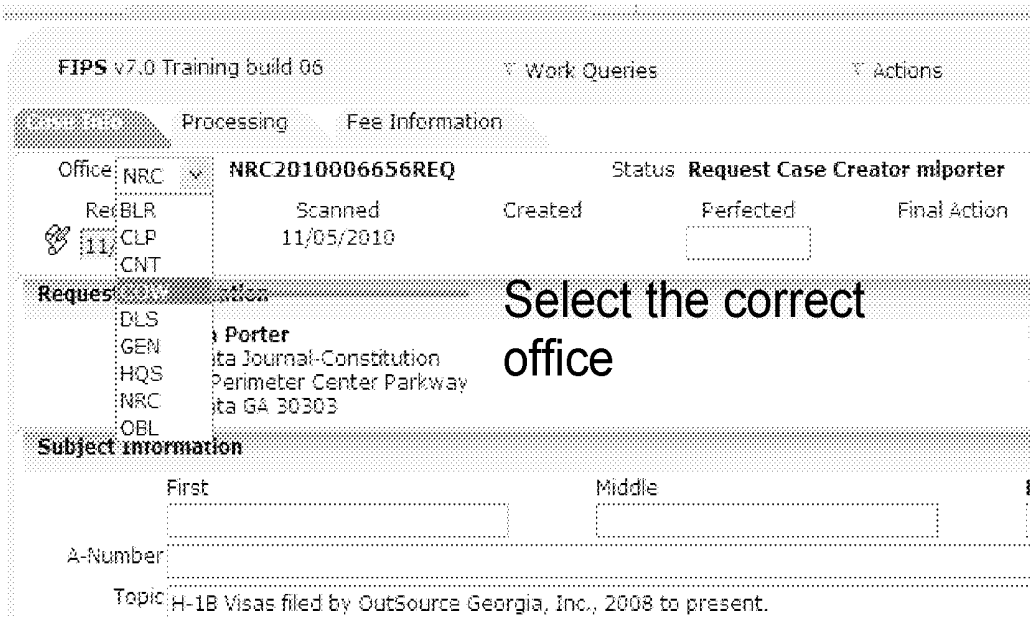
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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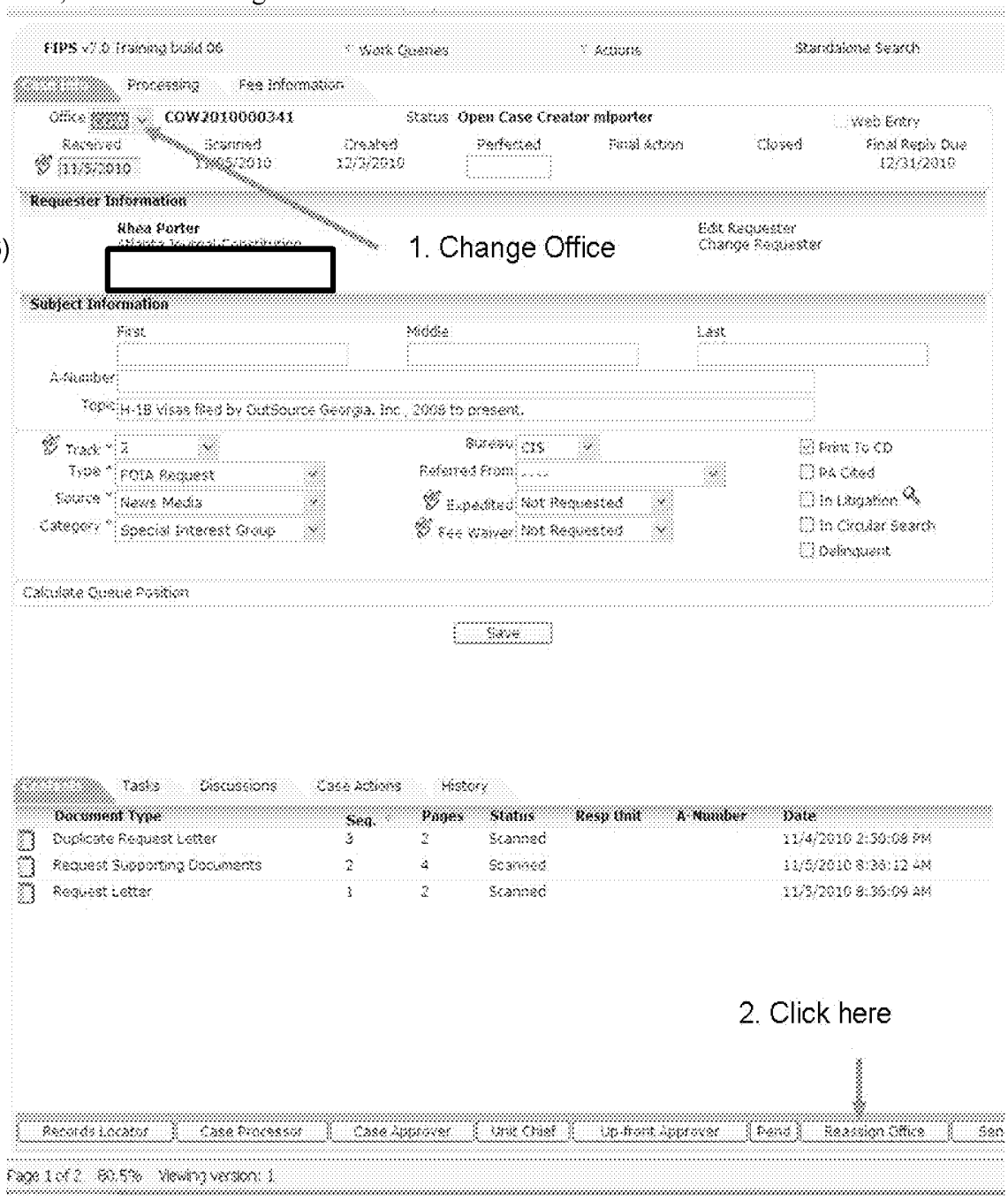
Next, click on "Reassign Office"



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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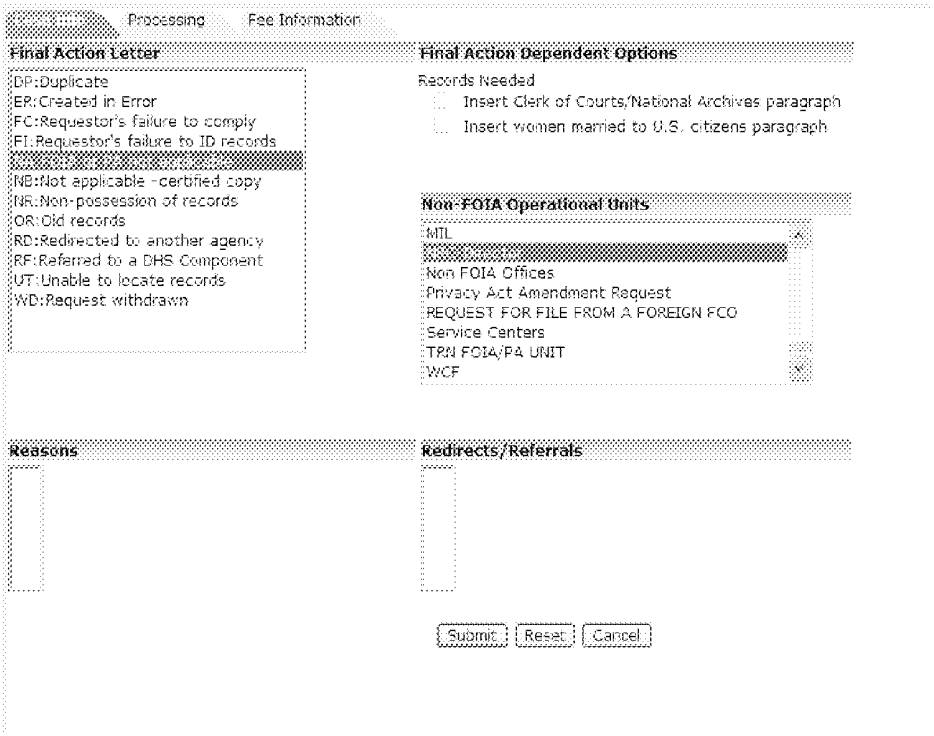
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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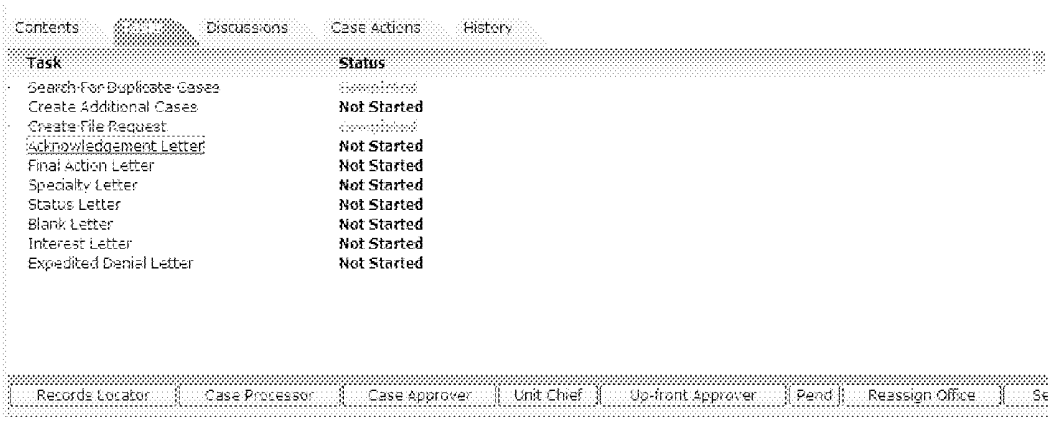
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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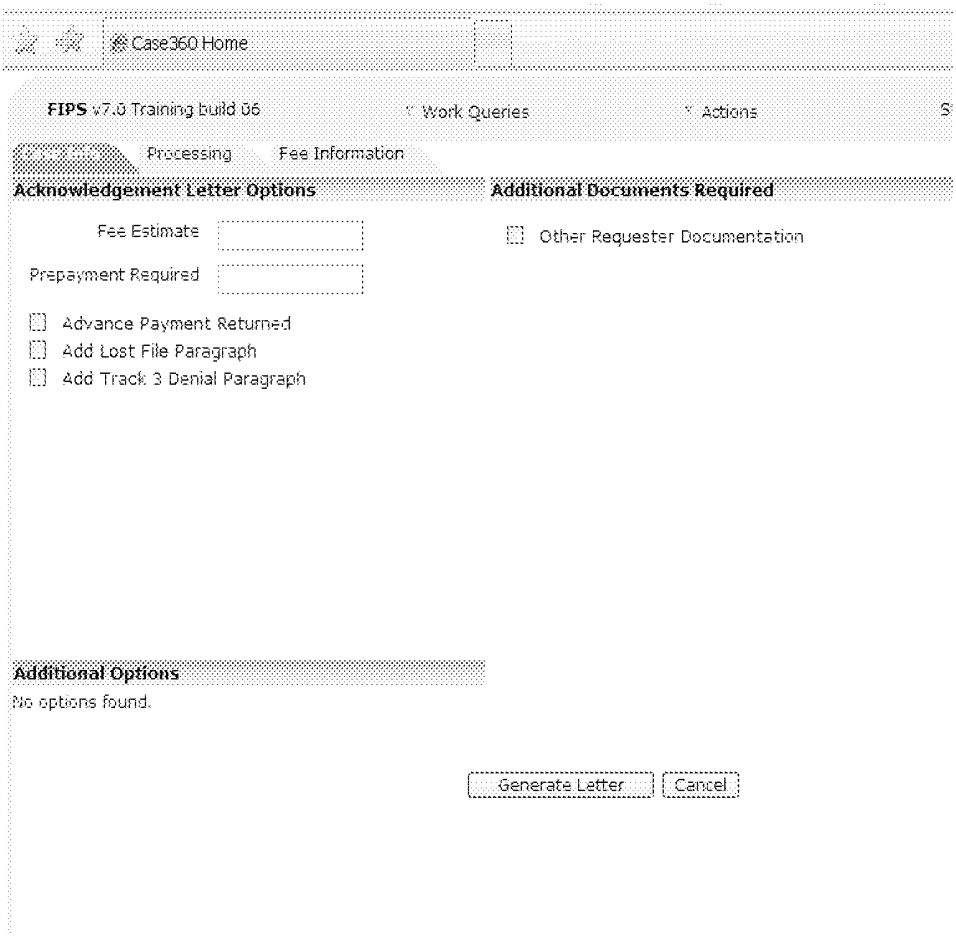
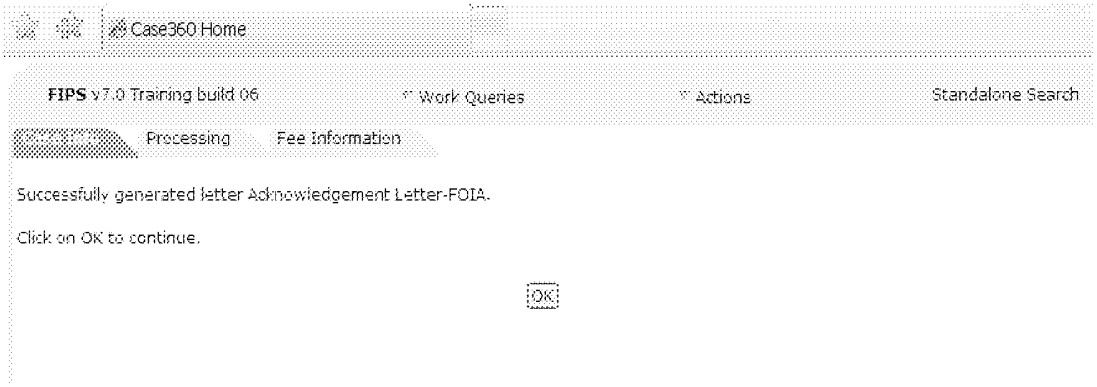


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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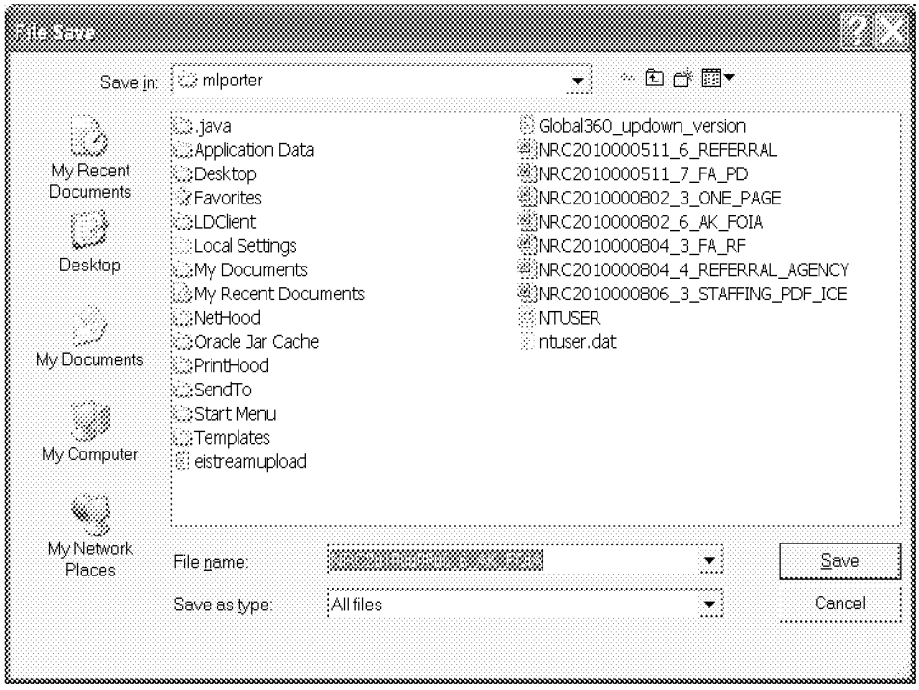

The acknowledgment letter will pop up:

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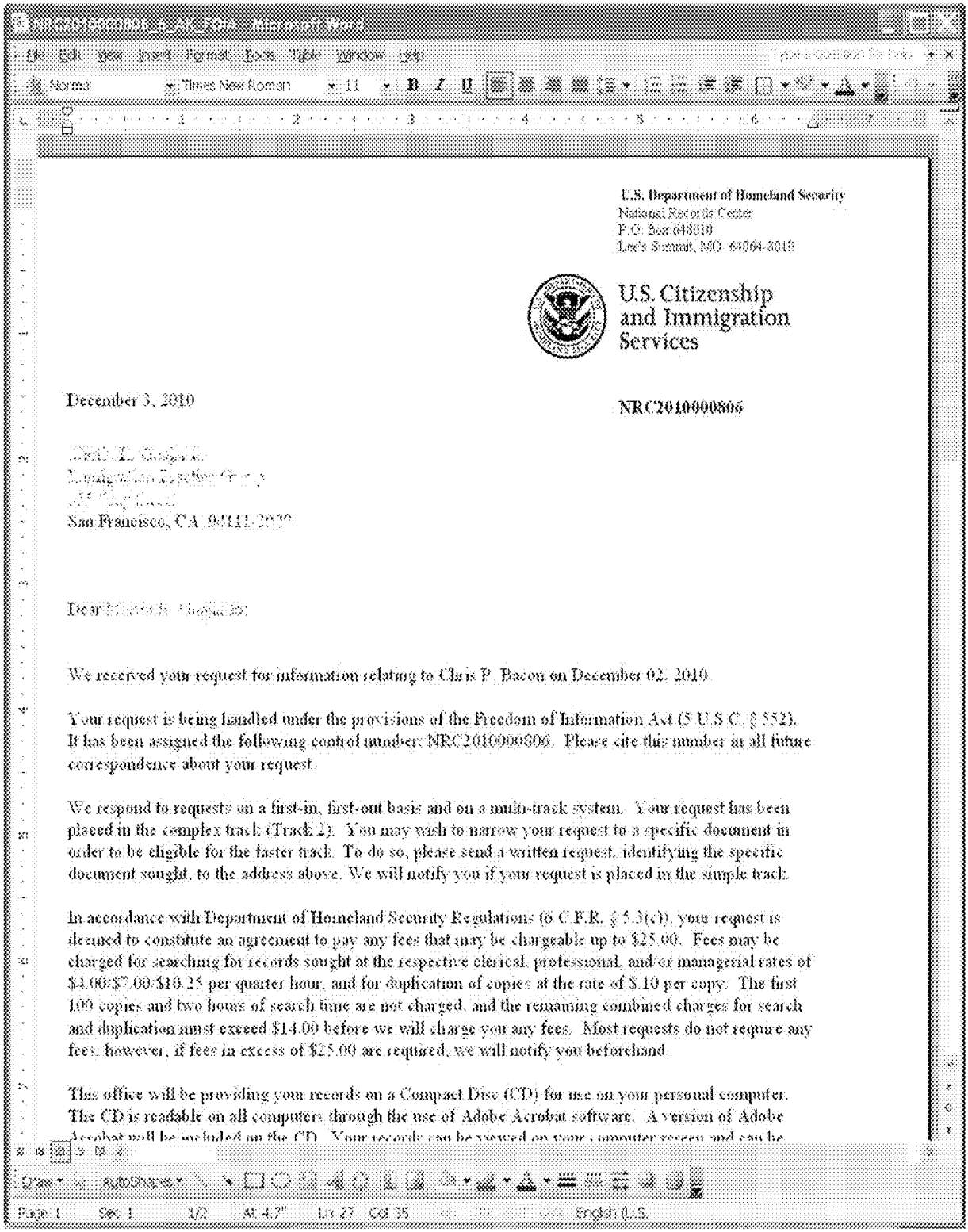

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 94112-2020

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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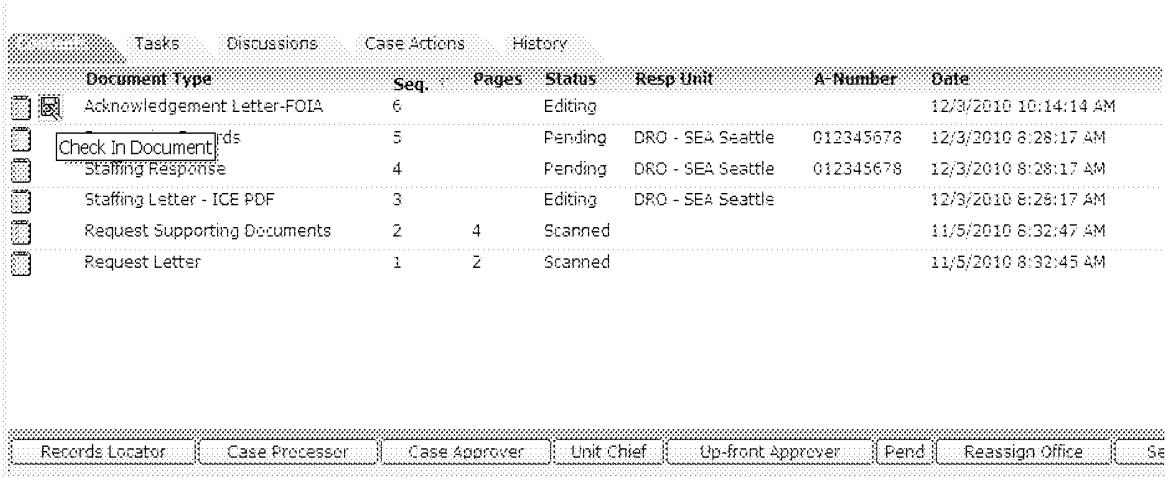
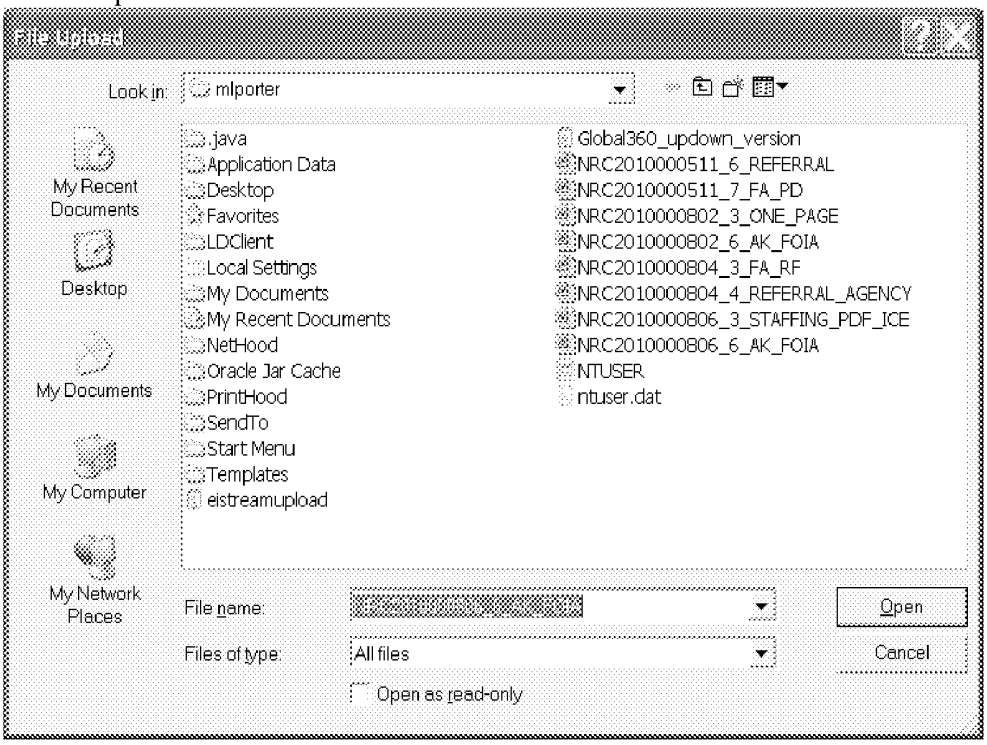


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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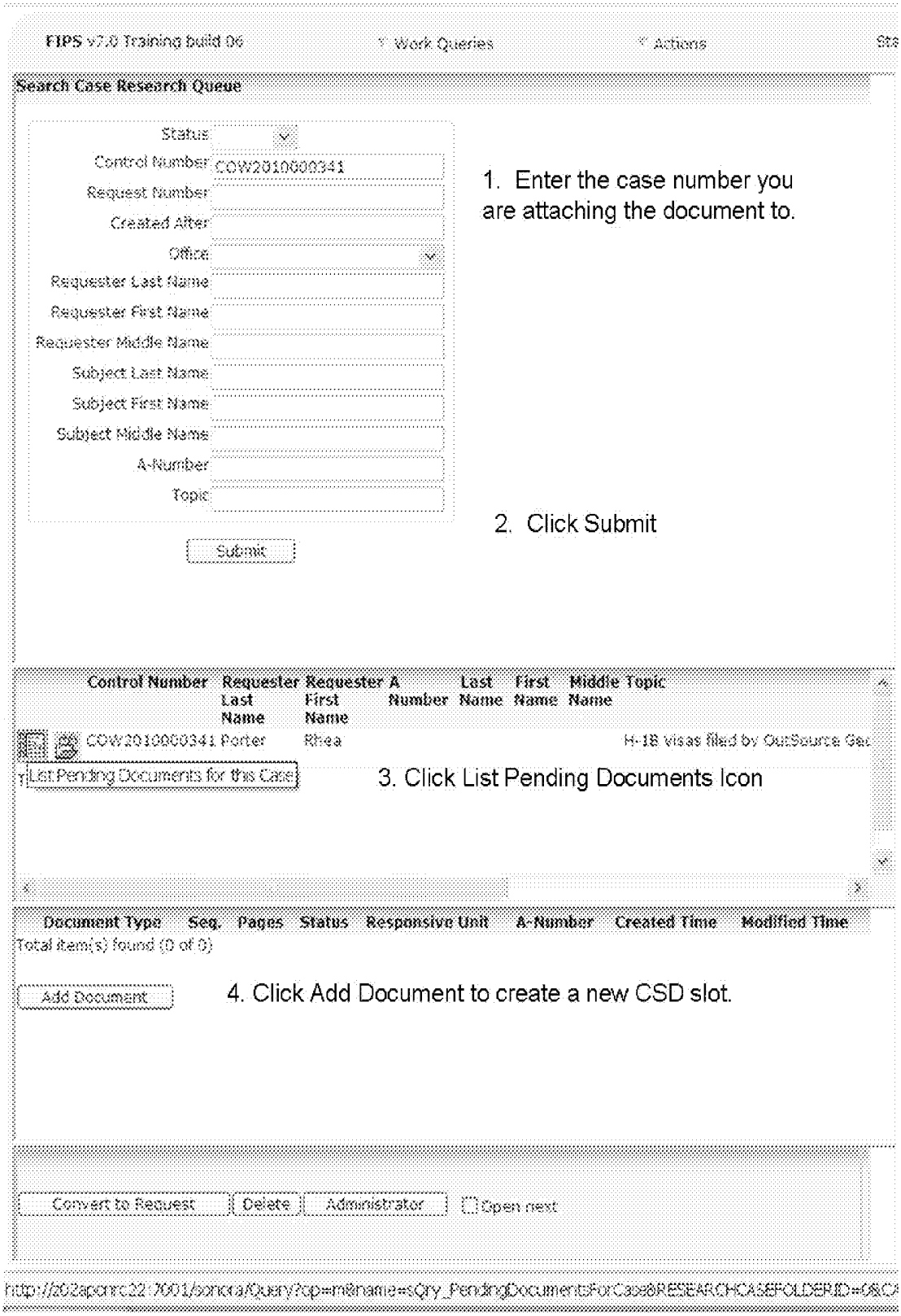

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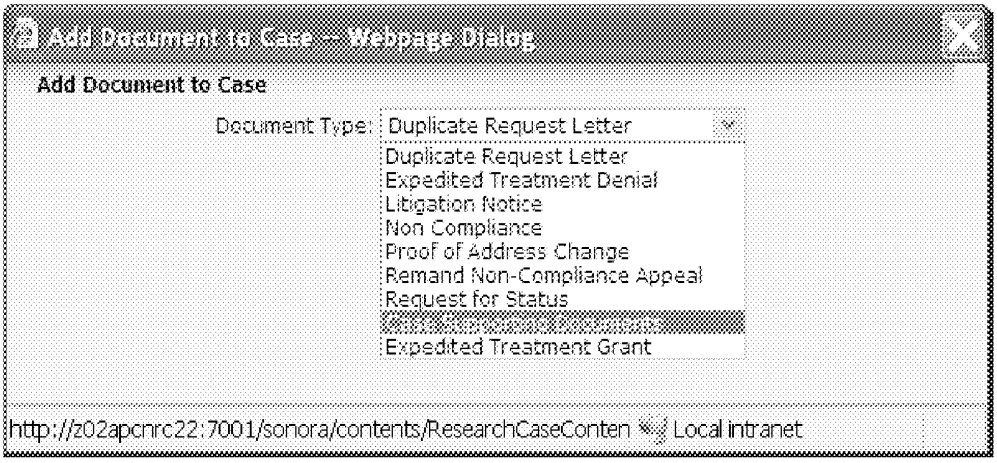

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

25.1.3 Final Action Letters

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Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

      a. Make a copy of the CD and returned envelope.

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b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

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25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these

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FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

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If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

26. BLANK TAPES/CD's

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If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

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3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed

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- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

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32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 Deleted.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

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32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we

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send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

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33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

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When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

36. Deleted

~~Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.~~

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37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

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Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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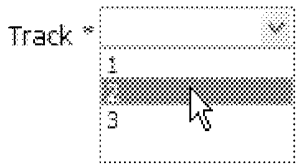
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

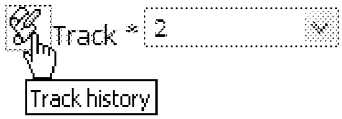
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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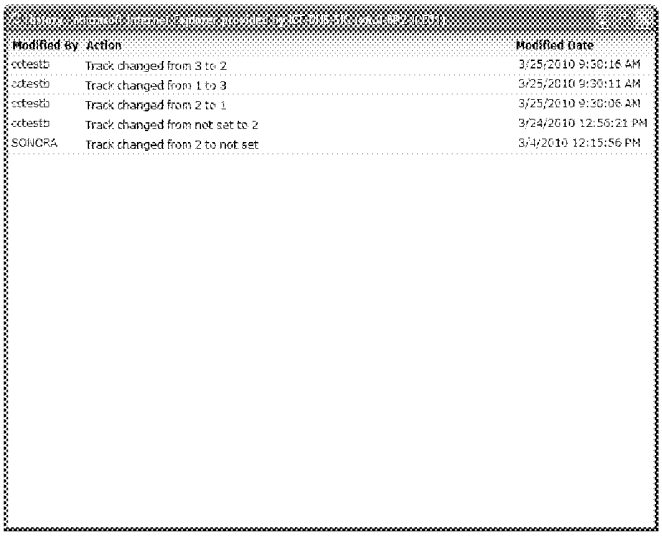
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SCNCRA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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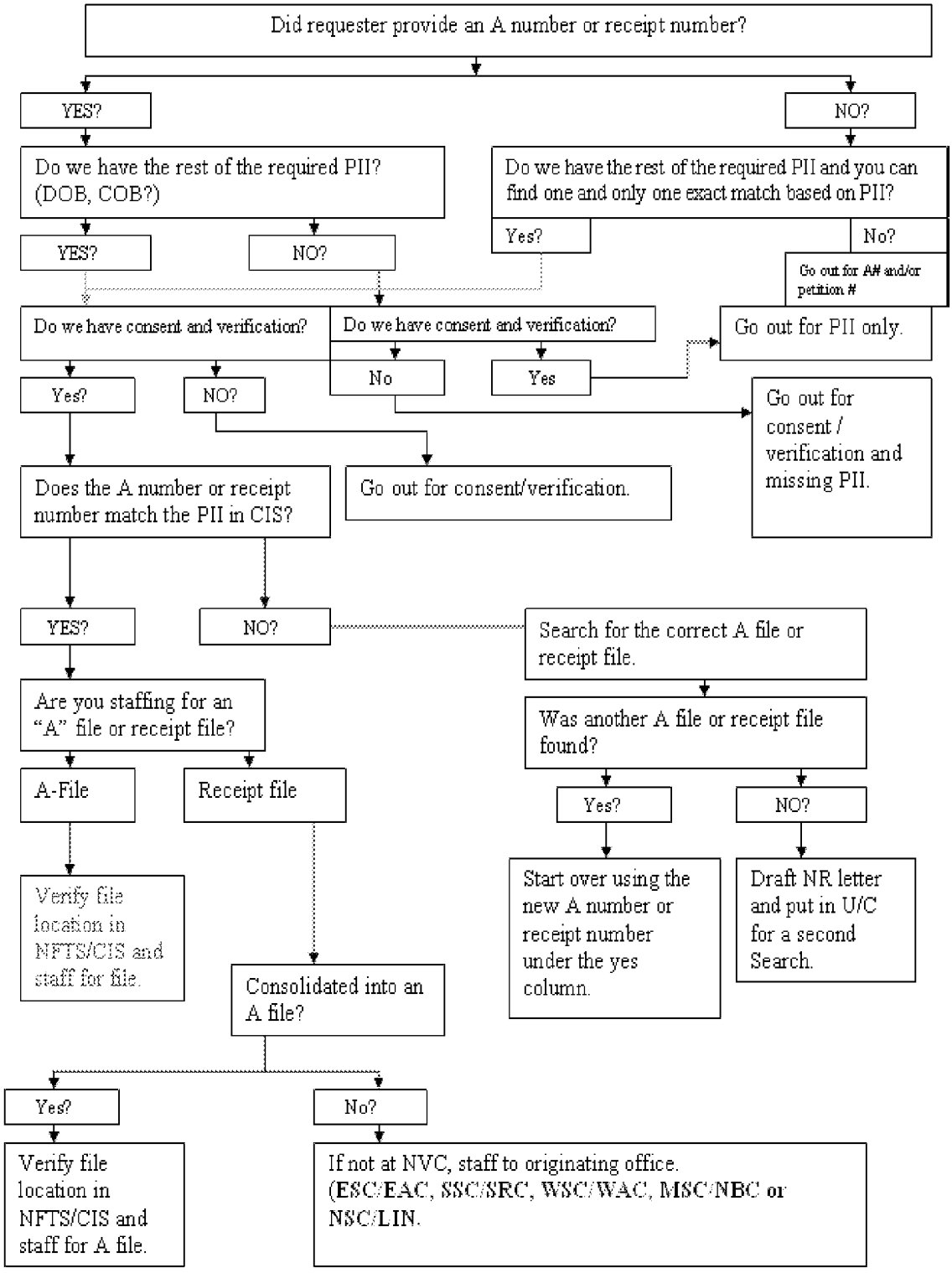
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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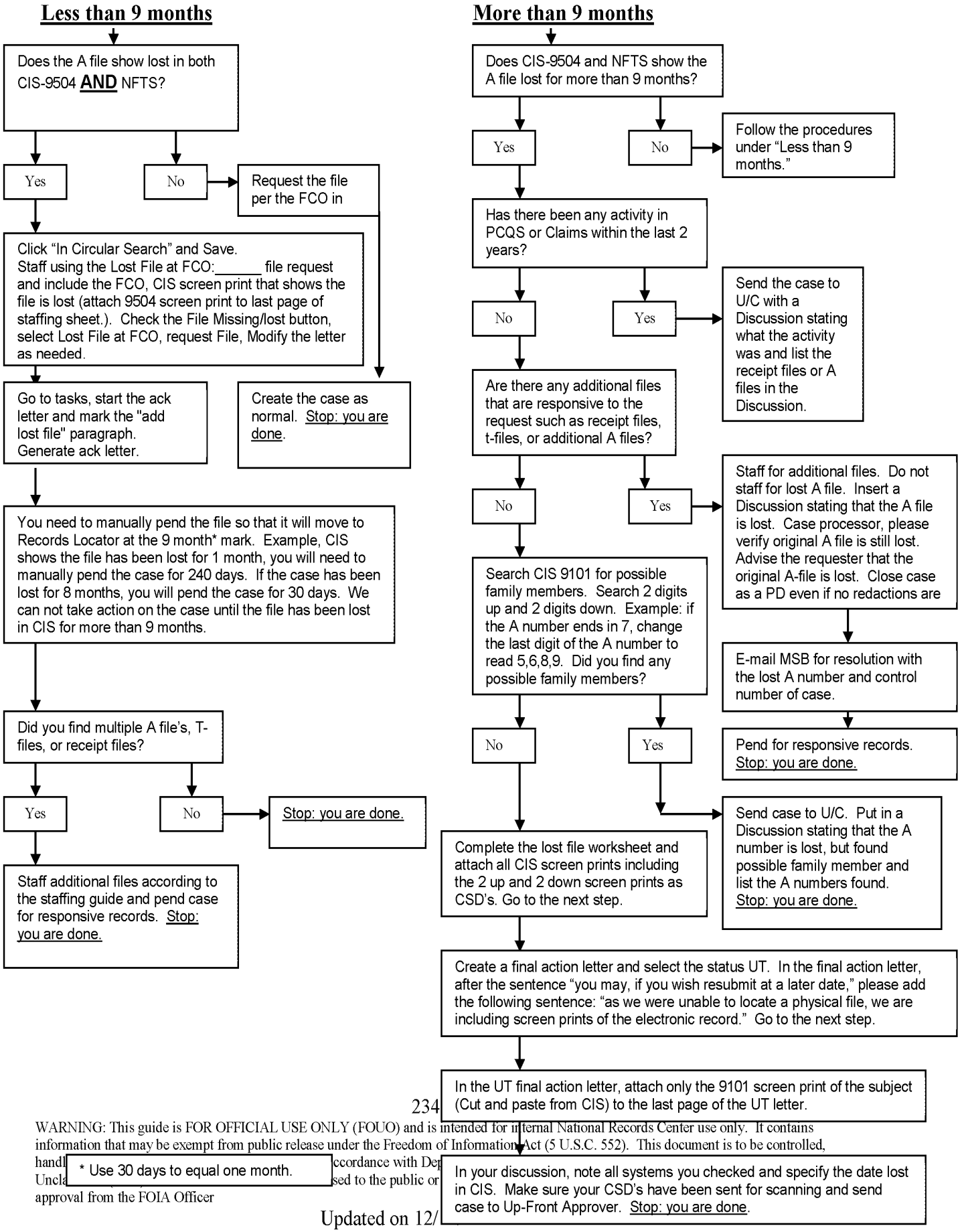
Updated on 12/19/2011

Lost File Flowchart



* Use 30 days to equal one month.

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Updated on 12/

APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all requester documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, requester documents, or track changes) to the Research queue.

3. Make sure we have valid consent, and VOI (DOB and COB). If not, close as FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. Do not send out for requester docs if we have everything in rule 3. If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. Search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. Always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing all of the request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

9. Always use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other

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address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases. You must add the specific language on the request (or as close as possible to their language) to the track 1 acknowledgment letter.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. You must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as a track 3, expedited, or fee waiver request.

12. Do not staff for A files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart. A files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as t-files and unconsolidated receipt files. Always remember to unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. Every time you move a case from one place to the next, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion

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must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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FOIA/PA ASSISTANT'S GUIDE

FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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FOIA/PA ASSISTANT'S GUIDE

Record of Revision

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FOIA/PA ASSISTANT'S GUIDE

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THE PRIVACY ACT 1
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FOIA/PA ASSISTANT'S GUIDE

THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

1.1 Introduction Screen

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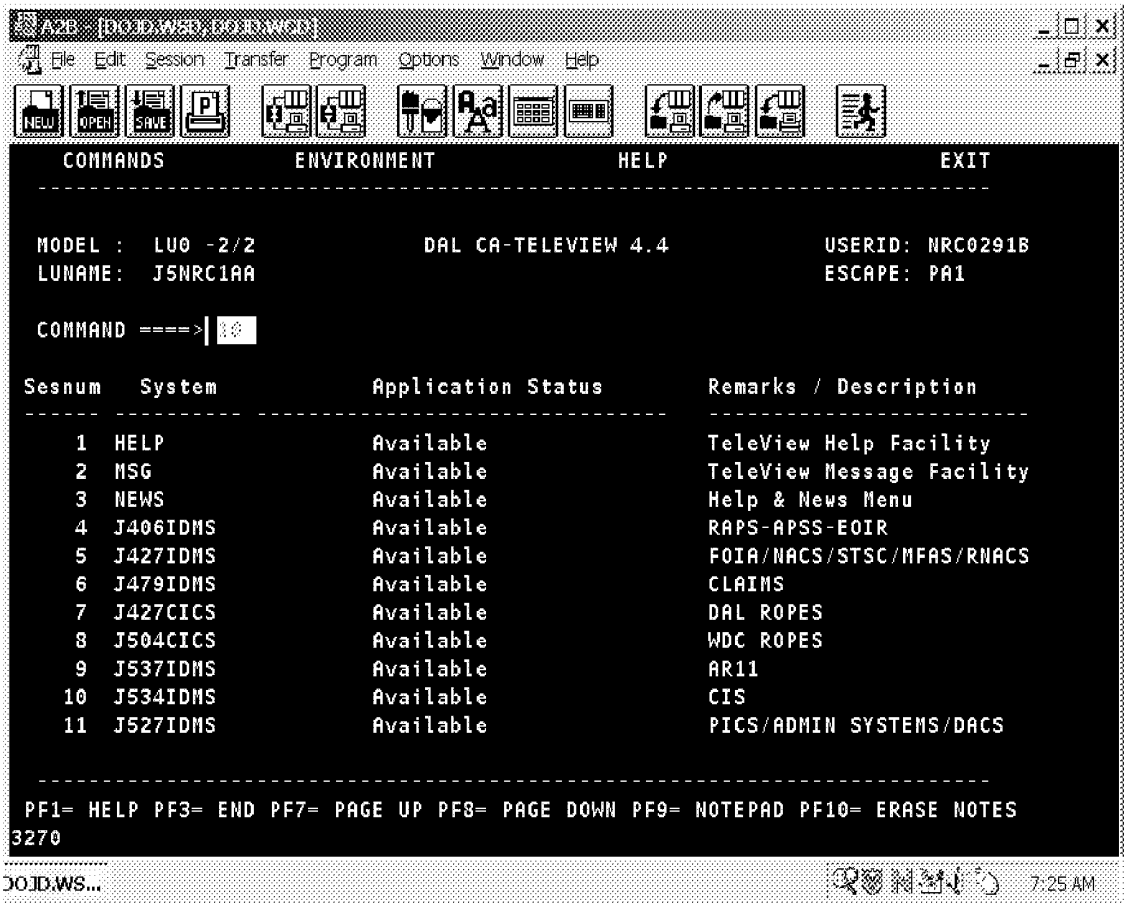
This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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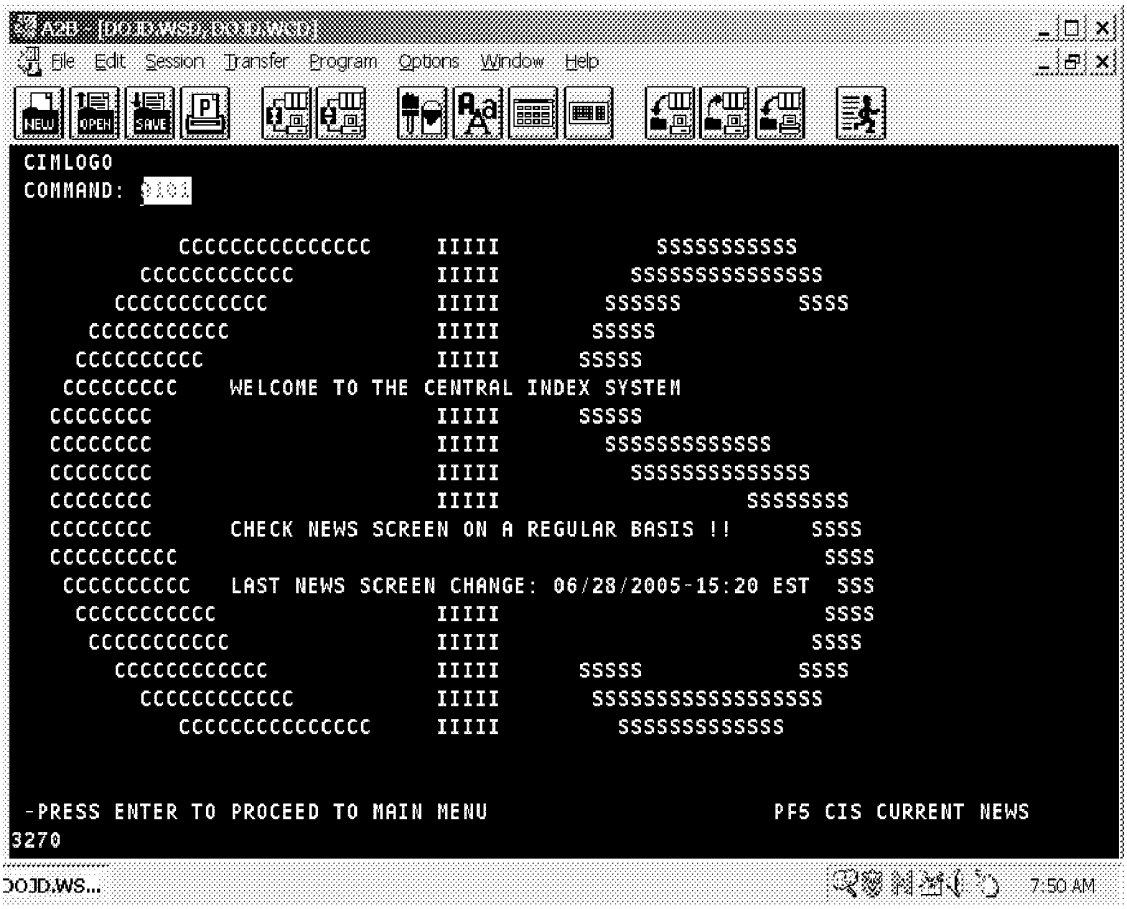
1.3 CIS Login Screen



This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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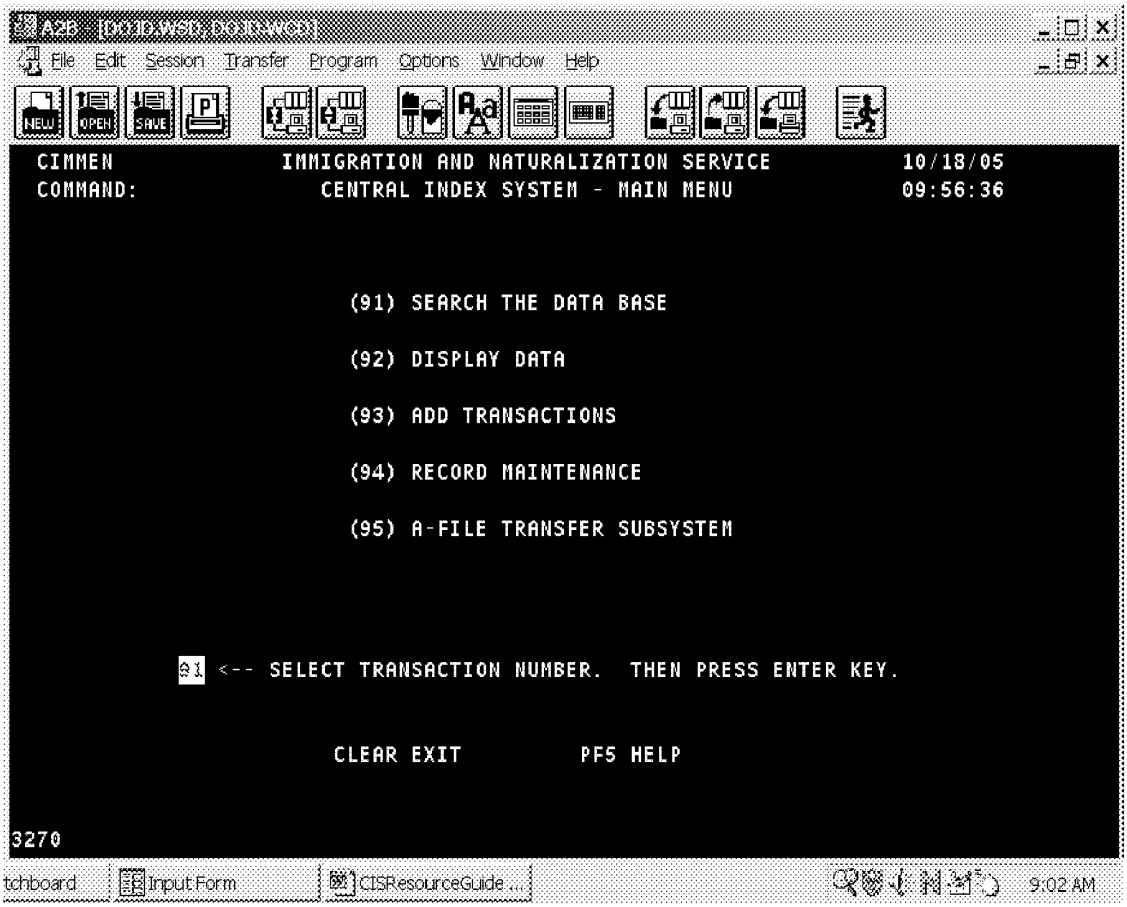
1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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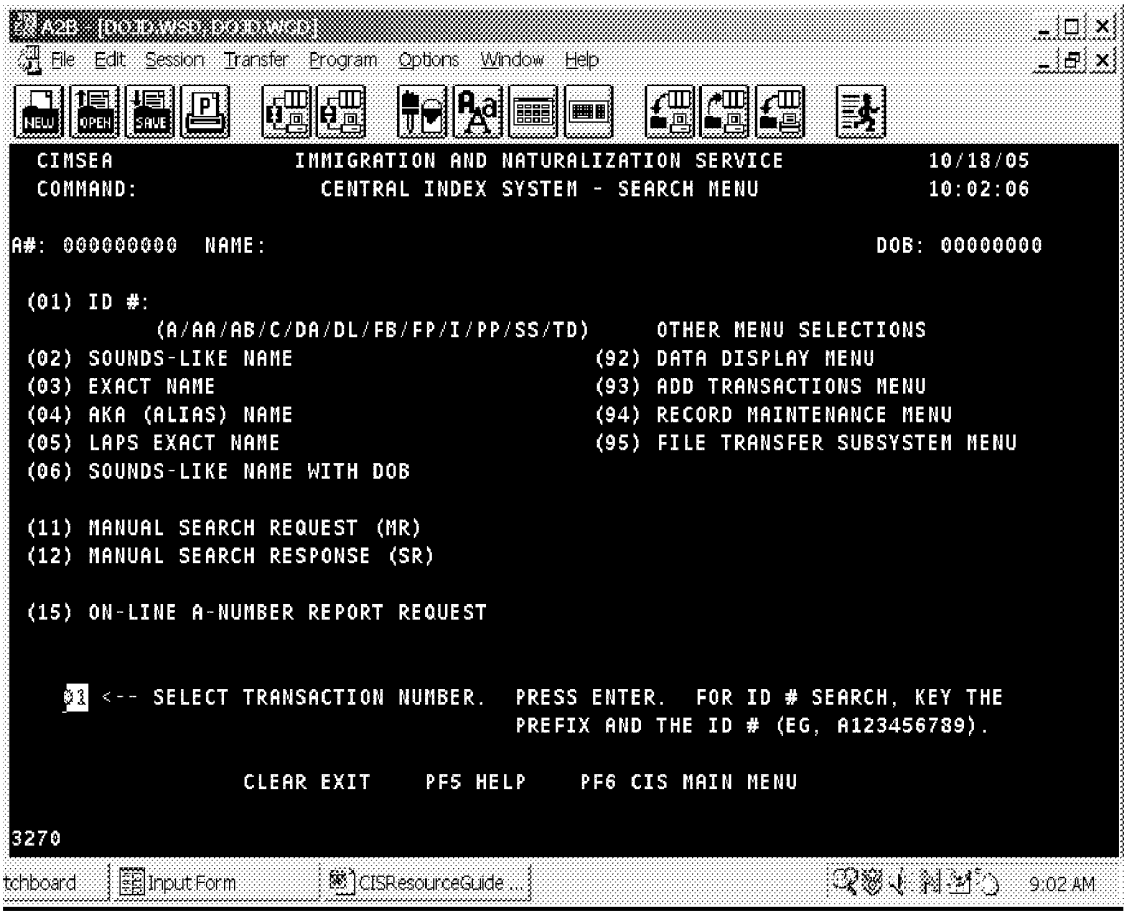
1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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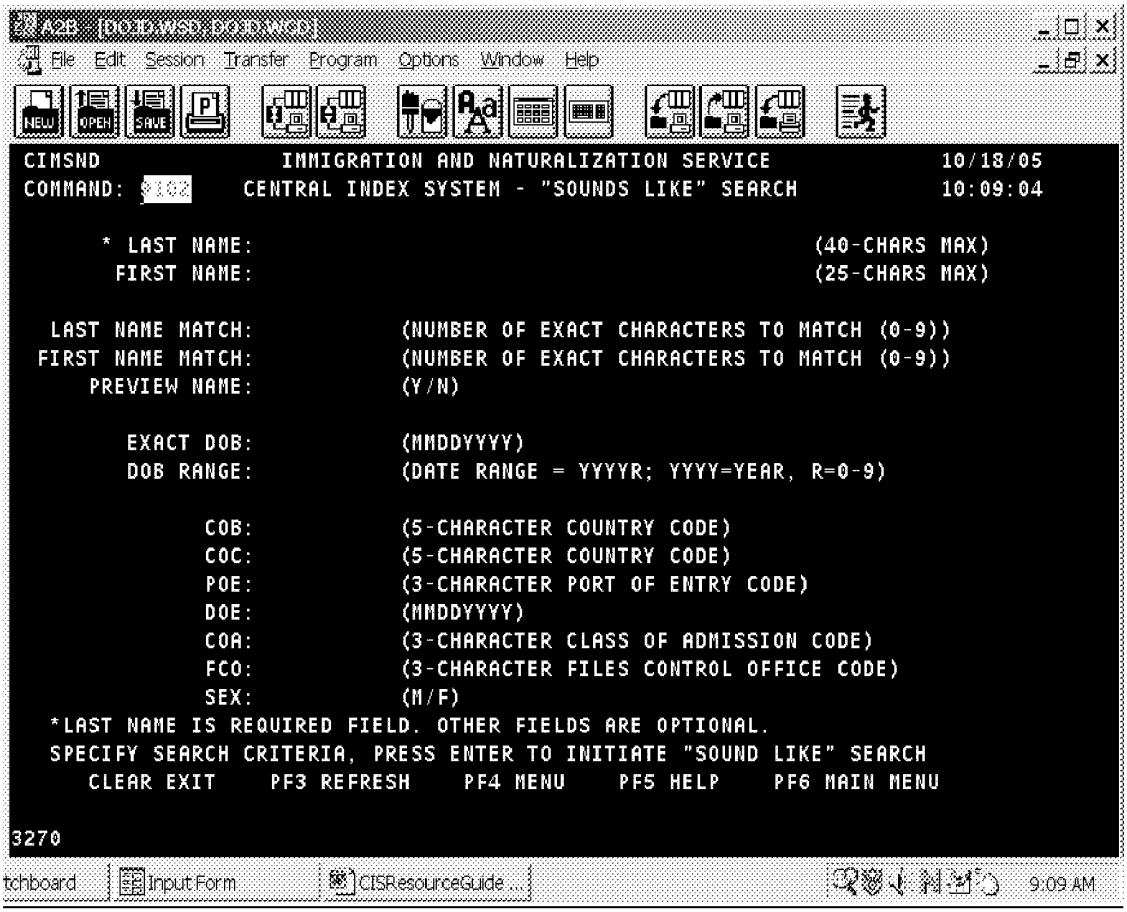
1.5 Sounds-Like Name Search (9102)



Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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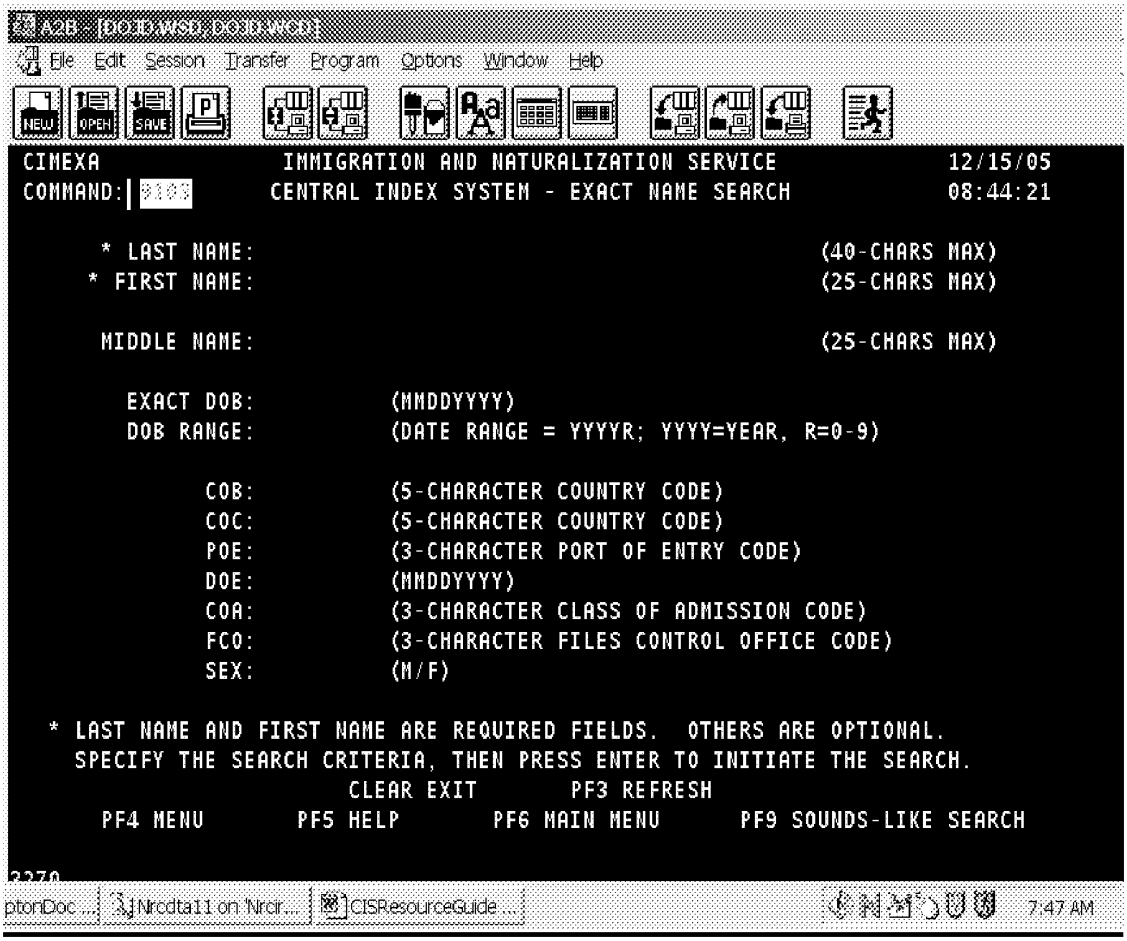
1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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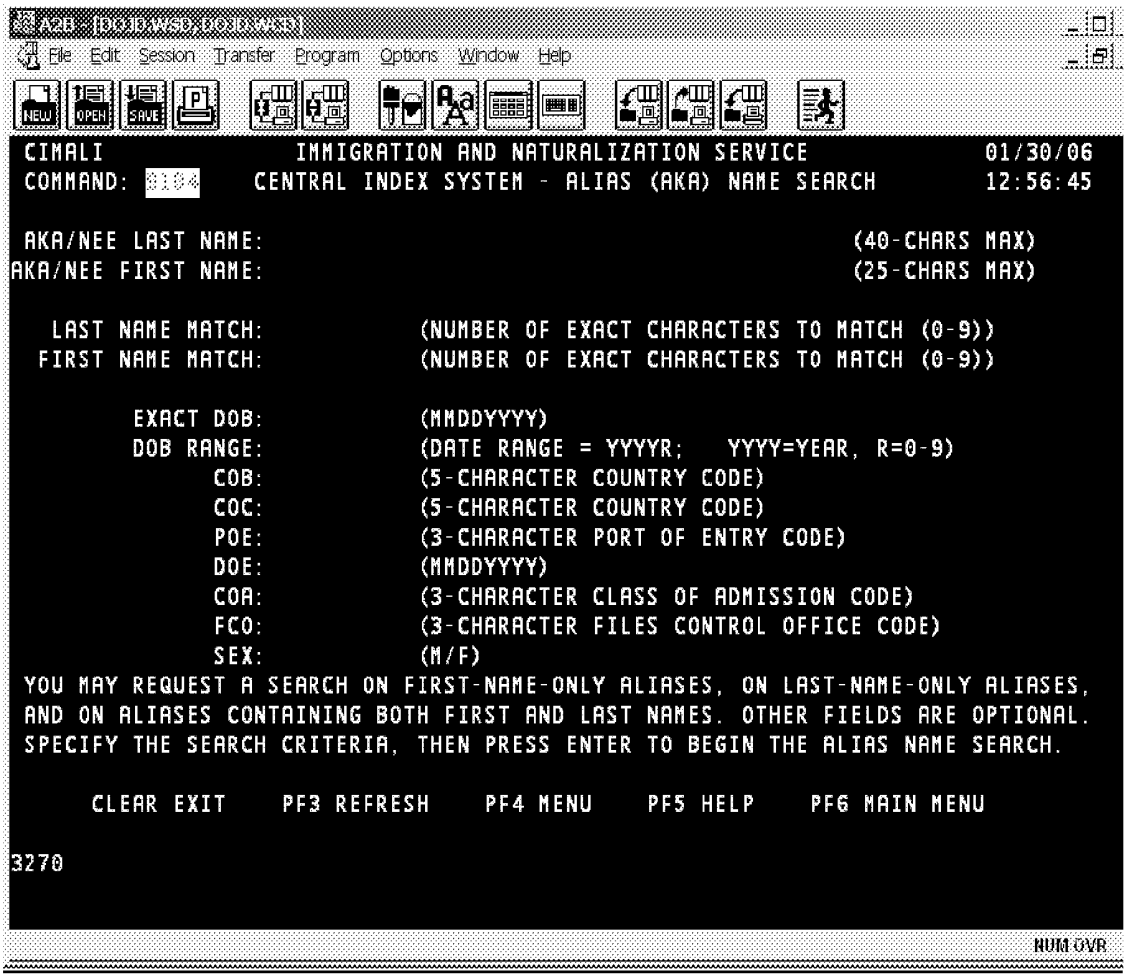
1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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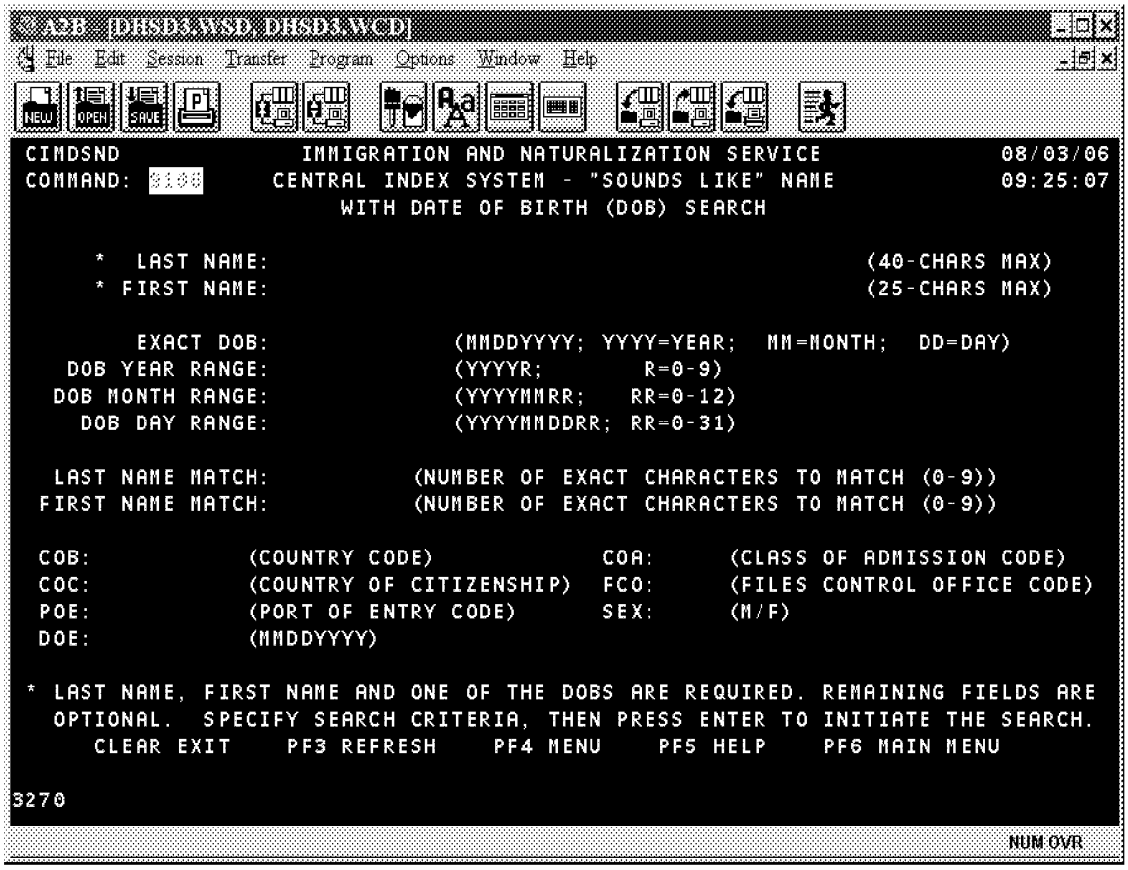
1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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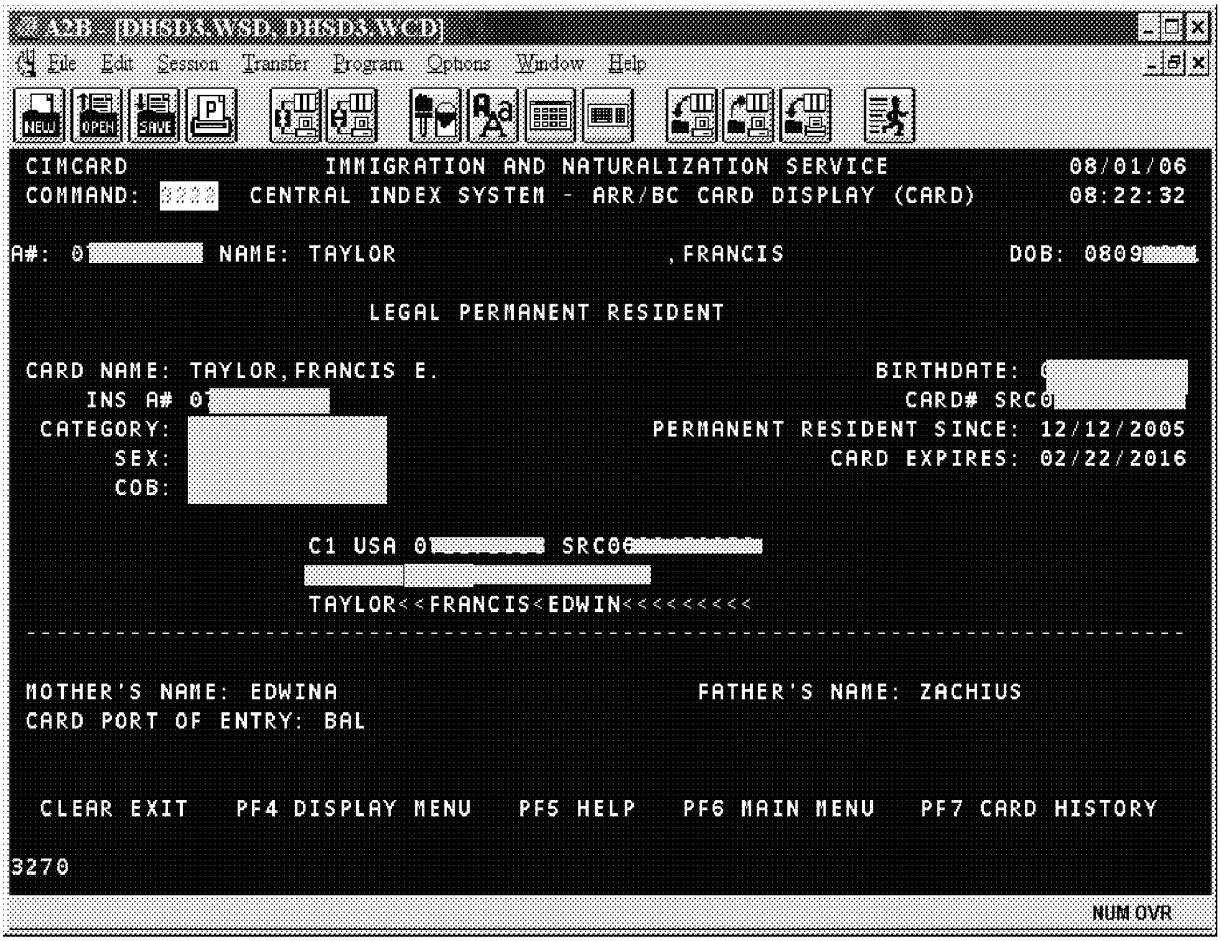
1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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1.10 File Transfer Display (9504)

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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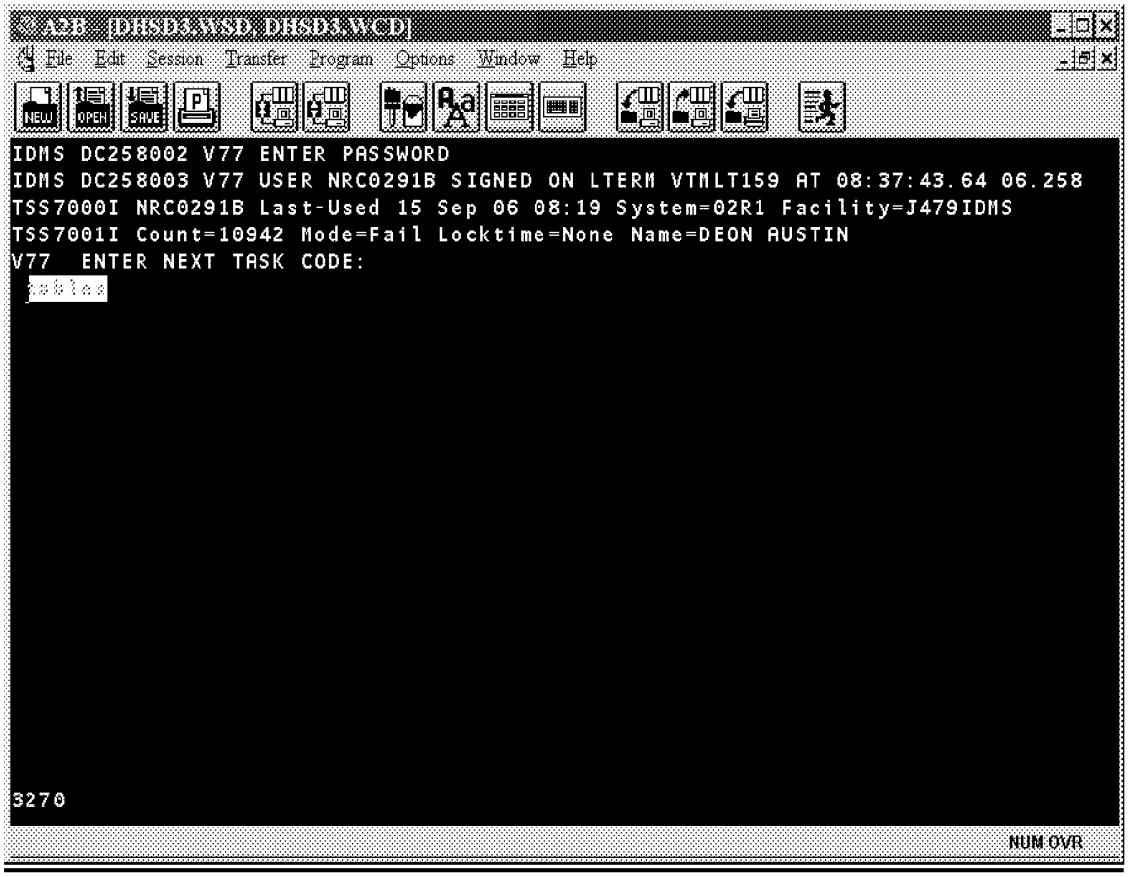
1.11 Tables



The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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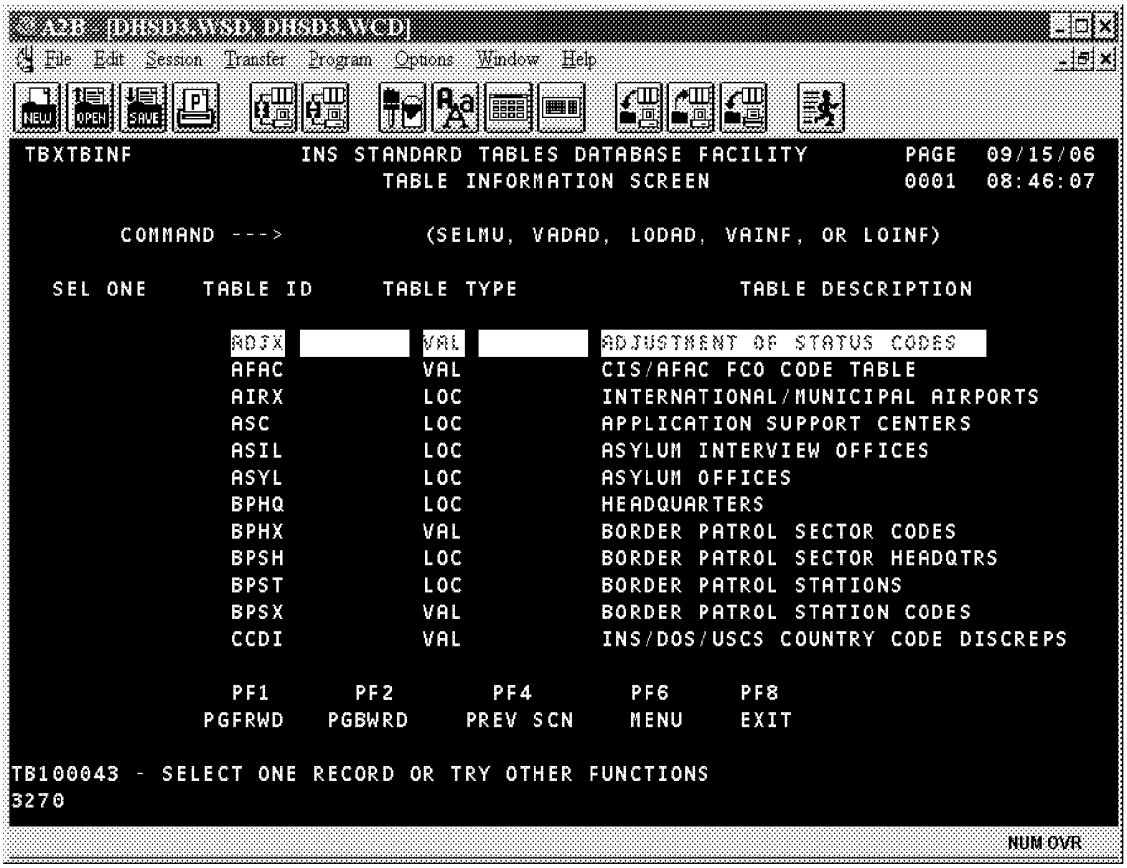
1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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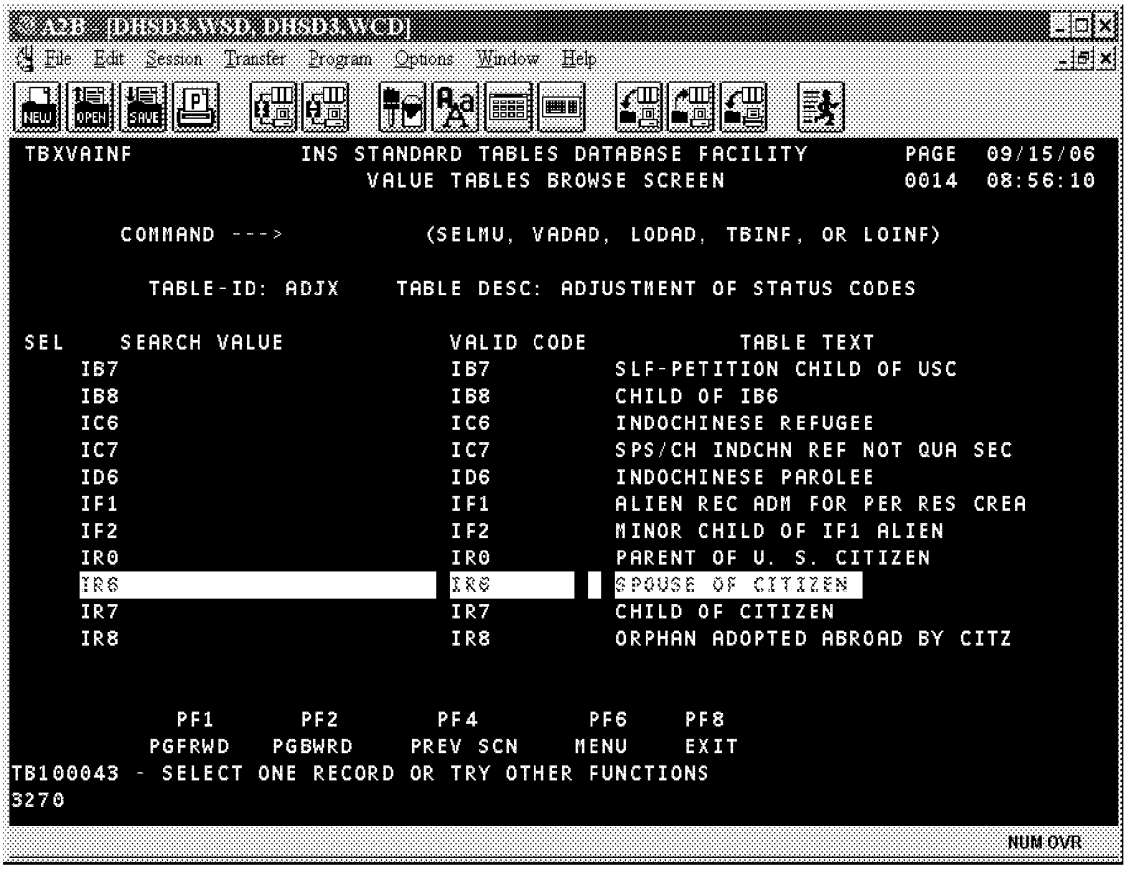
1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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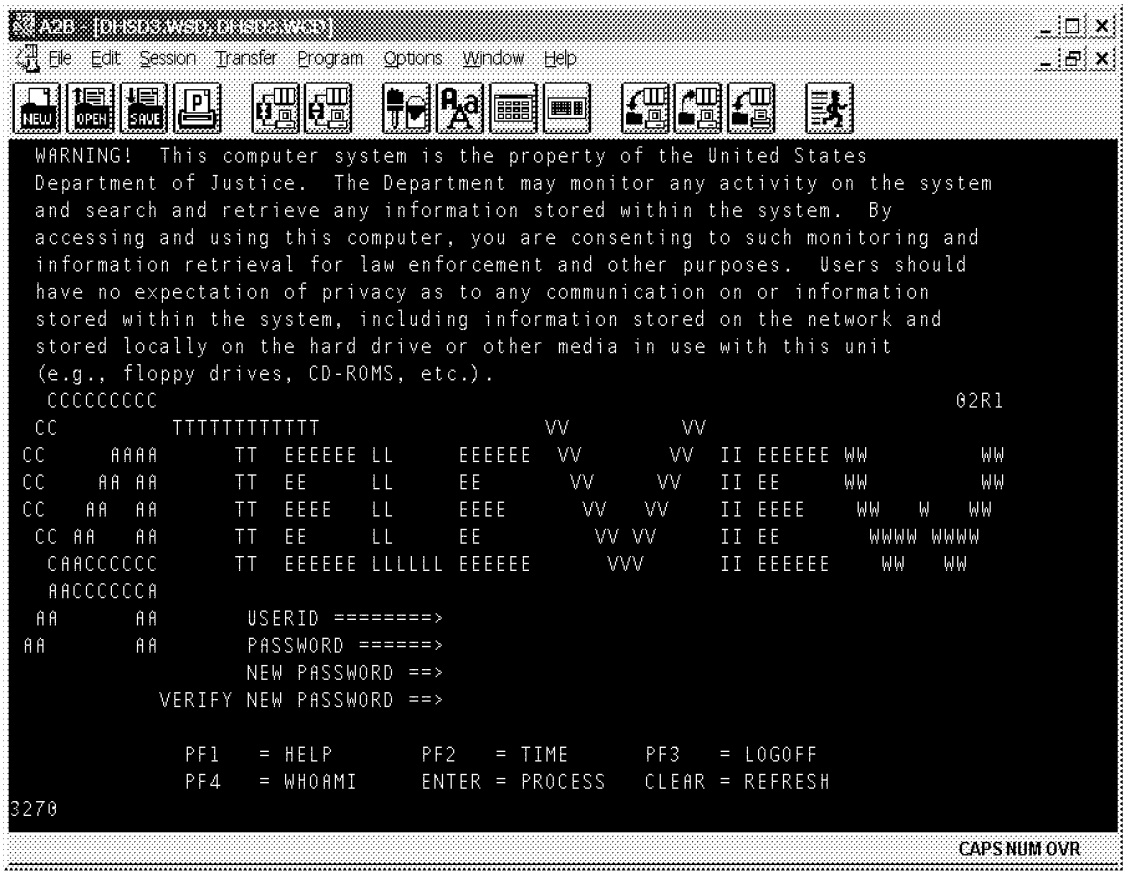
2. Computer Linked Application Information Management System

2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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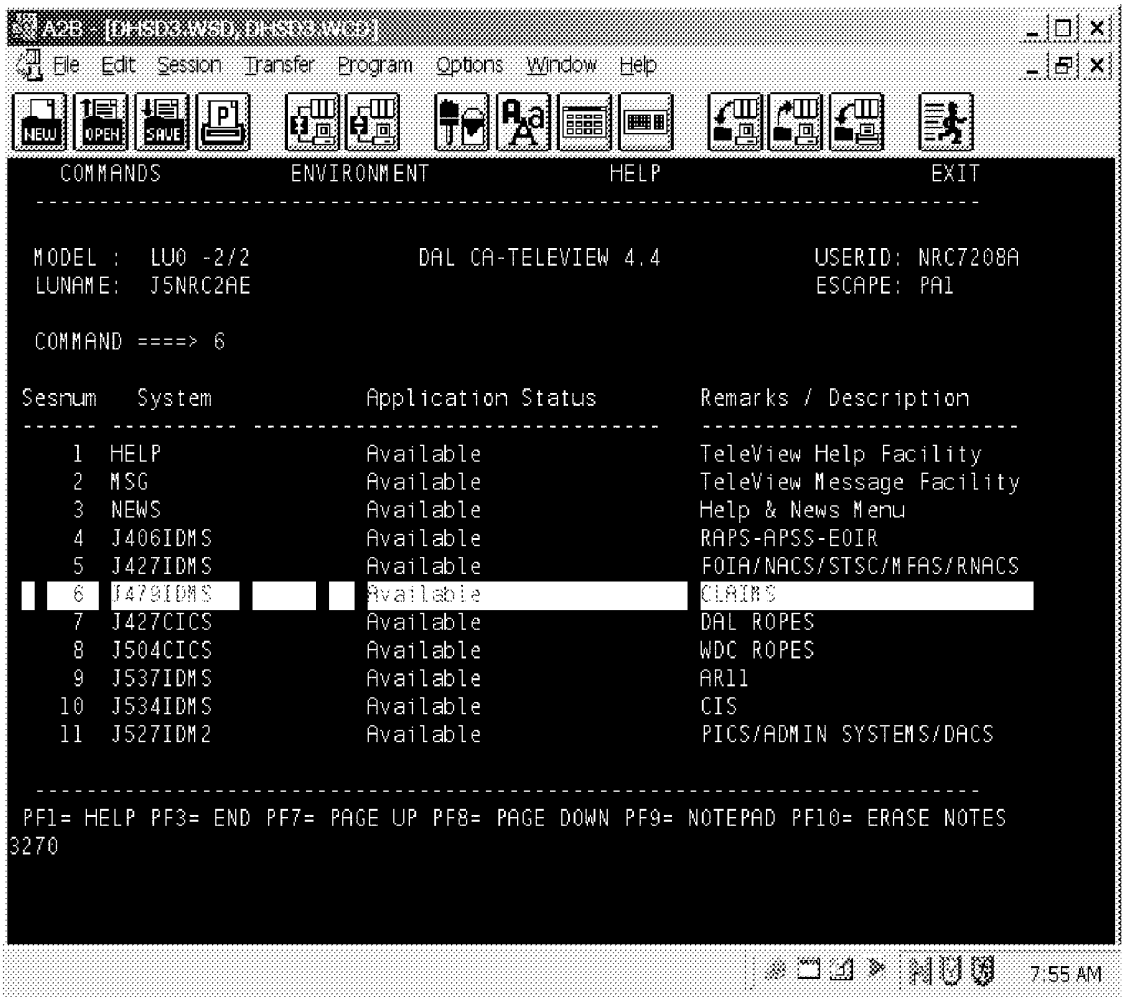
2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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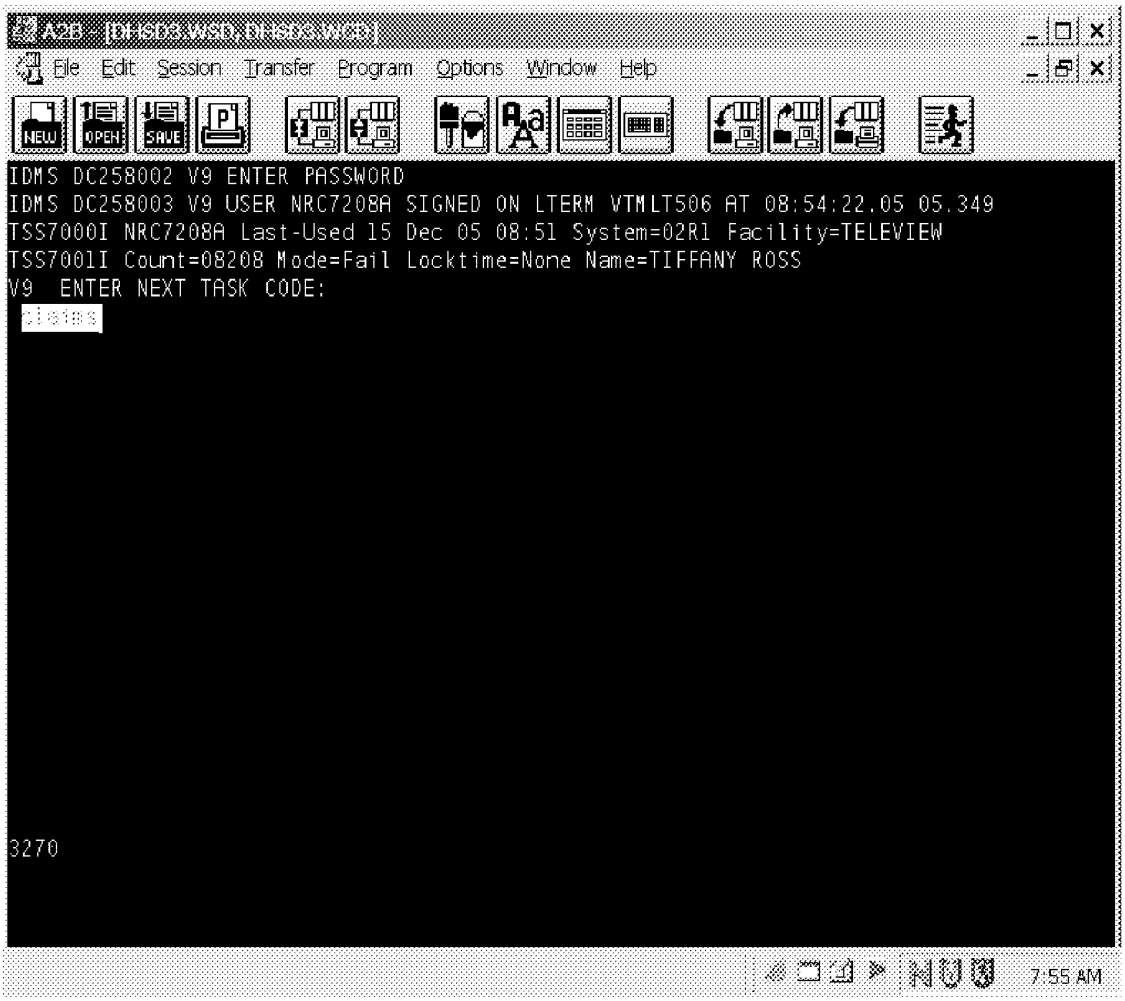
2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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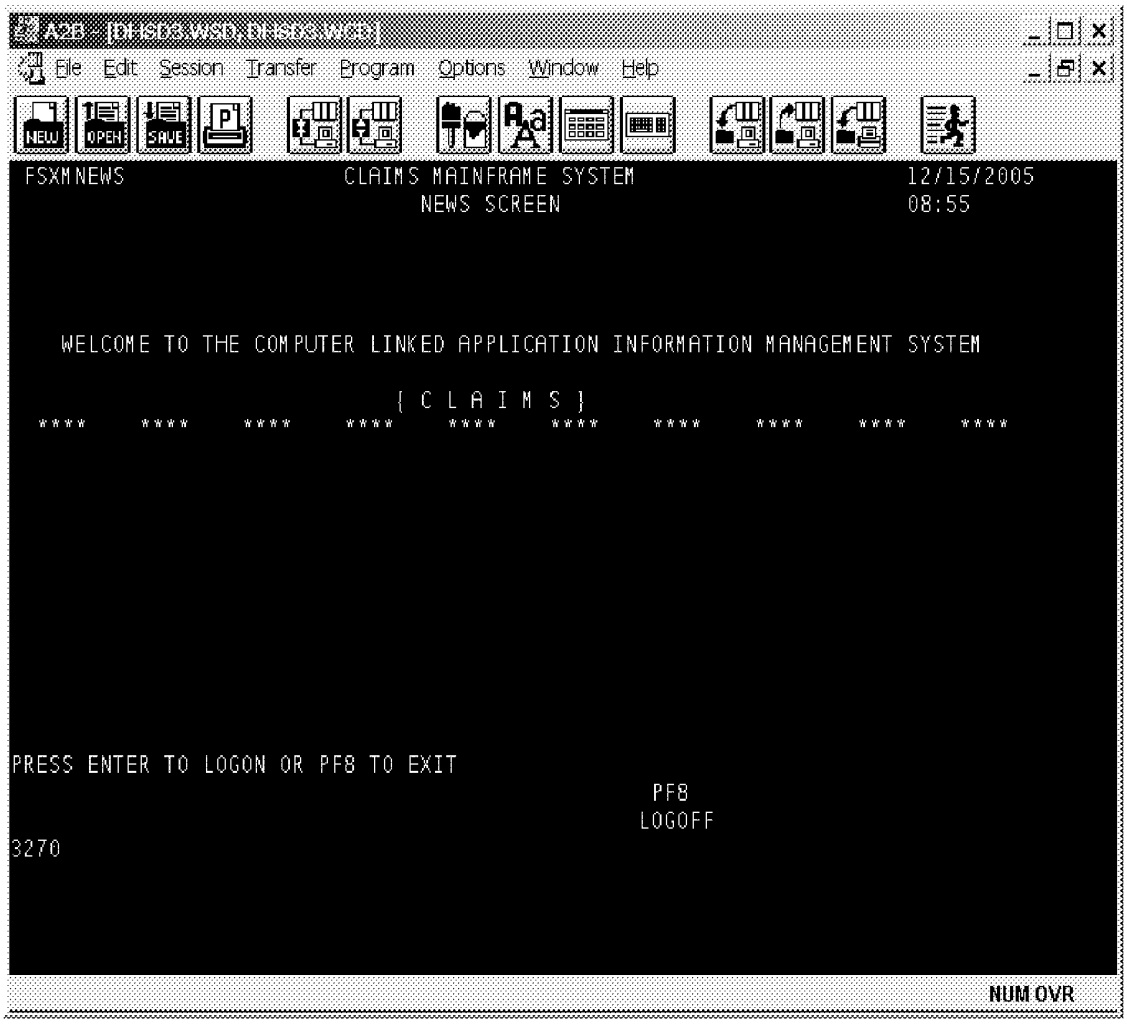
2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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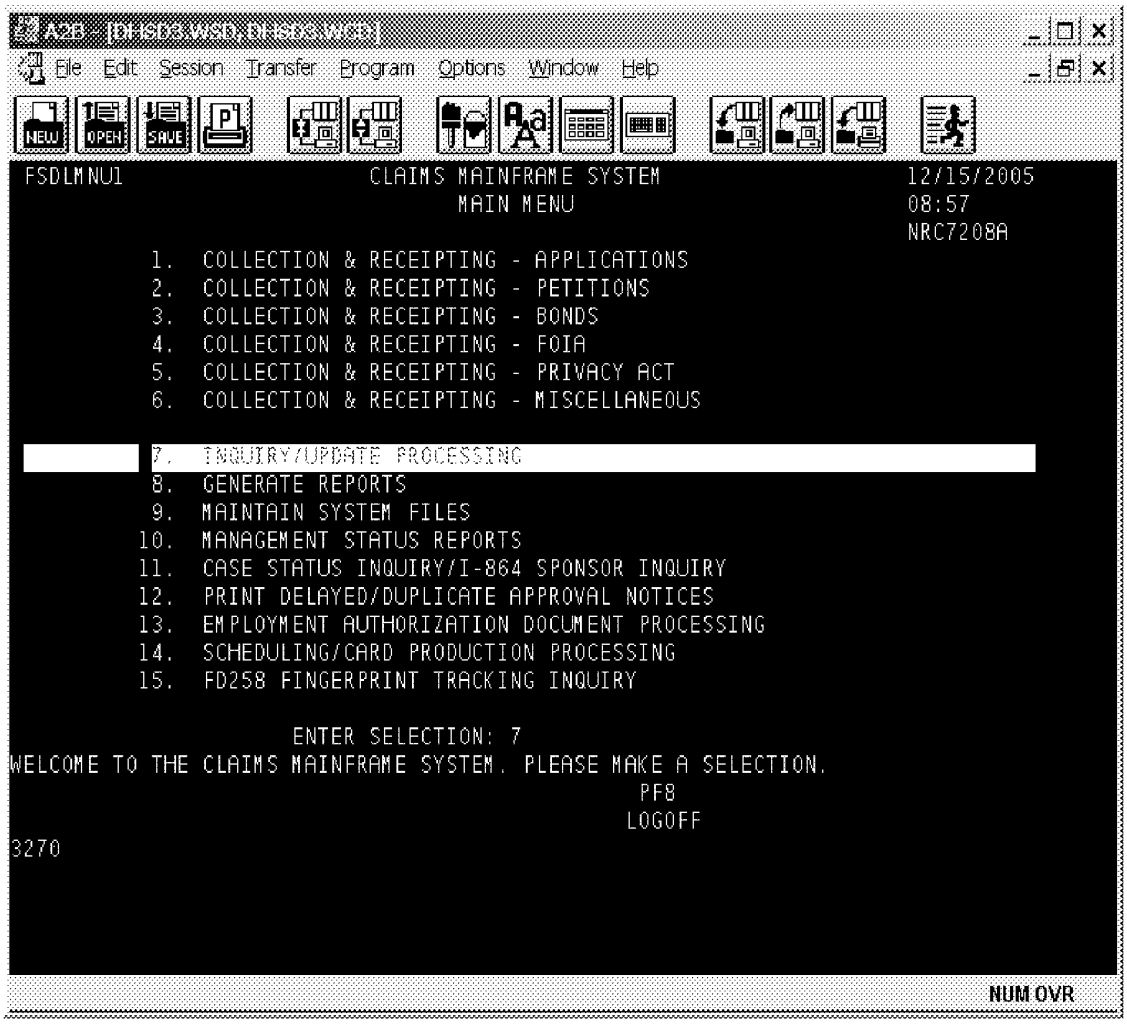
2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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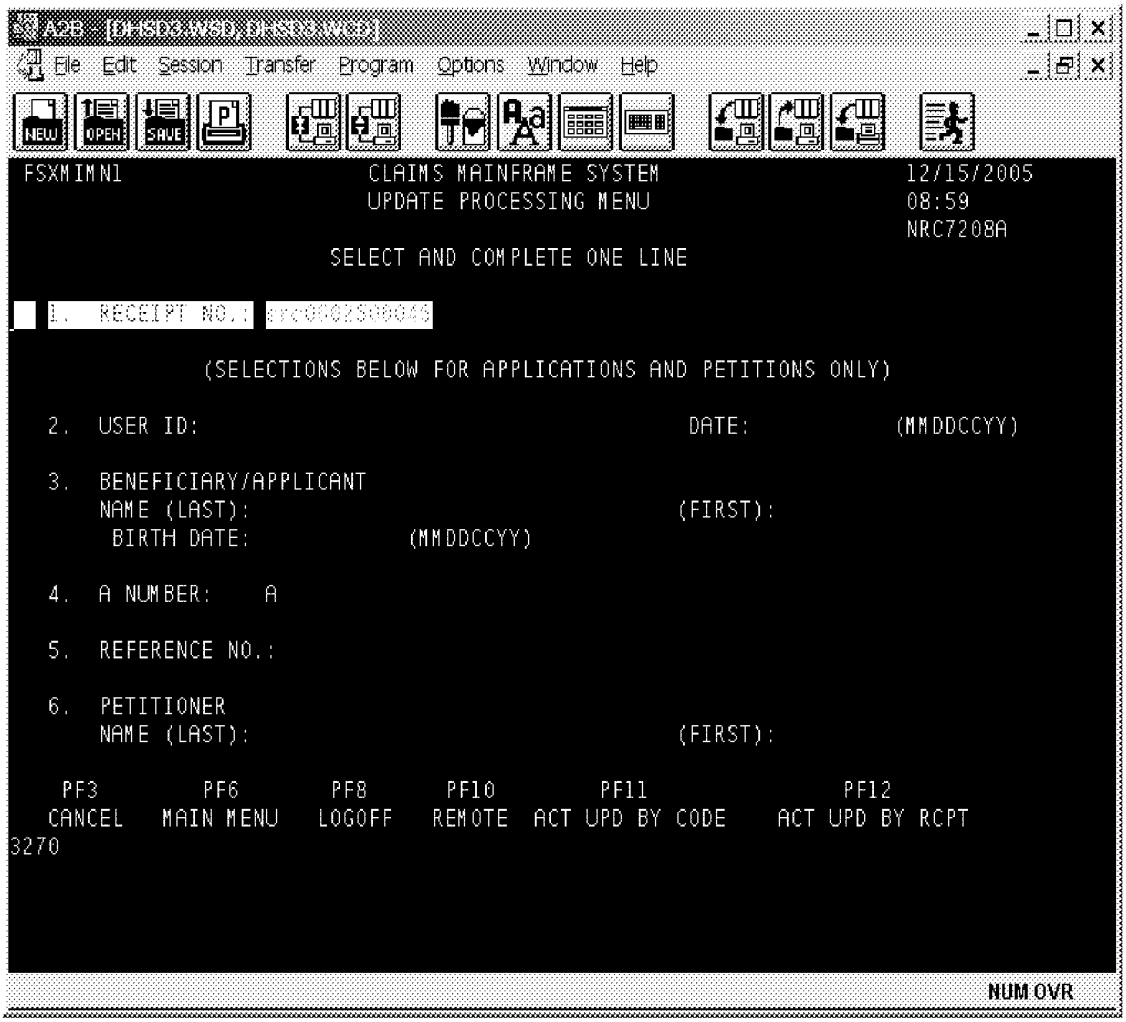
2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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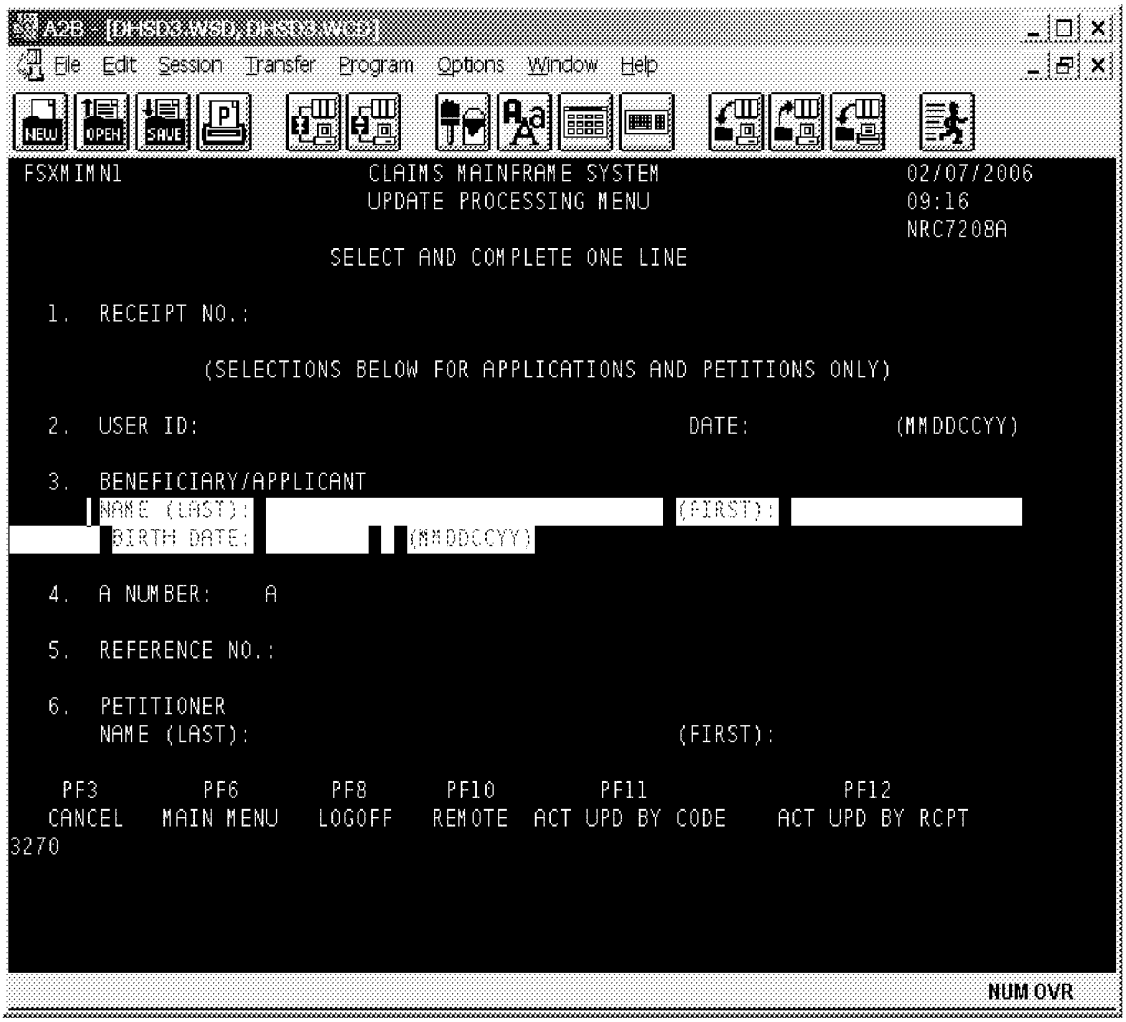
2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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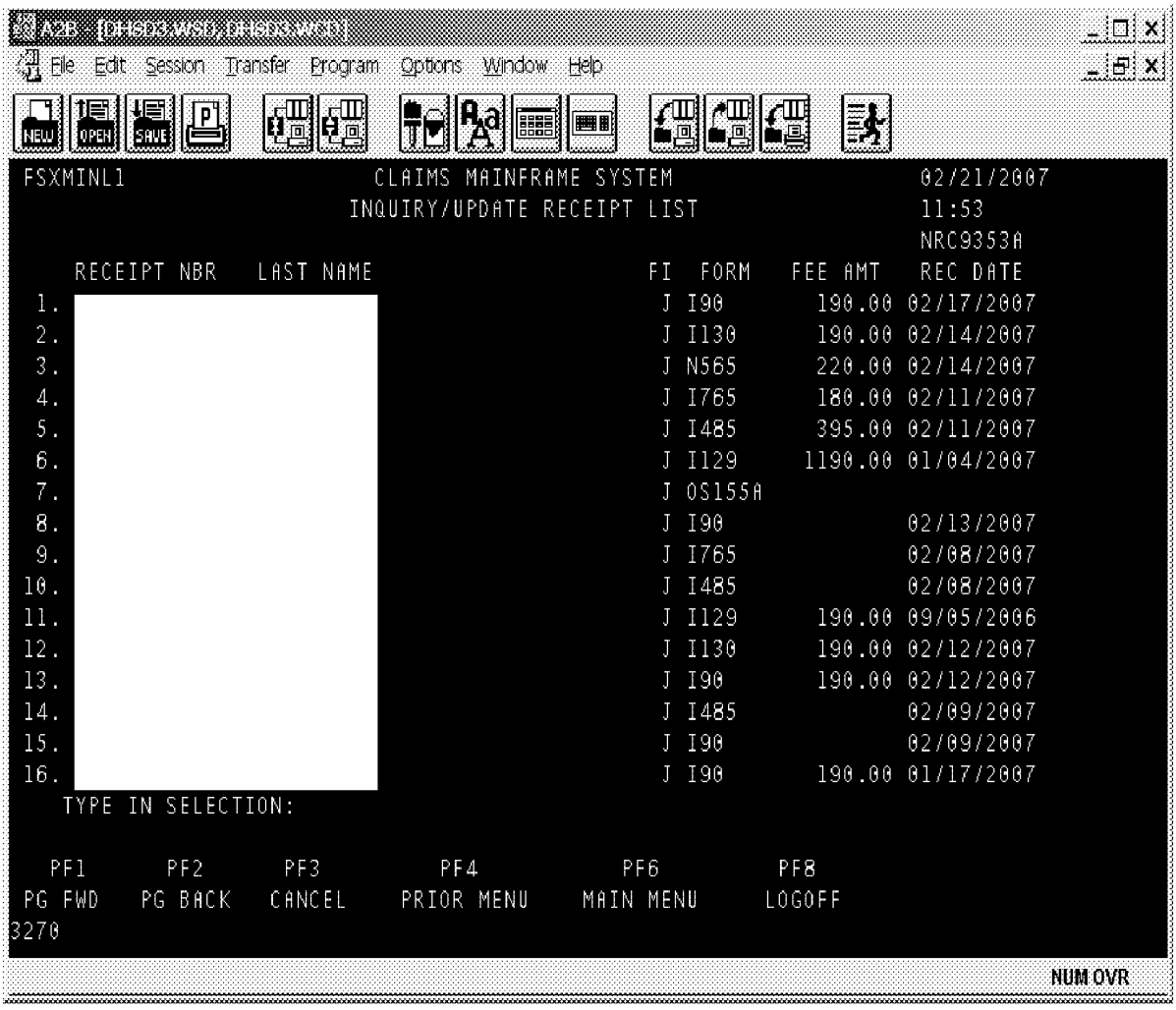
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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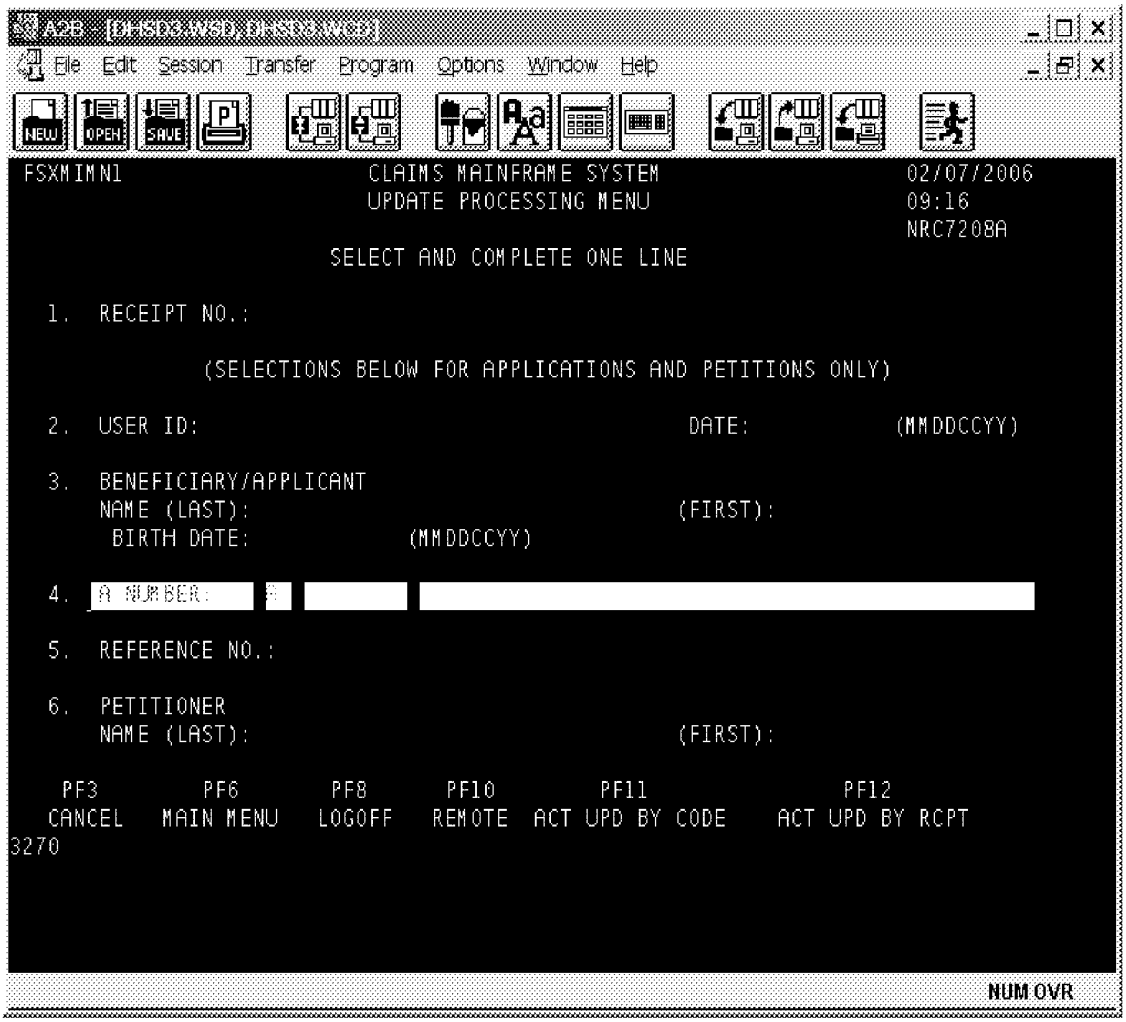
2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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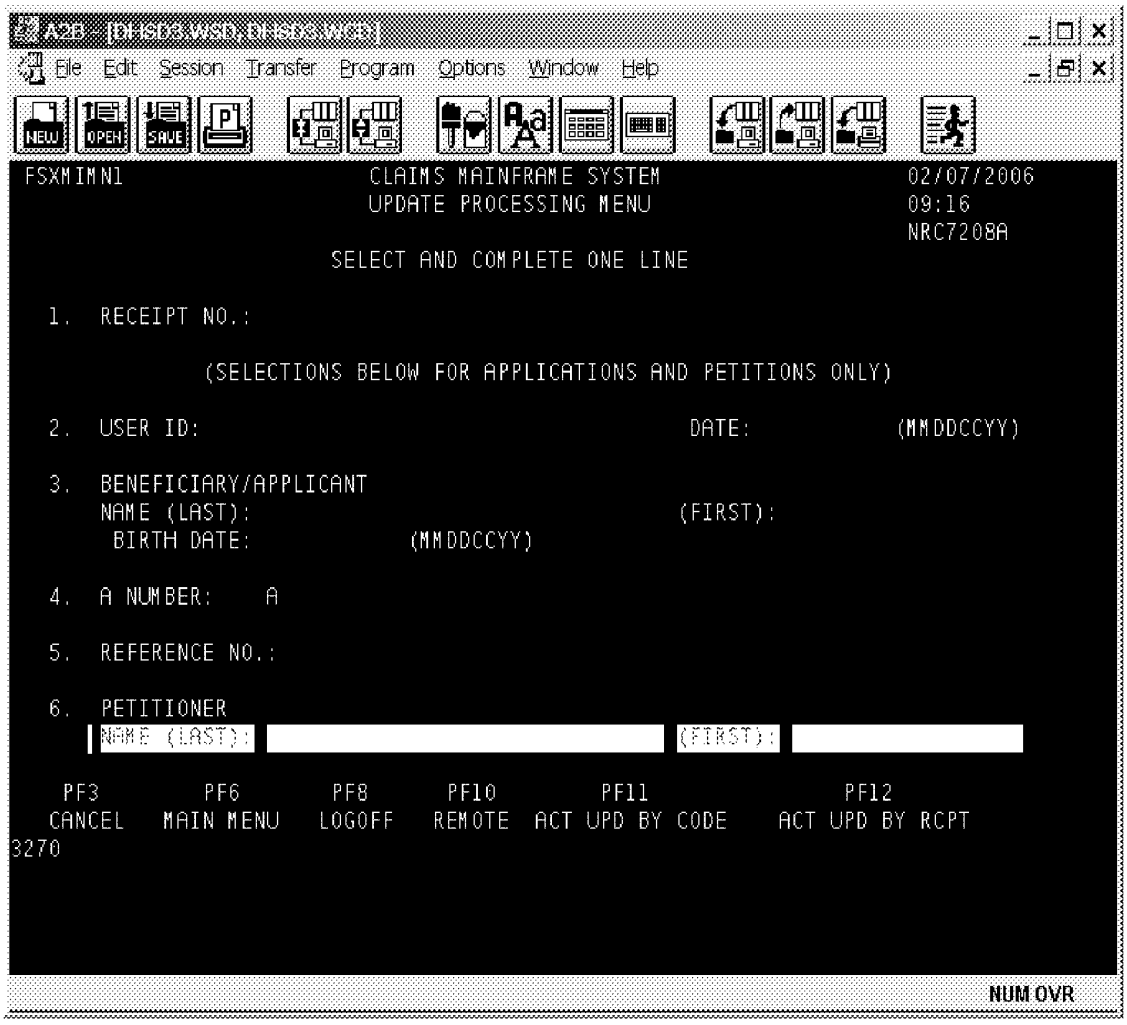
2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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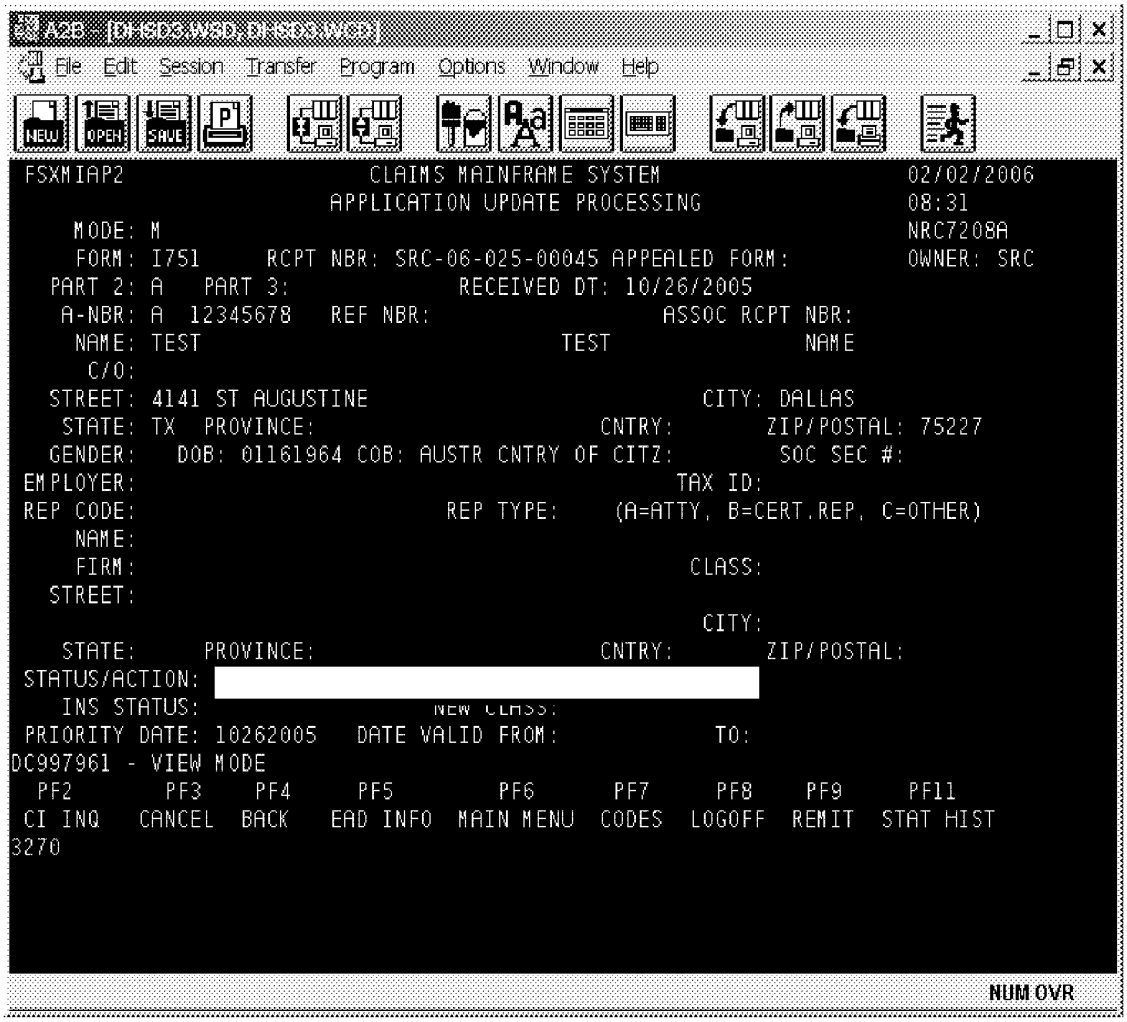
2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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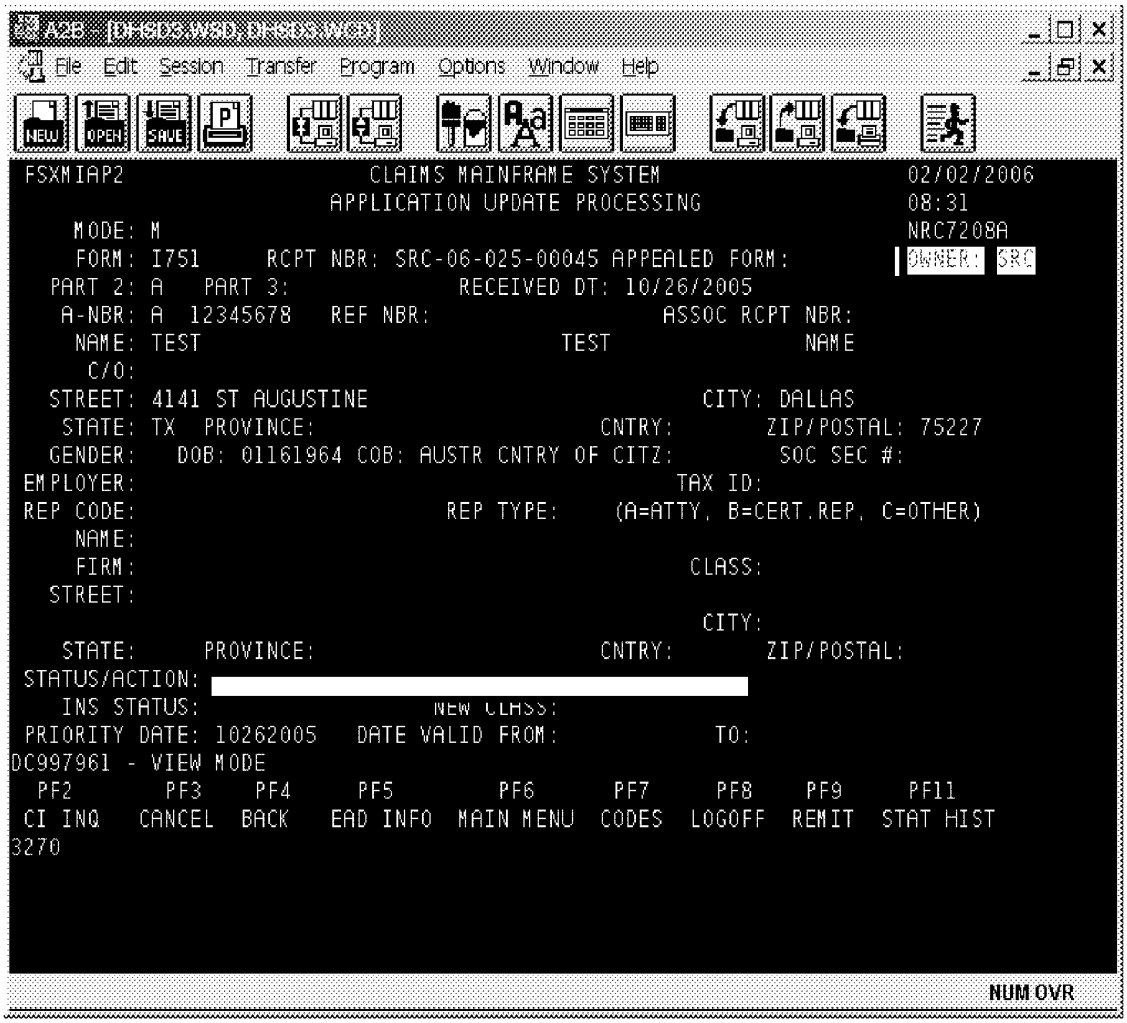
(b)(7)(e)



The top right corner of the screen shows the owner of the file, this may help in determining where to staff for the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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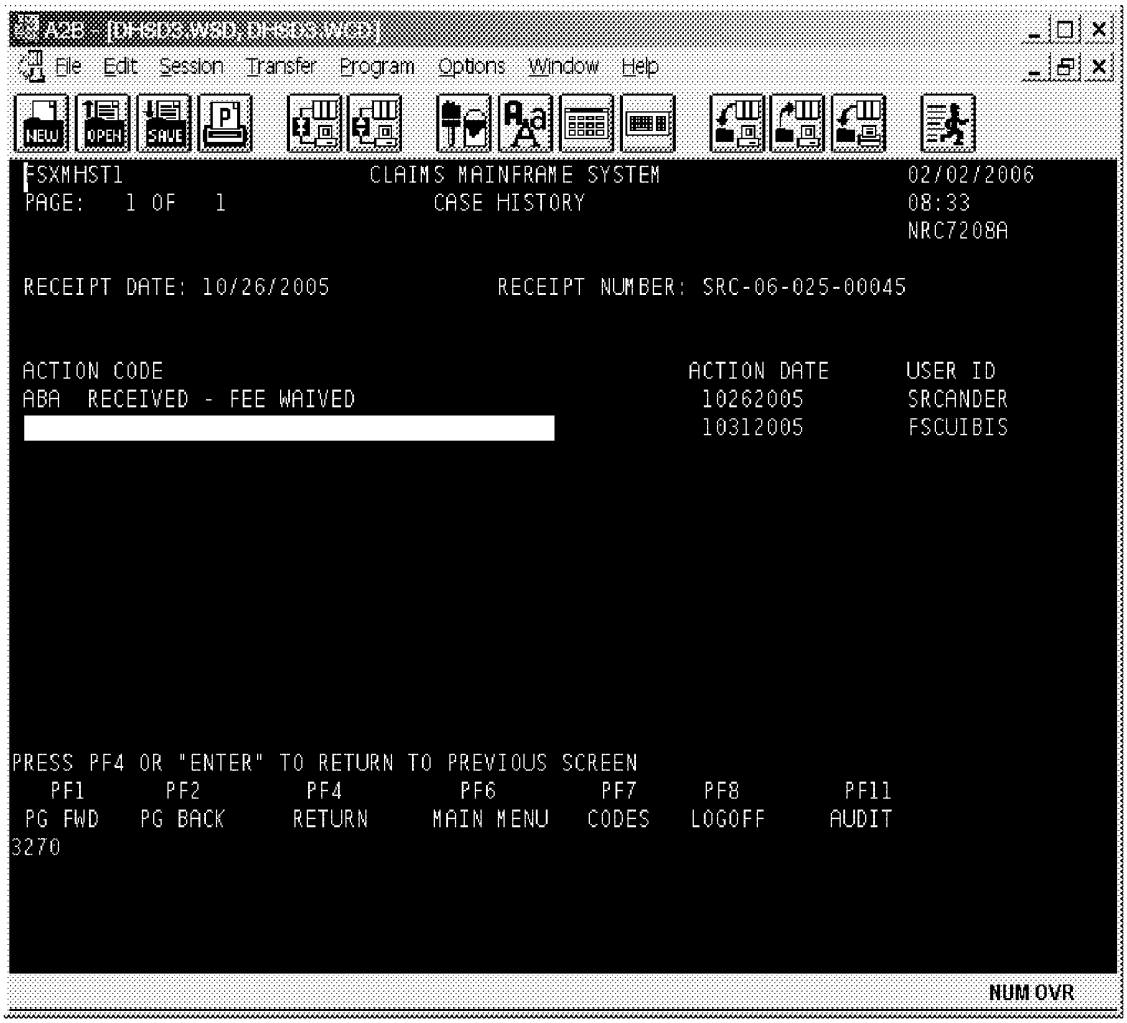
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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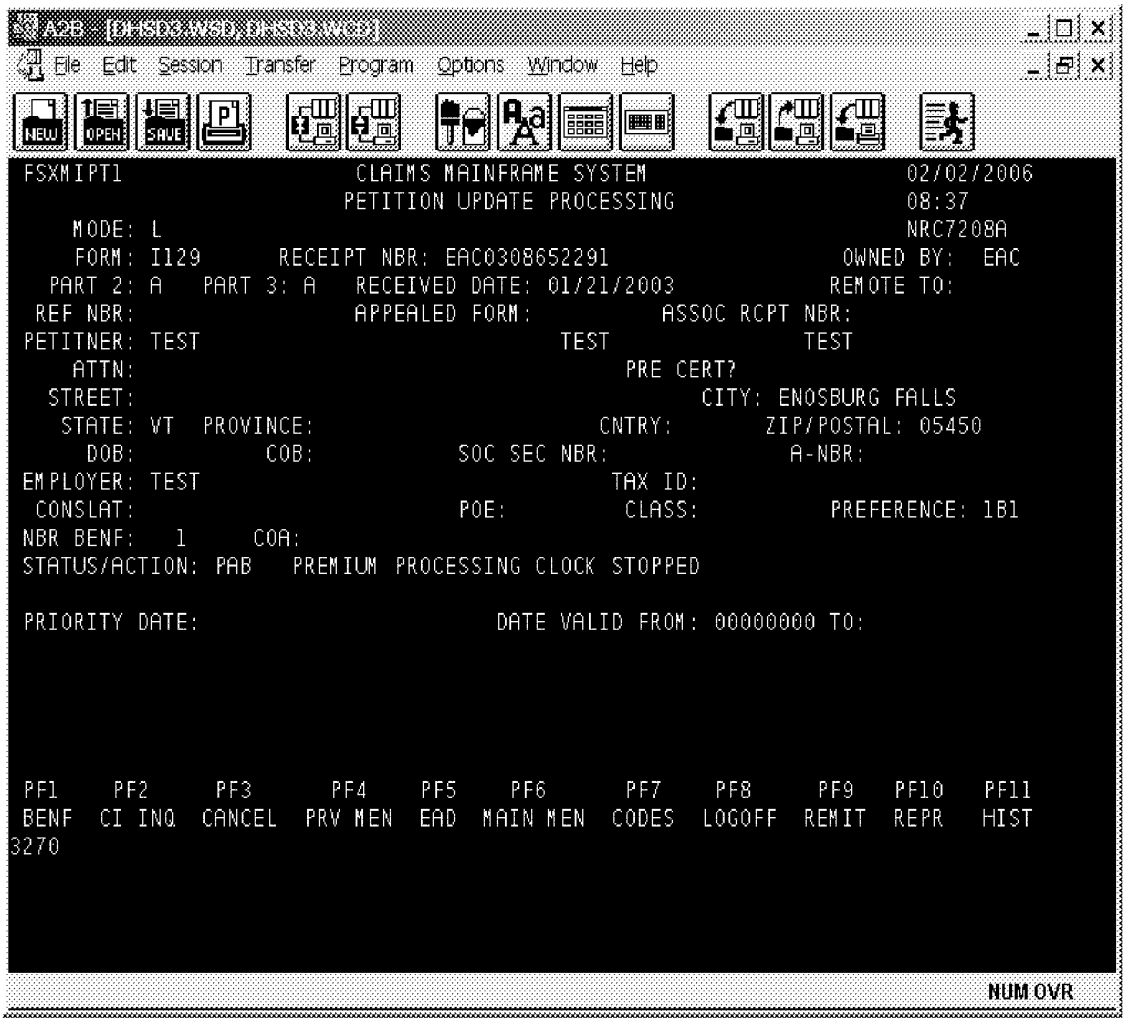
2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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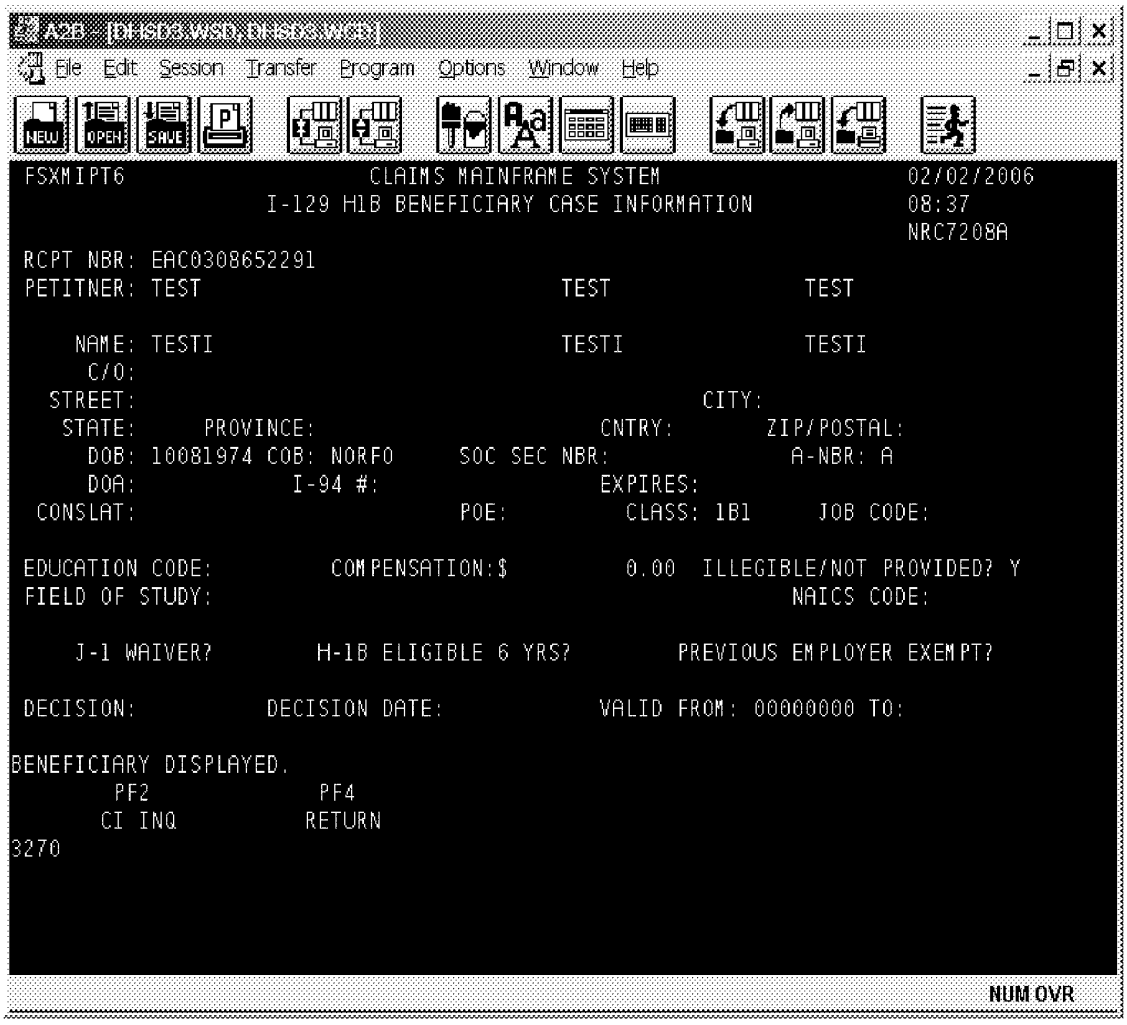
To see the beneficiary information press F1.



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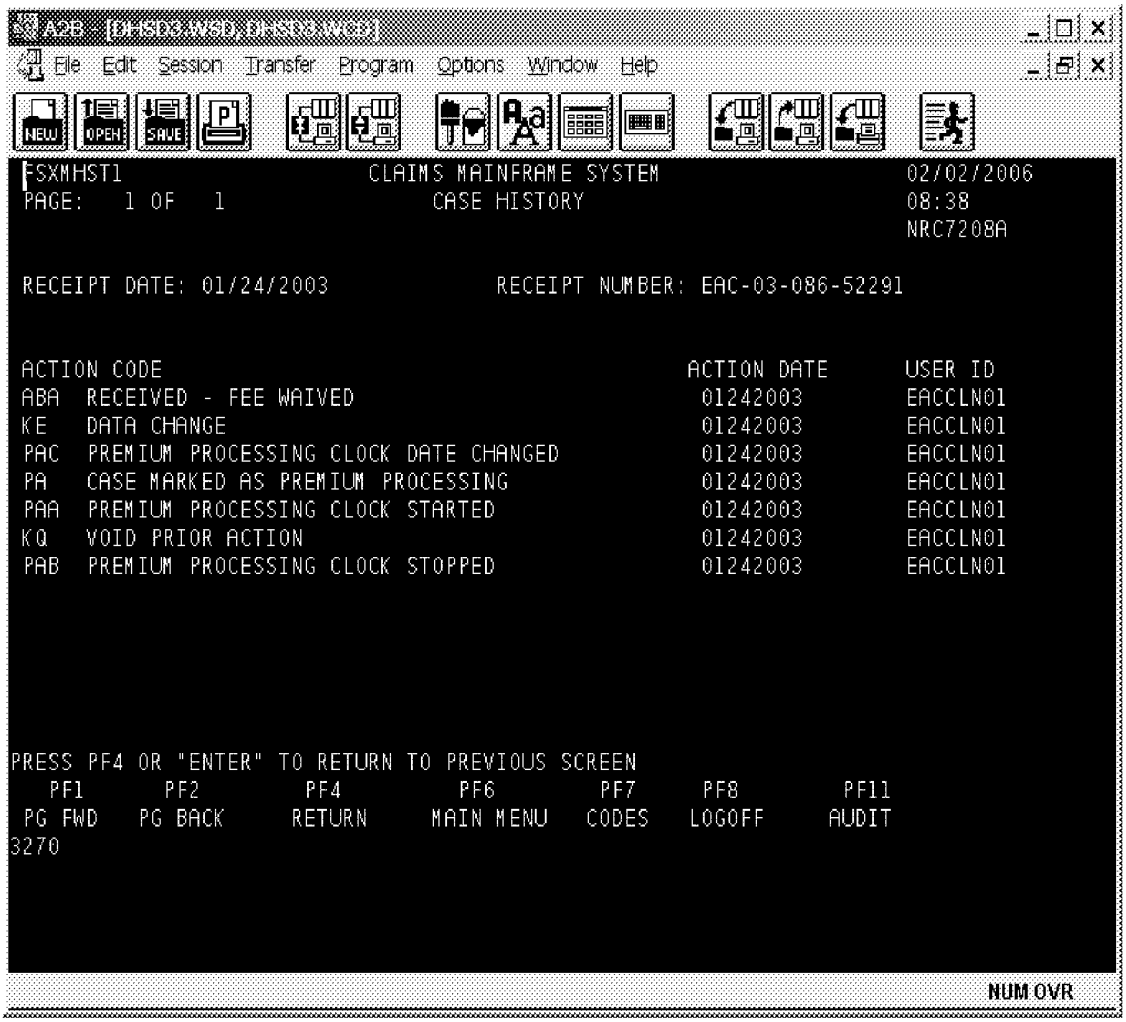
To view the history, press the F4 key to return to the previous screen, and enter F11.



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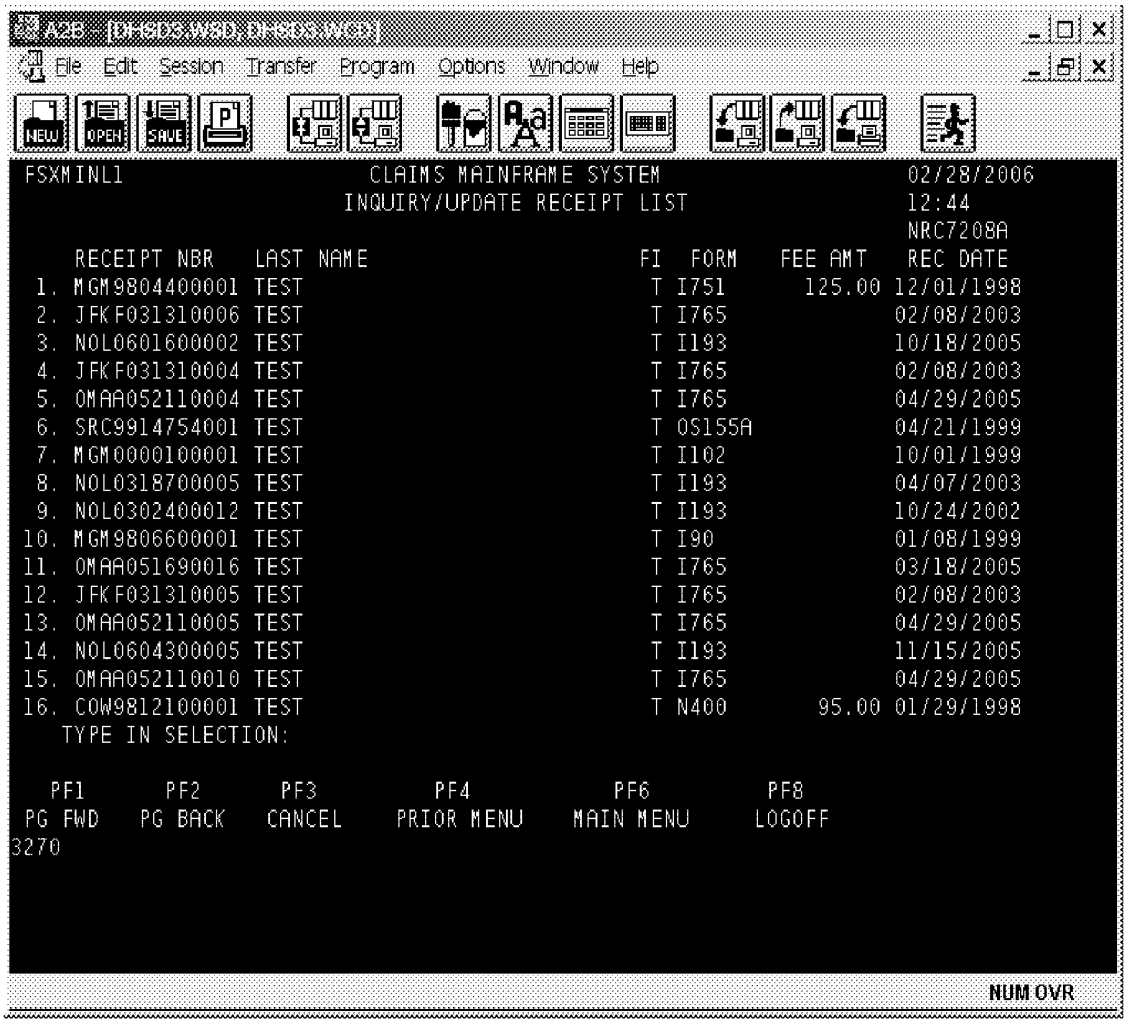

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system

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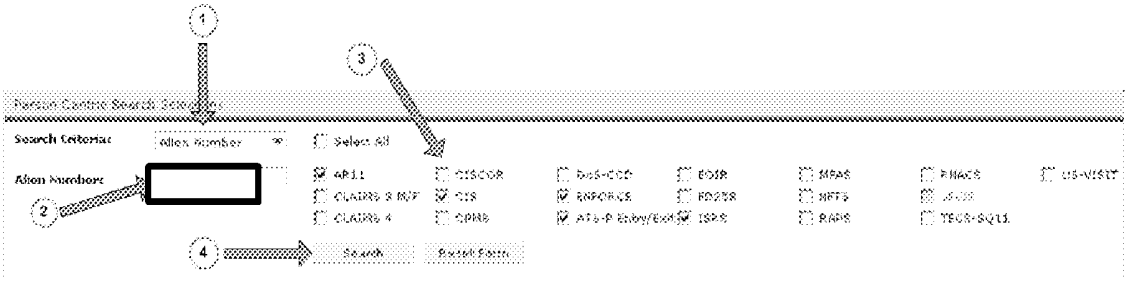
that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)



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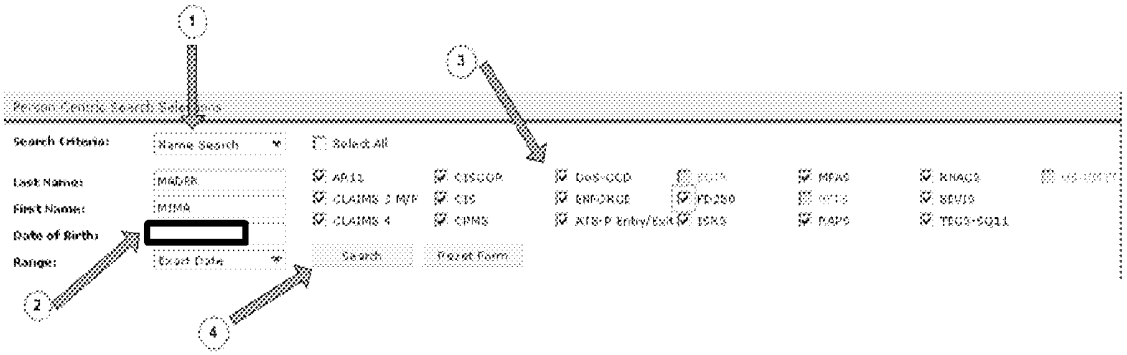

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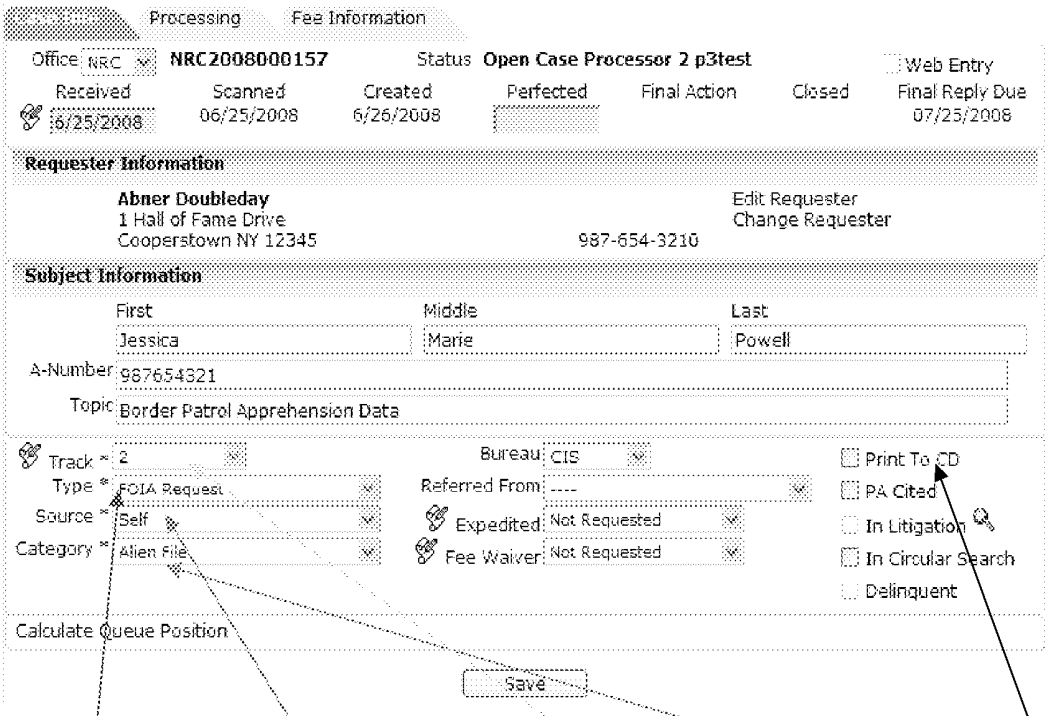
5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.



Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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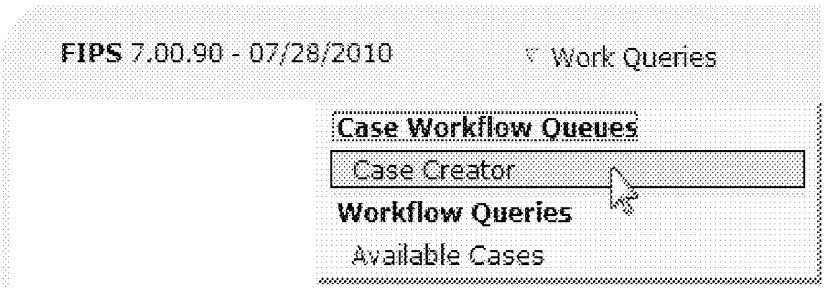
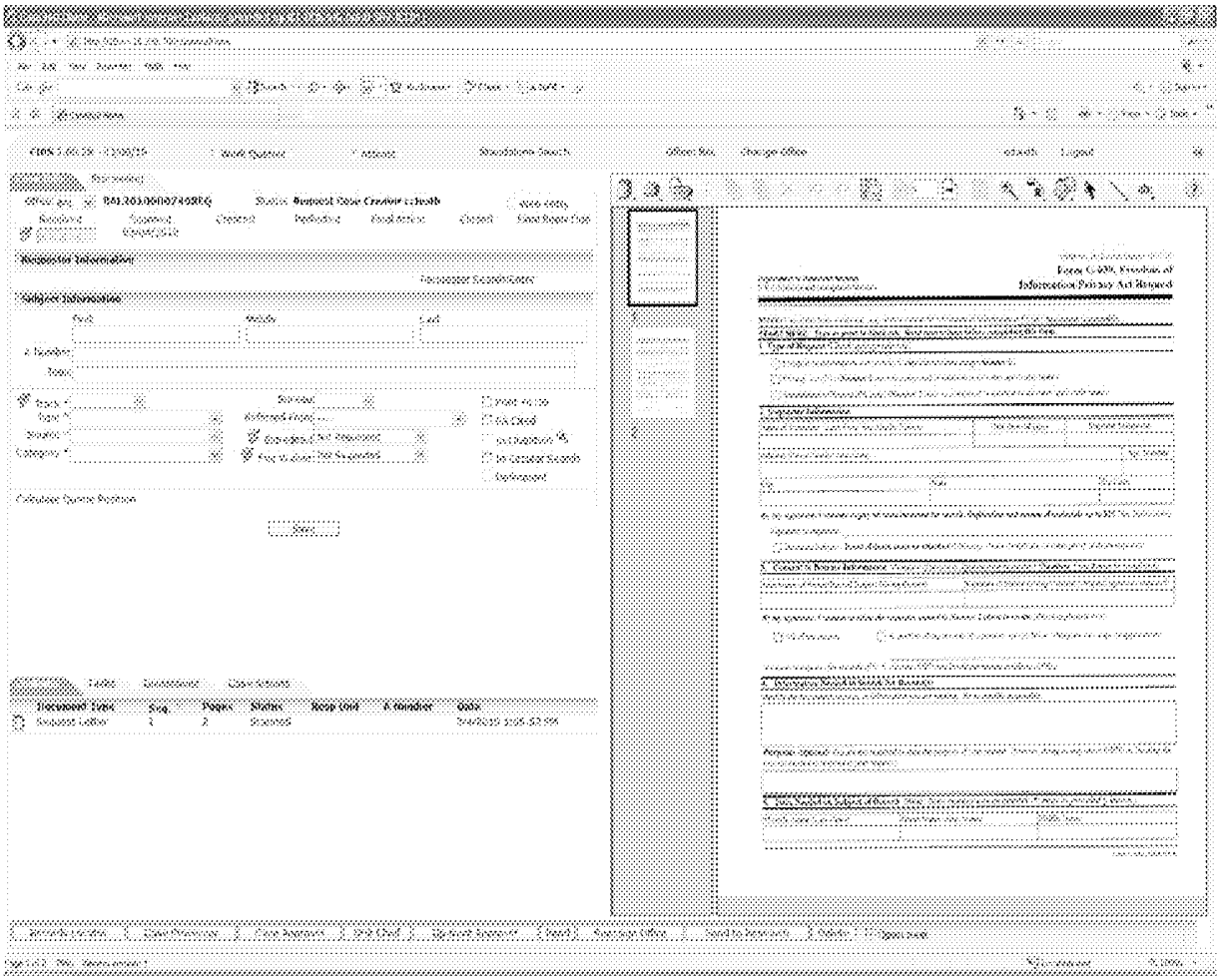
CREATING THE CASE





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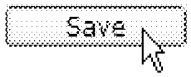
On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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REQUESTER INFORMATION

When entering the information on the FIPS worksheet, please observe the following rules

- Do not use all capital letters when entering names.
- Do not use professional titles, such as Doctor or Reverend in the requester information.
- You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.
- Do not open cases in the name of a company only.
- Do not hyphenate names.

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- Spell the name accurately. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.
- Add a period after the middle initial.
- If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.
- Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope or letterhead.

Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left.

If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien,

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in care of the law firm. Do not use "Wilens & Baker" as the requester name.

If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address. Please do not use both.

The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

Enter any suite numbers or apartment numbers in the address line.

If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
New Mexico
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

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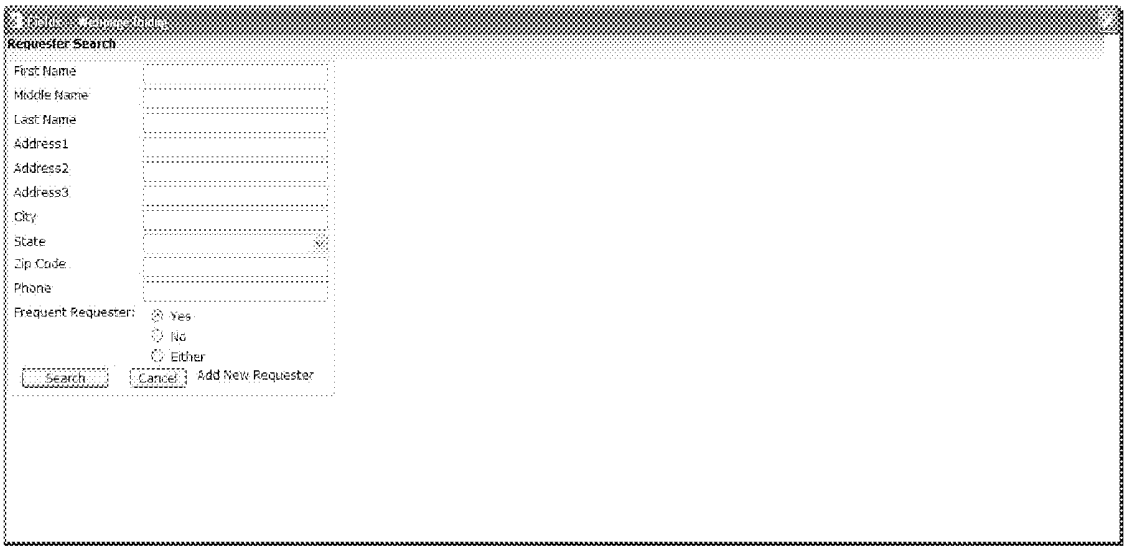
A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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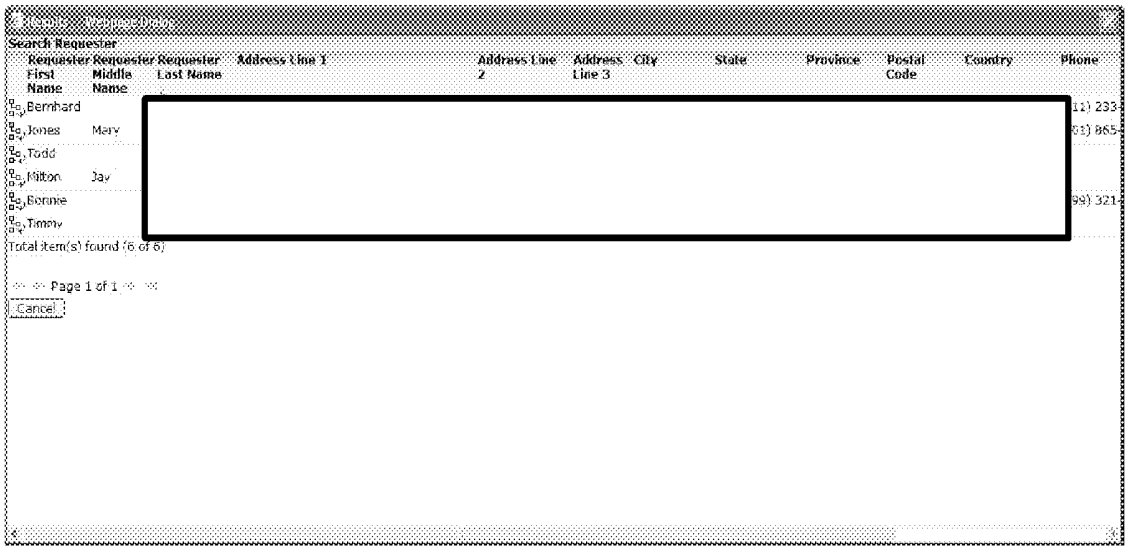
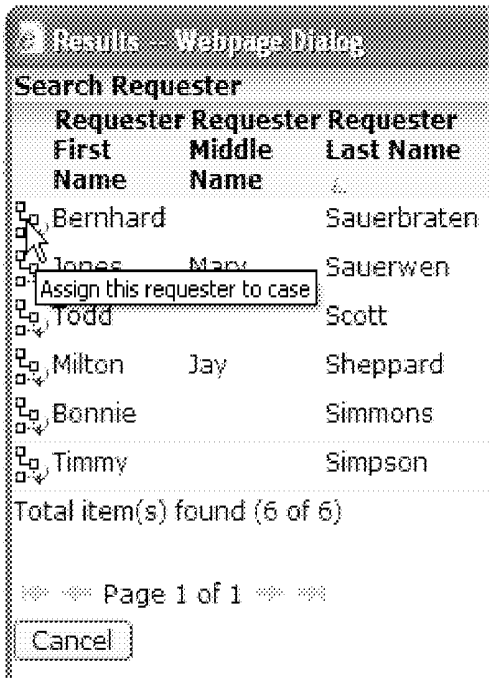
(b)(6)



If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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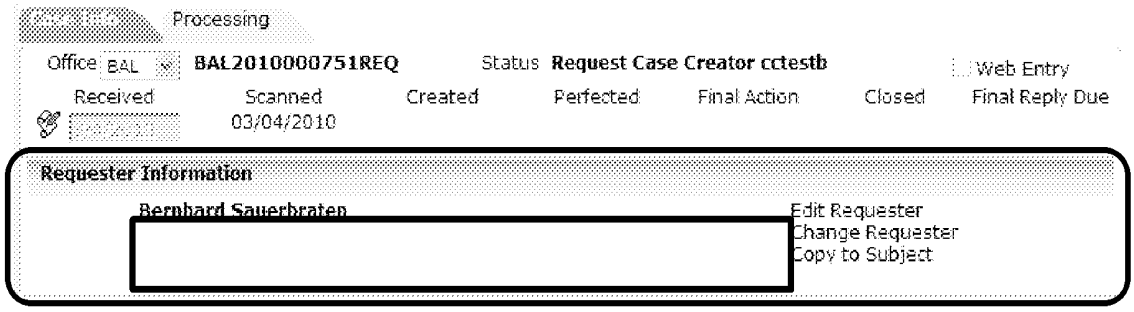
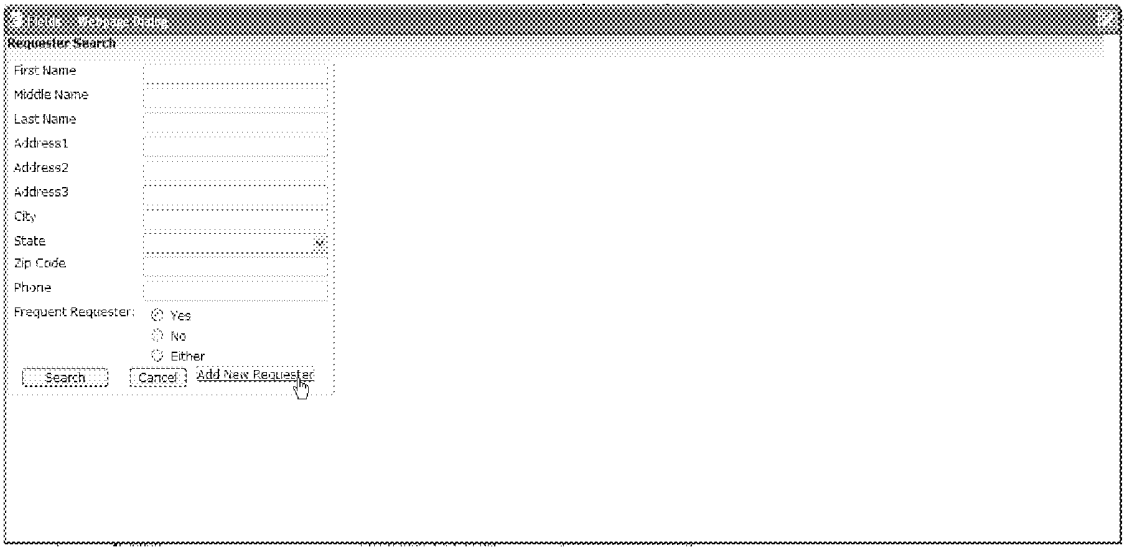
(b)(6)



If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

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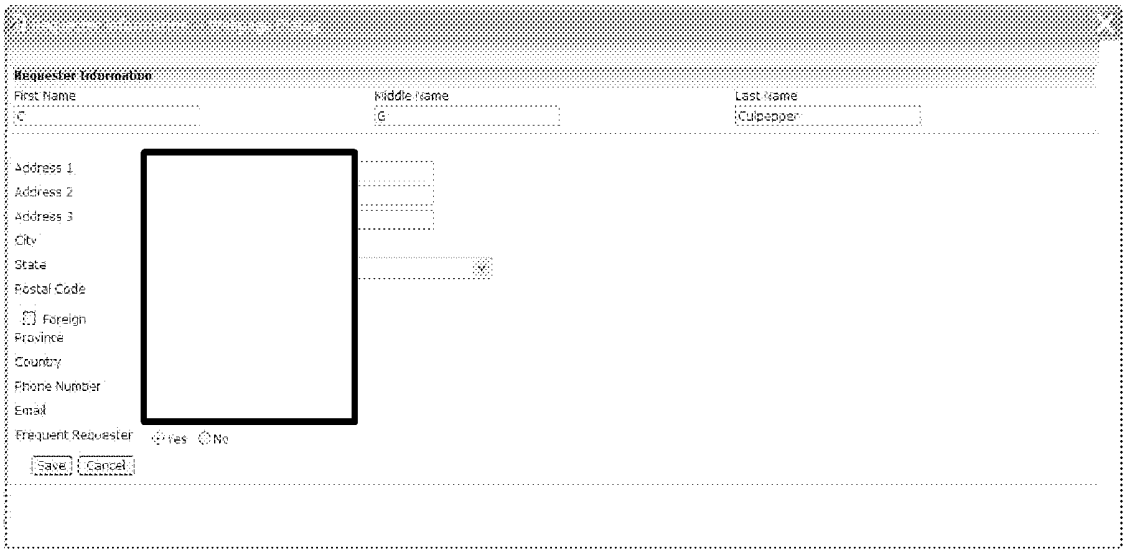
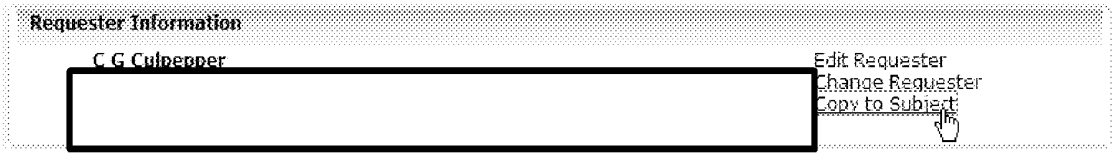
(b)(6)



SUBJECT INFORMATION

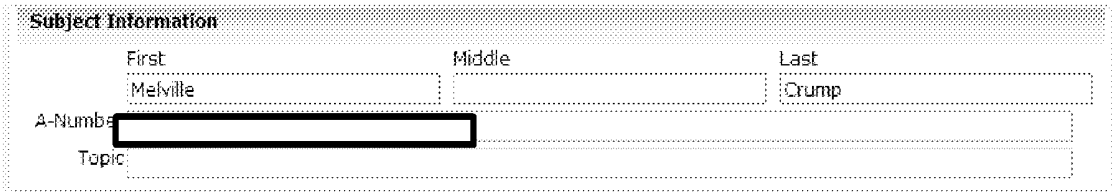
(b)(6)

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:



Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6)



1. Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

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The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

2. Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number. You should always check the A-number in CIS to be sure it belongs to the correct subject. If the alien provided us with more than one A-Number, please separate these numbers with a comma. If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will staff for the beneficiary's A-file.

3. Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

If the alien is requesting a receipt number, enter the information in the following format:

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Correct: MSC0412360000

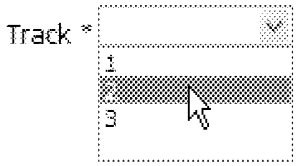
Incorrect: MSC-04-123-60000

Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one staffing sheet. See **Staffing Sheet Guide** for more guidance.

When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

CASE SPECIFICATIONS

1. ***Track***



Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

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Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge
- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either

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Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph."

Proceed with creating the case. If you are not sure whether to approve or deny Track 3, please consult your supervisor.

If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the staffing sheet.

If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3.

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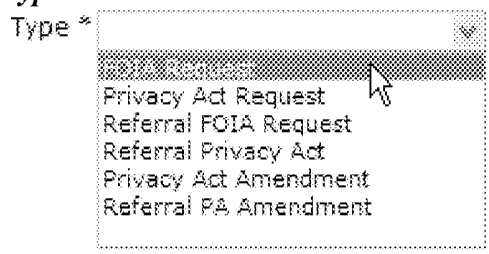
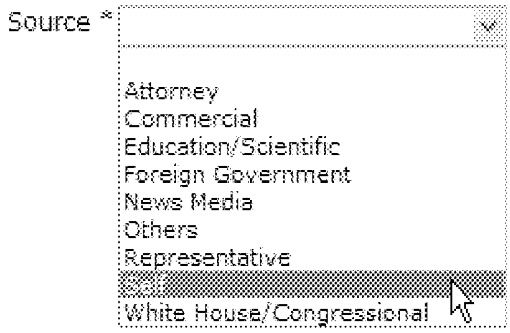
2. ***Type***



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

3. ***Source***



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.

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- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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4. ***Category***

There are 30 different categories of requests. However, the most commonly used ones are:

Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951

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e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

Personnel – The requester is seeking information relating to USCIS personnel matters.

Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

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If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a staffing sheet or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

OTHER: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#

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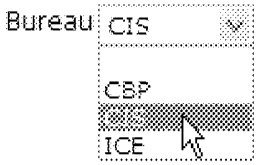
2) NRC#
3) Scanner's initials
4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

5. Bureau



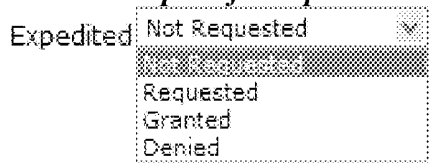
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, staff for the file.**

6. Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

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USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

- If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.
- If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.
- If the expedited treatment request refers to a case that *has already been closed*, close it as DP and send a duplicate letter or to create it as a new case, based on the situation. Please refer to the section on DP (duplicate) Cases.

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Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

Notice: Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.

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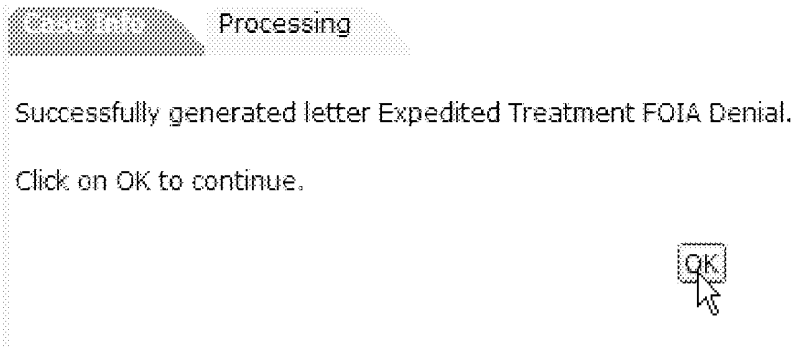
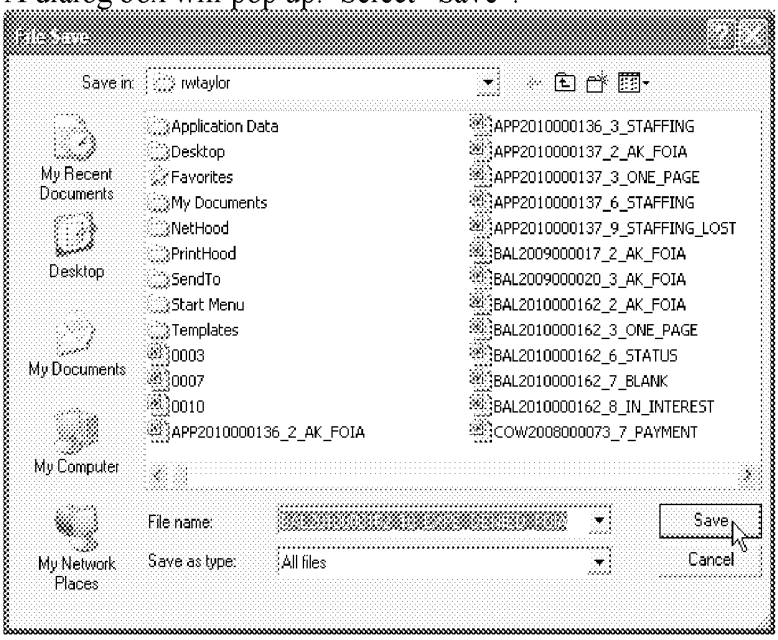


A dialog box will pop up. Select "Save":



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that

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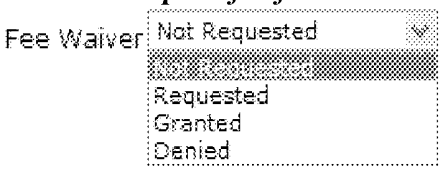
effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

7. ***Is there a request for fee waiver?***



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

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When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

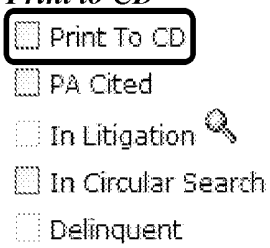
Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

8. ***Print to CD***



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the

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acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

A few guidelines to follow:

- You should mark the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

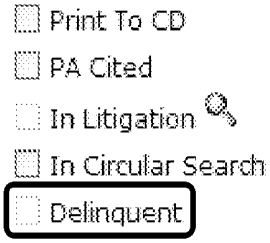
- If the responsive records are already scanned in when you create the case, you will still check print to CD.

- All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

- If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

- If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

9. Is this a delinquent requester?



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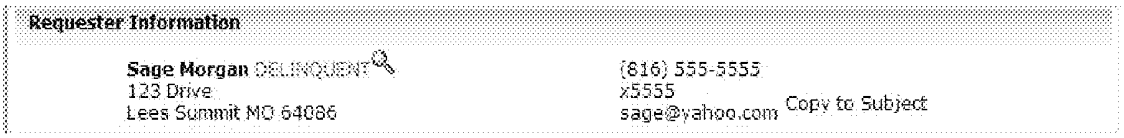
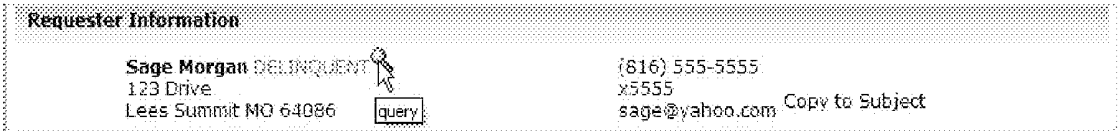
The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

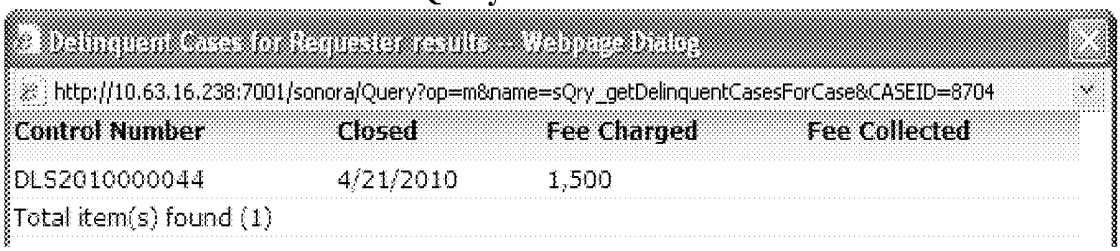


To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is

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going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

If the case was processed after January 1, 2004 and your requester's name was on the list:

If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

**Do not staff for responsive records until we receive payment.

NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.

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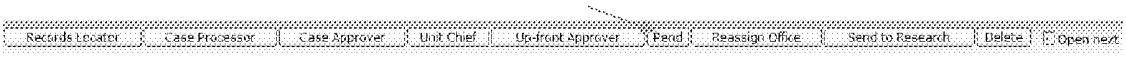
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

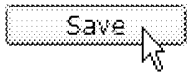
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:



SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).

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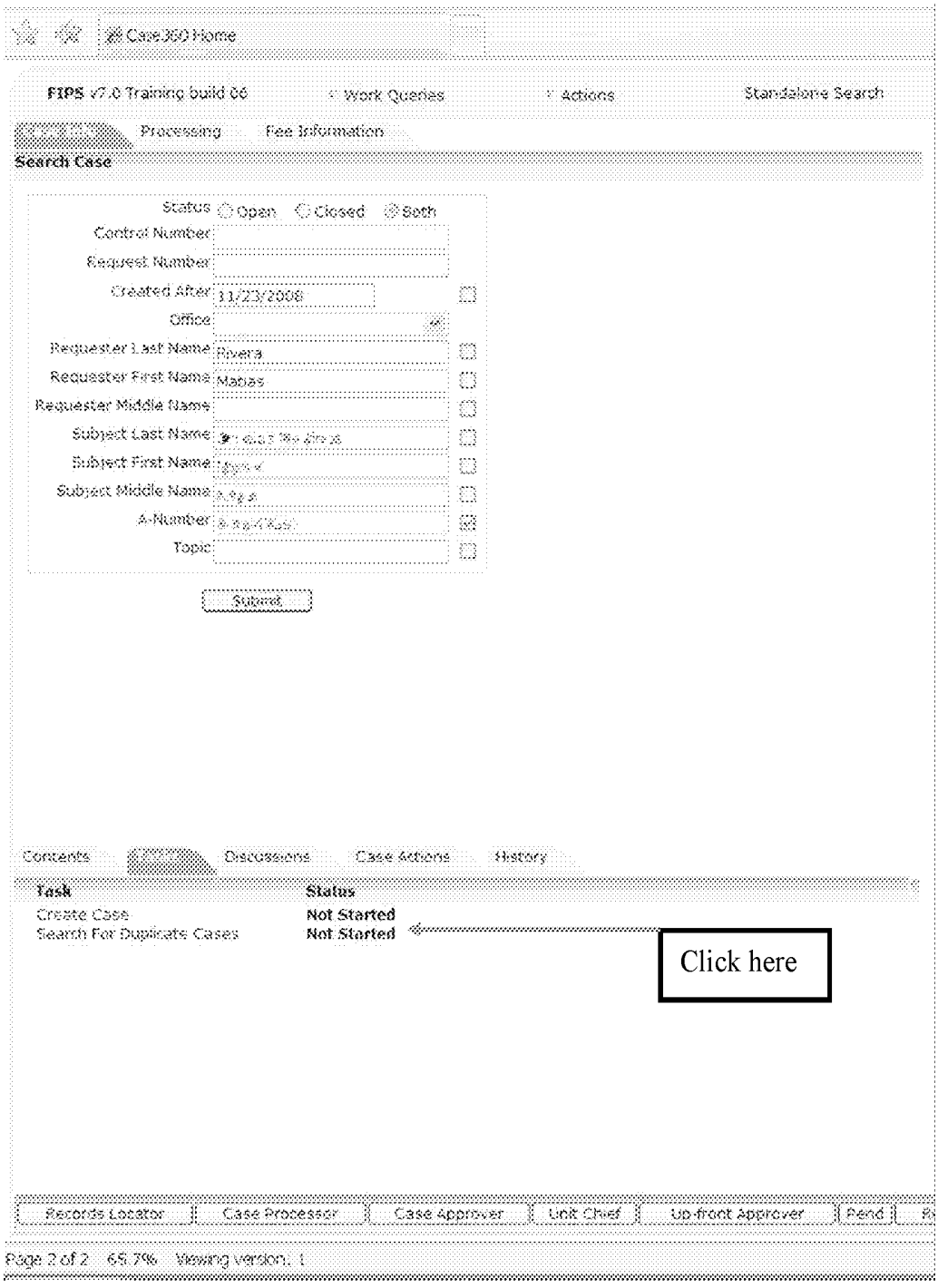

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

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If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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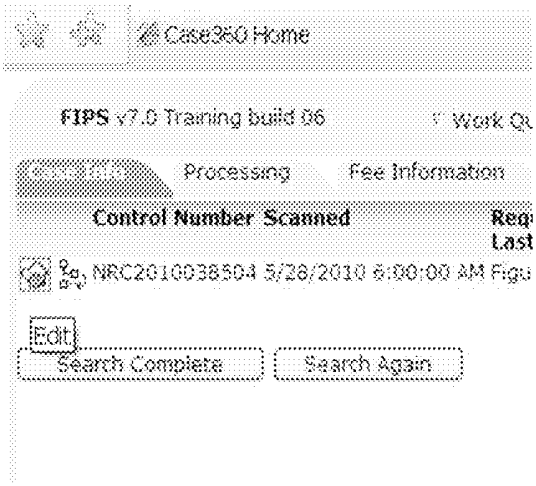
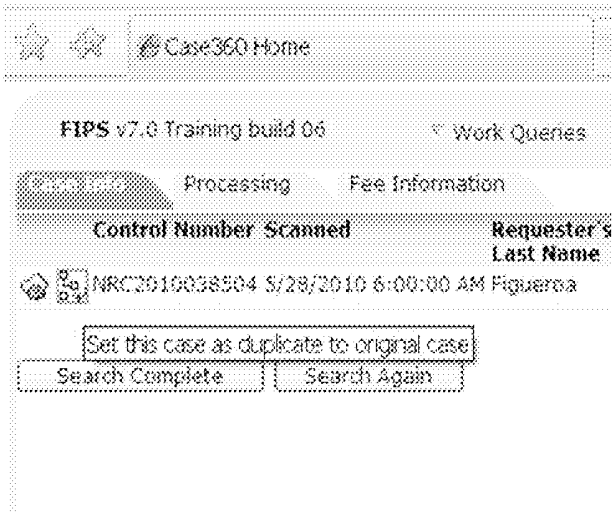


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver.

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If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. Instead, close this case as ER (created in error).

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

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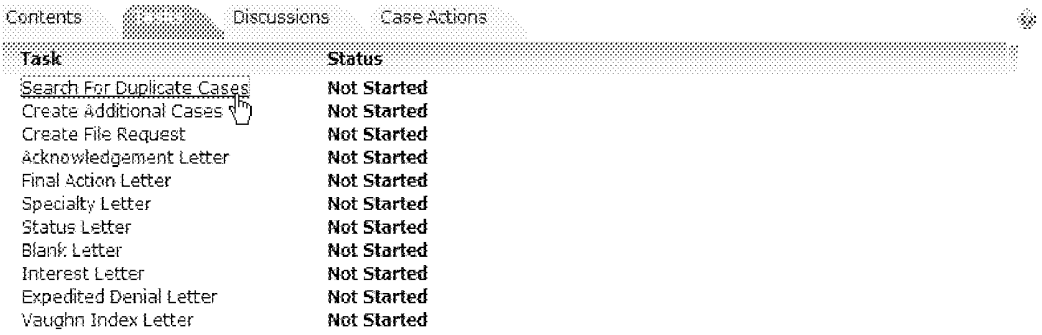
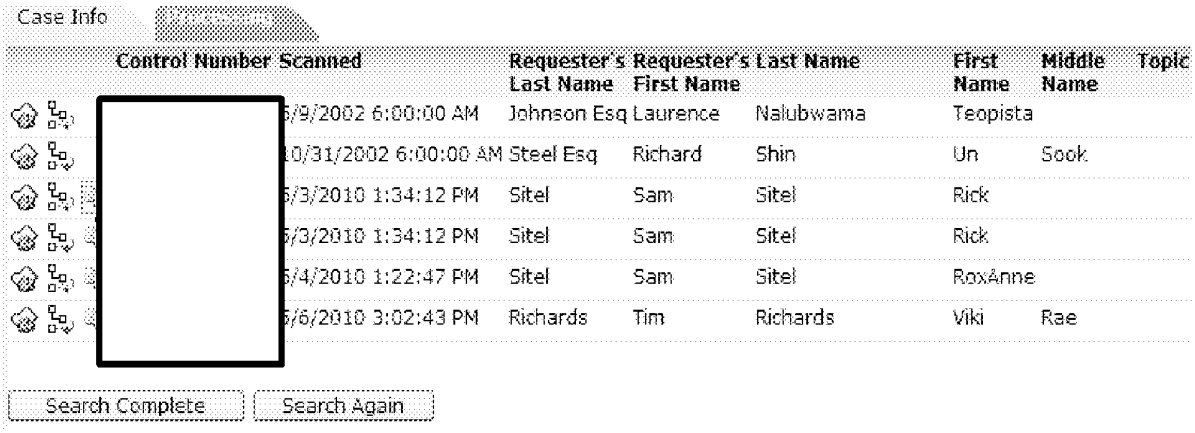


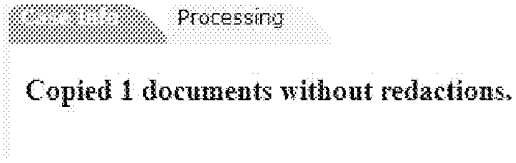
Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:

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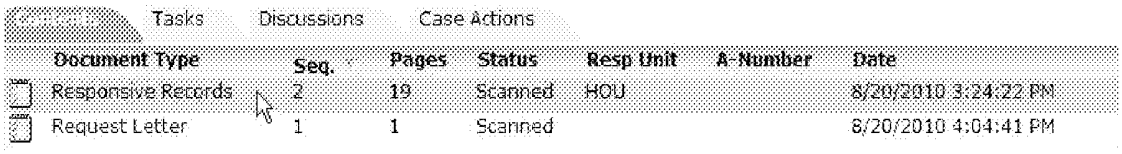

CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

Consent of parents or guardians

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If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. The signature of the parent/guardian must be notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors can make a request for their file themselves. They do not have to have the consent of their parent or guardian to make this request. An attorney may also represent a minor.

Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth
- Alien Registration Number (if known)

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

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The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:
>
> (1) If executed outside the United States:
>
> > "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> > Executed on (date).
> > (SIGNATURE)".
>
> (2) If executed within the United States, its territories, possessions, or commonwealths:
>
> > "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> > (SIGNATURE)".

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If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment*. Check the first box on the document.

Reasonable Description of Records being Sought:

If the requester did not provide all of the elements listed:

- Full Name
- Current address
- Date of Birth
- Place of Birth
- Alien Registration Number (if known)

Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will staff for the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not staff for a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

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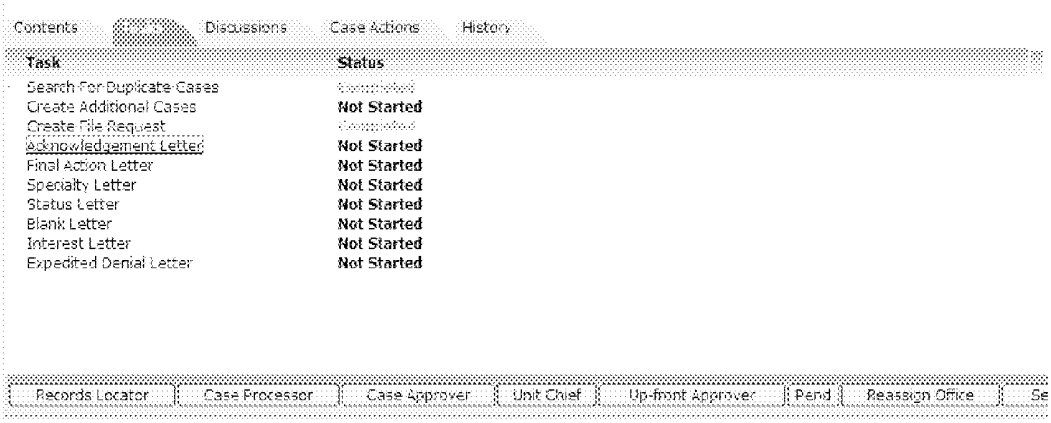
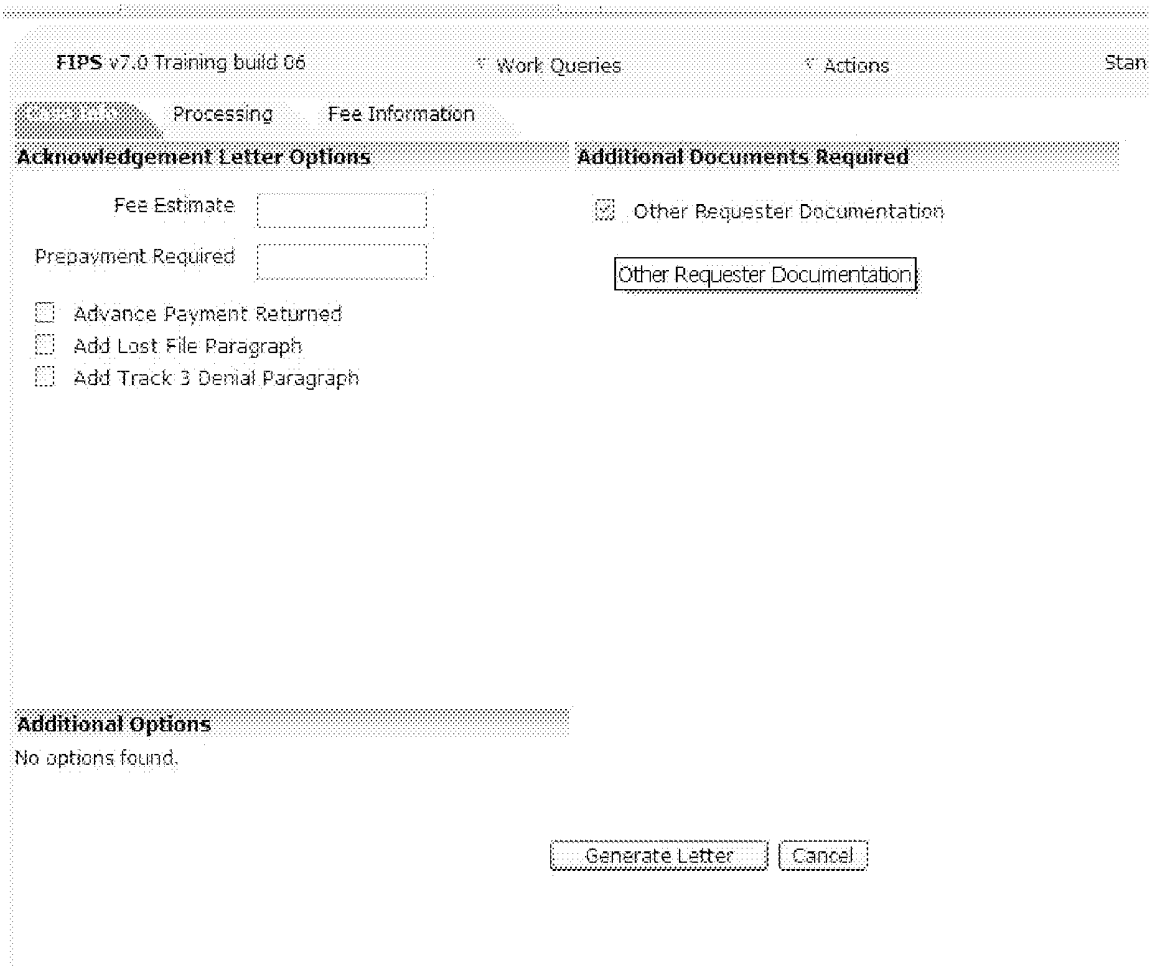


After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:



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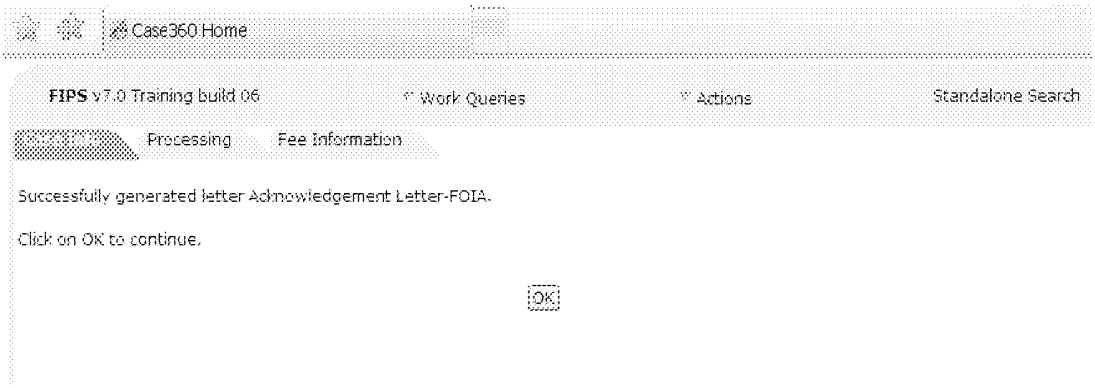
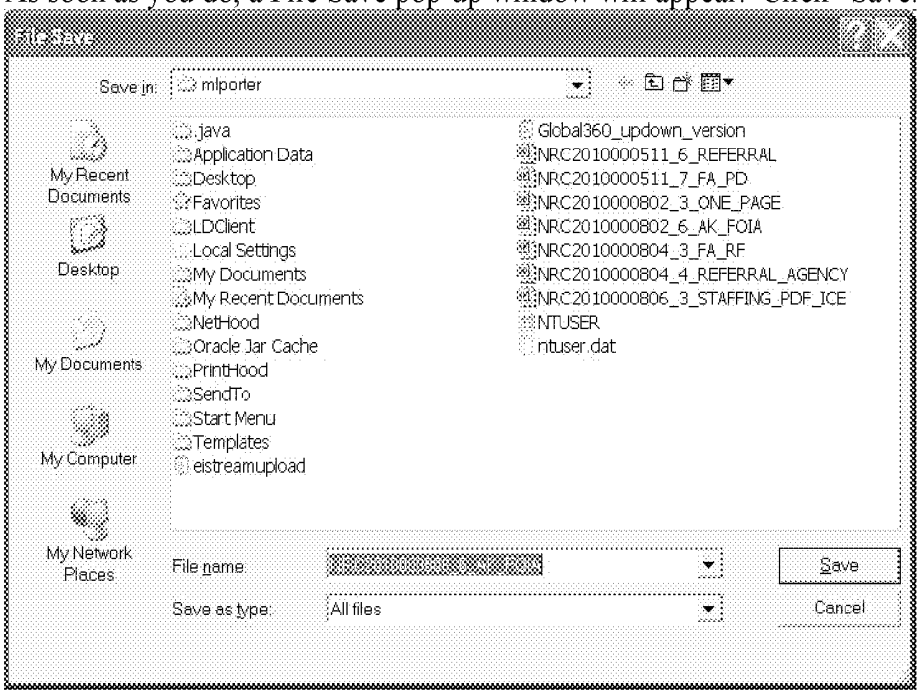
We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."



The acknowledgment letter will pop up:

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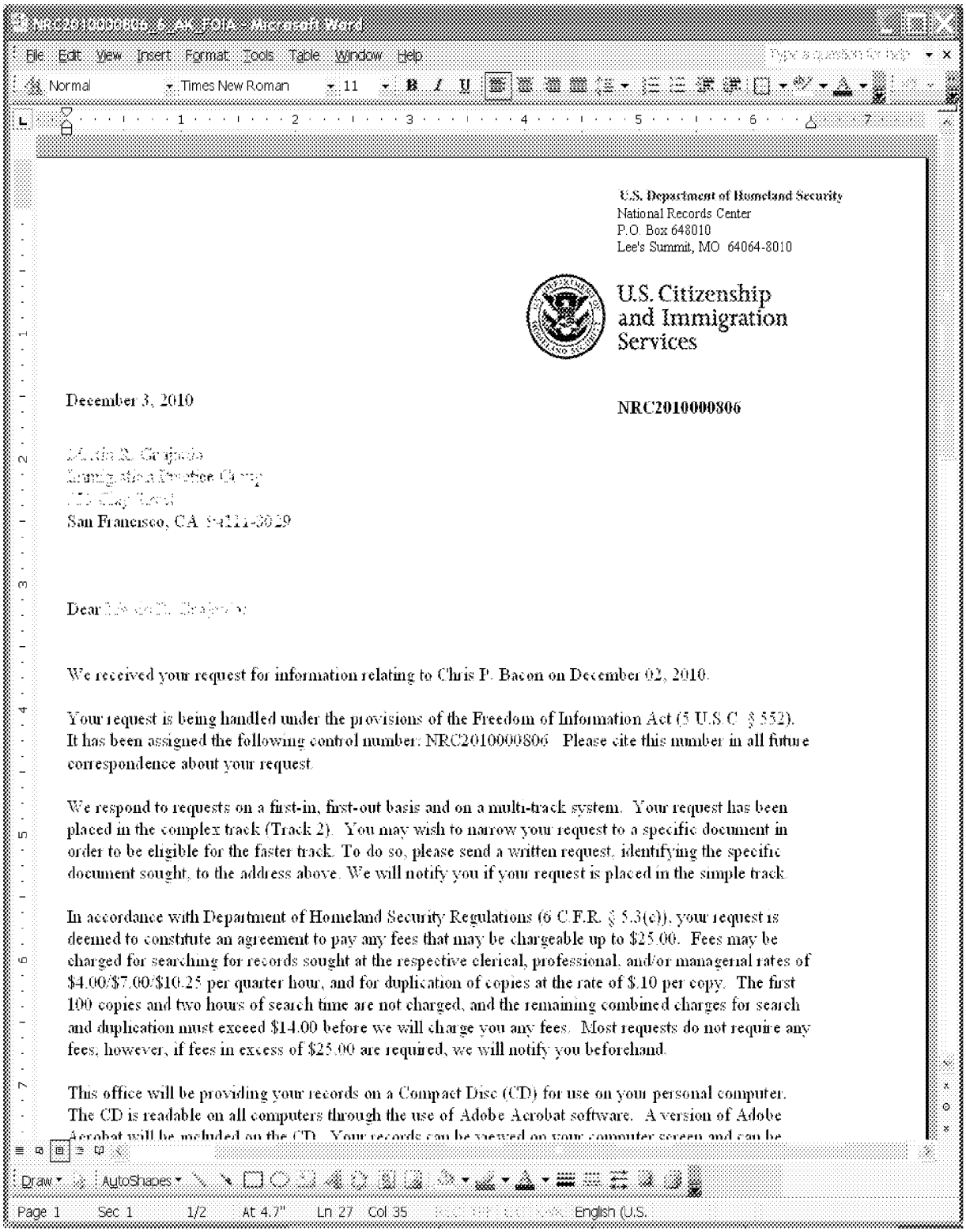

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 94111-3629

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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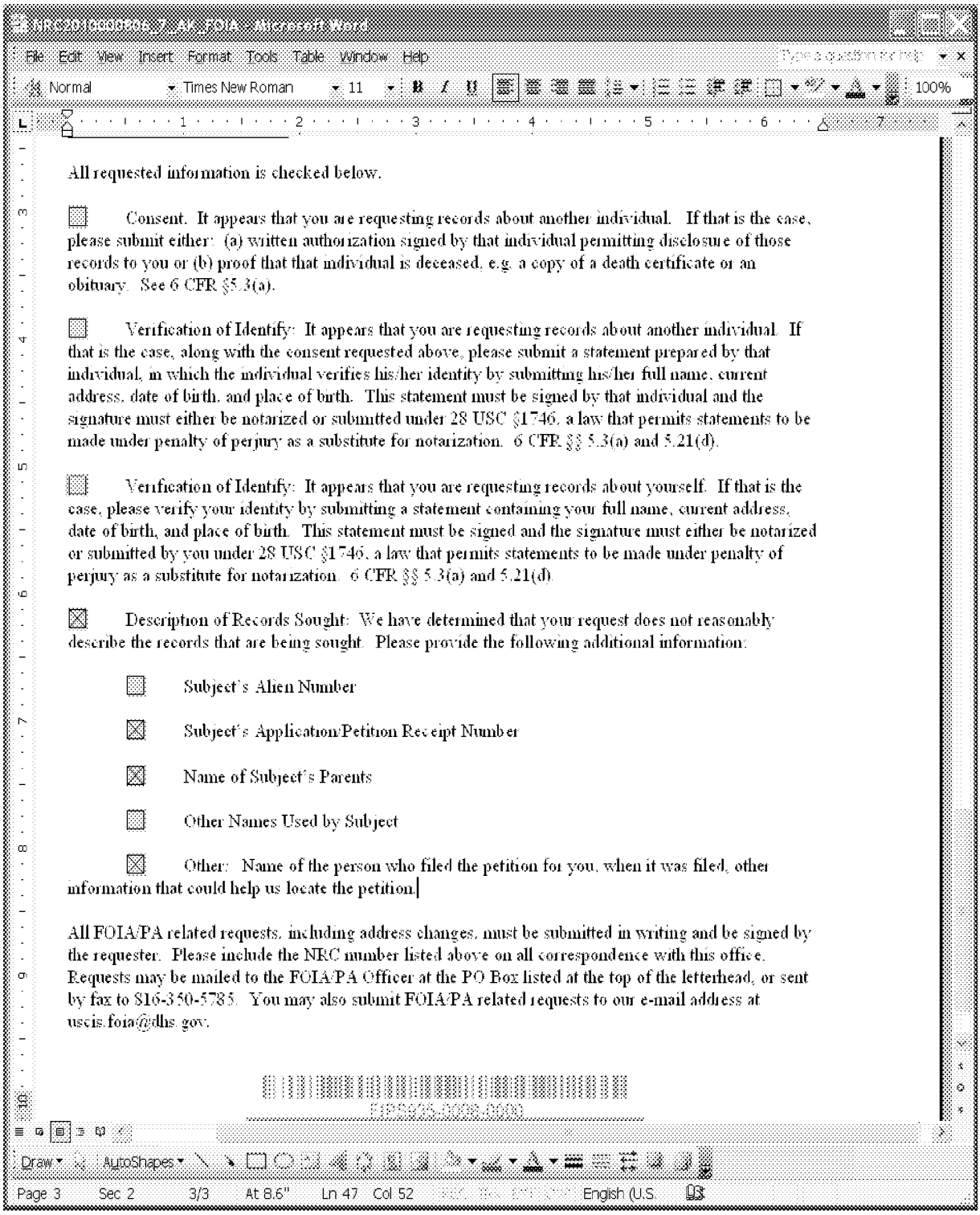

All requested information is checked below.

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identify: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identify: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information:

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

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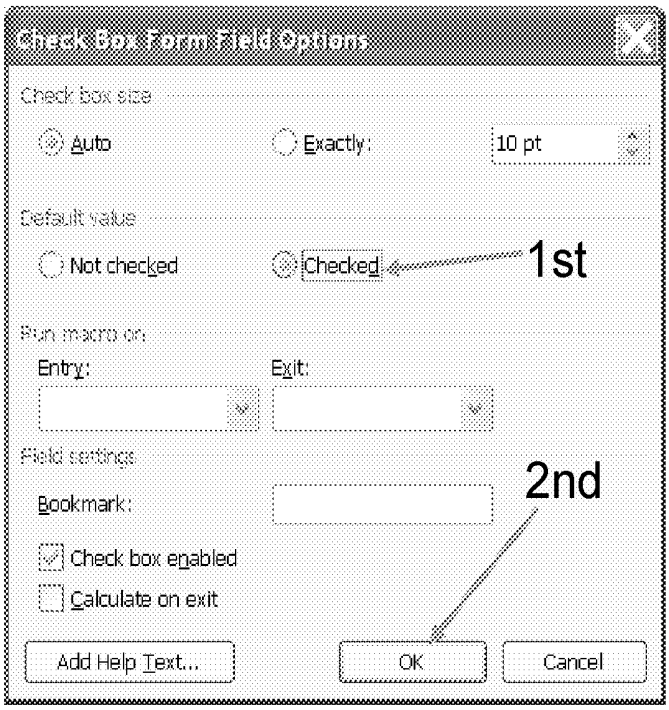
The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:



The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:

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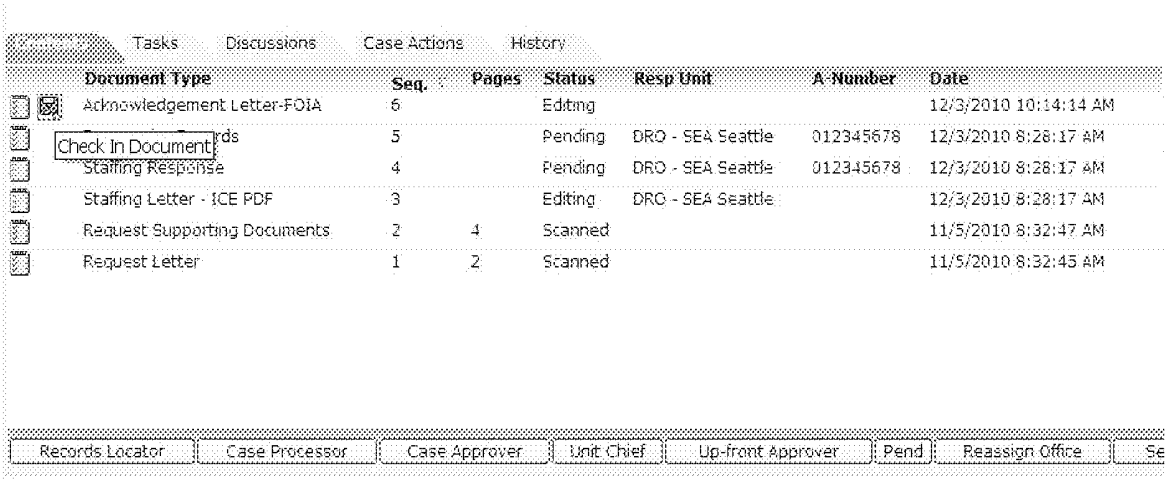
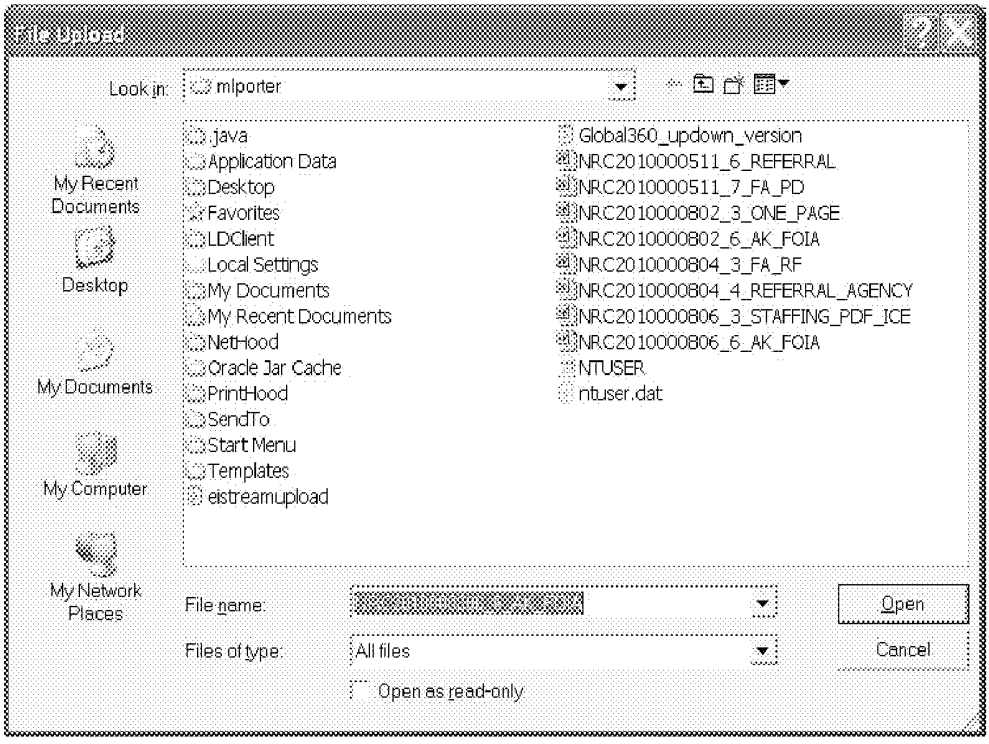


Click "Open":



You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."

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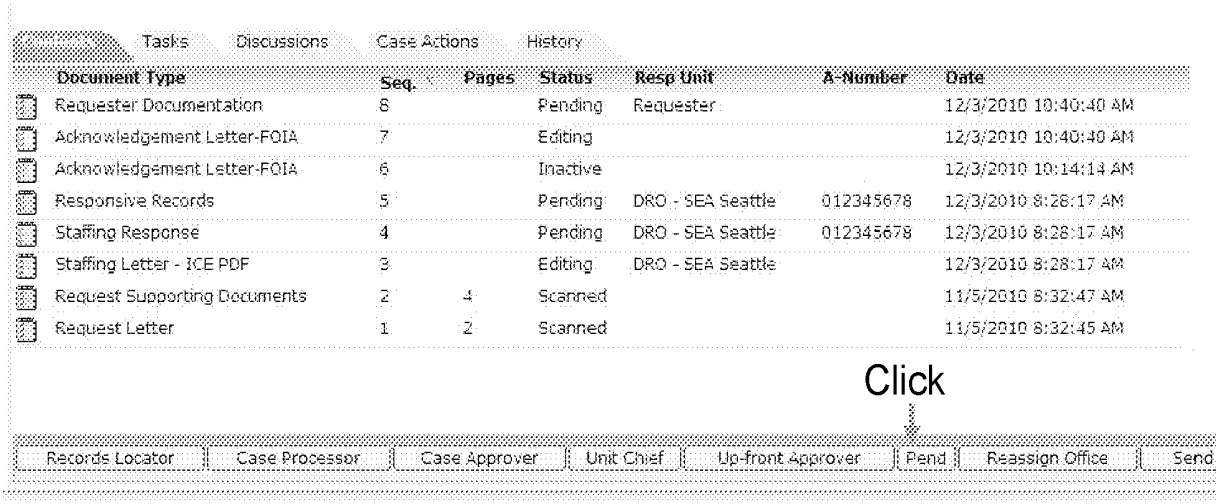

When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will staff for the records.

Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent. Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply staff for the file and put a Discussion in FIPS that it is a third party request without

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consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not staff for the file. In a situation like this, send a request for consent and pend the case for requester documentation.

Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents

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allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in

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trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

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REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

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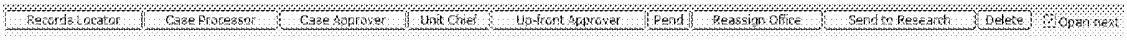
Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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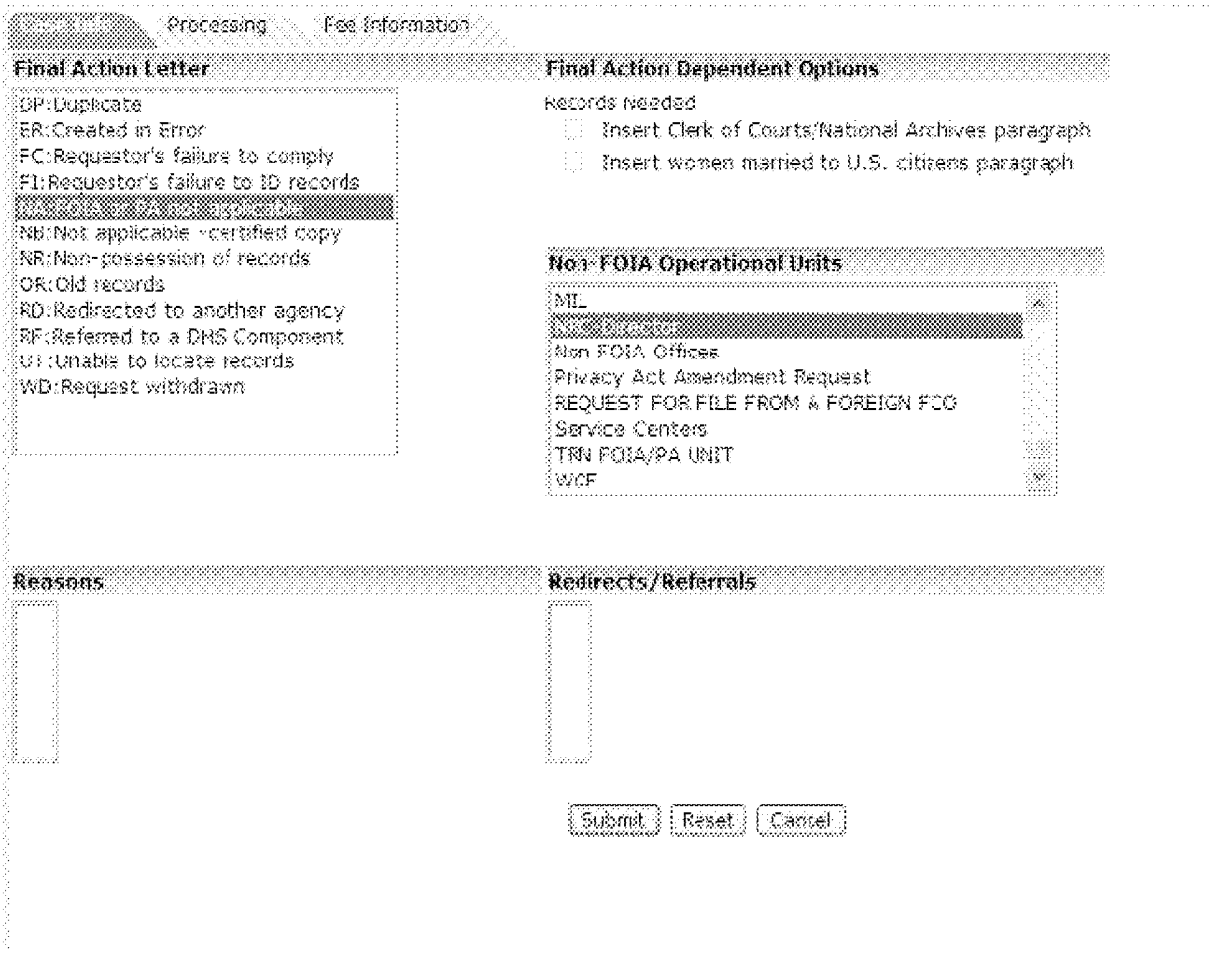

REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and staff for the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

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REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.

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4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, staff for the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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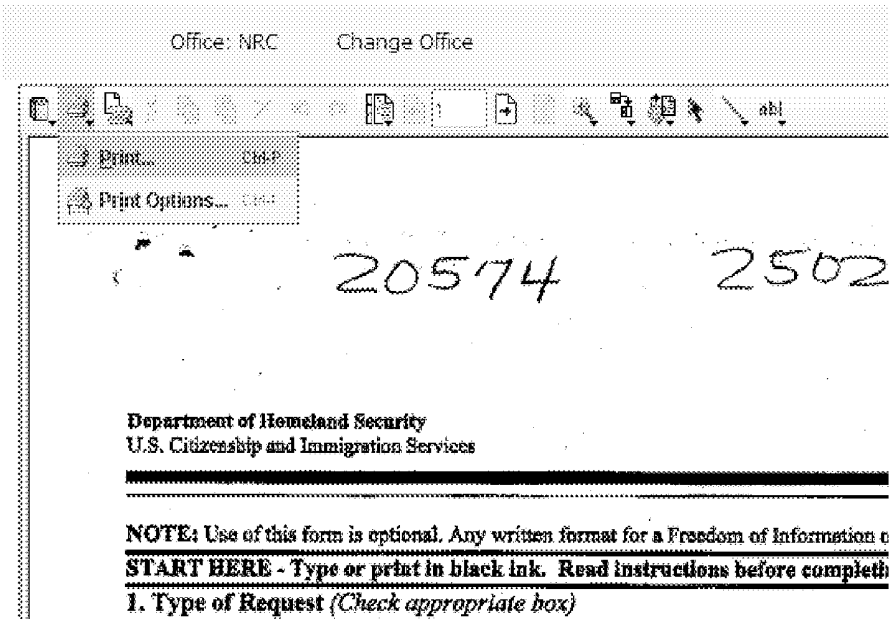
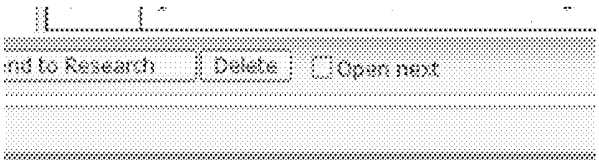


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The

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case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch

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1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

> If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;
>
> If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

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For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), staff for the file.

SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

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REFERRAL AND REDIRECTION

Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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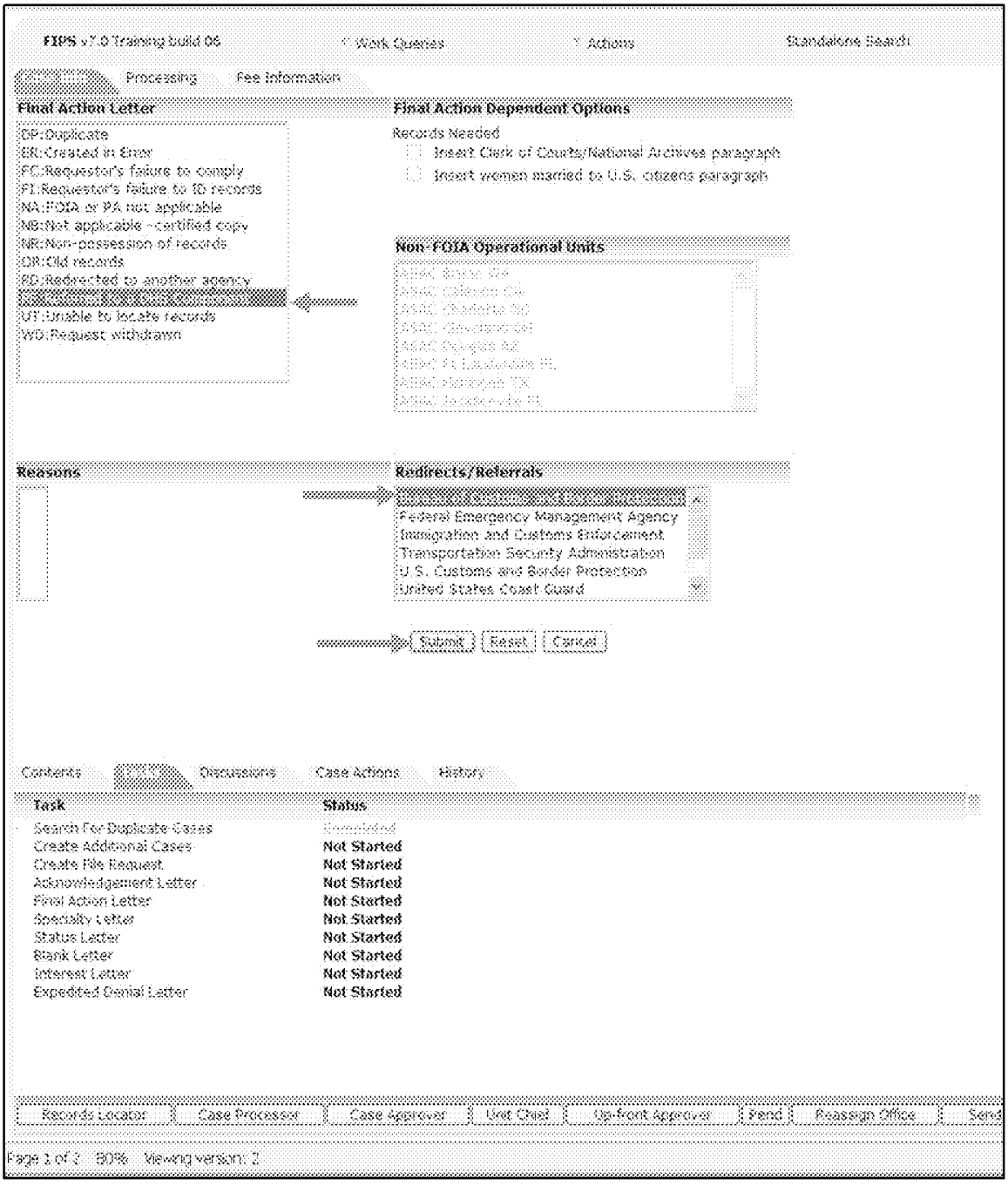

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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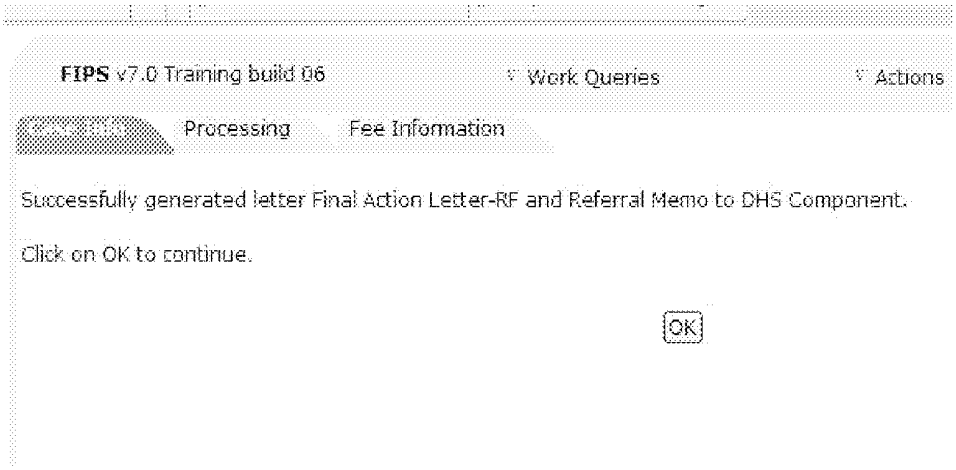
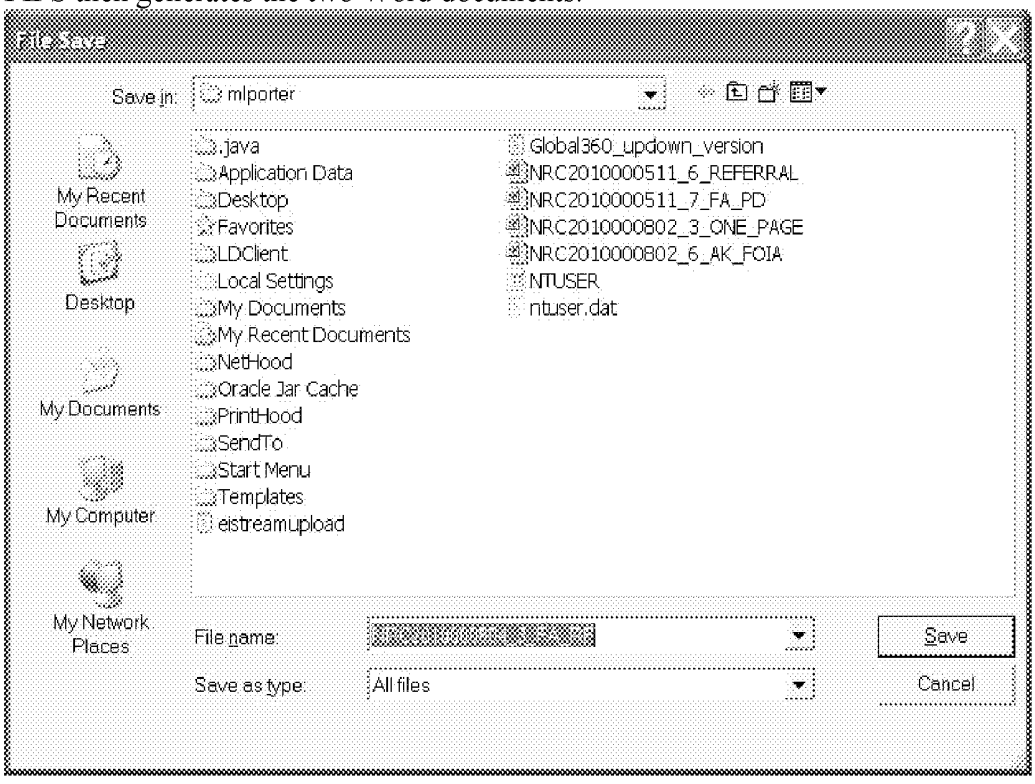


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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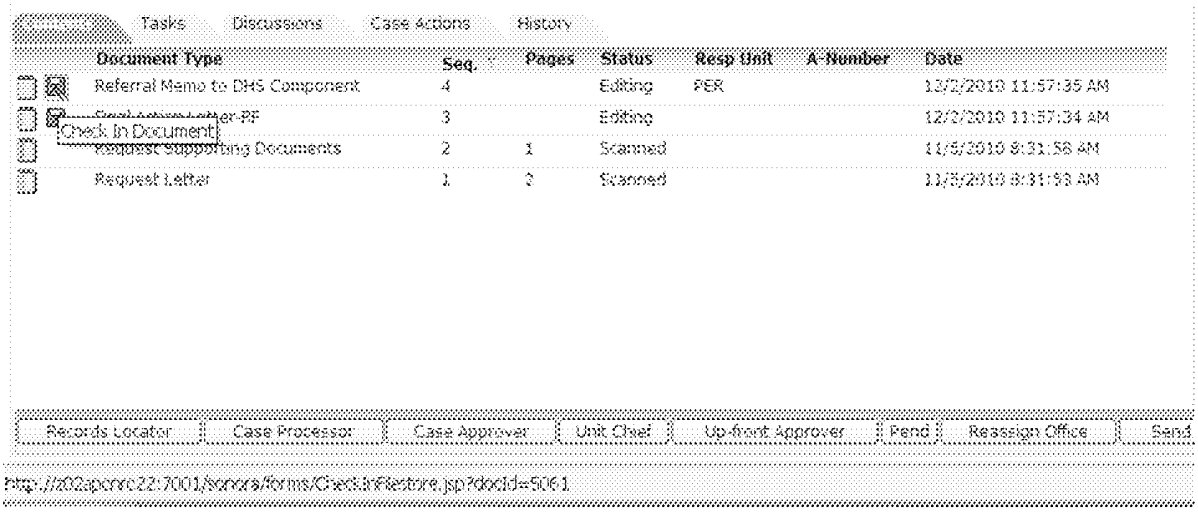
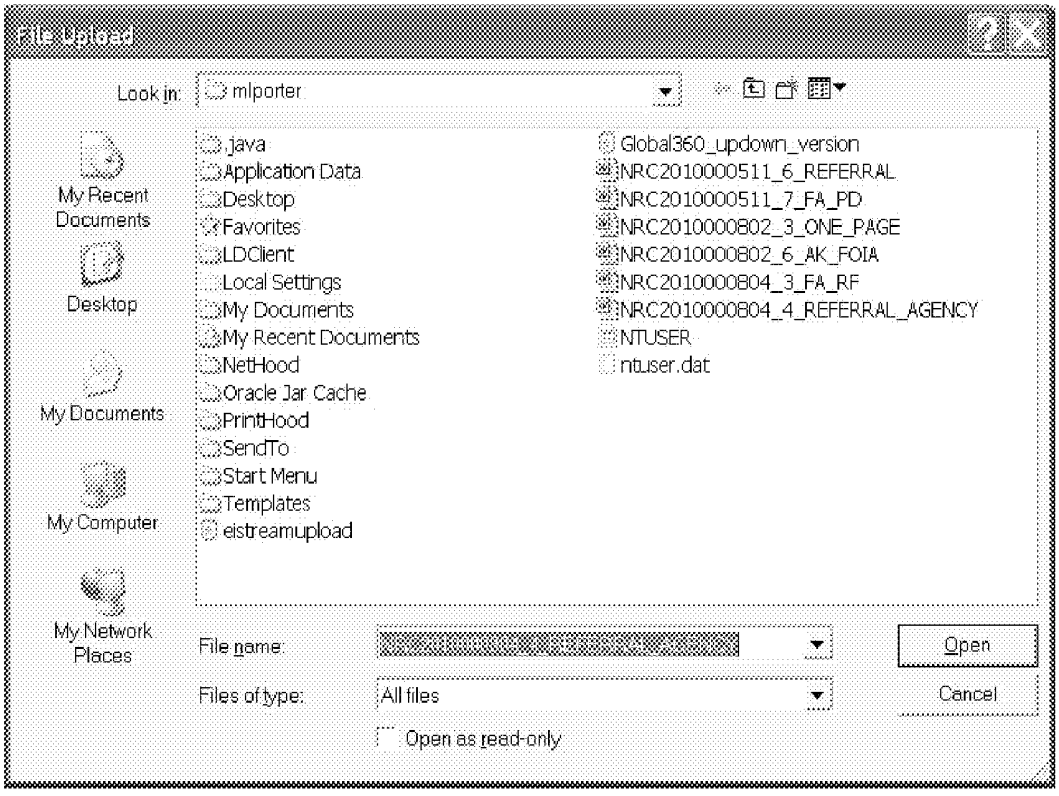


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

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Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, staff for the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

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Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please staff for the A-file.

Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should staff for the file. See Entry/Exit CBP information above.

DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please staff for the file. However, prepare a Discussion explaining why you staffed for the file.

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SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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STAFFING FOR THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to staff for the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for staffing.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on staffing for these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not staff for "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

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If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the staffing sheet. Send the case to Pend.

Staffing by Alien Number

One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

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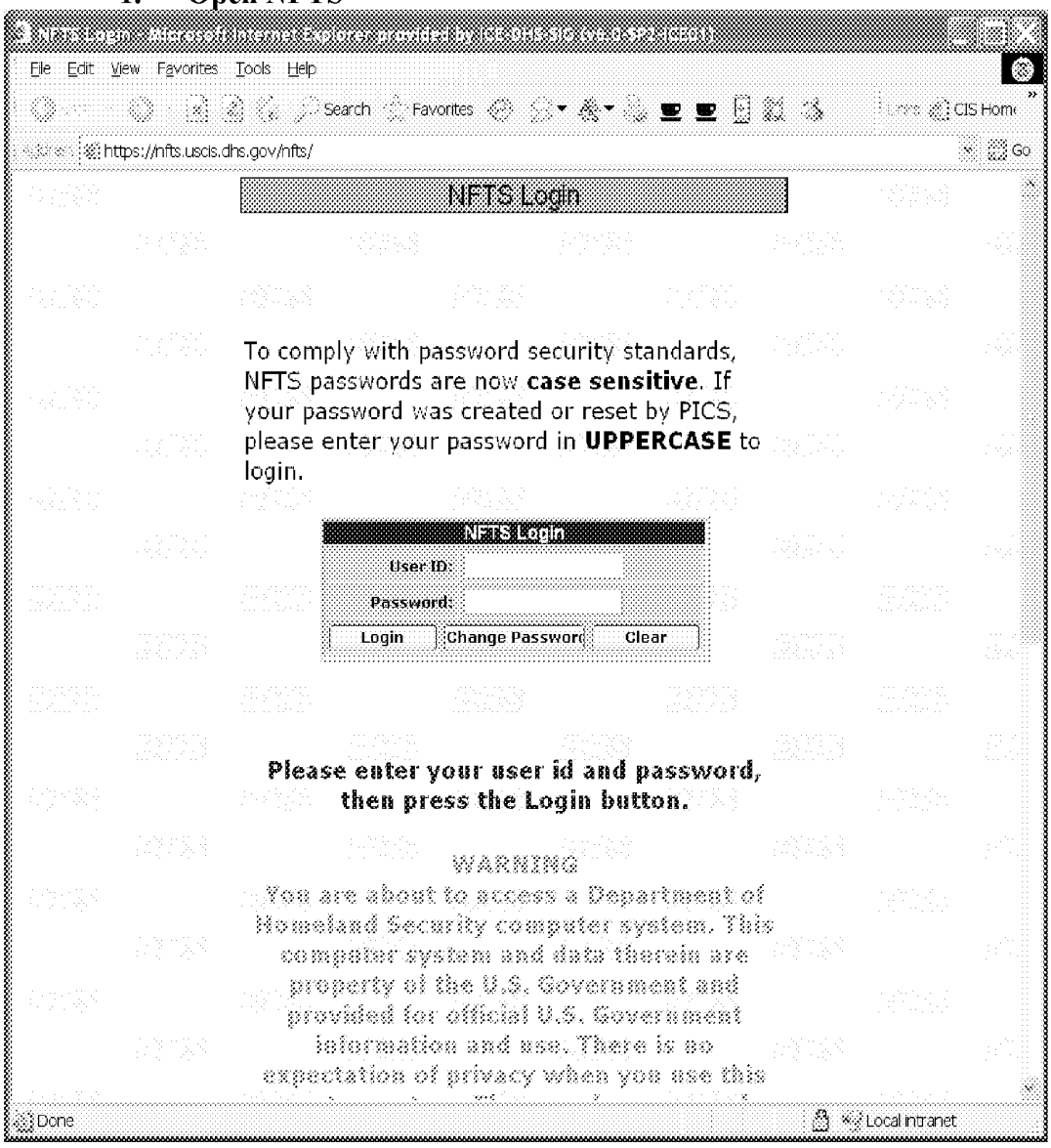
1. Open NFTS



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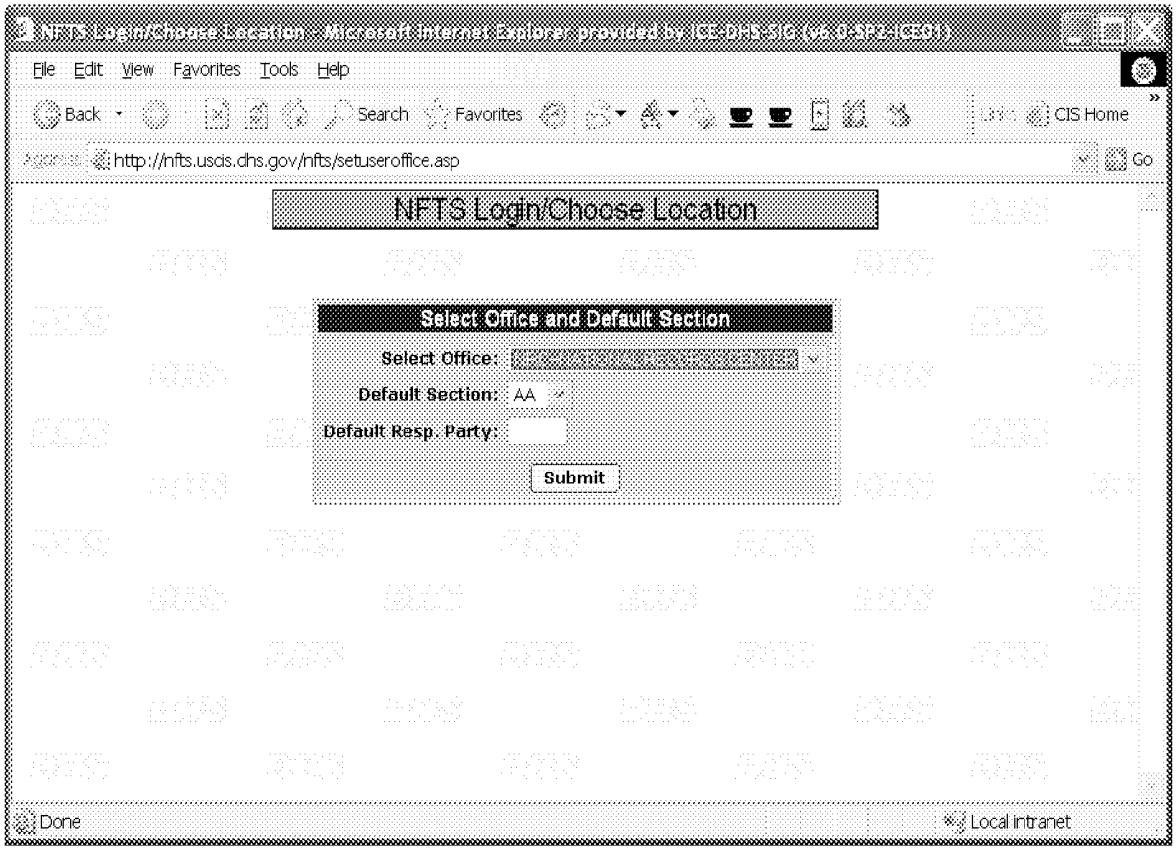
2. Submit your location



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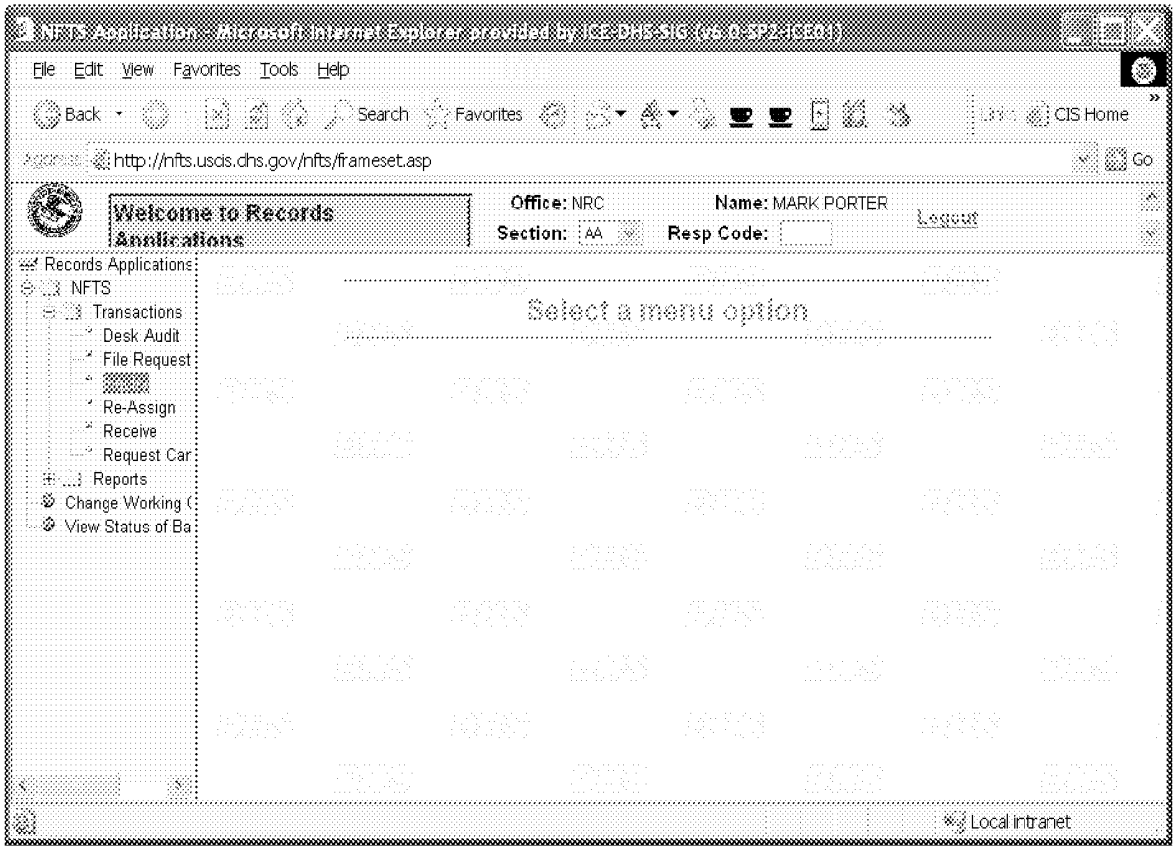
3. Select "Inquiry"



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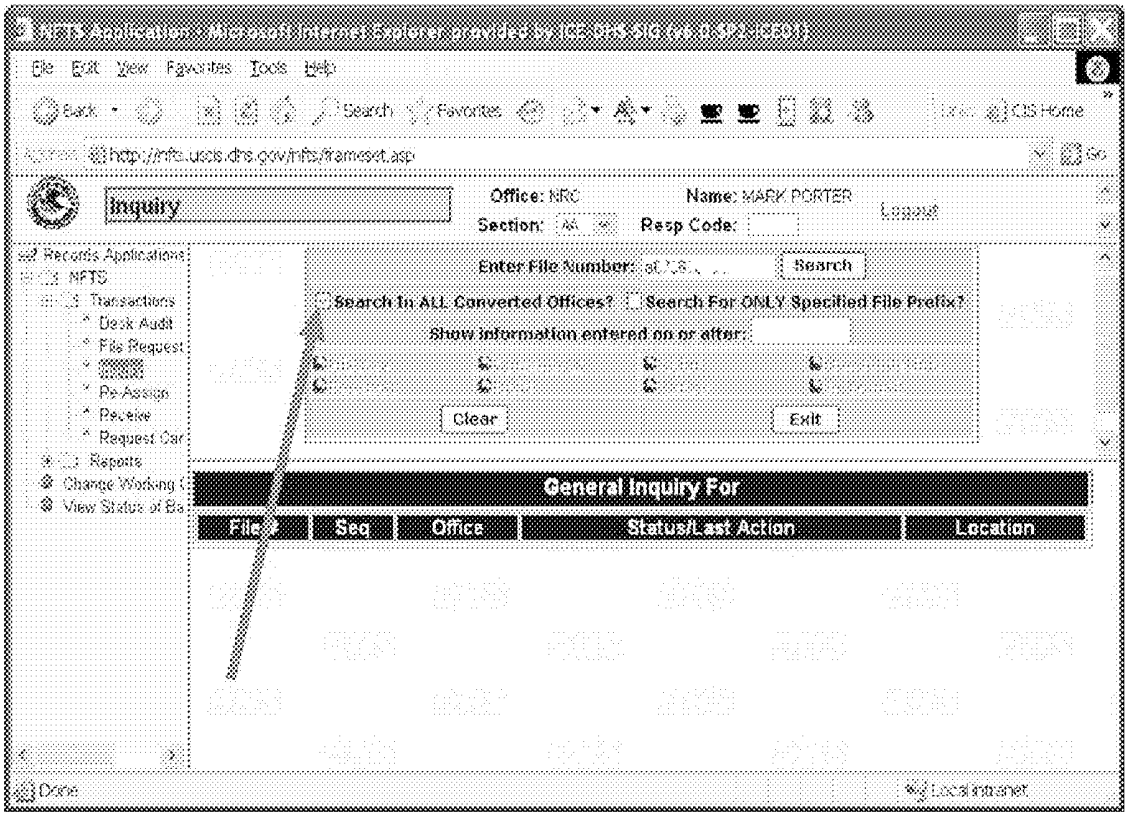
4. **Select "ALL Converted Offices"** and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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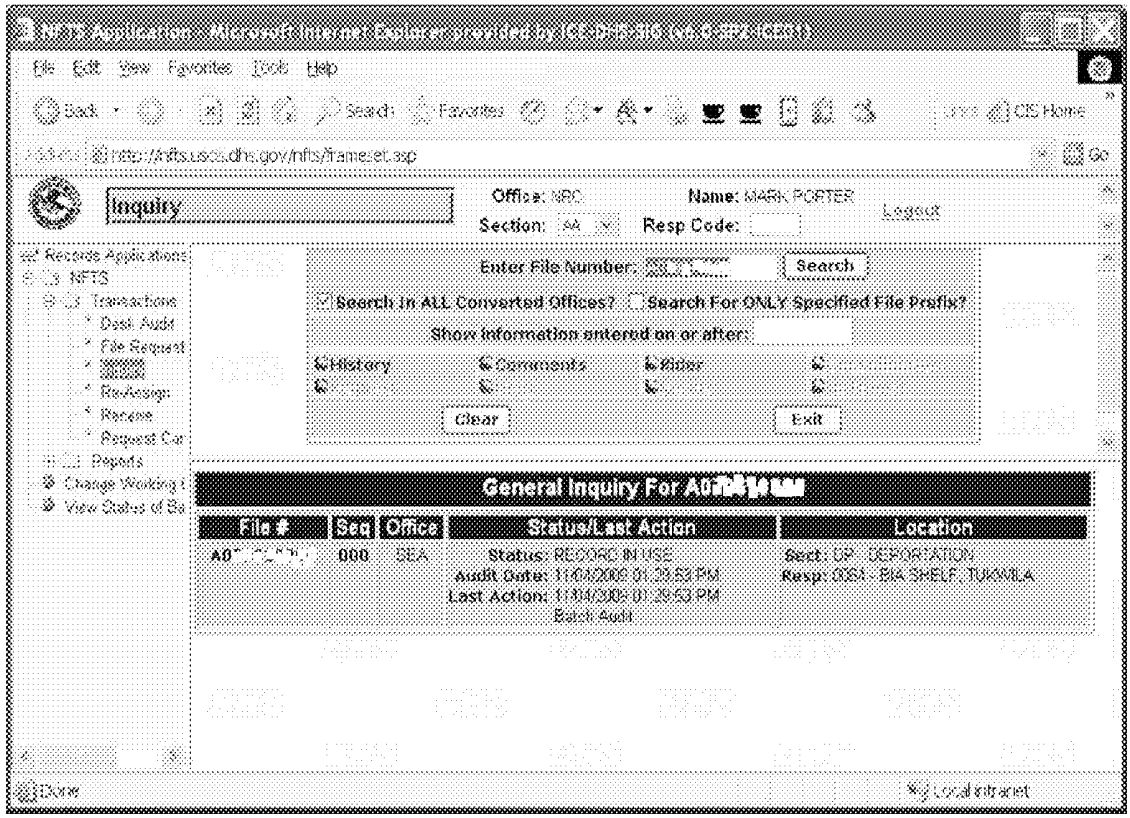
5. The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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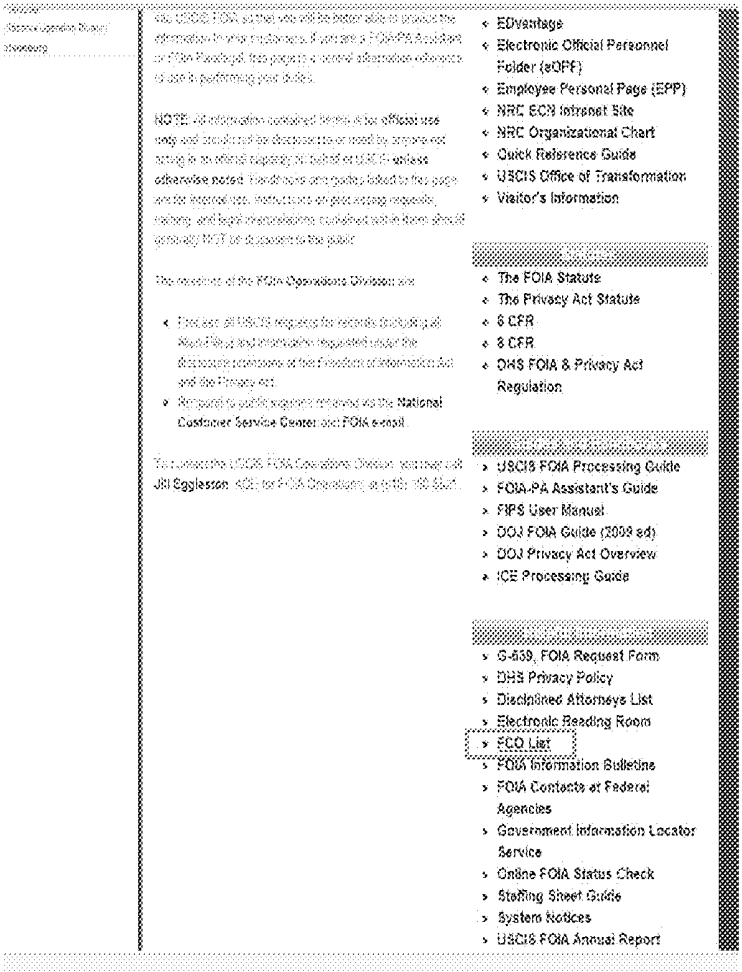
6. "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we staff for this file.

7. The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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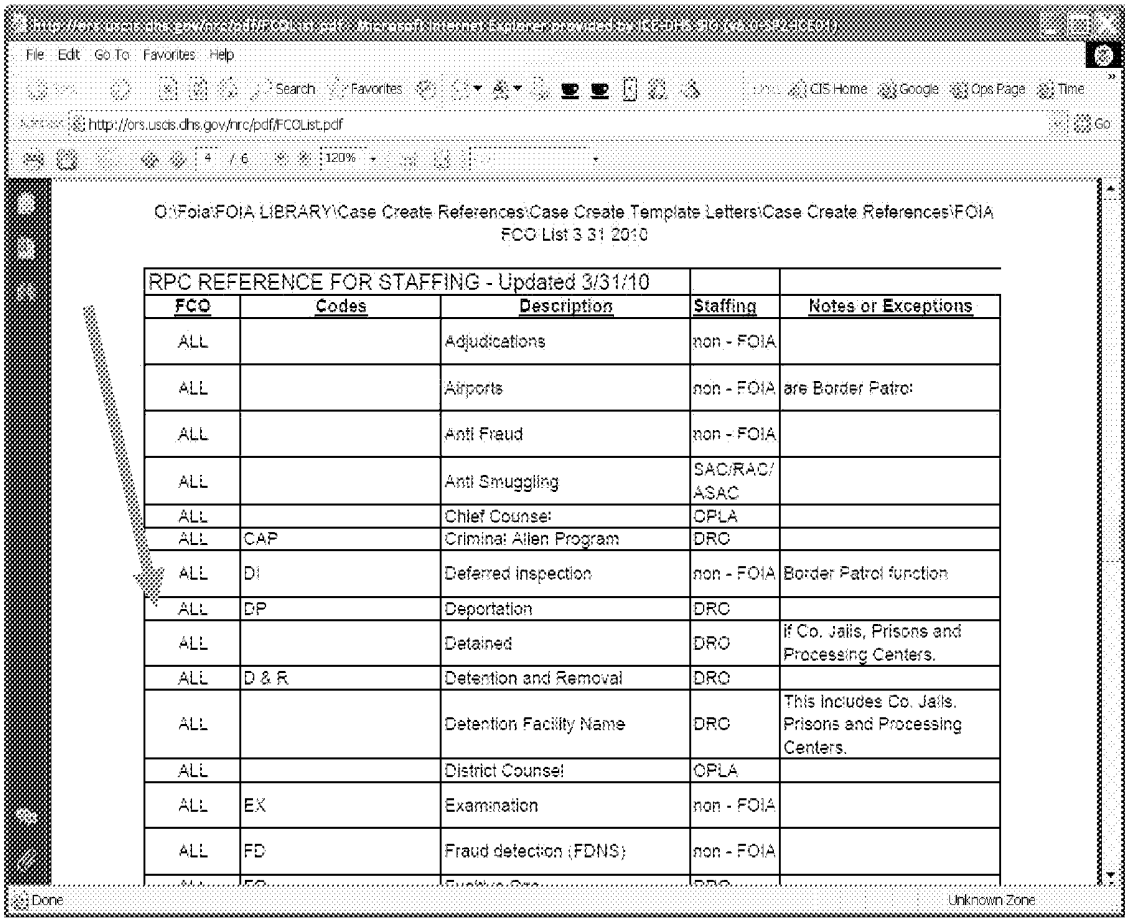
8. The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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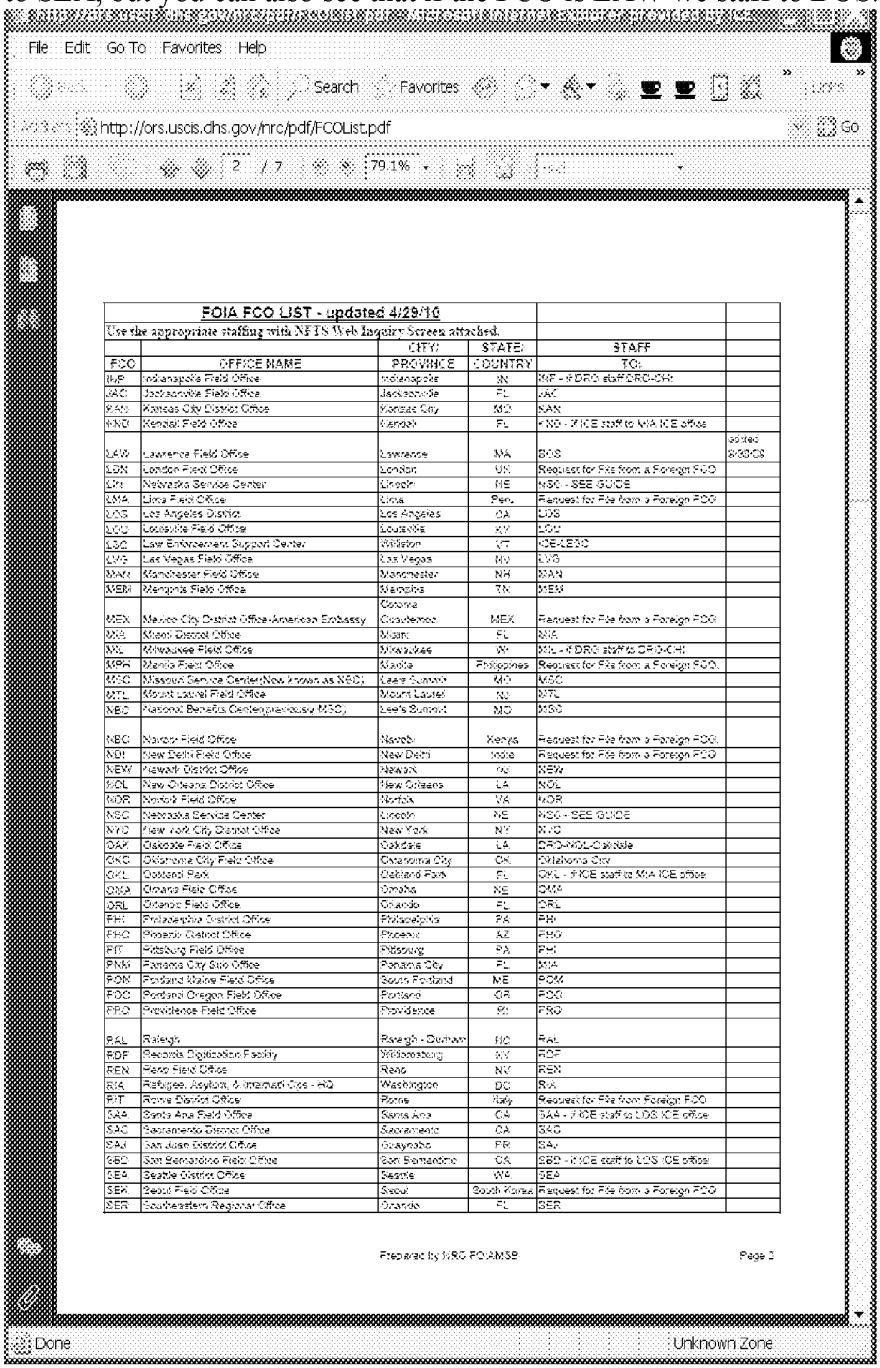
9. The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

2 / 7 79.1%

FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
IMP	Indianapolis Field Office	Indianapolis	IN	IMF - If DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	If NO - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 9/30/08
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MIL	Milwaukee Field Office	Milwaukee	WI	MIL - If DRO staff to DRO-CHI	
MNP	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NSC)	Lees Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDH	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Oakdale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix Detroit Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PHI	
PNM	Panama City Site Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internatl Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEK	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/MSB Page 1

Done Unknown Zone

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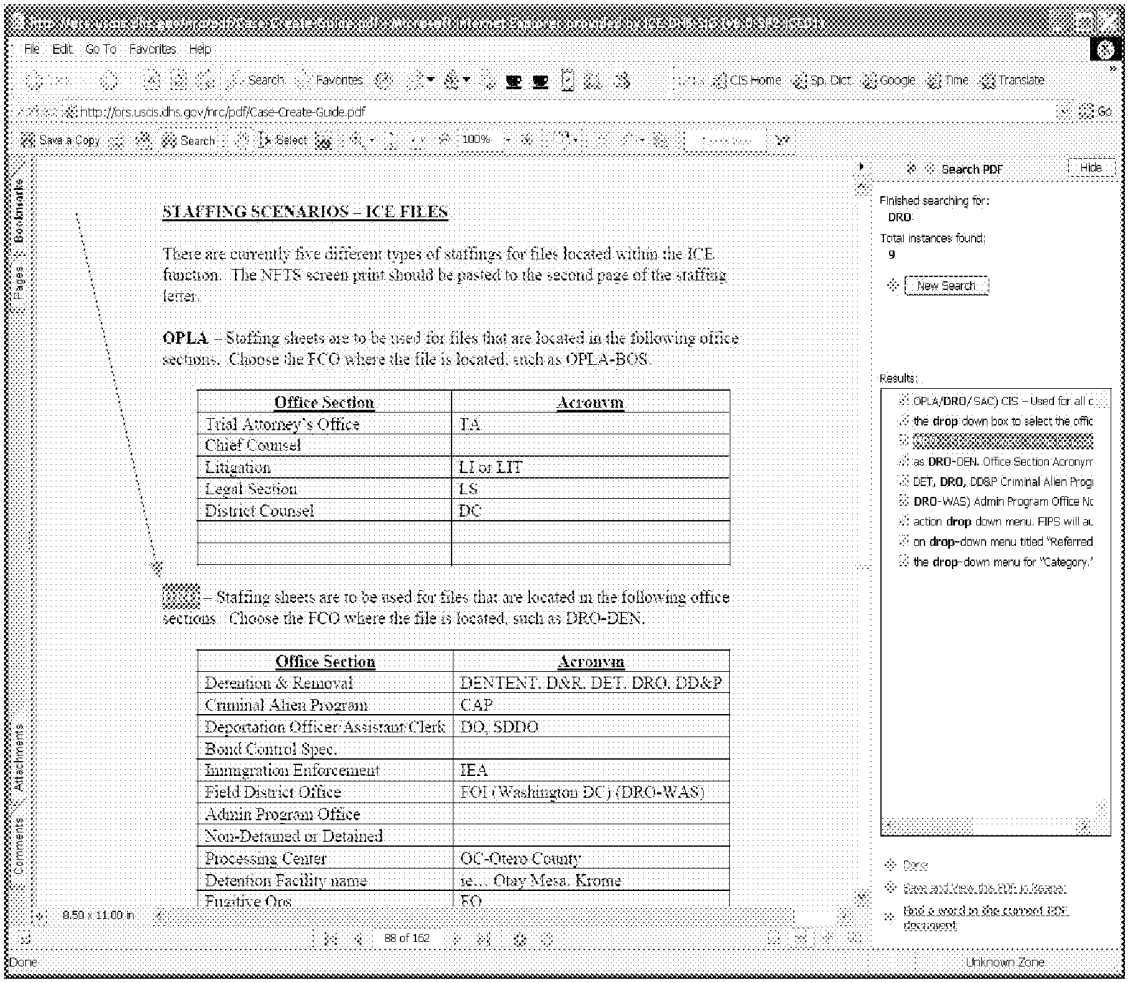
10. Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	te… Otay Mesa, Krome
Fugitive Ops	FO

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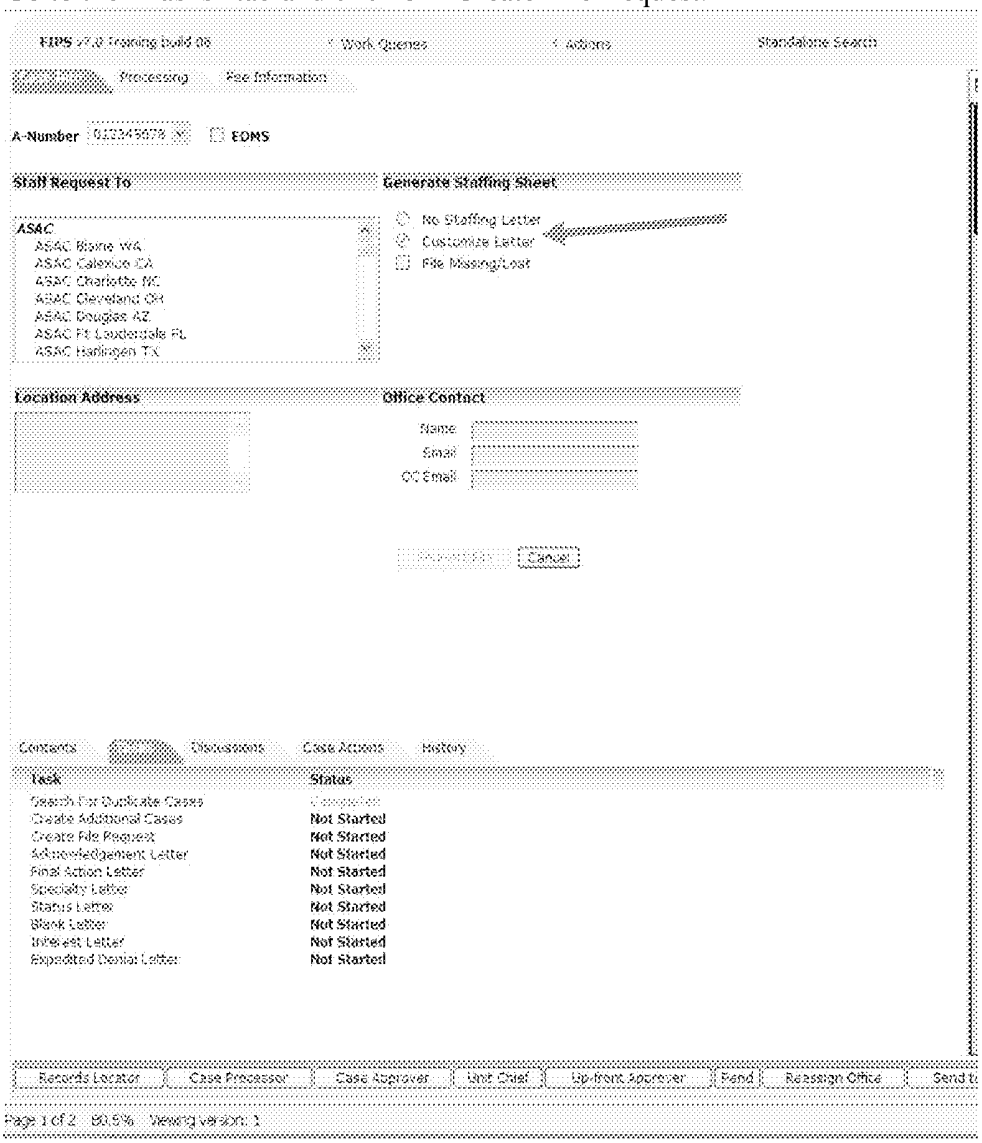
11. Generate the staffing sheet

Go to the "Tasks" tab and click on "Create File Request."



After we click on "Staffing" we get a "Generate Staffing Sheet" screen. Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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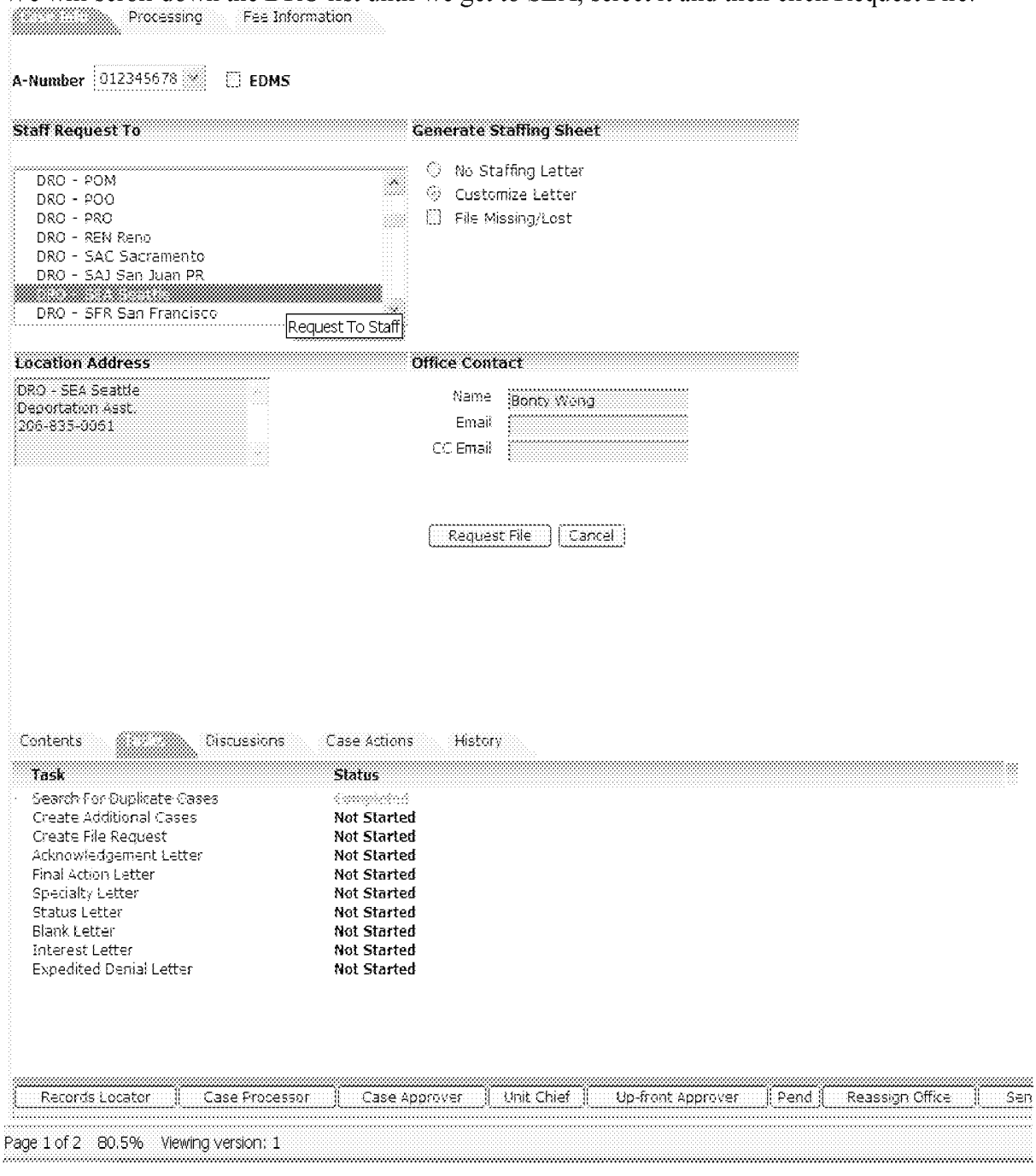
12. FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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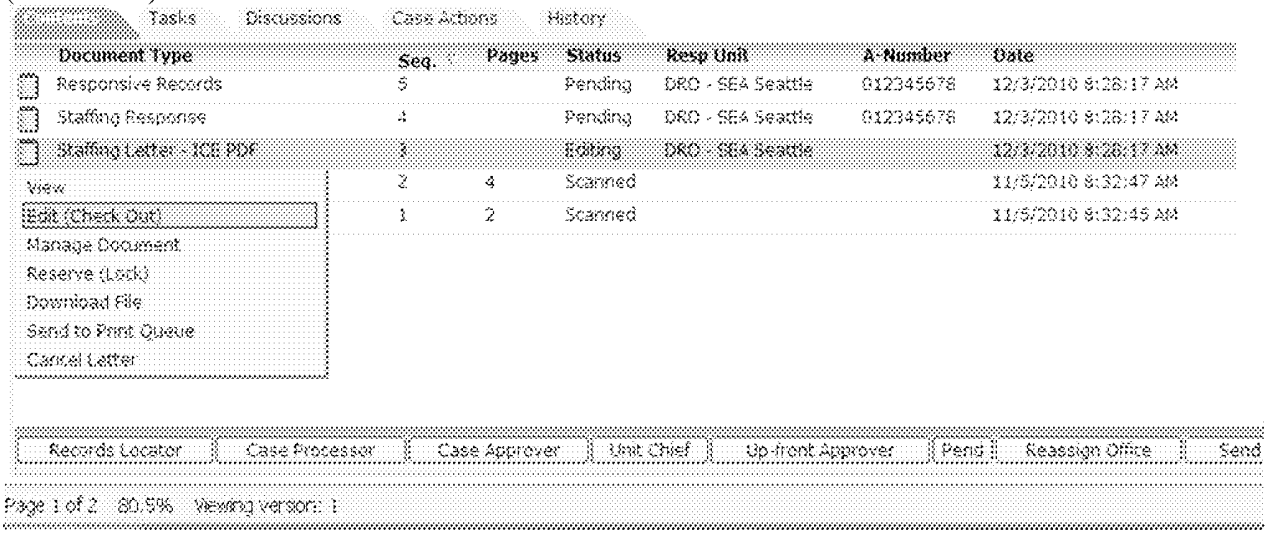
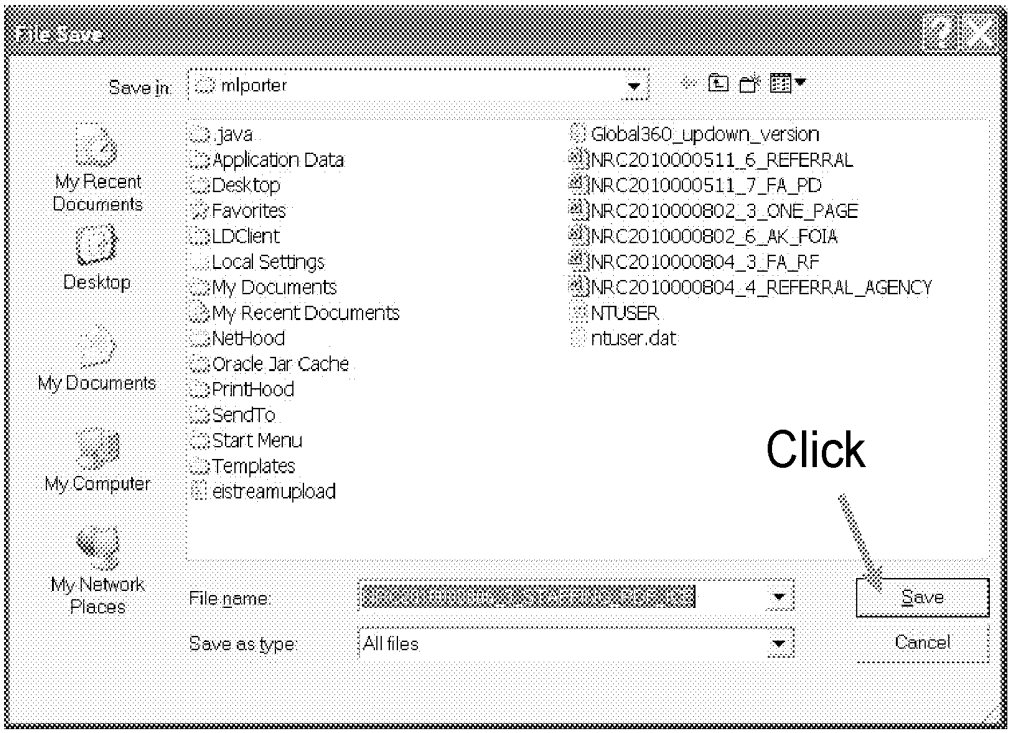
13. Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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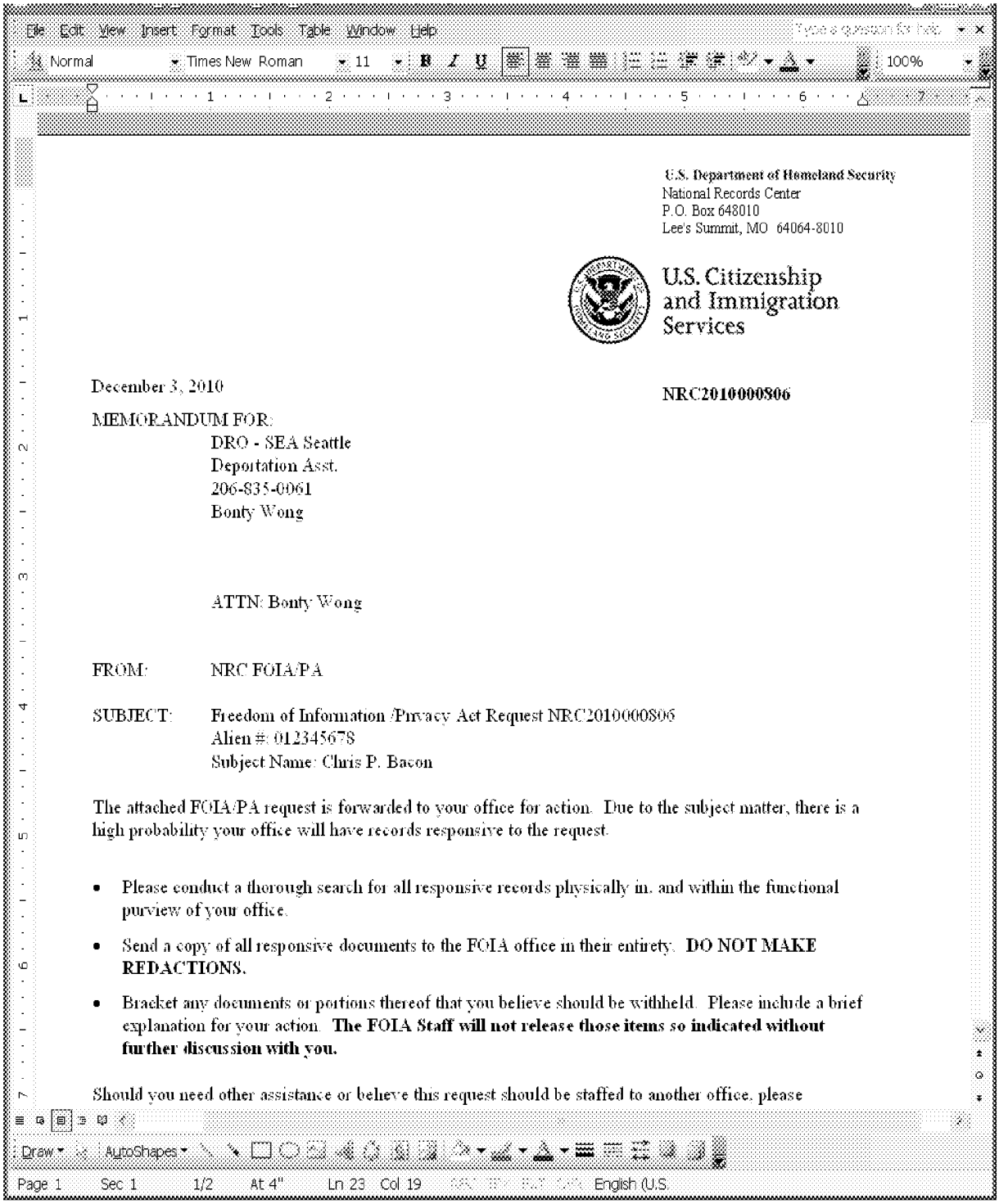
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.
206-835-0061
Bonty Wong

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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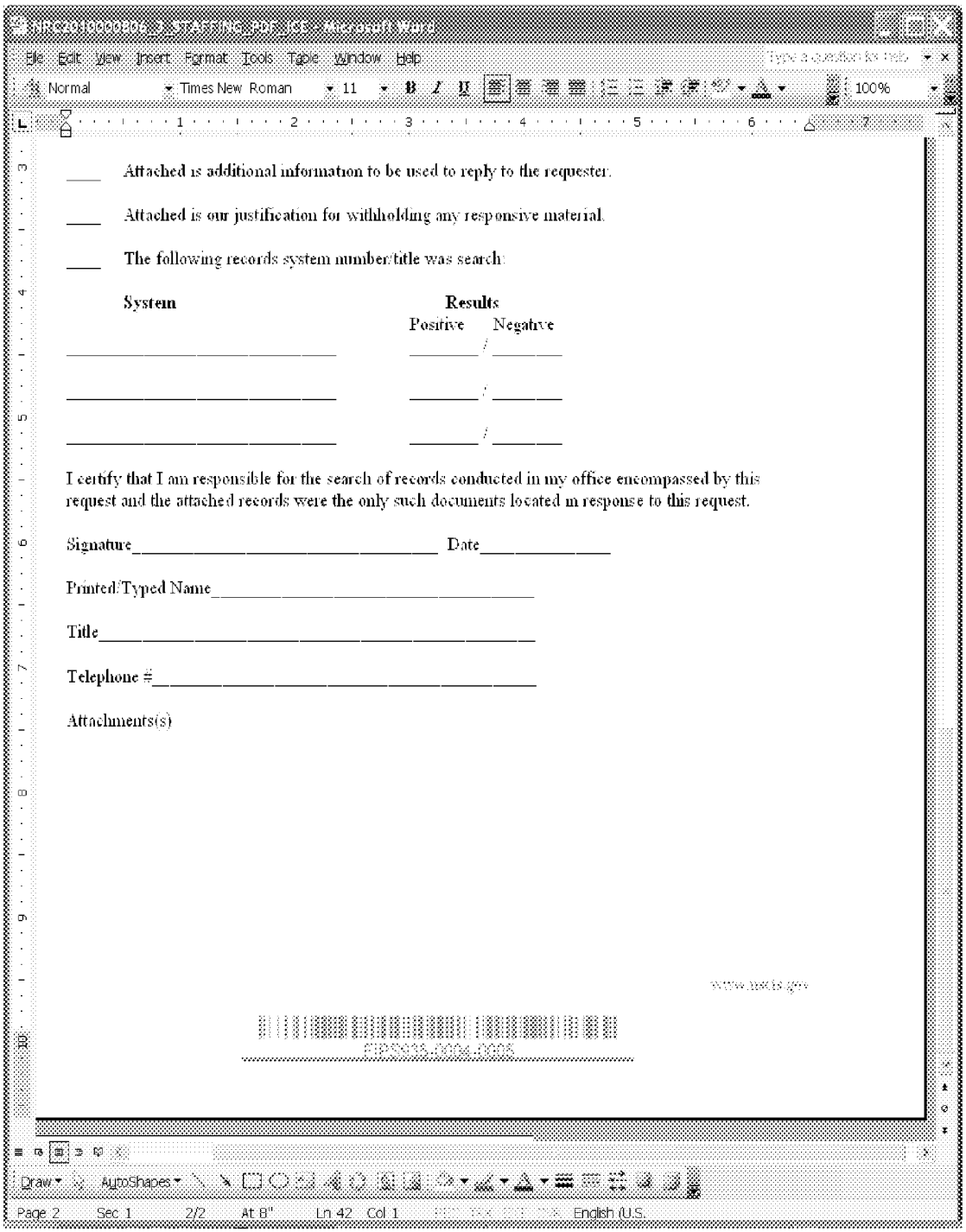
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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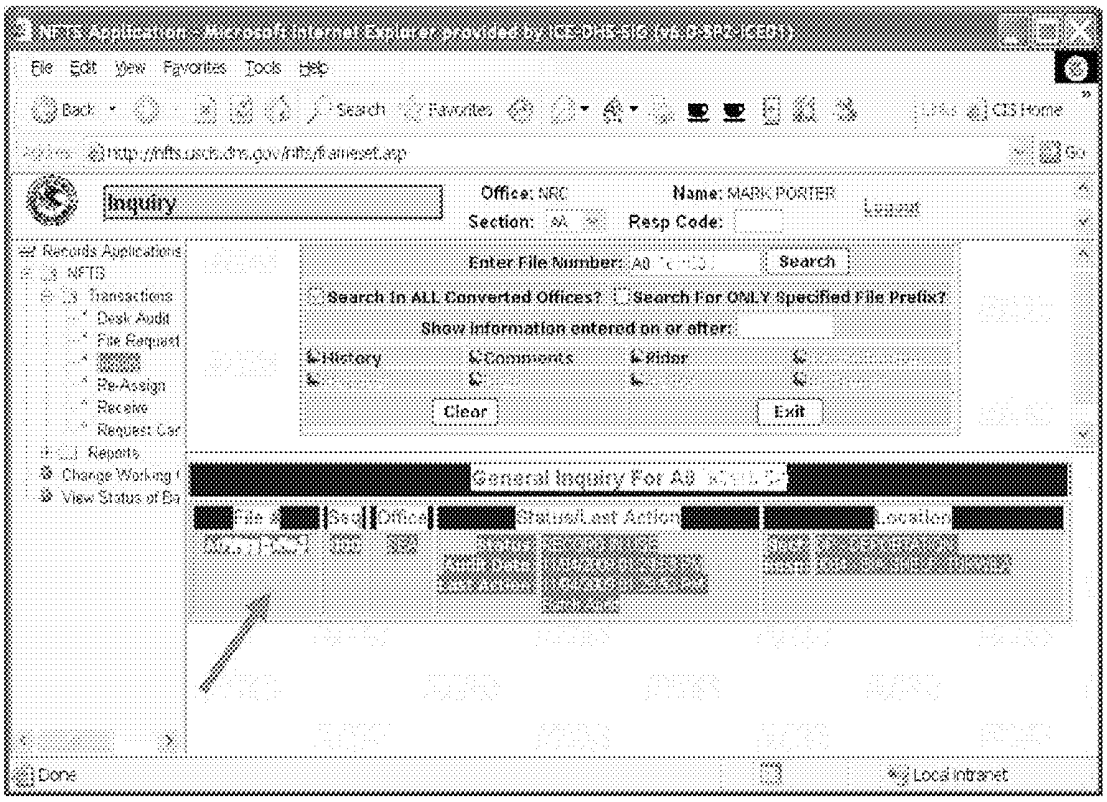
14. Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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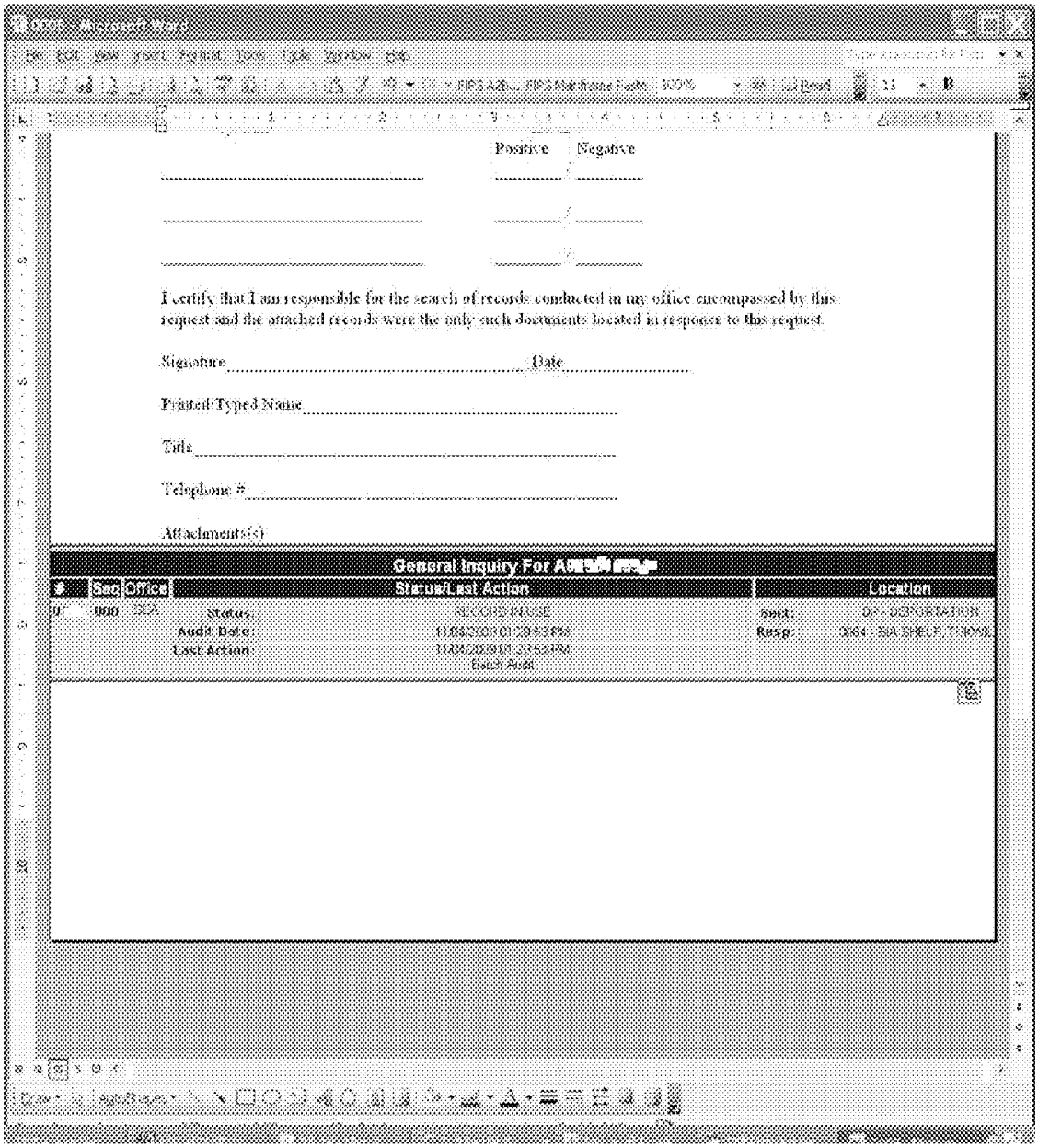
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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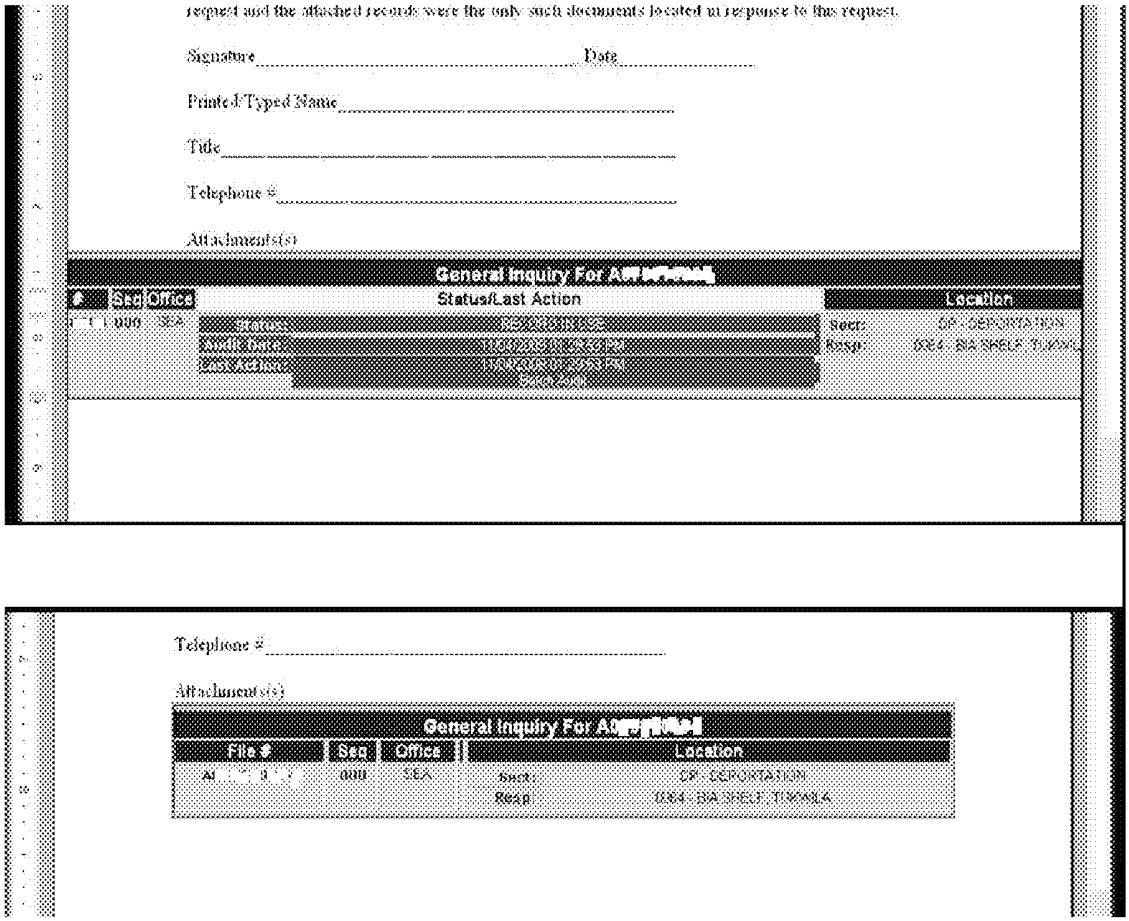
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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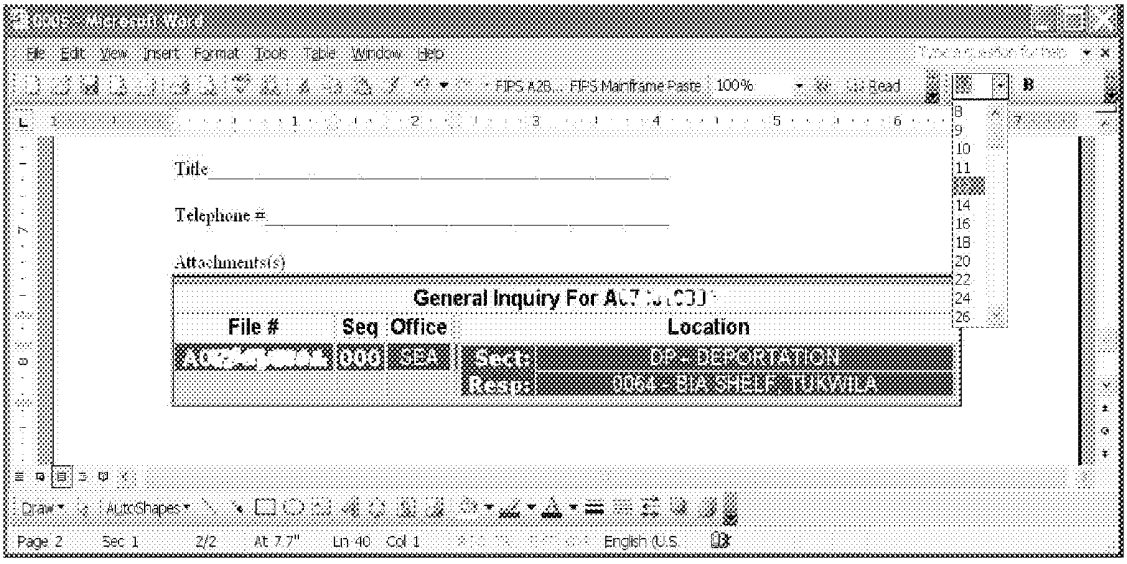
Next, highlight the whole area and change the font size to 12.



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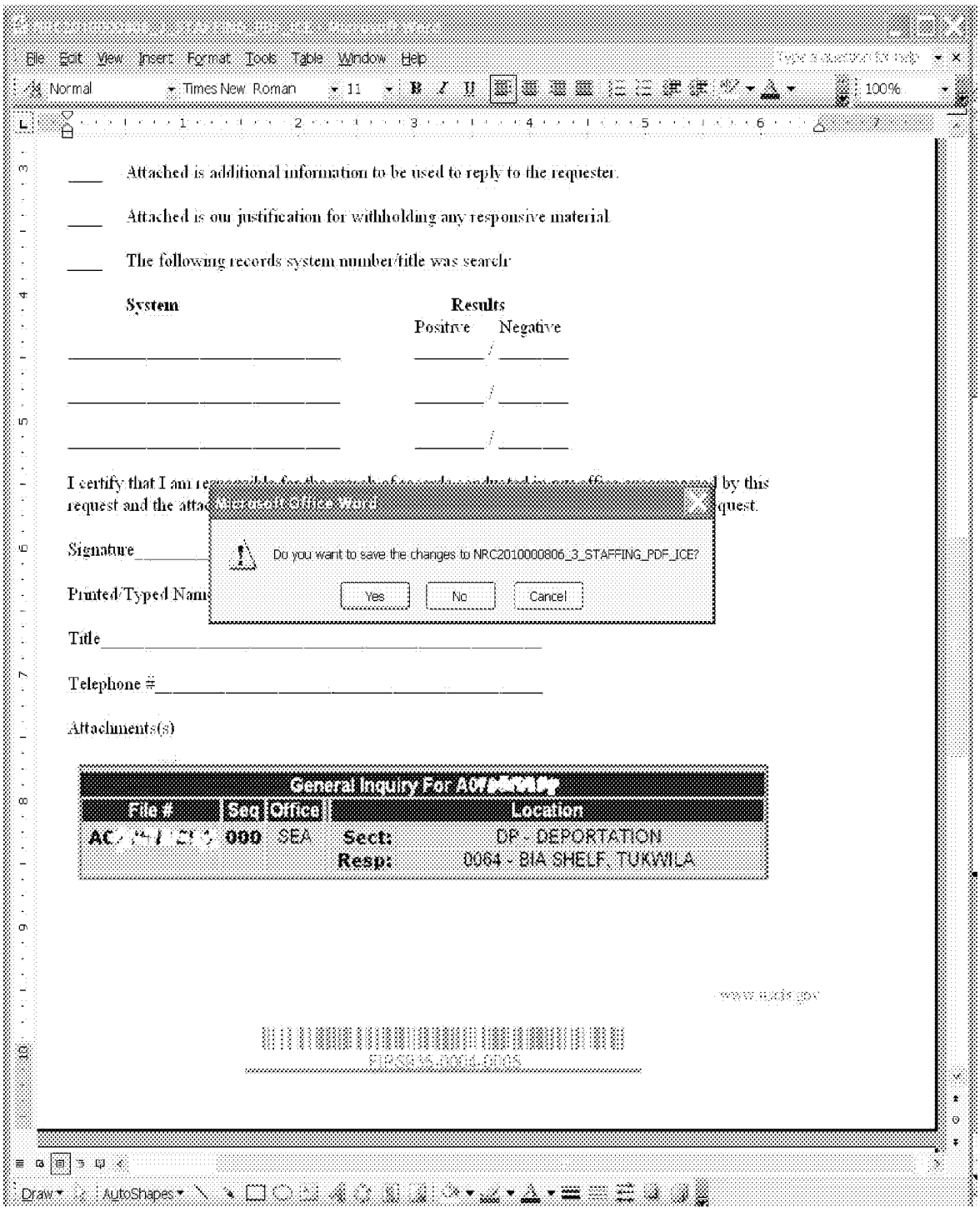
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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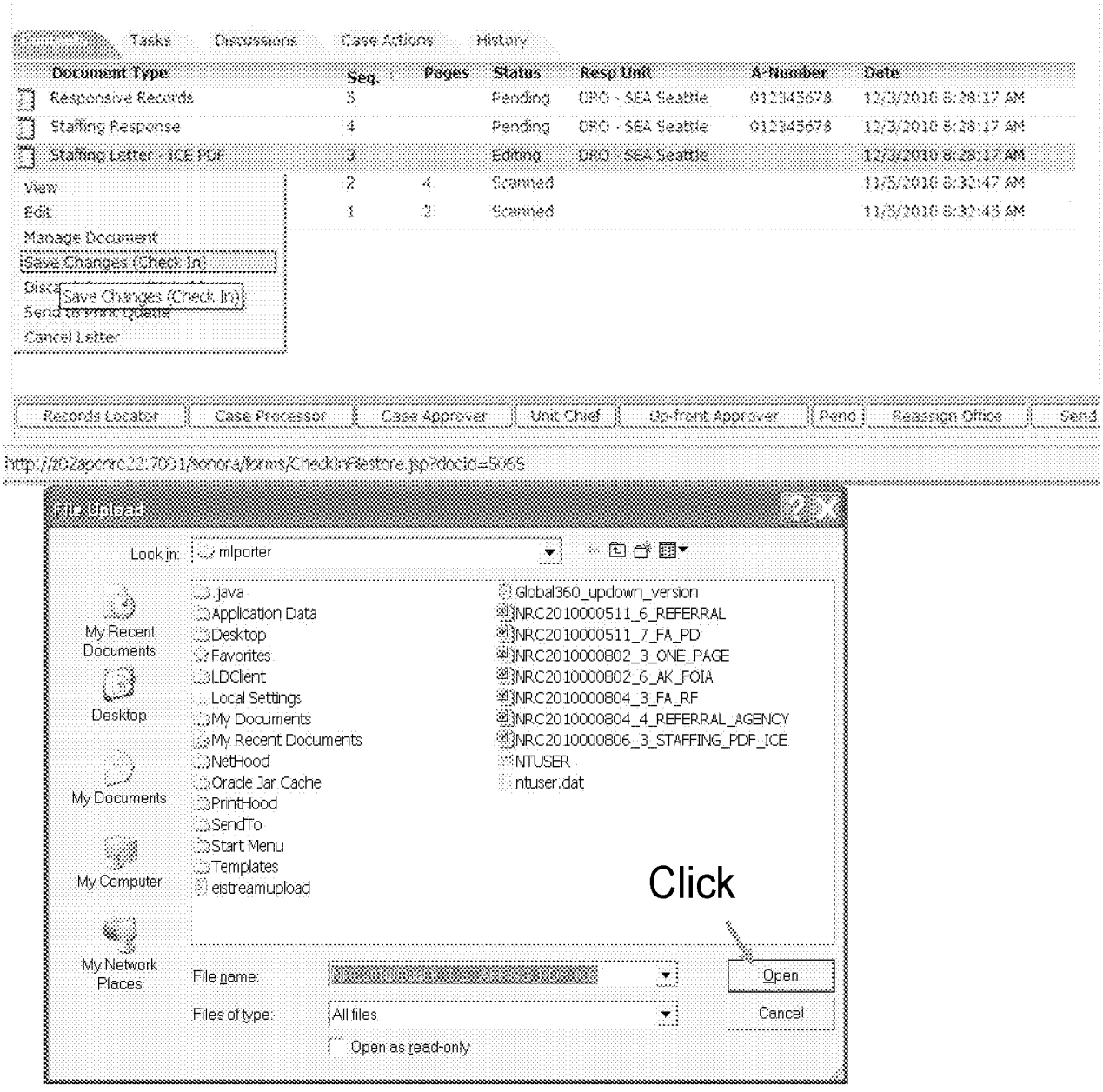
15. Save changes and check it back in



After this, send the case to "Pend."

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Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to staff for two or more unconsolidated A-files, the individual staffing sheet must include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note 1: If one of the files you are staffing for is located at RAFACS/CIS, FRC or one of the Service Centers, staff for those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

Important note 2: If one of the A-numbers you are staffing for is "digitized," do not use that alien number on the FIPS worksheet. Use one of the subject's other alien numbers on the worksheet. To determine if the file has been digitized, look in CIS at screen 9504. The Current FCO will show DIG.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and staff for that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then staff for that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

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New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to staff for the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes. Do not write the name as "Last Name, First Name."

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not staff for receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC staffing sheet. **Do not staff for DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

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When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC staffing sheet and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC staffing sheet and paste the retired screen print.

Staffing Scenarios

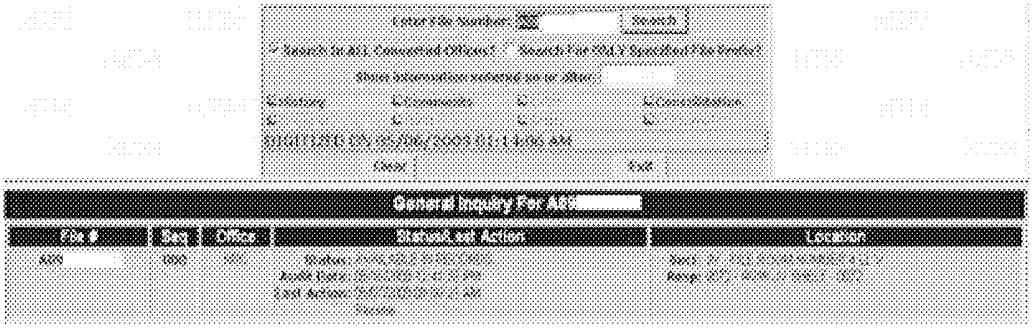
Digitized files

If you are staffing for an A-file that has been digitized please use the **RDF** staffing sheet. If the file has been digitized, the current FCO does not matter; you would still use the RDF staffing sheet.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files.

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MSB will know the file is digitized because you have staffed using an RDF staffing sheet. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

Files Lost or Not Found LESS THAN NINE MONTHS

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.

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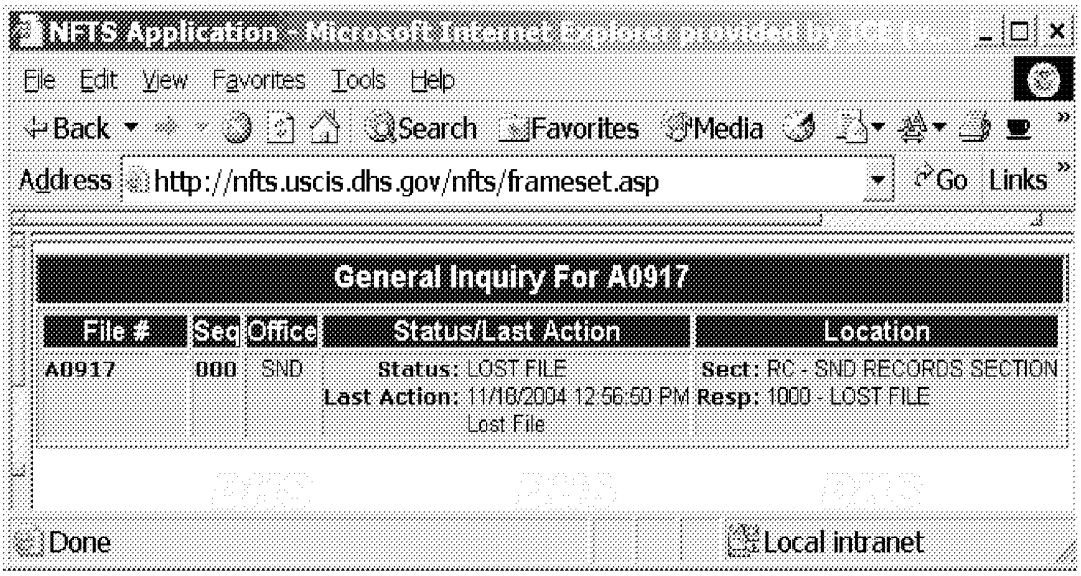

A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.

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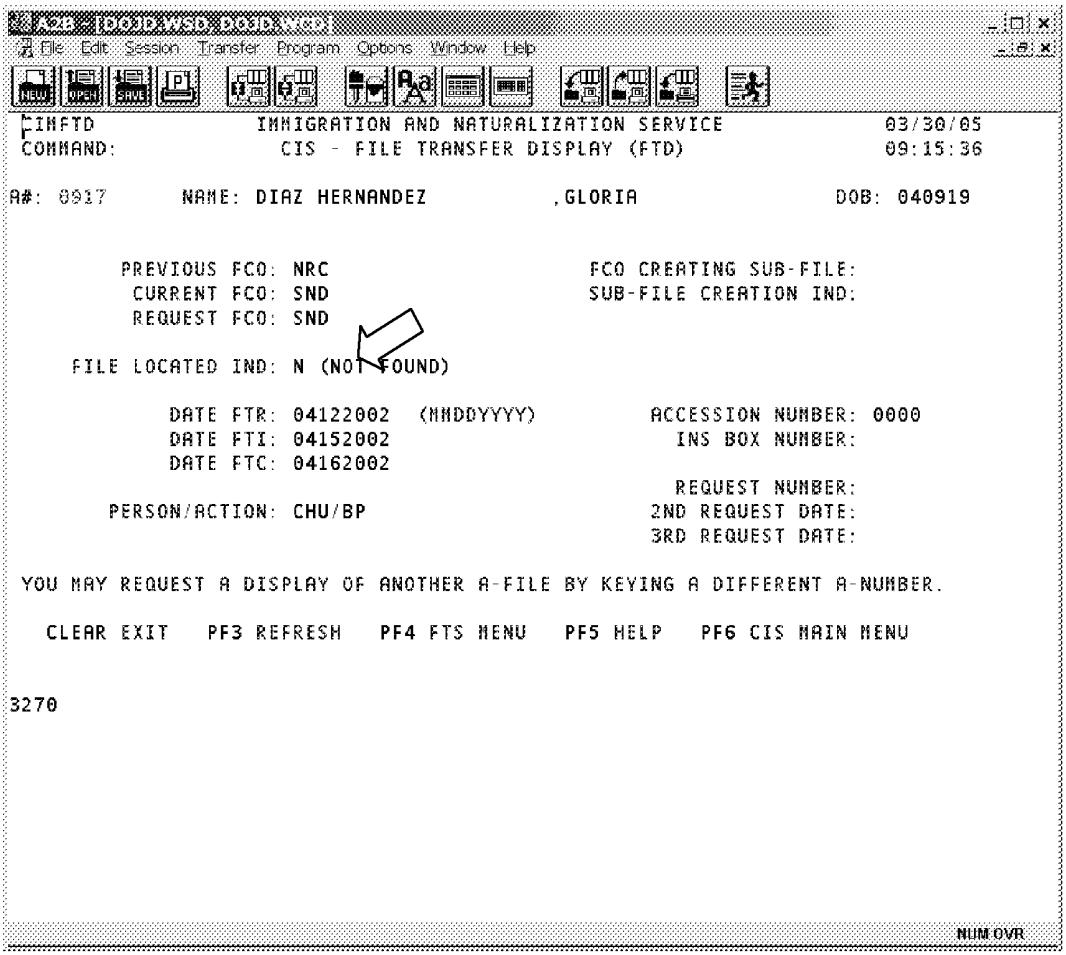

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ staffing sheet (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, staff for the file per the FCO in NFTS.

Under "Generate Staffing Sheet" mark the box "File Missing/Lost".

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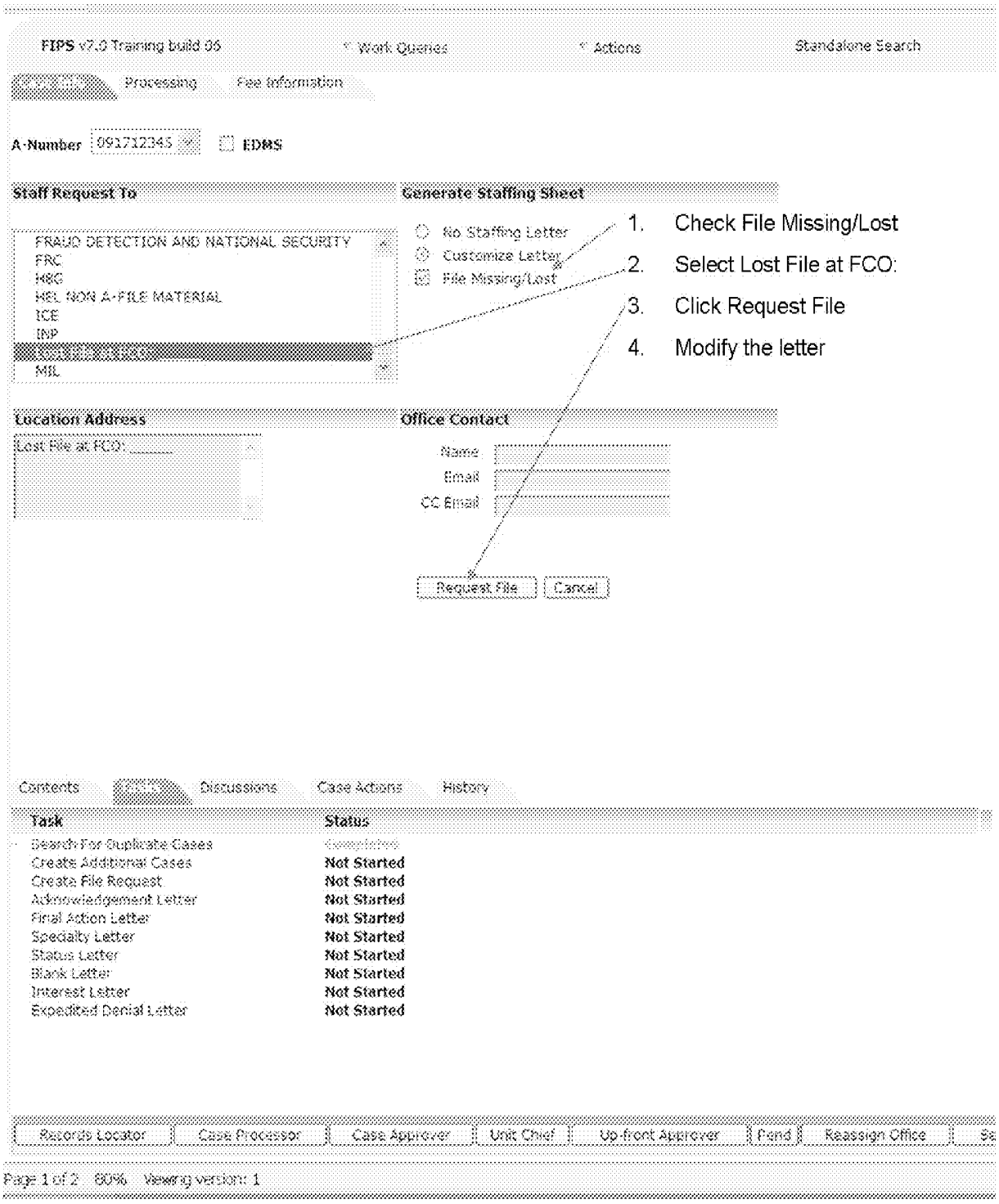

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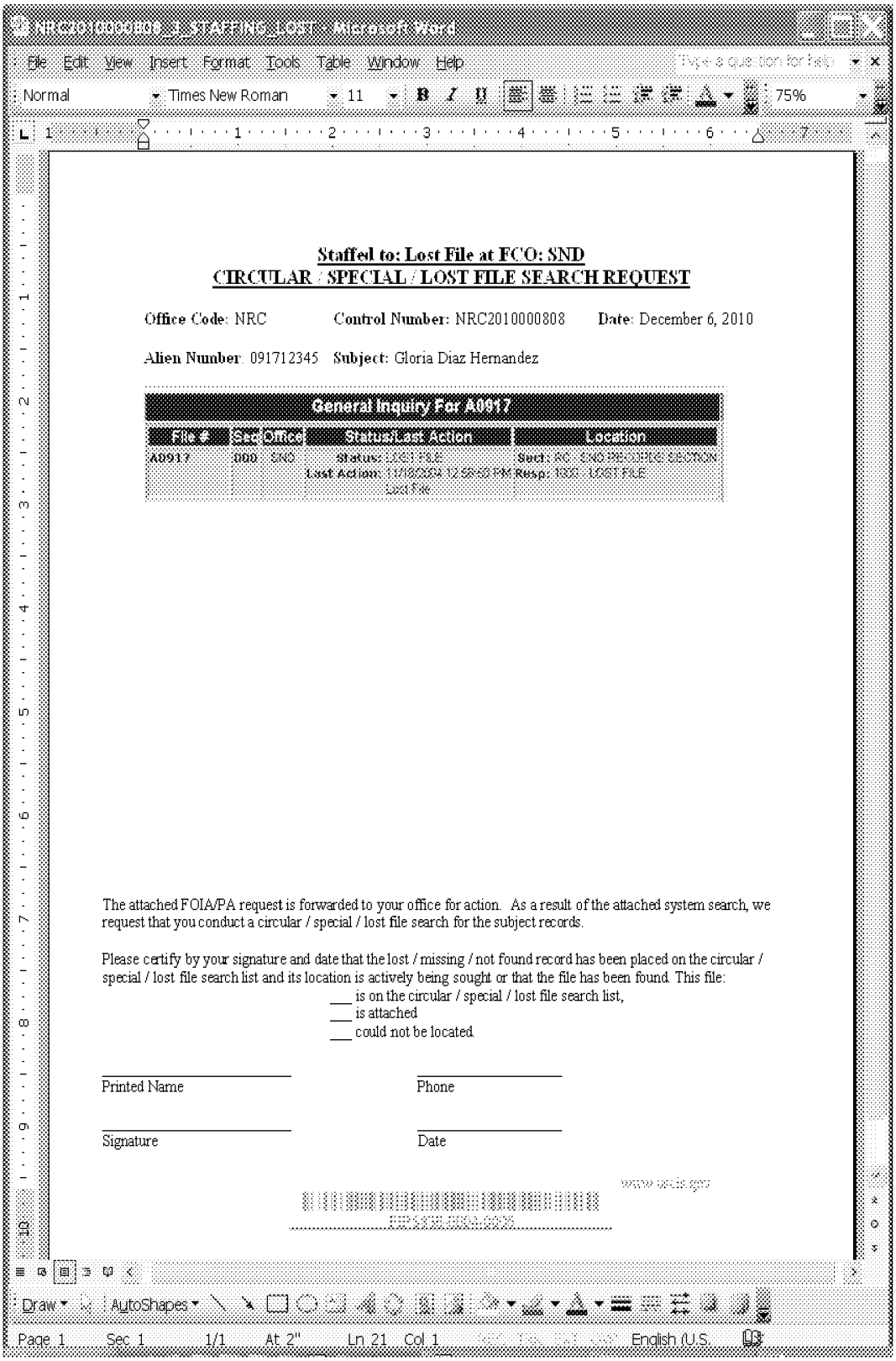
FOIA/PA ASSISTANT'S GUIDE



Staffel to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC SND RECORDS SECTION Resp: RSC LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located

Printed Name _____ Phone _____

Signature _____ Date _____

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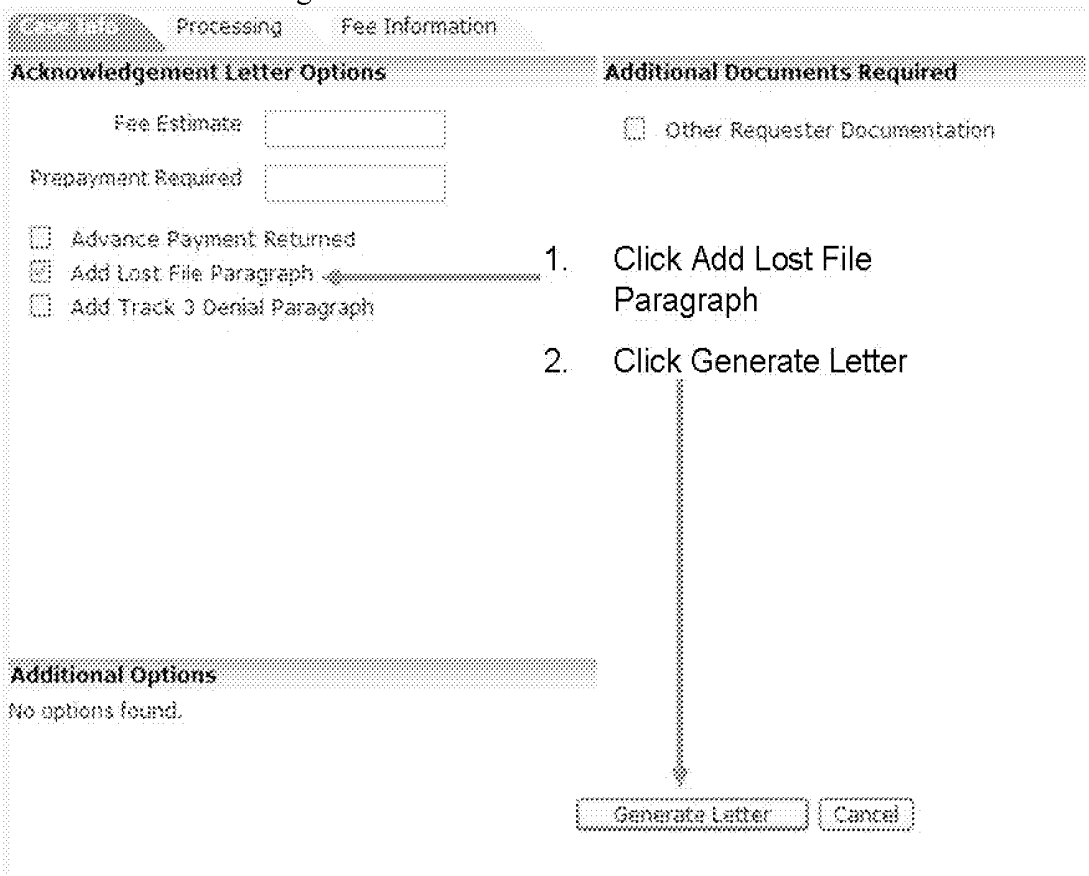
Updated on 3/14/2011

Generate the acknowledgement letter.



FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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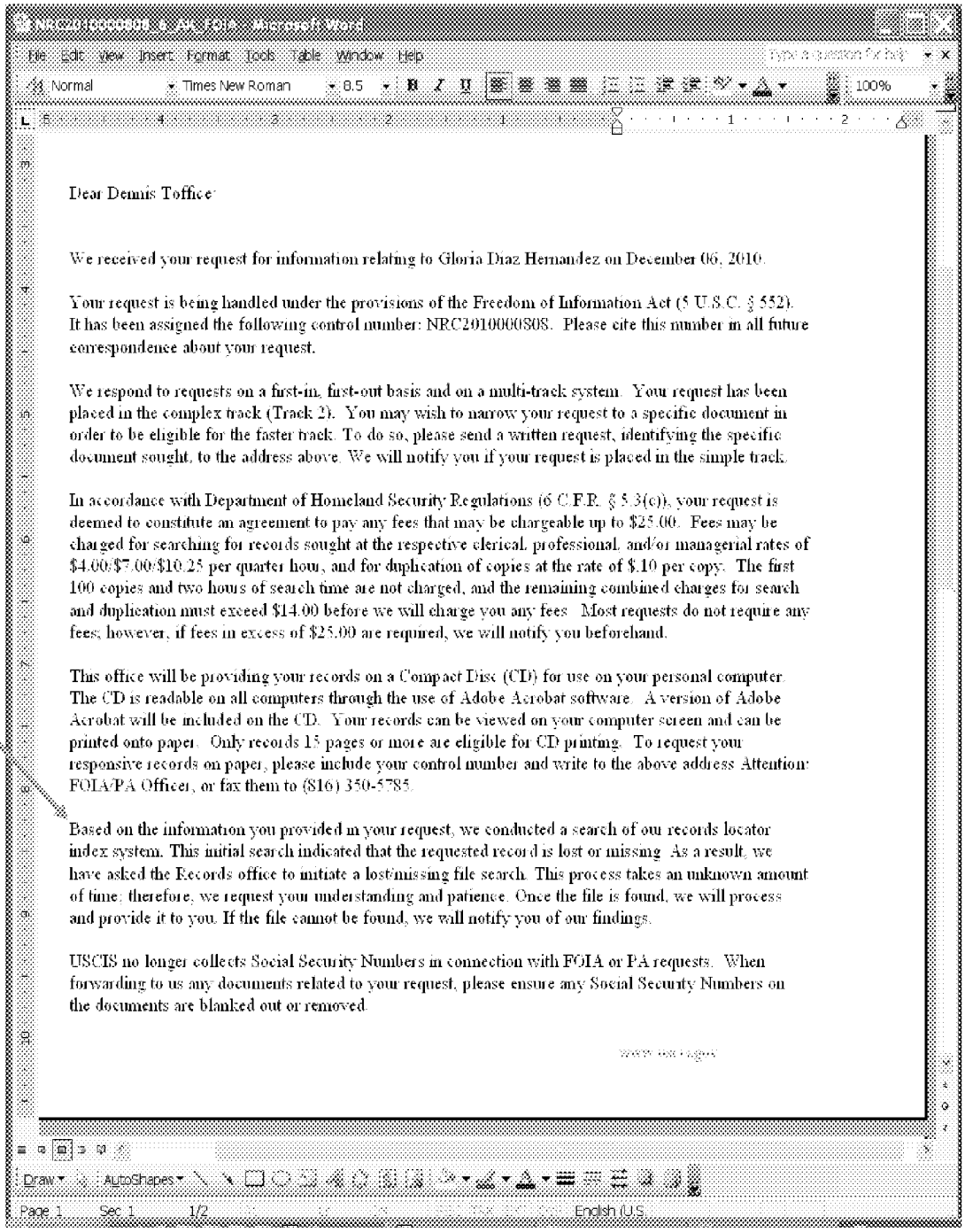

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

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Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

1. If the A-file is lost but other records exist (such as receipt files we would normally staff for or other a-files), please go to step 9 now. *Otherwise*,
    a. **if** the file has been marked as lost for more than nine months
    b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,
    c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.
2. Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)
3. If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.
4. If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.
5. Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.
6. In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.
7. The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the

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case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

8. The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.
9. **If the A-file is lost but other records exist** (such as receipt files we would normally staff for or other a-files) Staff for the additional records. Put in a Discussion that reads:

   > A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

10. Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which staffing sheet do I use?

A: Each office has its own staffing sheet in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we staff for each alien file on a separate staffing sheet and write MULTIPLE STAFFINGS at the top of each sheet.

Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing staffing sheet. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

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- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

No Record, a RAFACS-only staffing scenario:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9106 Sounds-Like Name with DOB

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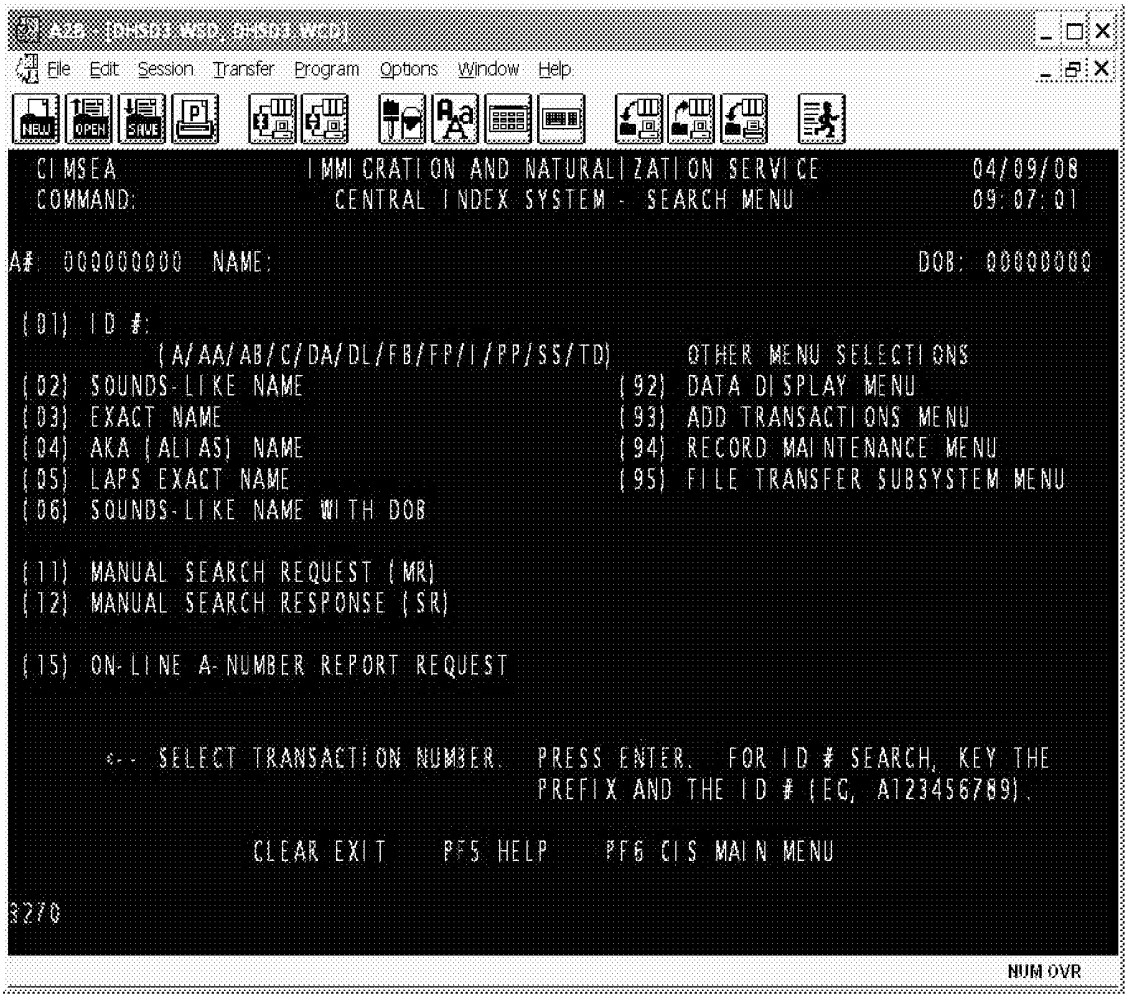

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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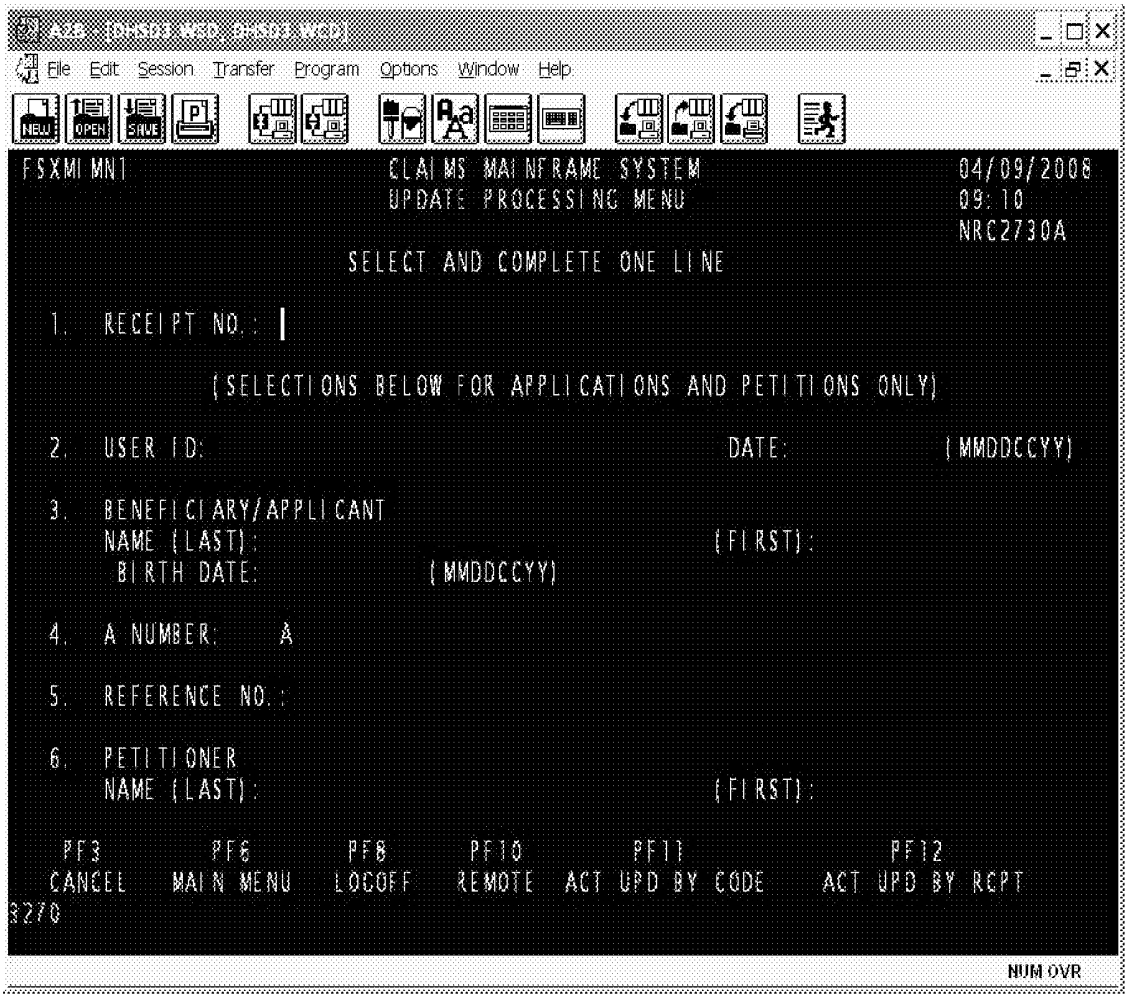

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Open a RAFACS (*not RAFACS/CIS)* staffing slot only. Click on "Customize Letter." Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.

Genealogy is exempt from this process.

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A-number in CIS but not in NFTS

If there is an A-number in CIS but no information in NFTS, create a staffing sheet according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**

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Fugitive Ops	**FO**

SAC staffing sheets are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

SAC locations

Occasionally, you will see a staffing for a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

LESC (LSC) records

On all of these staffing sheets, you must attach the NFTS screen print to page two.

T-files

Q. What if the subject has an A-file at one office and a T-file at a different office (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will staff for both files, EXCEPT, do not staff for T-files at HBG with RPC codes XX or ZG.

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Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Staff for the A-file only, but include the T-file portion on the staffing sheet. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, or WSC for scanning. Those offices scan directly into FIPS for us. Therefore if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Receipt files

1. Do not staff for receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

2. If the requester does not specifically ask for a receipt file and provides an alien number, staff for the alien file only.

3. If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and possibly PCQS.

Be cautious about staffing for receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will staff for the EAD card.

If they provide a receipt number, you must research CLAIMS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please staff for the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Open a RAFACS

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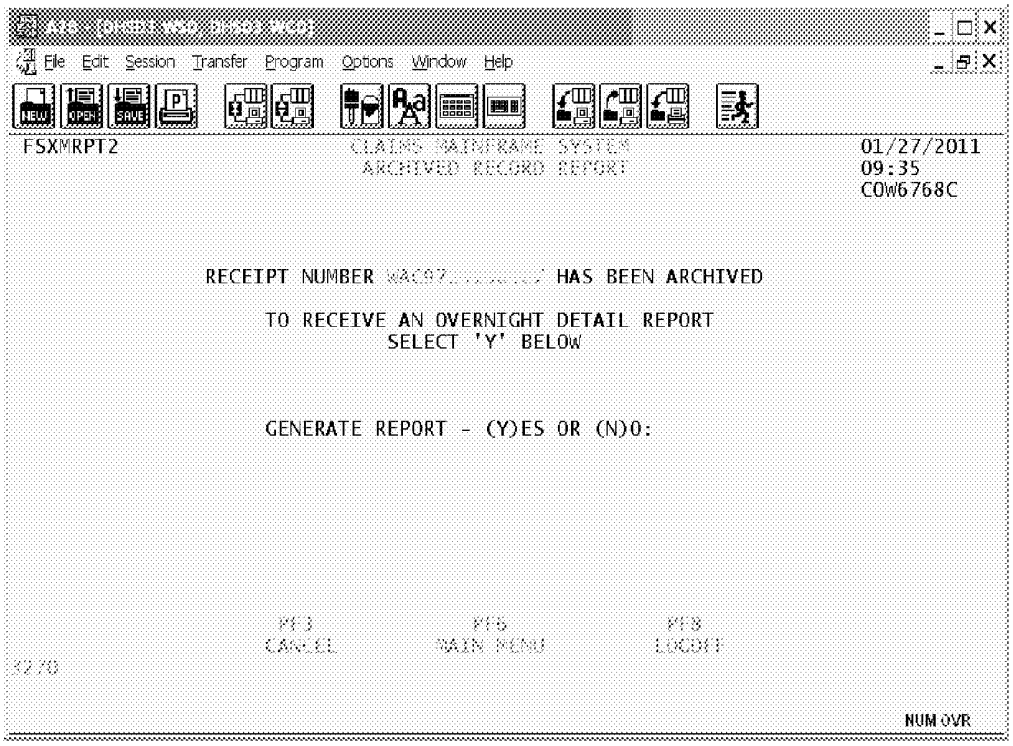
staffing slot only (no staffing sheet is necessary). Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to the OA room. The documents will be scanned as responsive records. Pend the case.

4. If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to staff for the archived receipt file or redirect the request please do one or all of the following as necessary:

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1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
3. You may call the NVC automated help line at 603-334-0700 and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

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Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. Click on "Customize Letter." Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to the OA room. The documents will be scanned into the slot on the bar-coded staffing letter. Pend the case.

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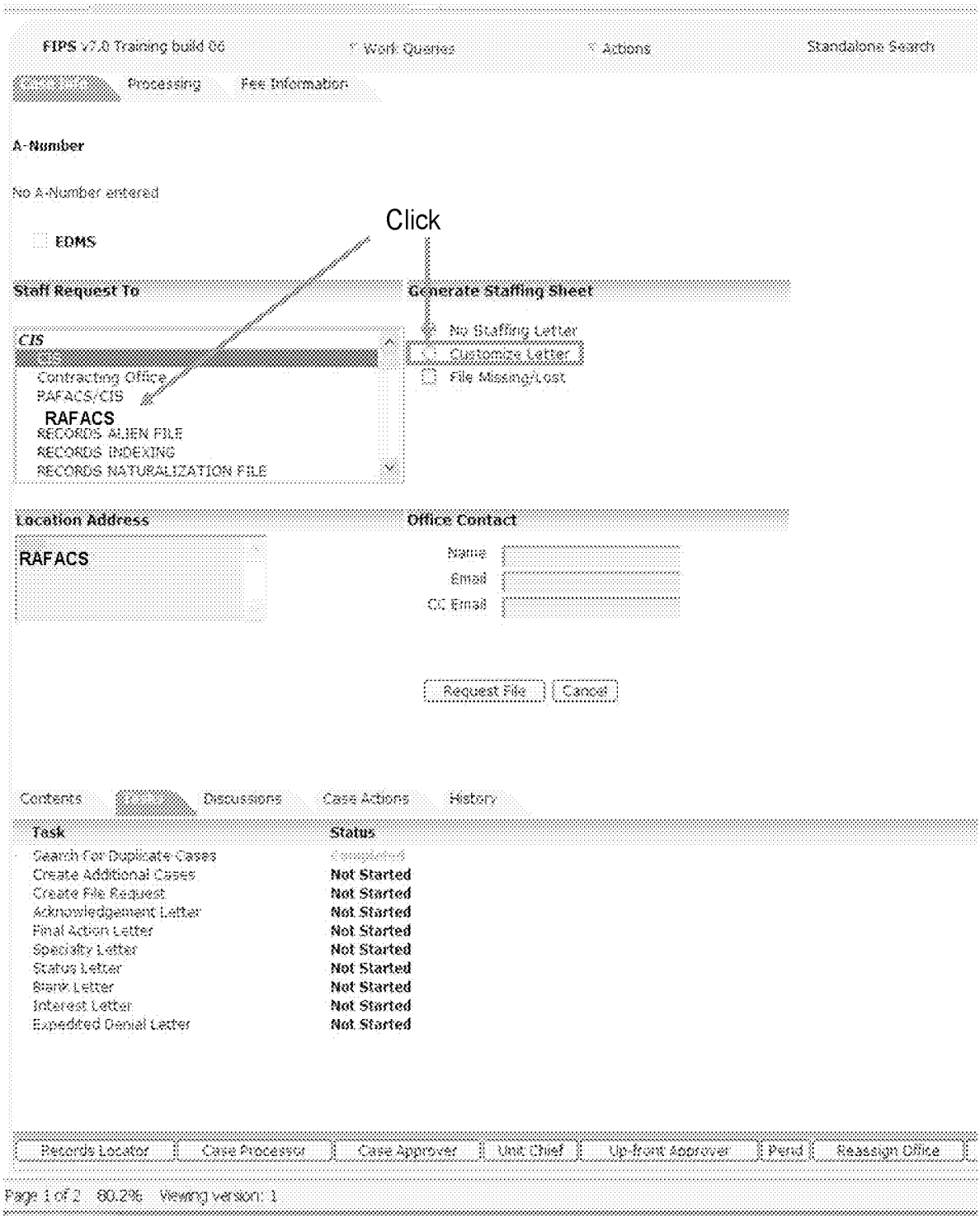

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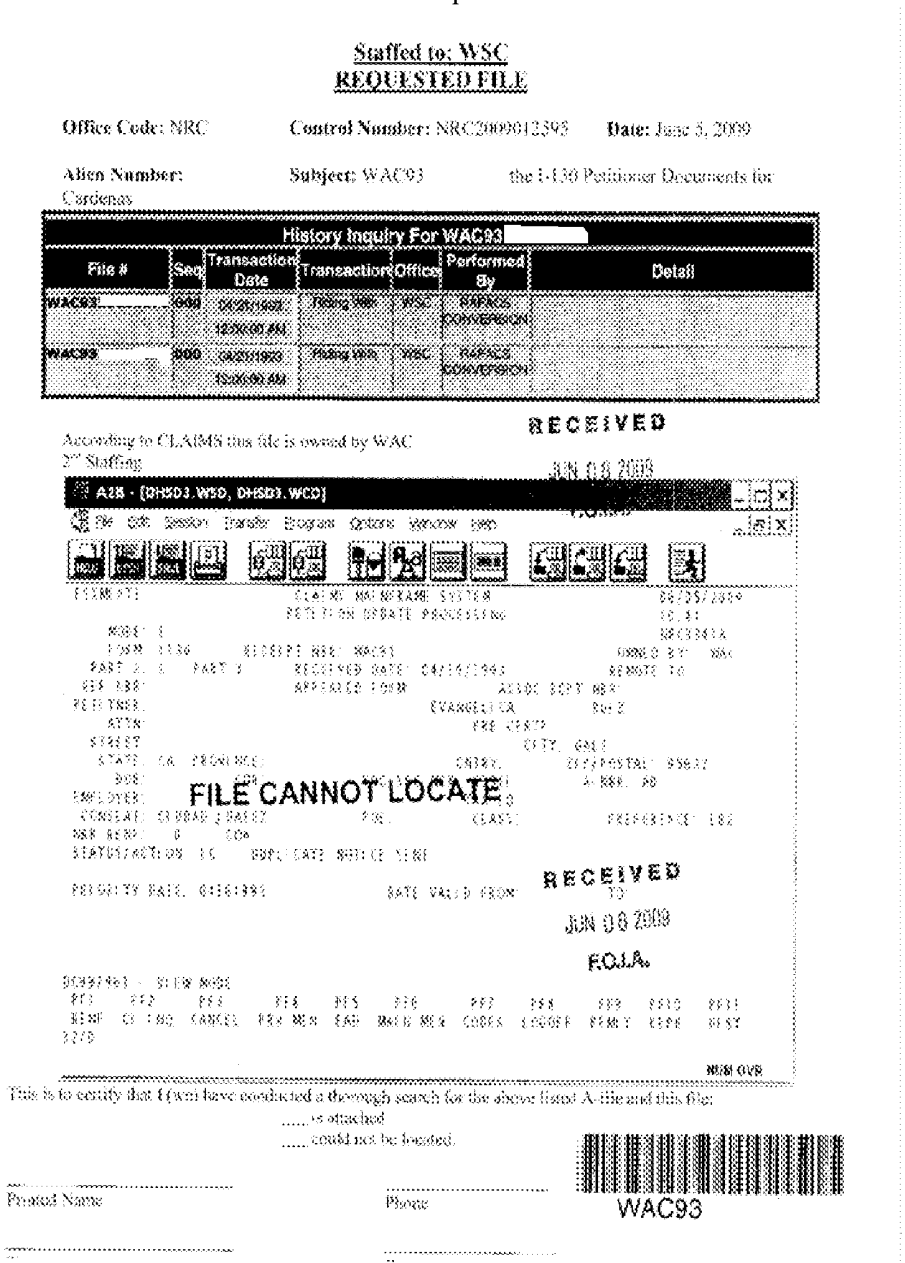
This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:



Staffed to: WSC
REQUESTED FILE

Office Code: NRC Control Number: NRC2009012393 Date: June 5, 2009

Alien Number: Subject: WAC93 the I-130 Petitioner Documents for: Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Offices	Performed By	Detail
WAC93	0400		Filing Wkt	WSC	RAPIDS CONVERSION	
WAC93	0200		Filing Wkt	WSC	RAPIDS CONVERSION	

RECEIVED
JUN 08 2009
FOIA

According to CLAIMS this file is owned by WAC
2nd Staffing

A28 - (DHS03.WS0, DHS03.WC0)

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
FOIA

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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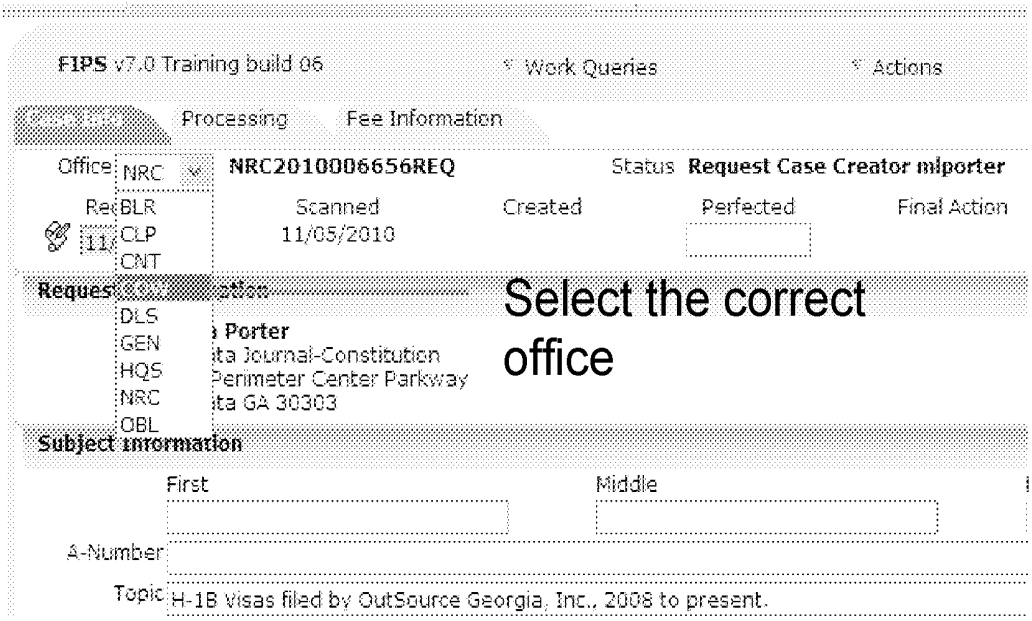
REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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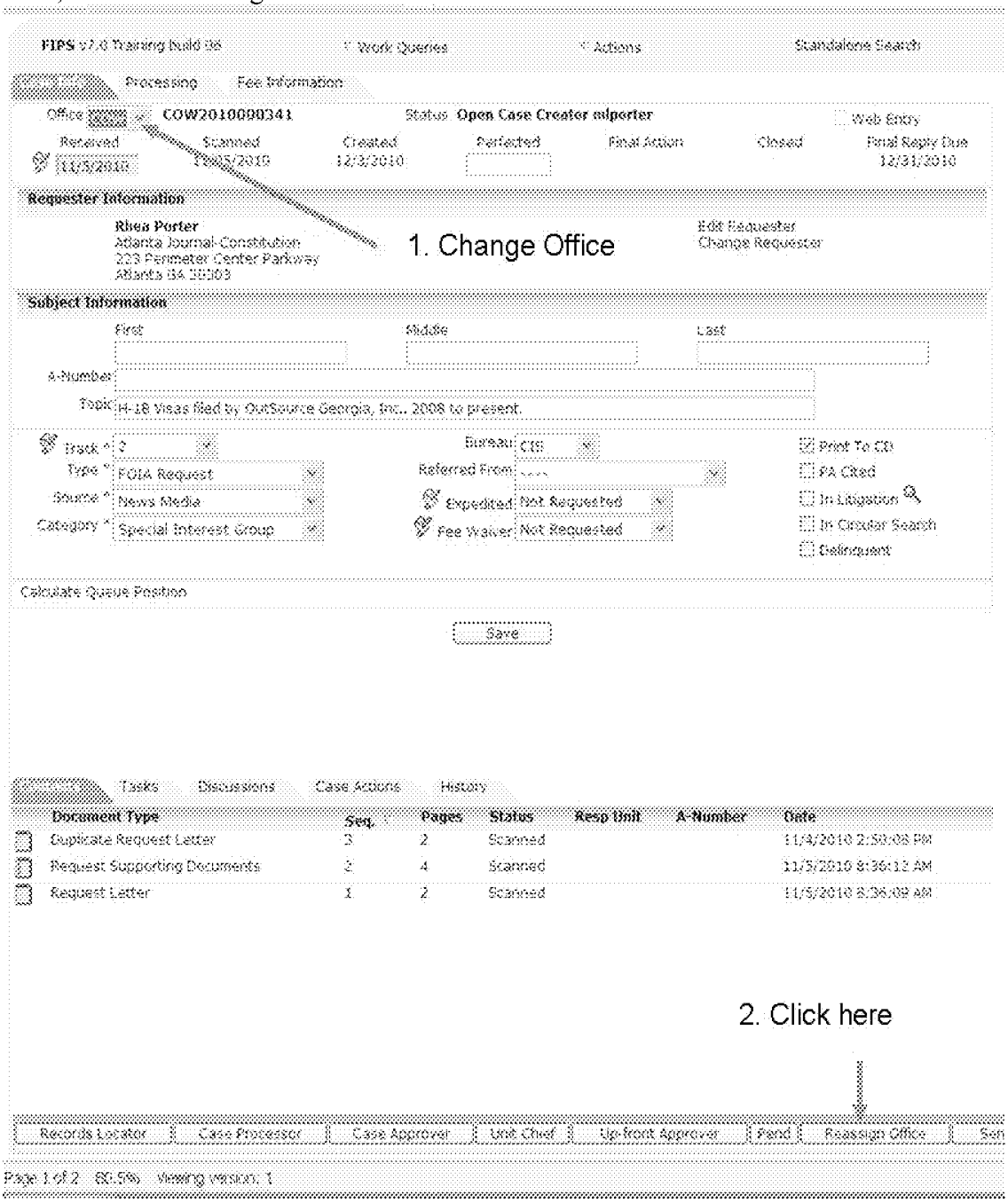
Next, click on "Reassign Office"



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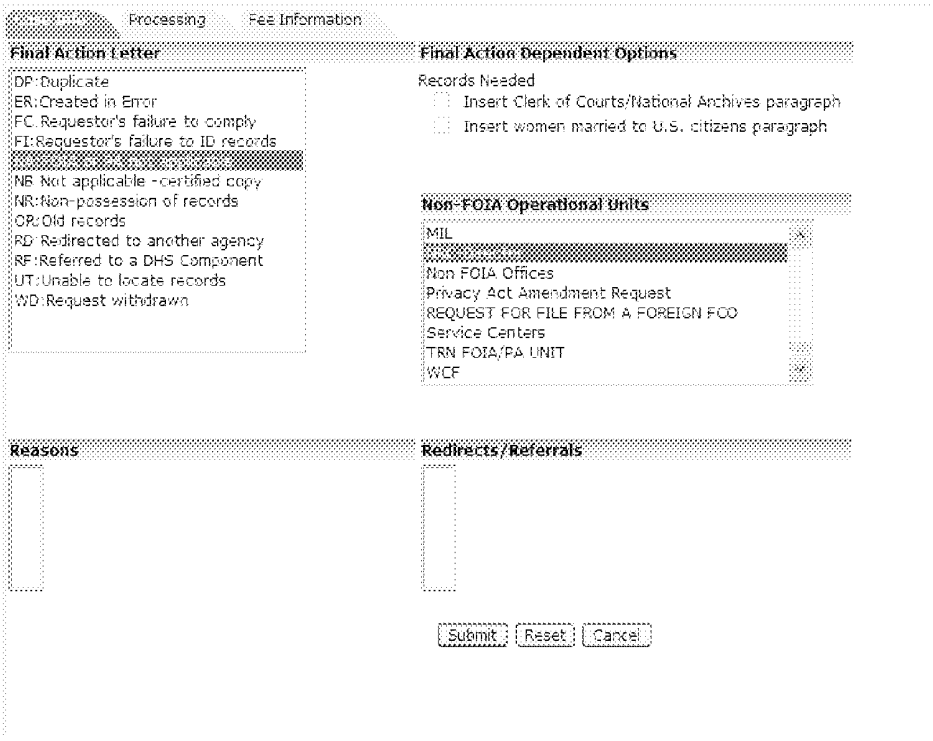
You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or , please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

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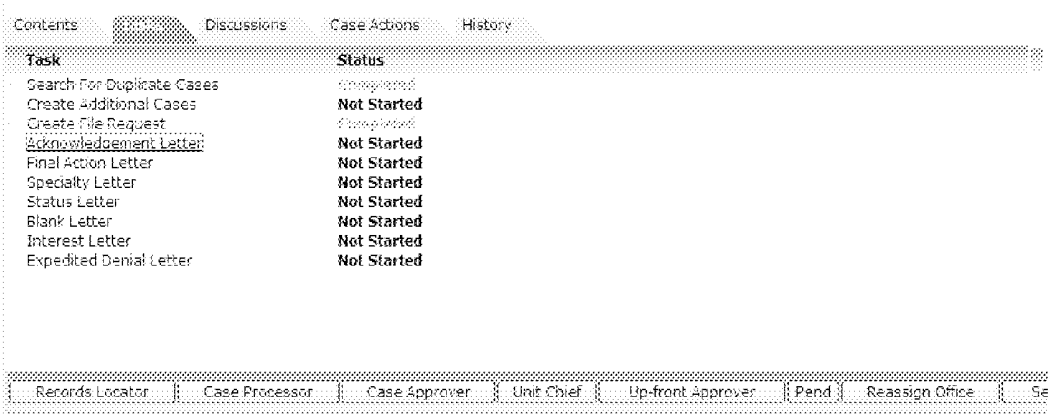
Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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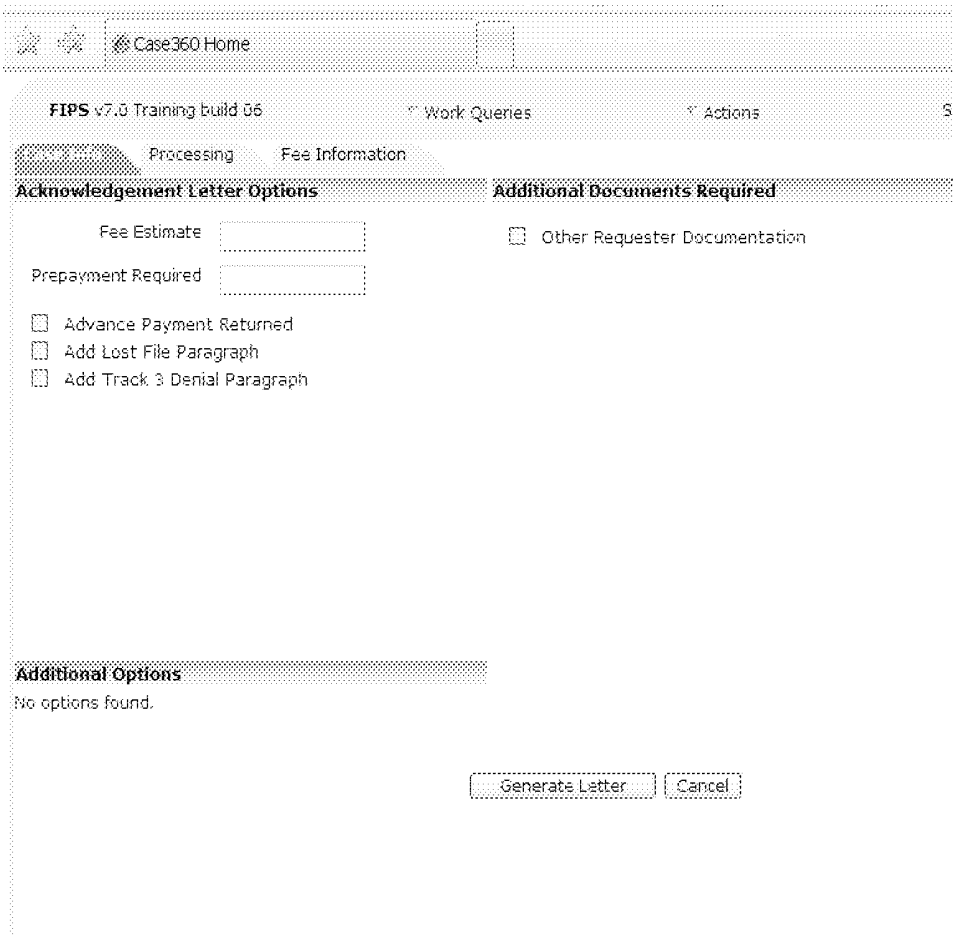
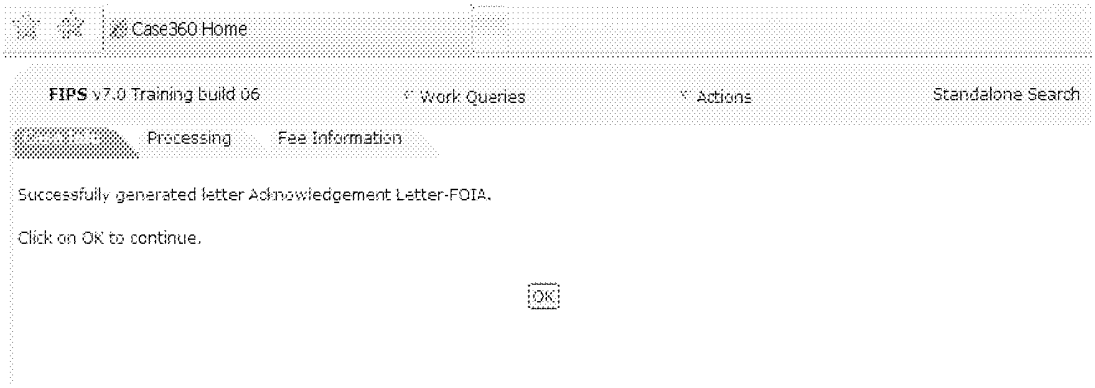


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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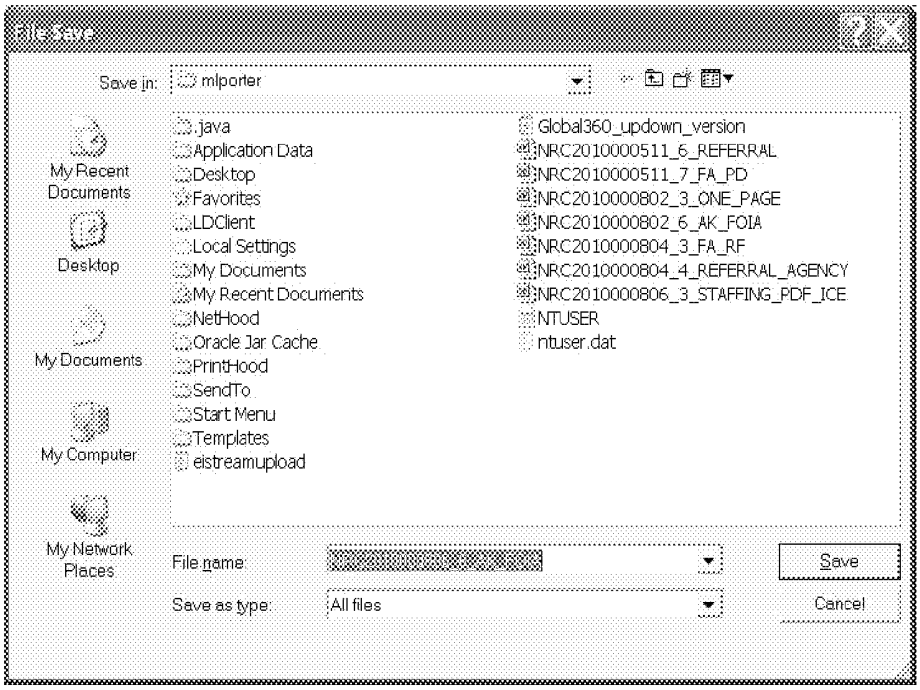

The acknowledgment letter will pop up:

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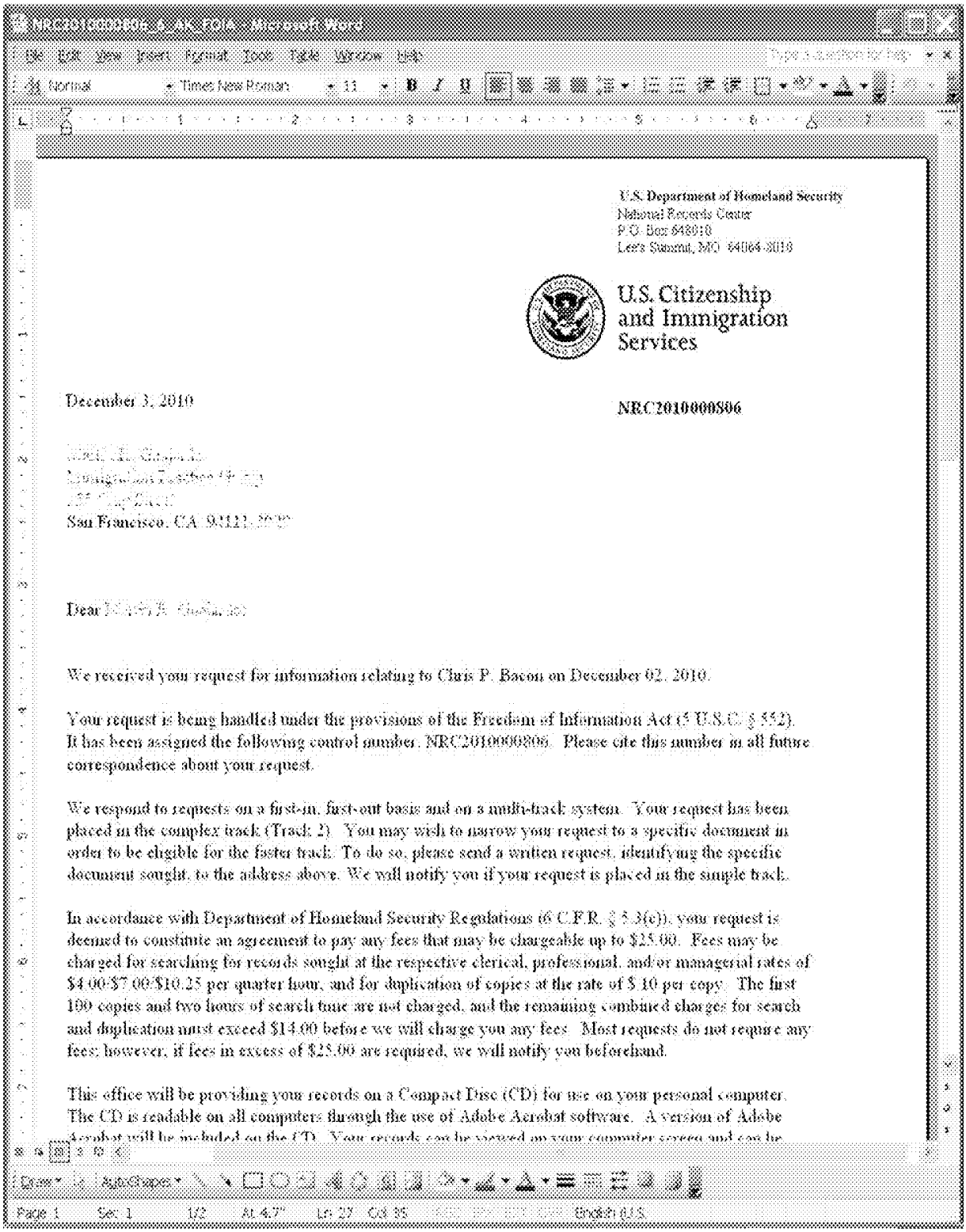

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe

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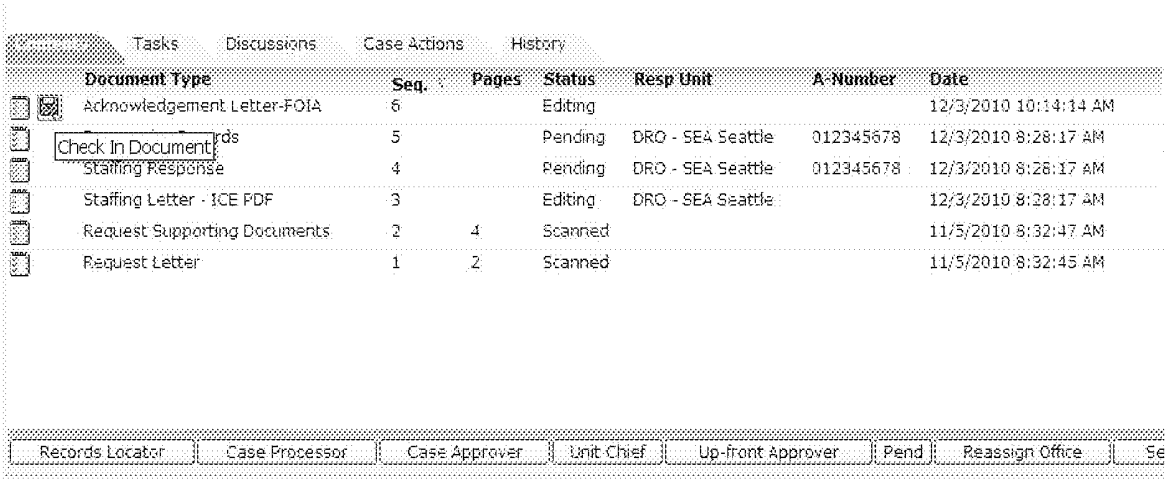
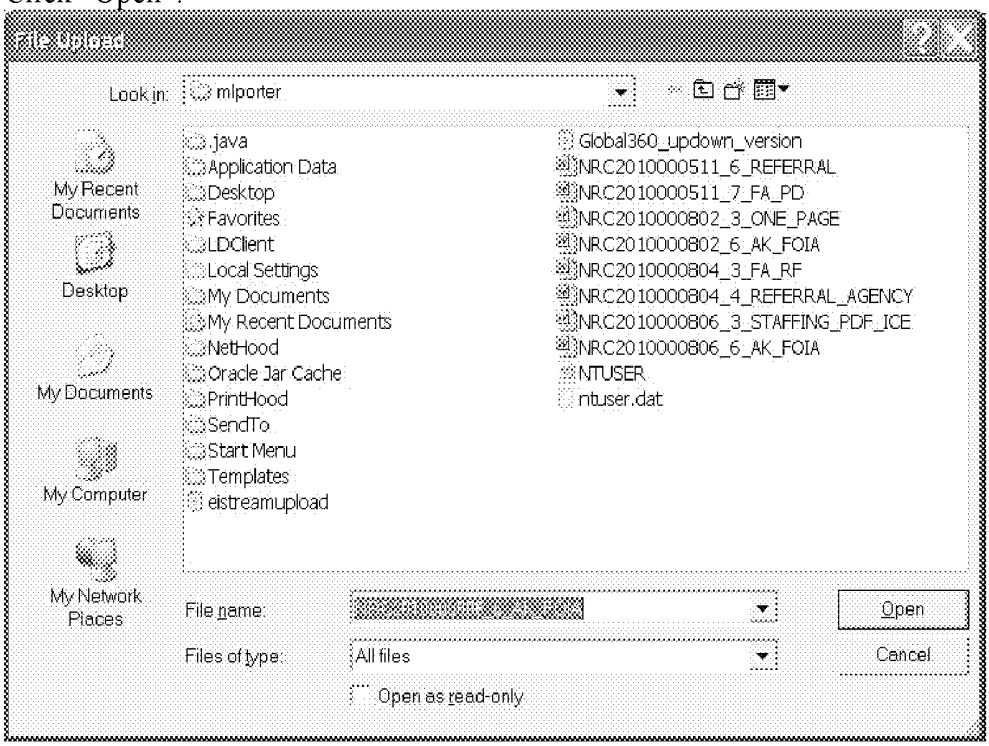
You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.



Click "Open":



In this example, we are now ready to send this document to "Pend."

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DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate, multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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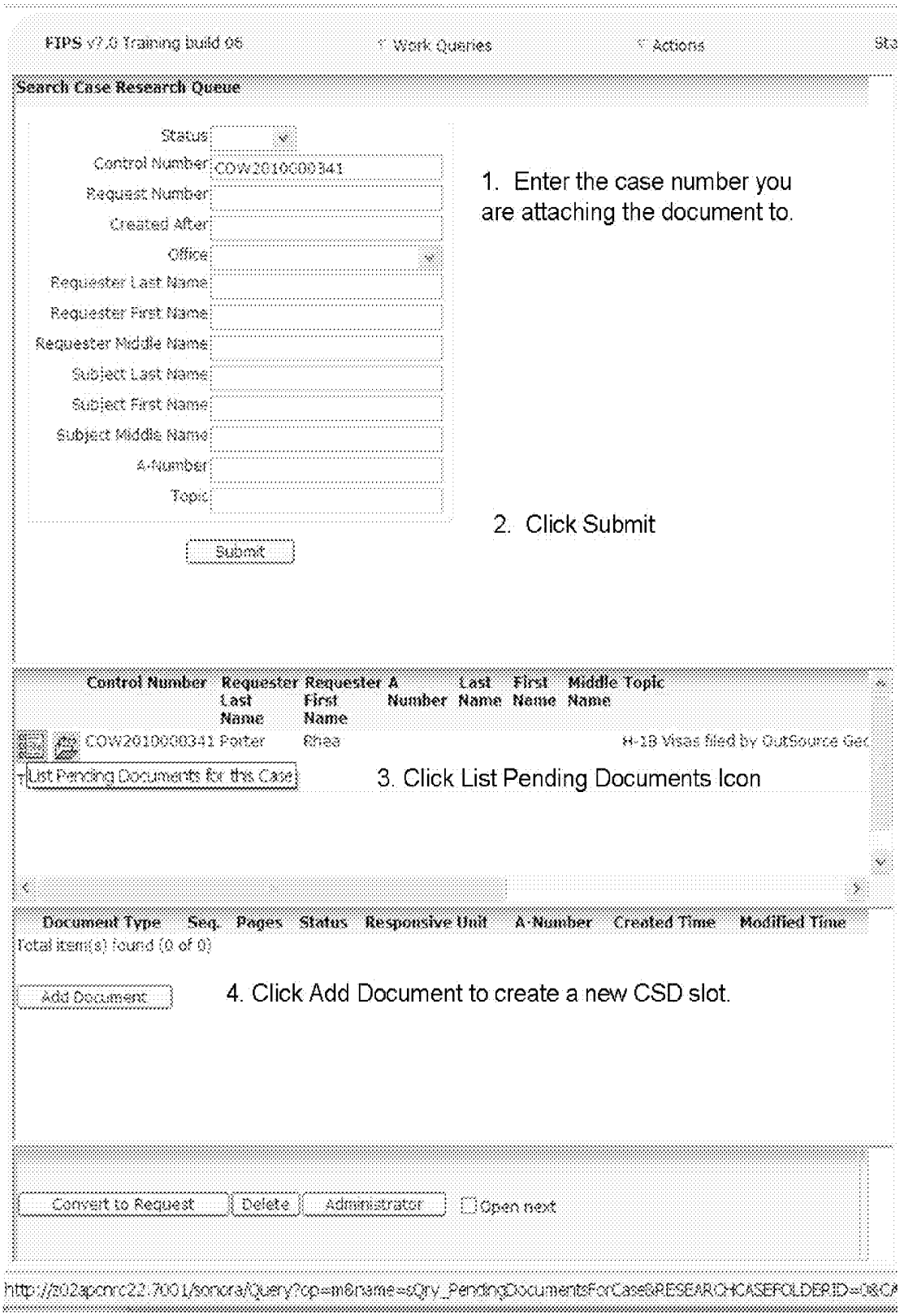
FOIA/PA ASSISTANT'S GUIDE



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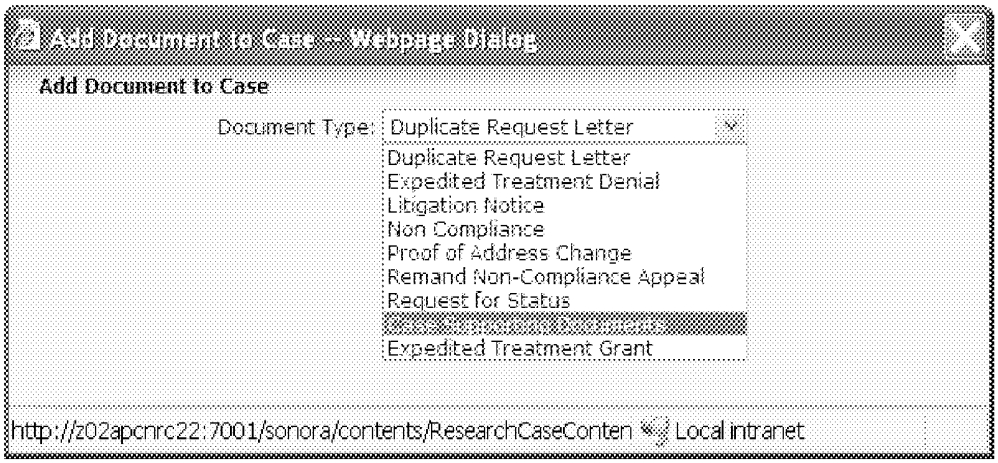
Updated on 3/14/2011



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TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

THE OA ROOM (NRC, FOIAOA)

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail

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per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

MSB (NRC, NRCFOIAMSB)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

- If responsive records need to be copied from one case to another

- If records are incorrectly scanned in a case and need to be removed

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All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if the following situation occurs:

- A file is found sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

RETURNED MAIL:

Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

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OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

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Title of Discussion: **Returned Mail – no forwarding address**
Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter. Name.

2. Give acknowledgement letter to OA Supervisor to Close.

Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

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Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

   Shred the CD.

2. If another address is found in the CSD's:

   a. Make a copy of the CD and returned envelope.

   b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

   c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)

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- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

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Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security

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Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*,

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since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

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CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

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7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

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- Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

- Research cases and take needed action(s) on cases.

- Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

- Anytime you create a new staffing, you must cancel the one it replaces.

- Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

- If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

- A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

- If you see it has been through image process box and returned to a shelf then further research is required.

  a. Check all offices for duplicate cases in FIPS using the alien number.

  b. Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

  c. If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

- **Additional PII needed:** Sometimes when a processor retrieves a case, he or she will determine that additional PII or consent is needed from the requester/subject. You will

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have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

- **If you pull a case in Records Locator queue and the Requester Documentation has been received:** Review the information provided, if the requester/subject has provided the requested PII and/or consent, staff for the file.

- **The requester/subject may respond negatively to the request for PII.** If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

- **If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS** with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

- **If the requester/subject does not return proper consent**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

- **If a request for consent is returned but the requester says he or she is a third party requester** (they have no relationship to the subject of the record and cannot or will not get consent), staff for the file. Create a Discussion advising the processor to process this case as third party without consent.

Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

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- **Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed?** If so, please staff for the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

- **Did the requester ask for a copy of a petition they filed on behalf of a beneficiary?** If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

- **Did the scanning contractor scan the wrong records into the case?** If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

    1. Look for a pending case for the records that were scanned into your case.

    2. If you locate a case, check to see if the responsive records have been scanned.

    3. If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

    4. If the pending case already has records scanned in, review those records.

        i. Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

        ii. If they are duplicates, then you do not have to do anything with that case.

        iii. You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

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- The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.
- If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**
- If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

- If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

- If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

- If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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REPENDING IN RECORDS LOCATOR QUEUE

- Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

- If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.
  1. If the file has moved to another FCO, you should cancel the current staffing sheet and create a new one to reflect the new FCO.
  2. If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original staffing sheet or re-staff to RAFACS/CIS.
  3. Do not cancel staffing sheets and re-staff just because the request is old and has been pending for an extended period. Canceling staffing sheets and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

- If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

- If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

- If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

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CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

- The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.
- The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.
- The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,

- The A number or Receipt Number of the records,

- The staffing sequence they are scanned into, and

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- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**
- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

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IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

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BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

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DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

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KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

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MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

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PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

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SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129

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Title	Form Number
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A

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Title	Form Number
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687

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Title	Form Number
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A

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Title	Form Number
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426

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Title	Form Number
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney

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ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization

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CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training

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CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice

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DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration

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FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health

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FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account

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HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence

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I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990

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INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident

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LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety

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OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime

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OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook

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RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer
SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)

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SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom

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UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office

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VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

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Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

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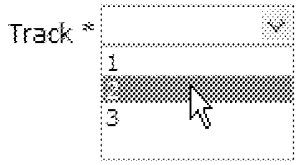
- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.

- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.

- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

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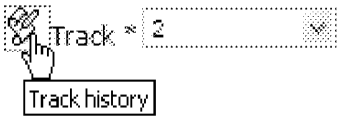
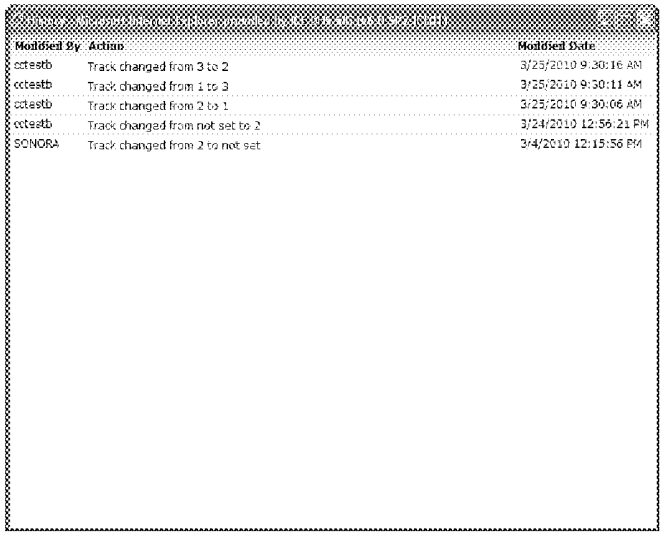
Track History Icon



The track history appears in a separate pop-up window.

Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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FOIA/PA ASSISTANT'S GUIDE

Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

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Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS *(not RAFACS/CIS)* staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information.*" Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.
>
> ---

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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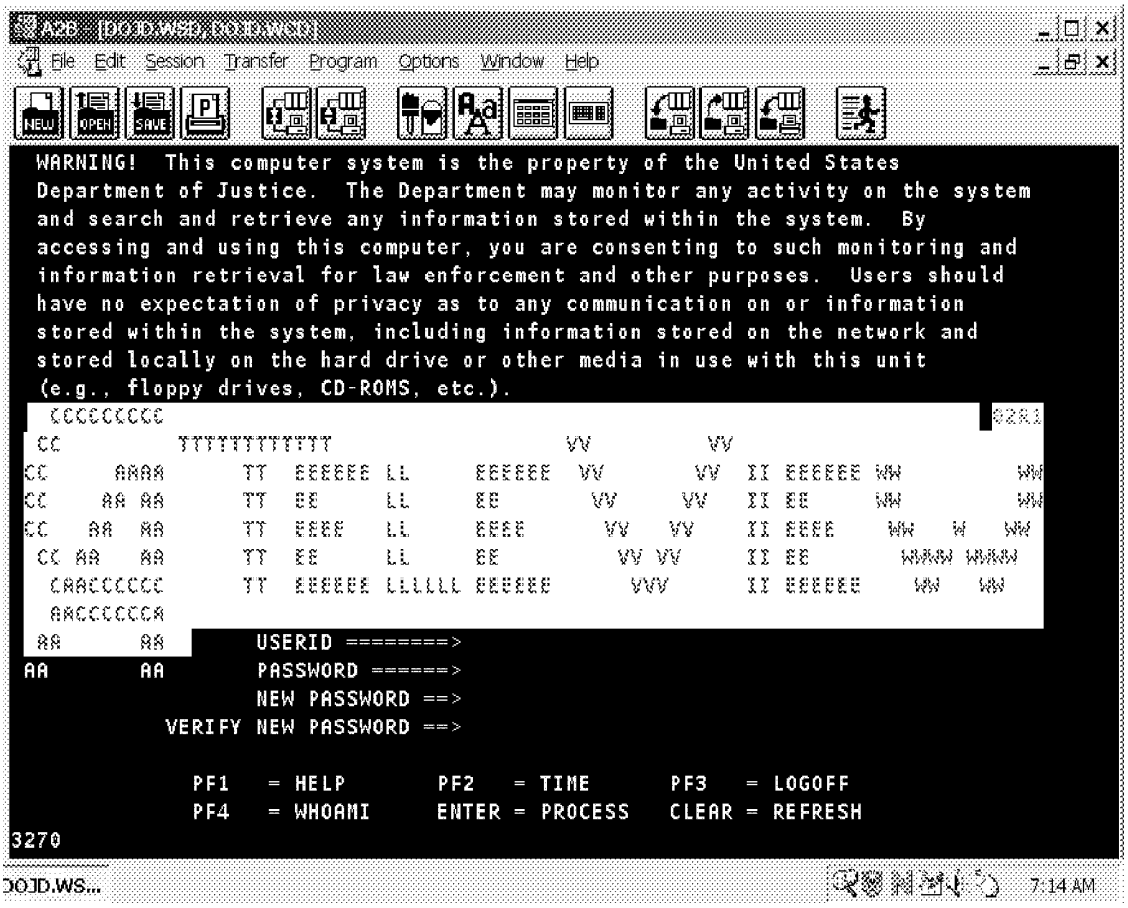
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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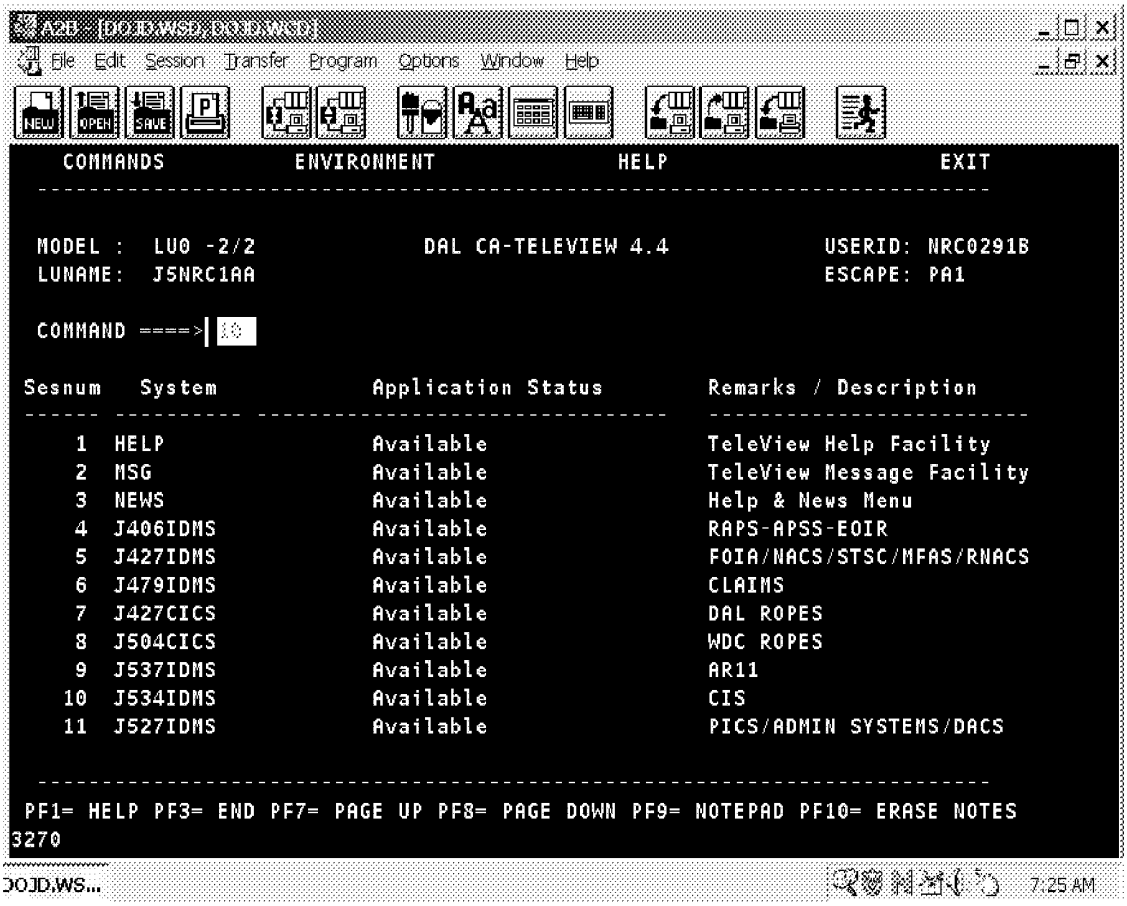
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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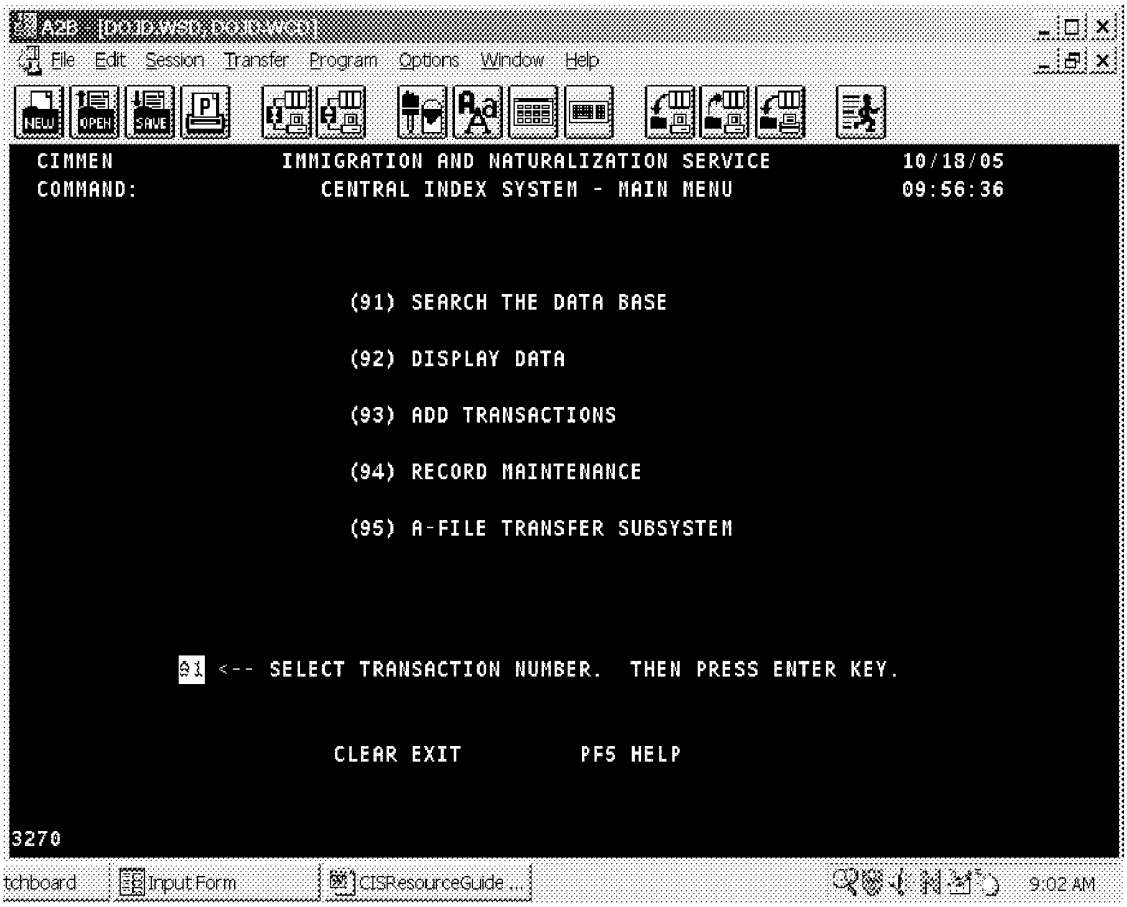
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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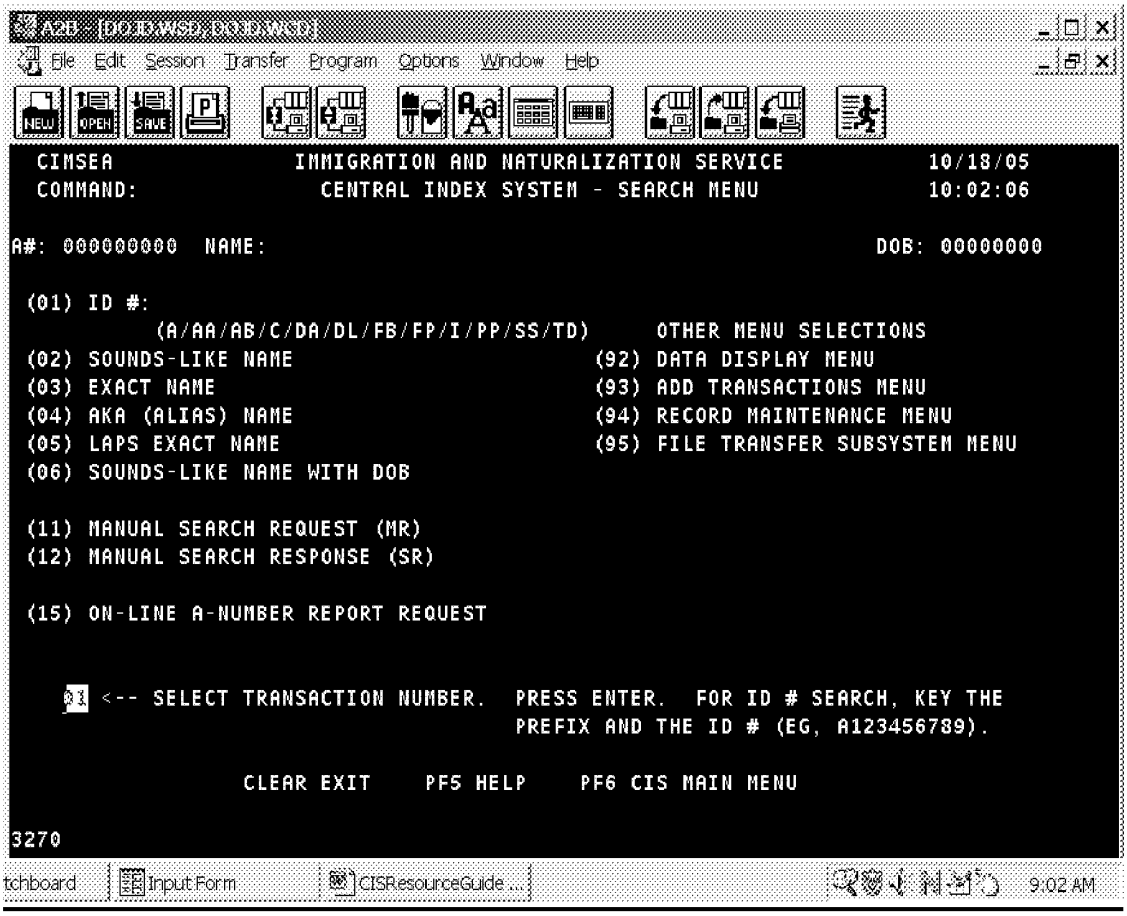
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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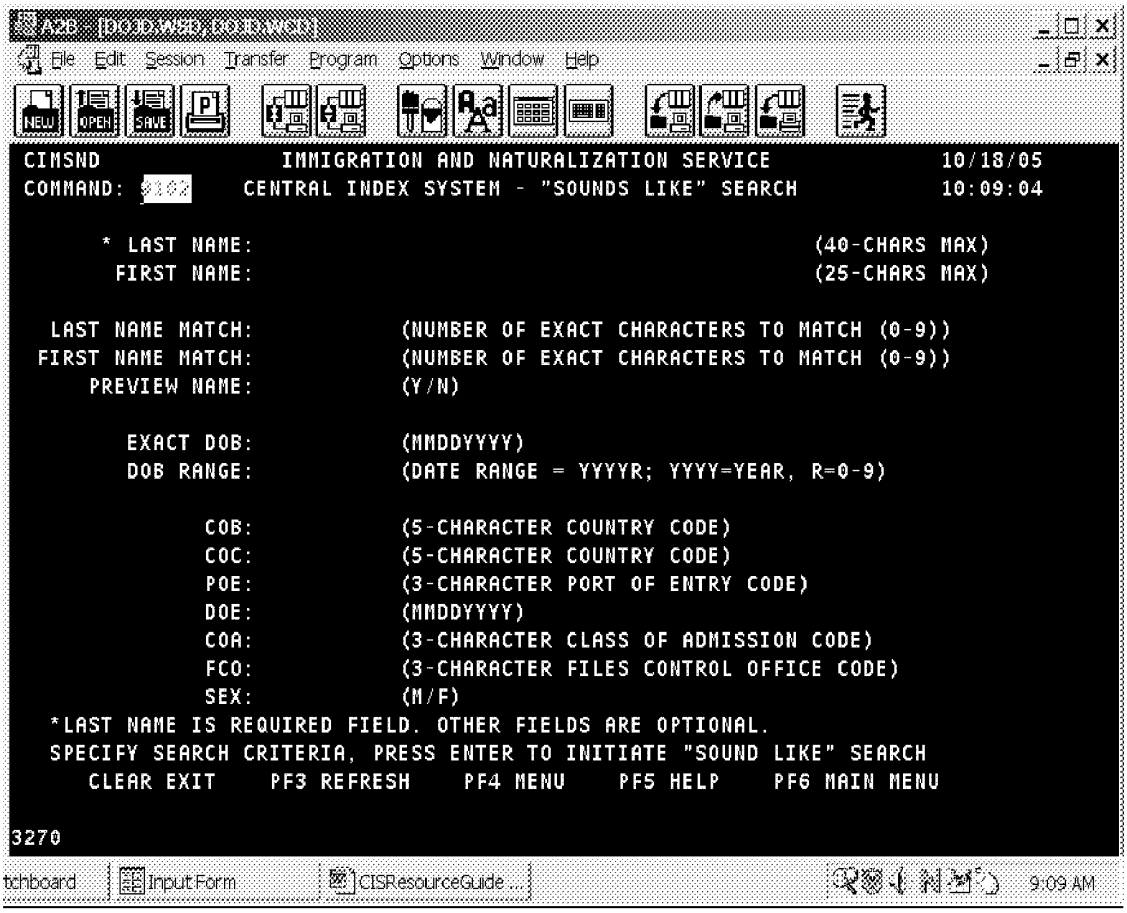

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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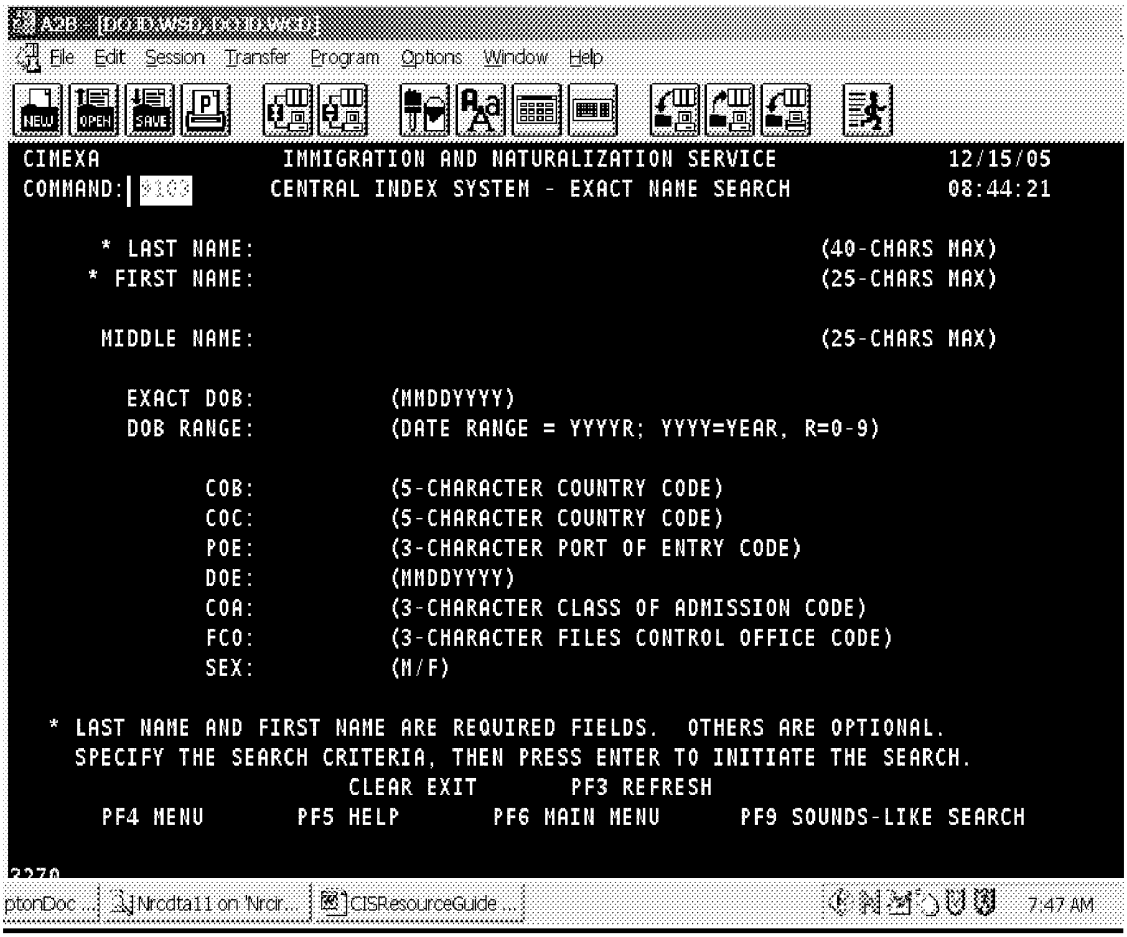
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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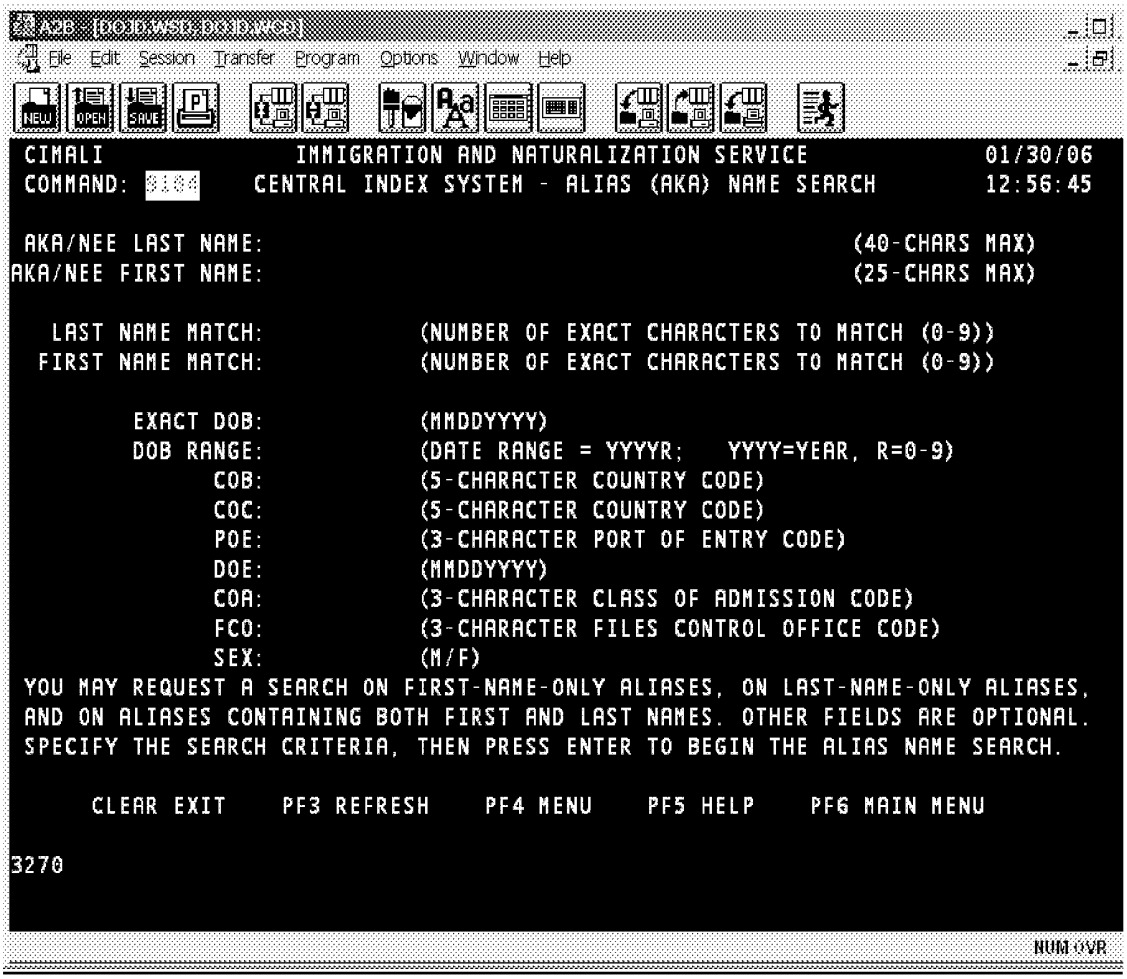
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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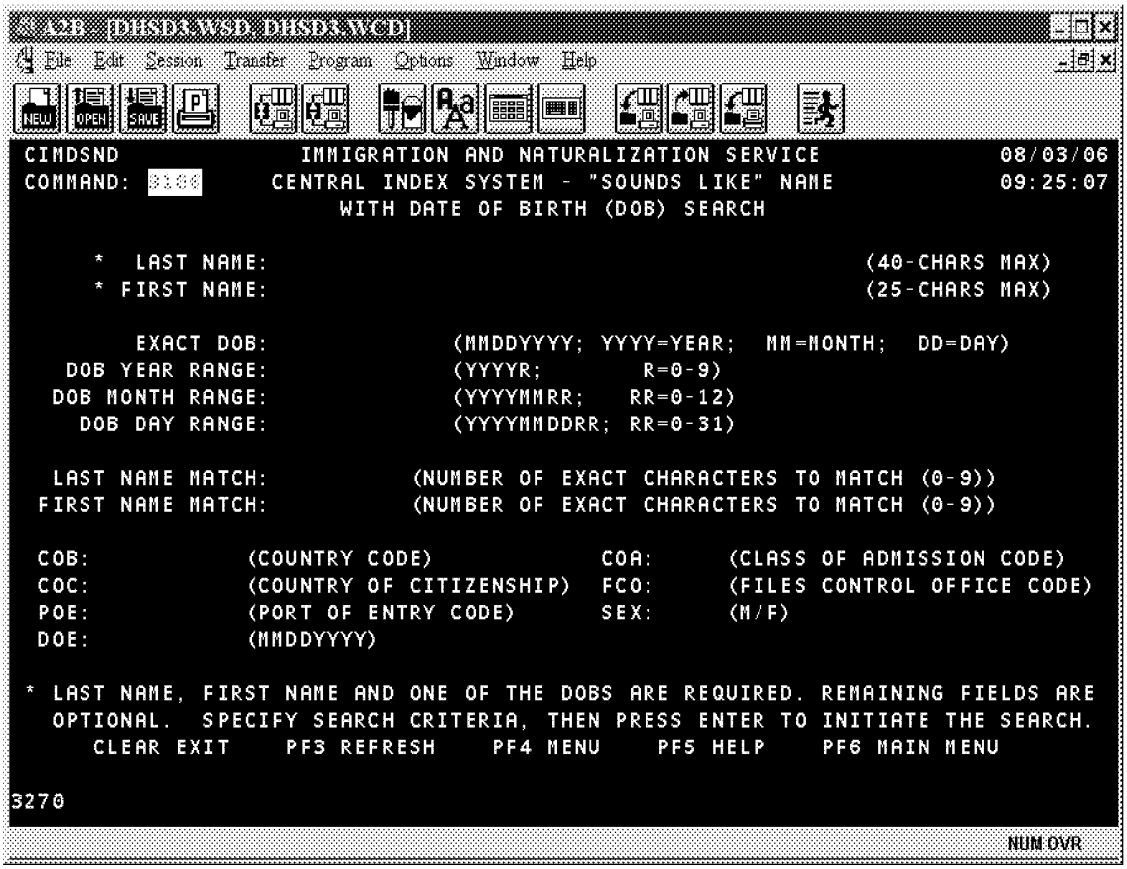
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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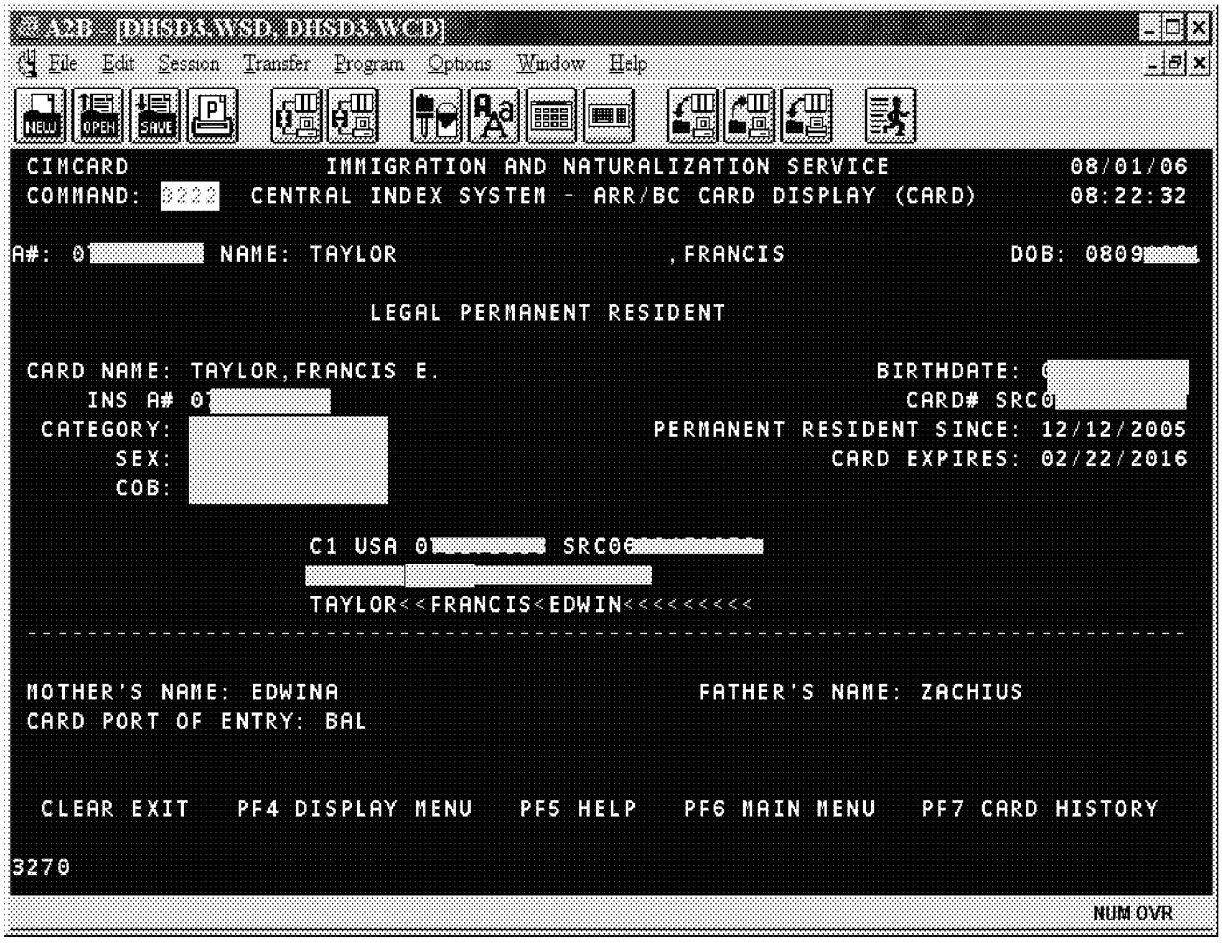
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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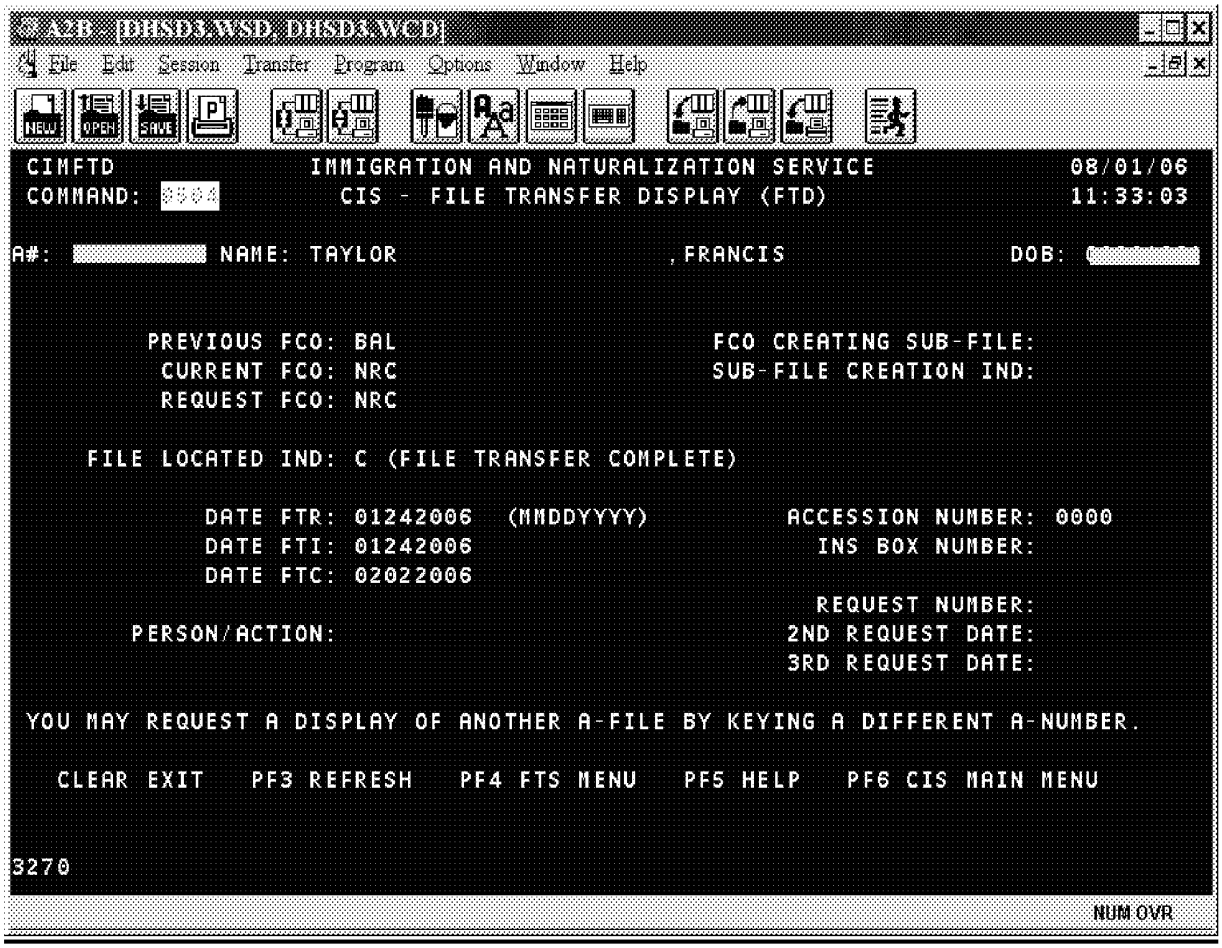
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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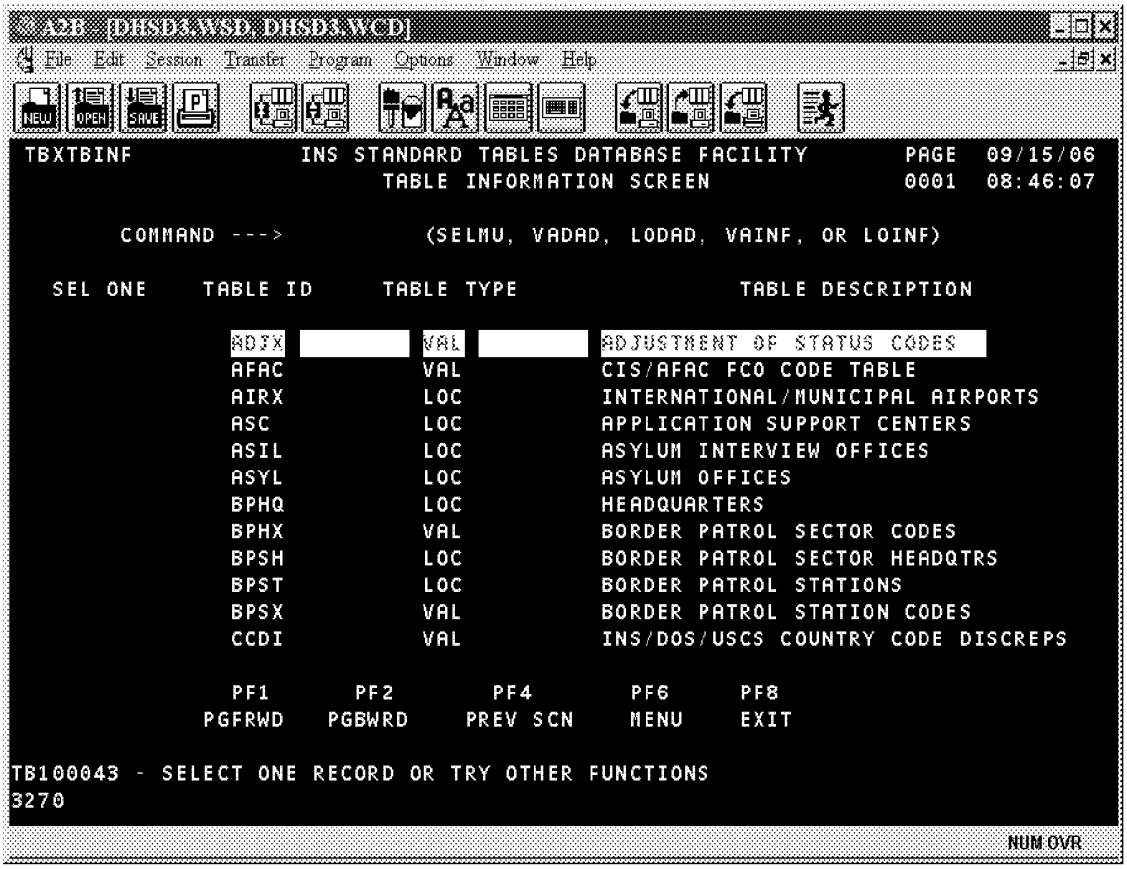
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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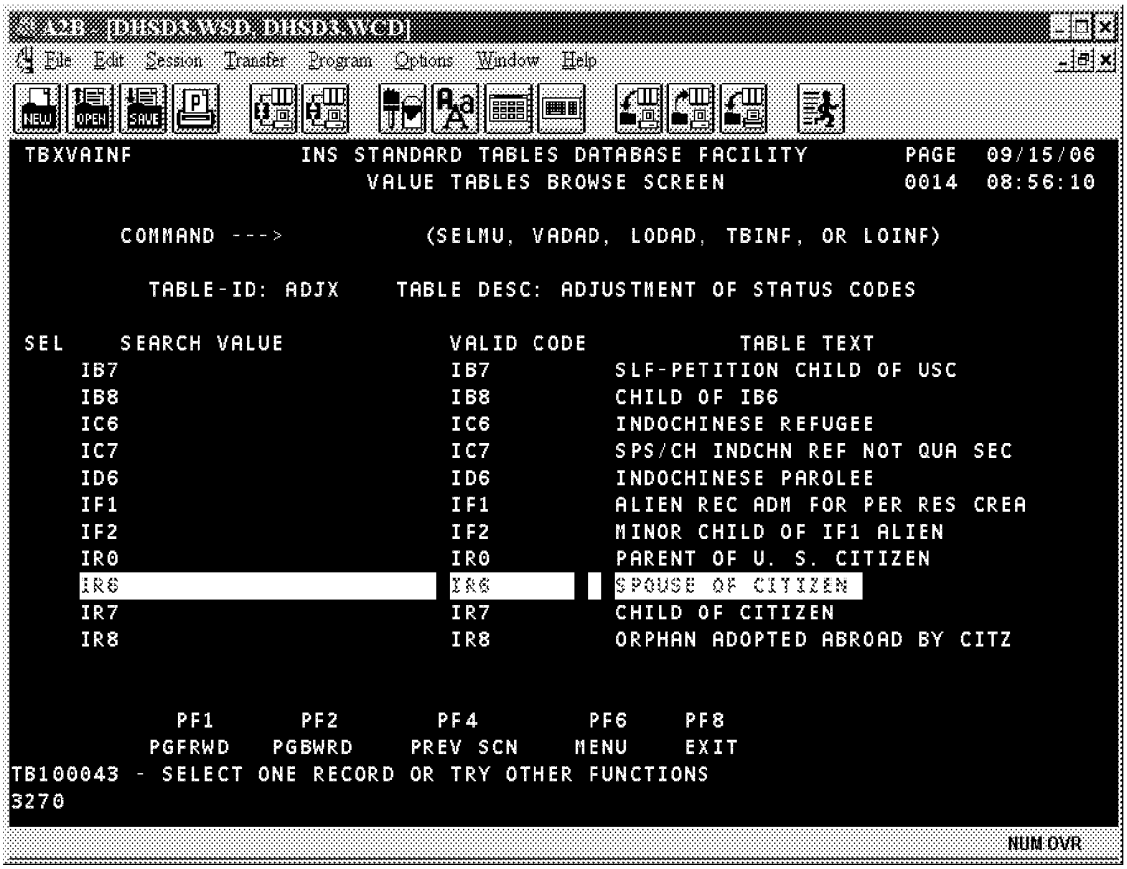
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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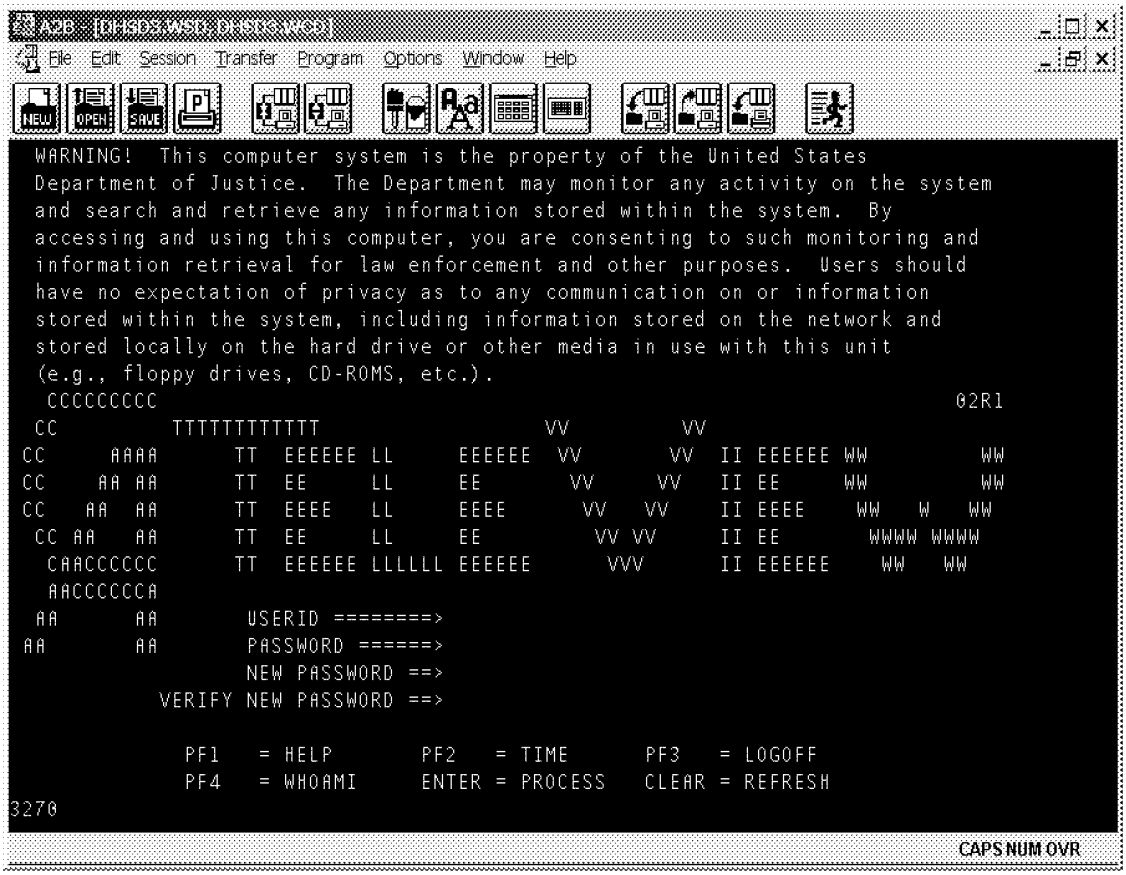
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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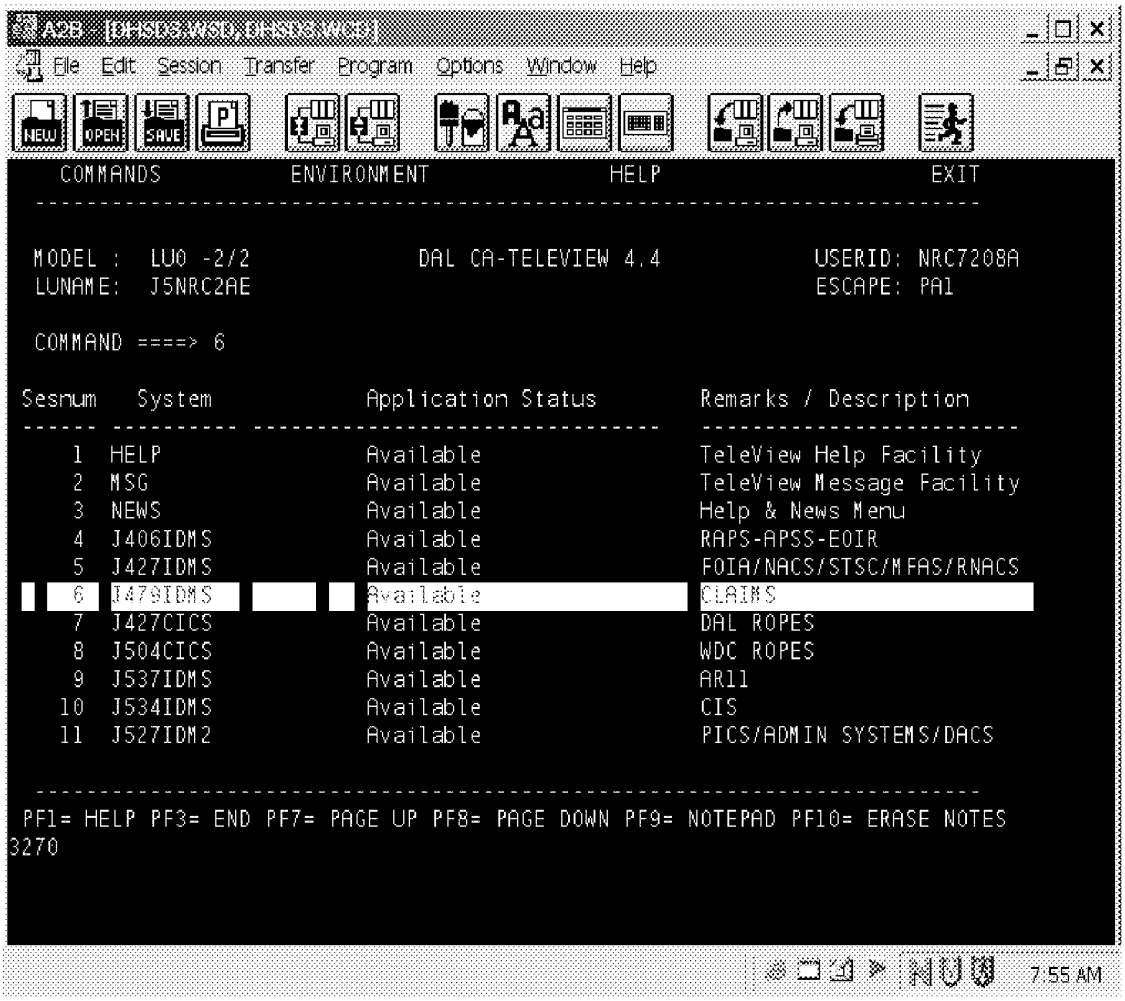
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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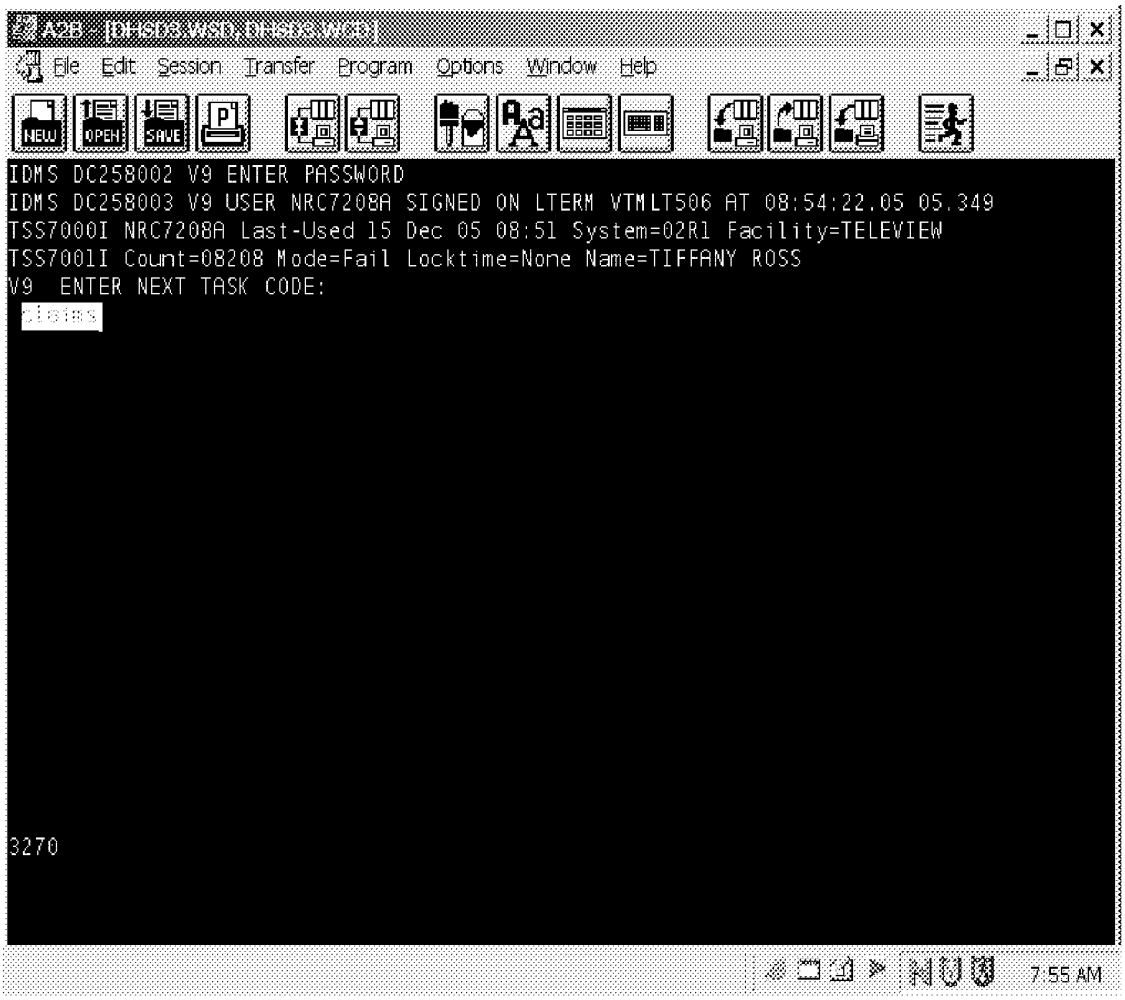
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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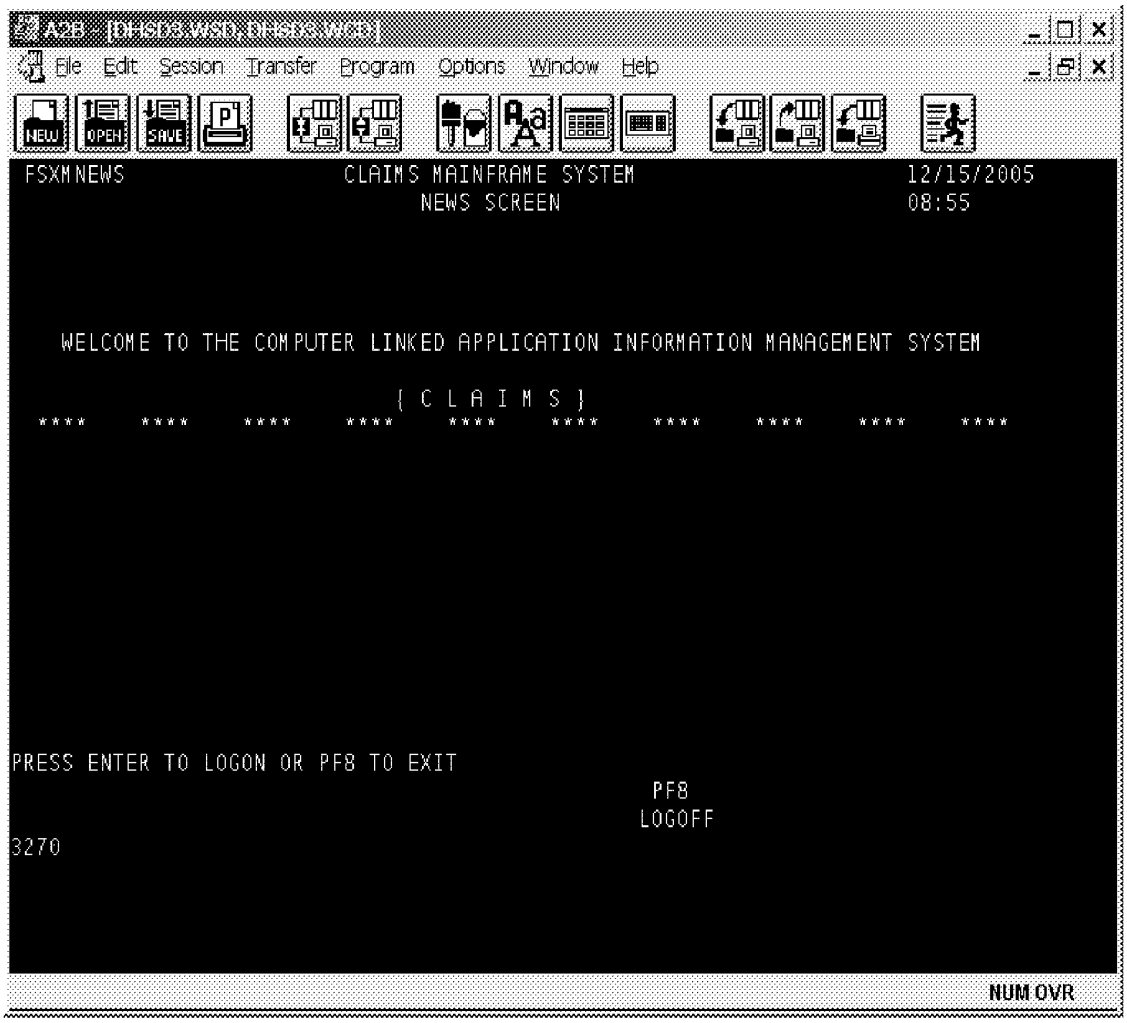
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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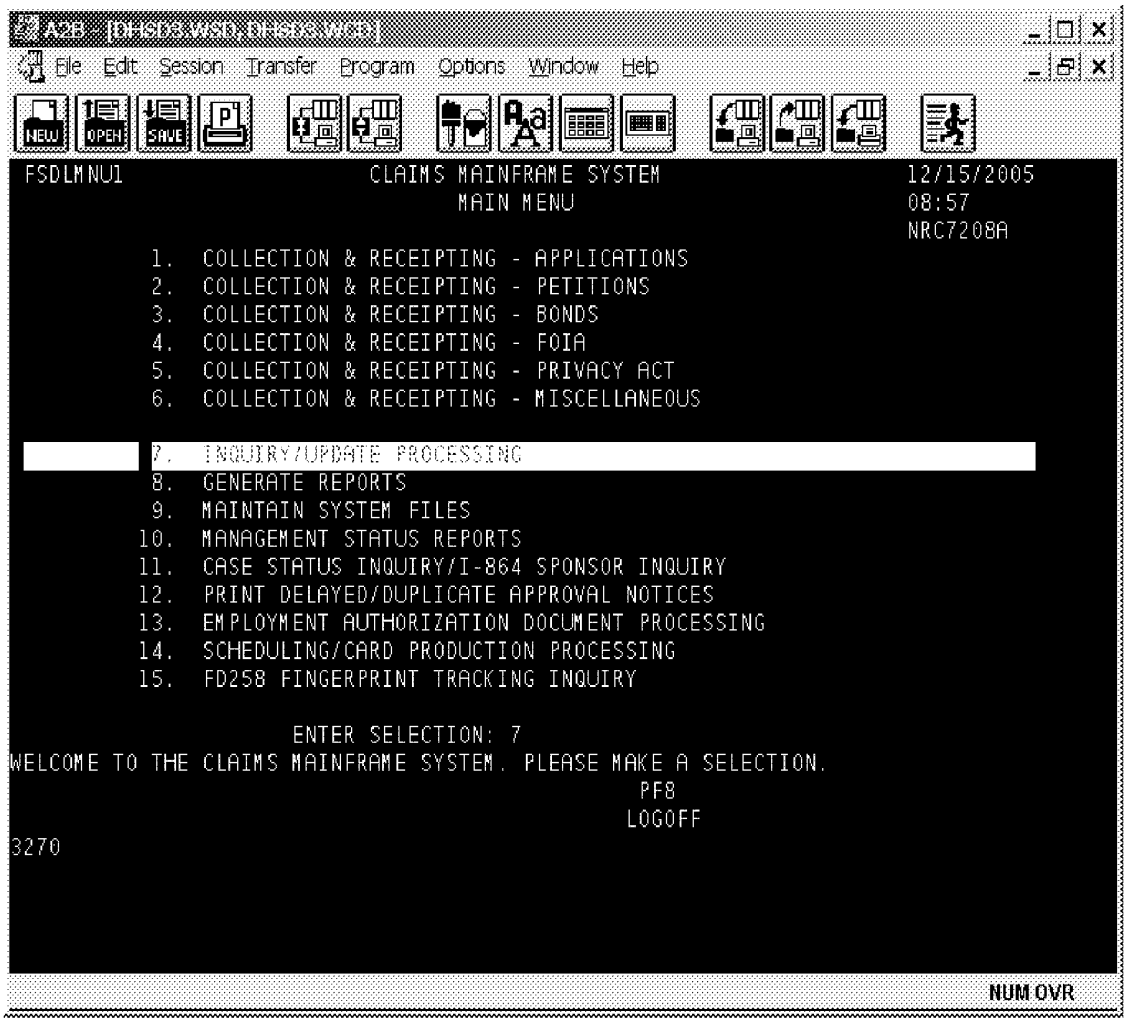
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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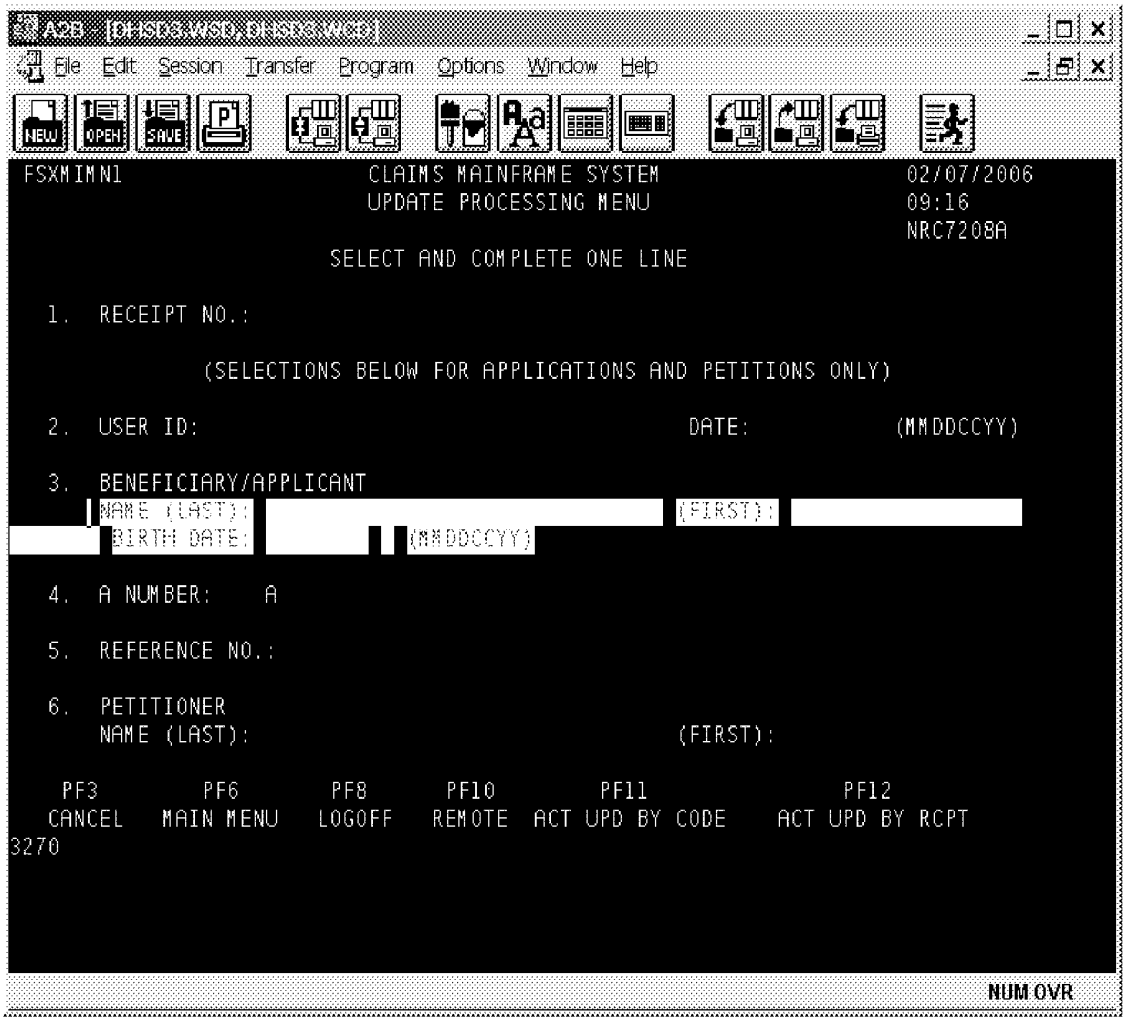
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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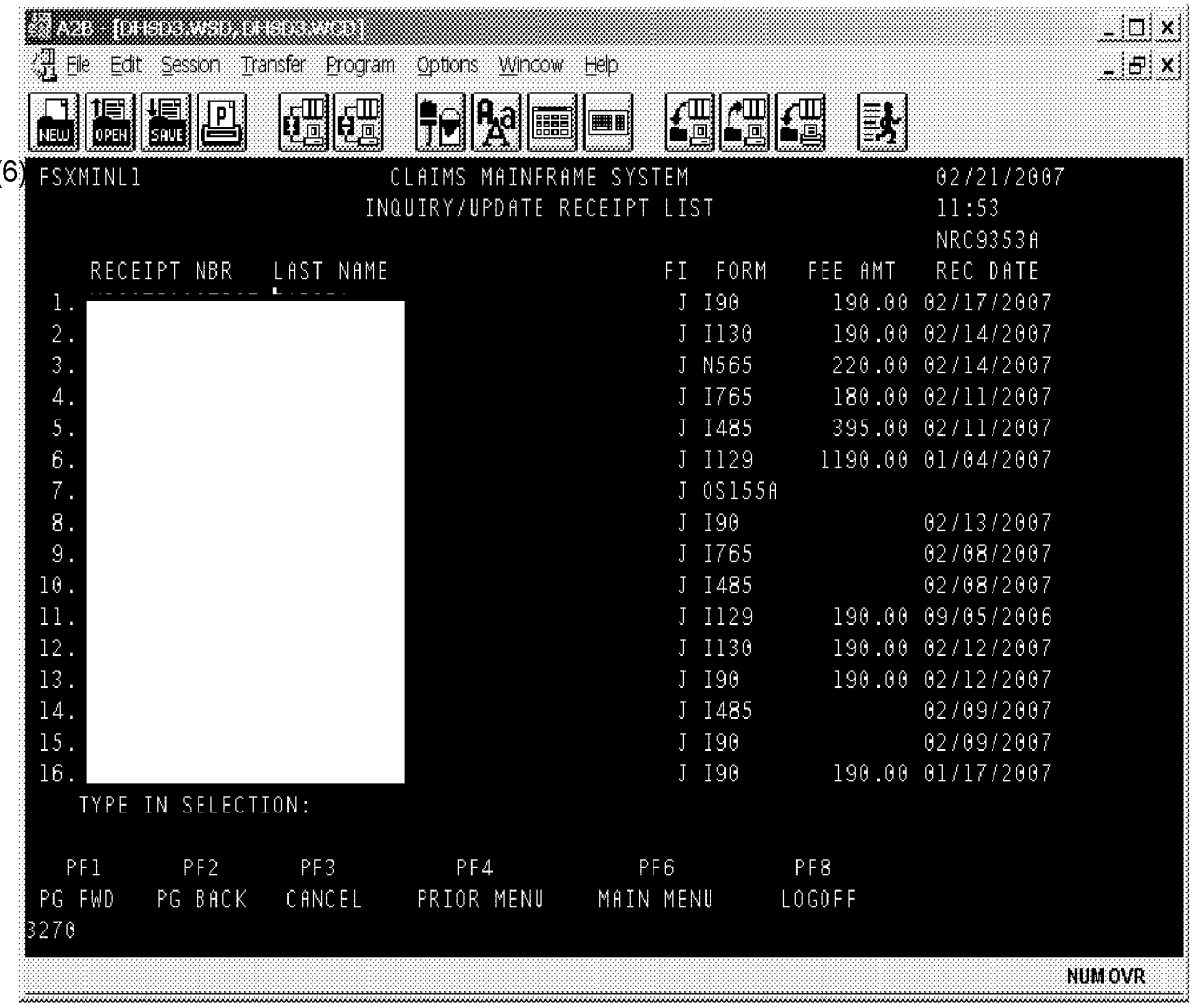
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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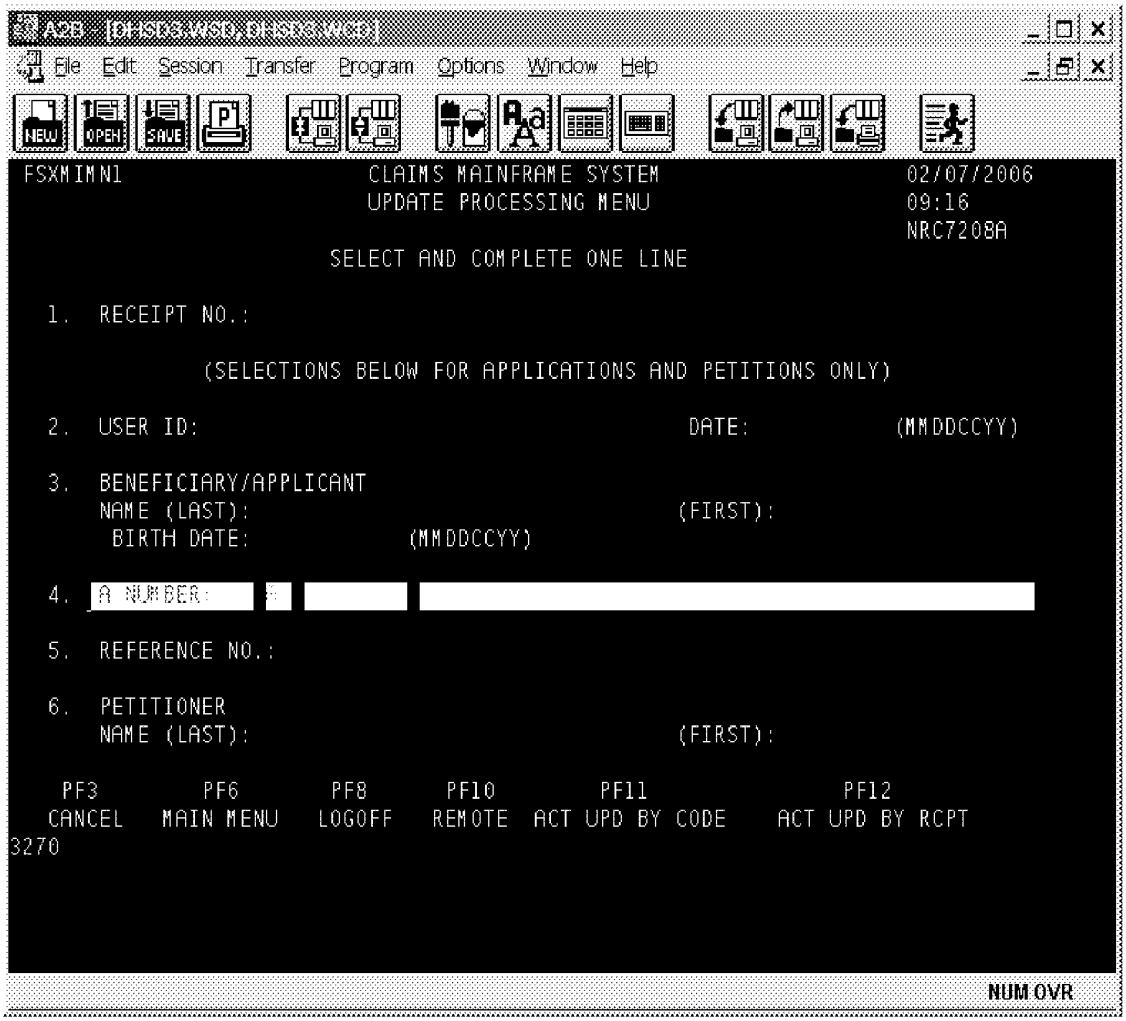
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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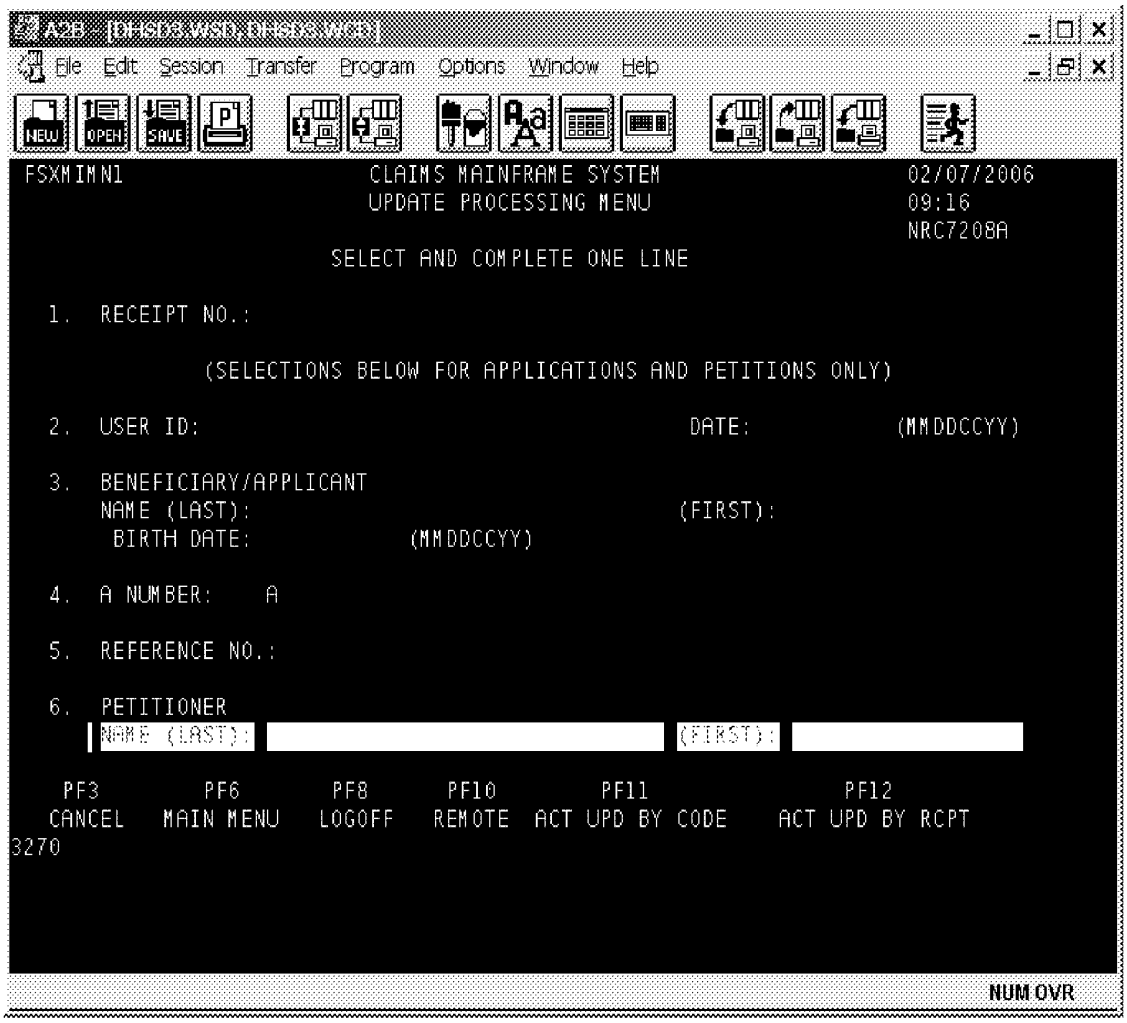
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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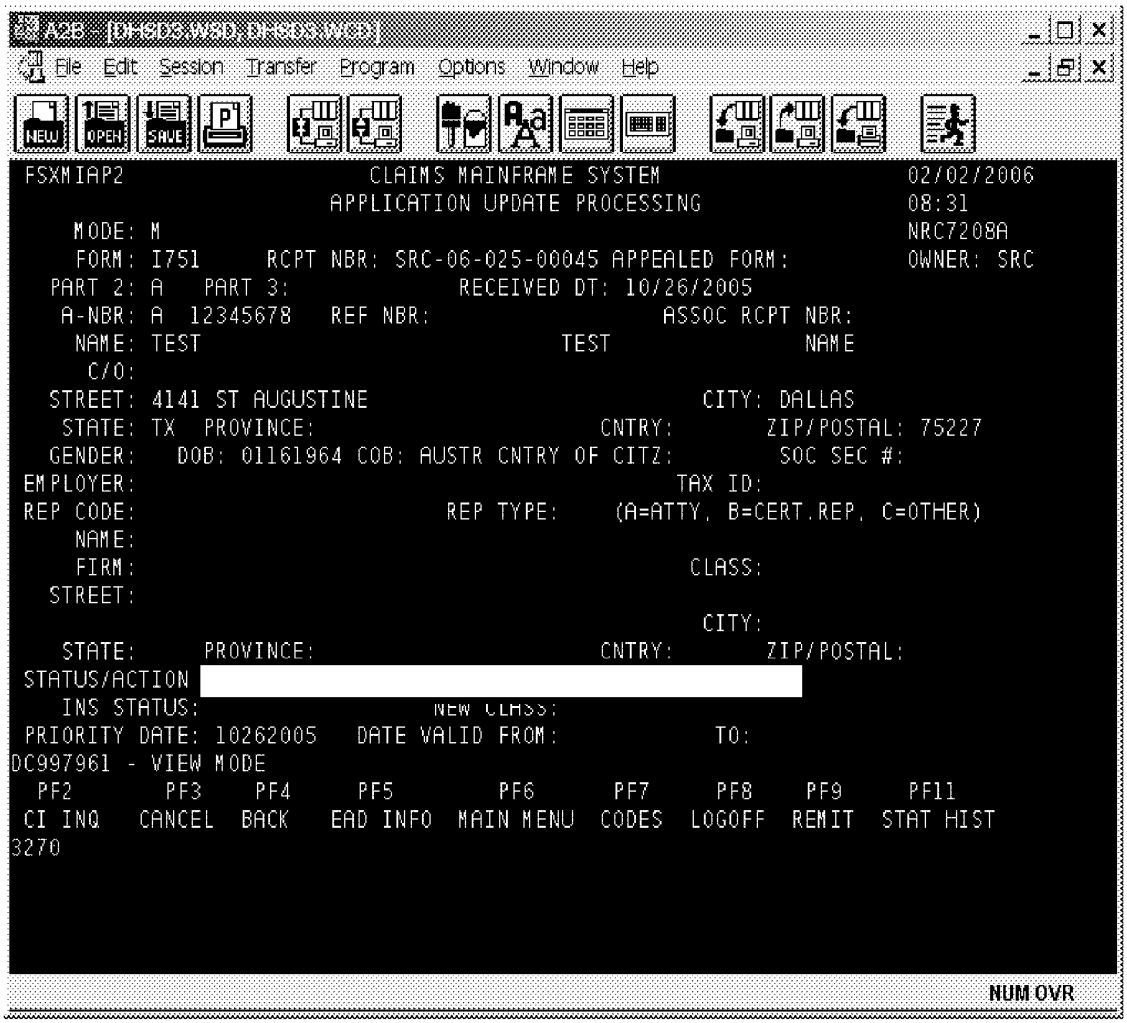
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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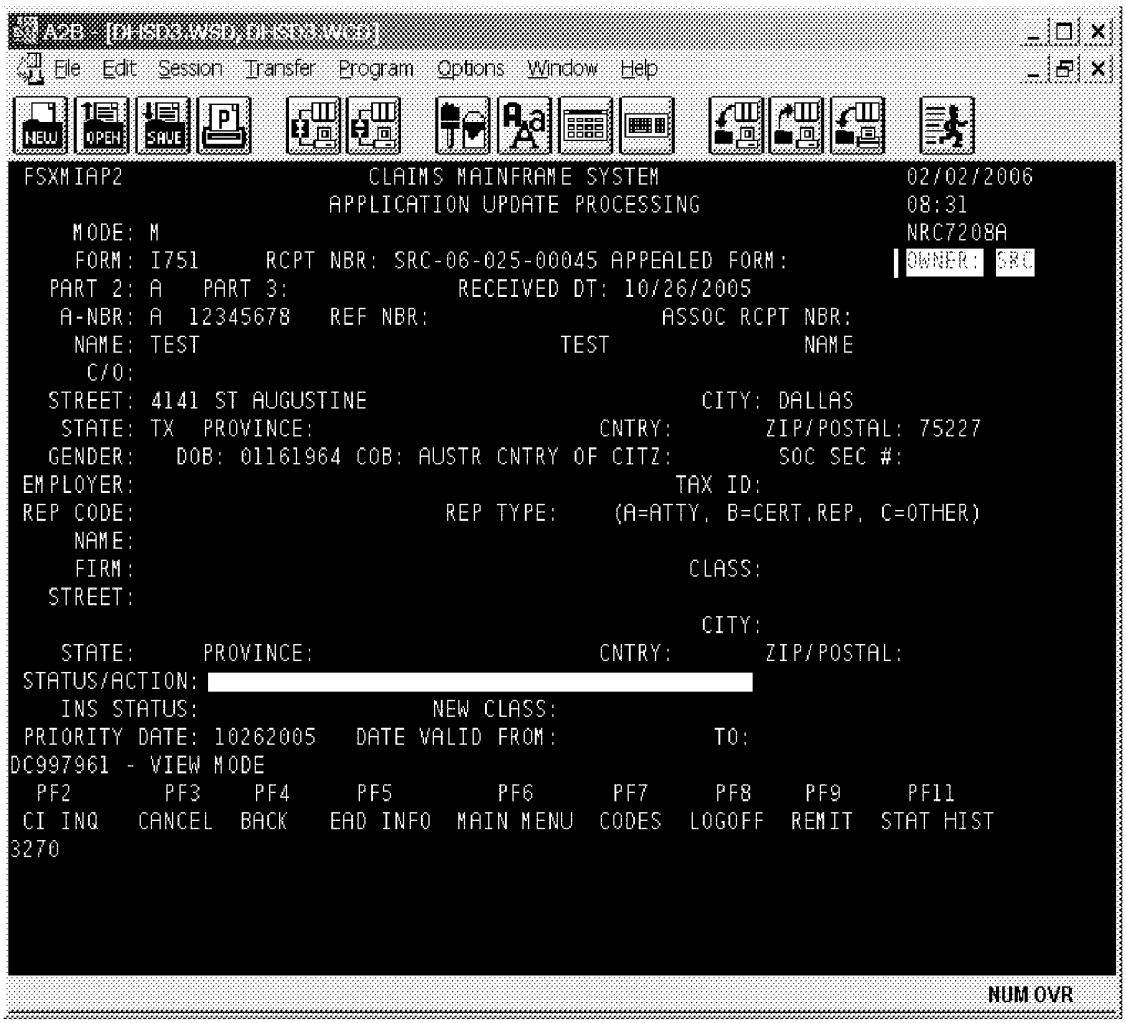

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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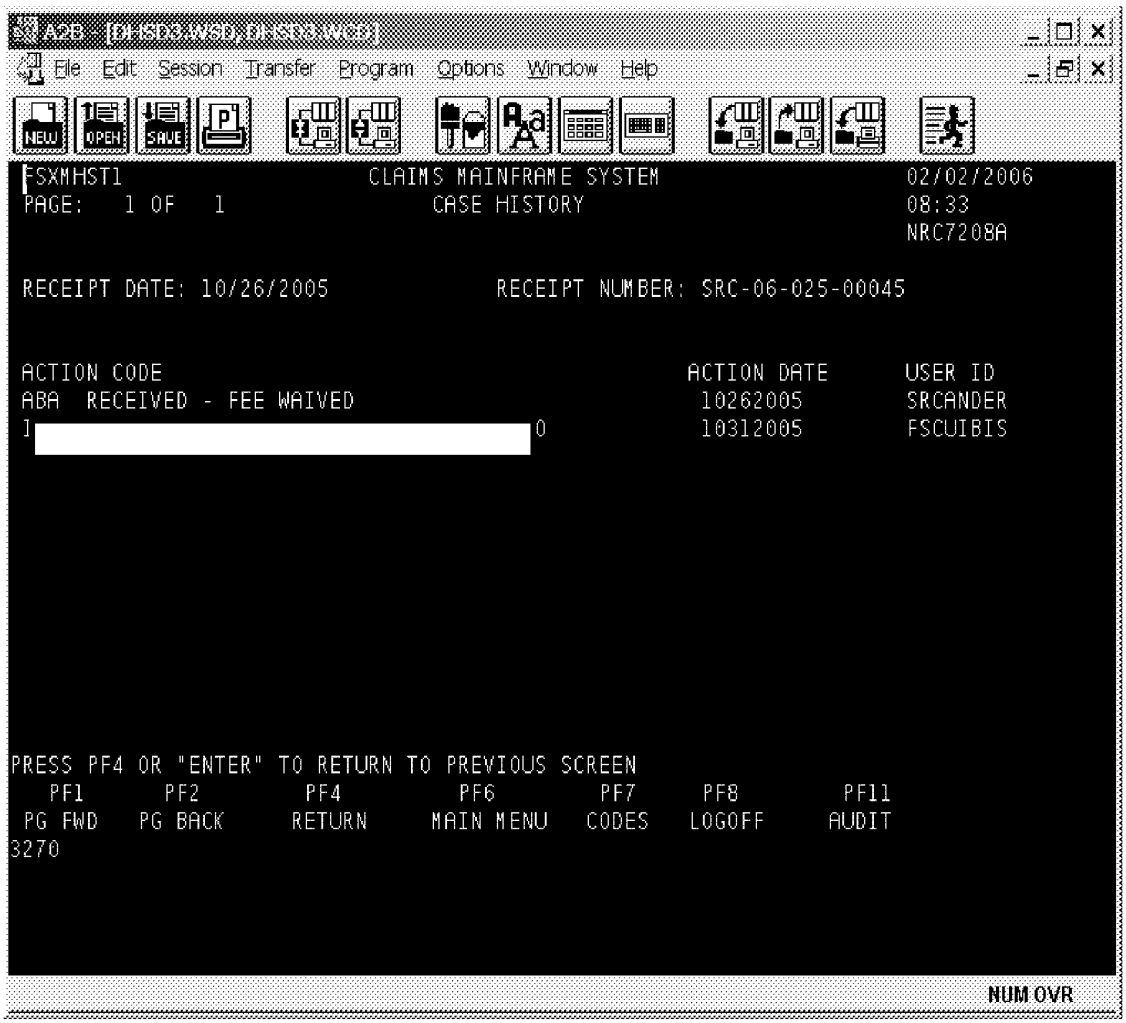

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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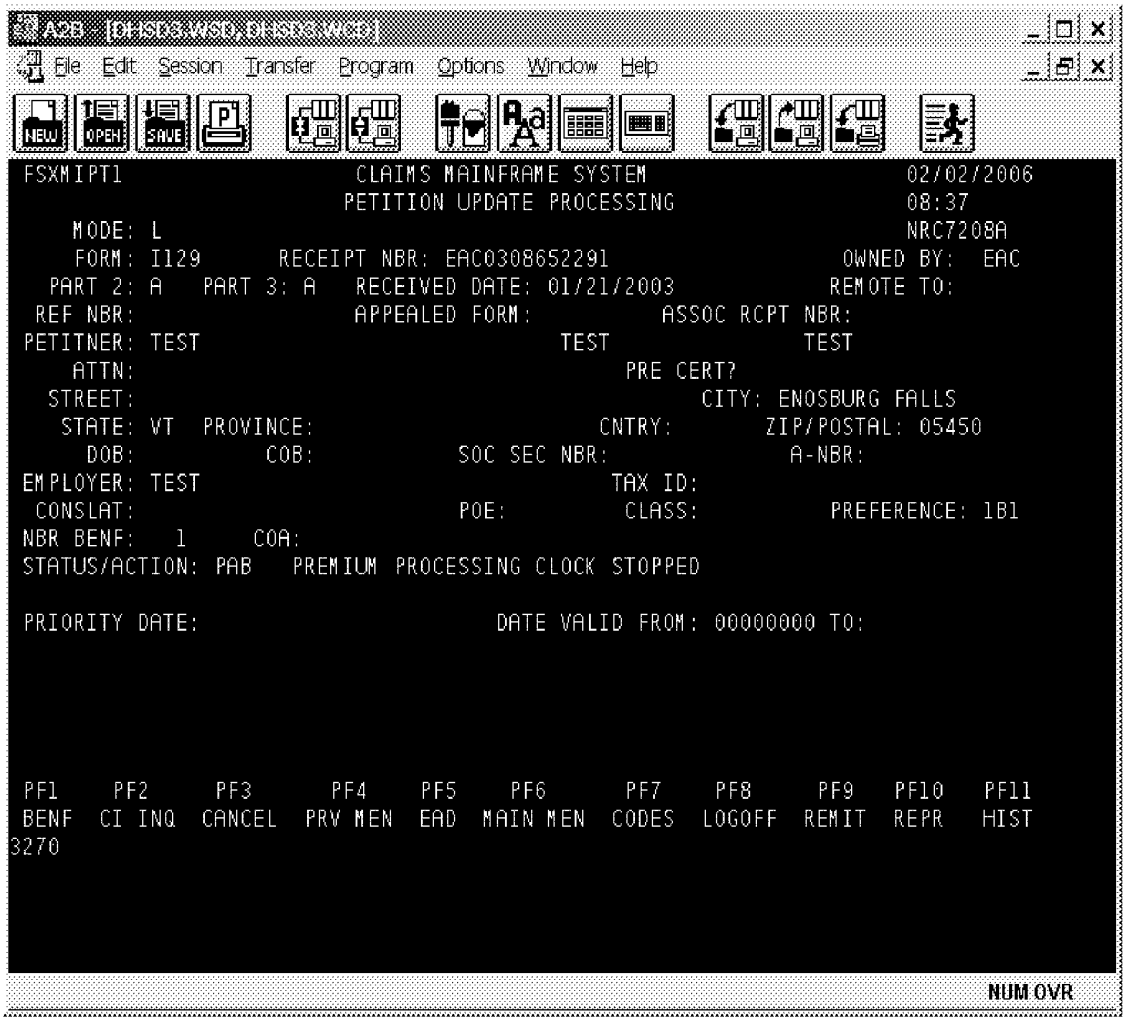
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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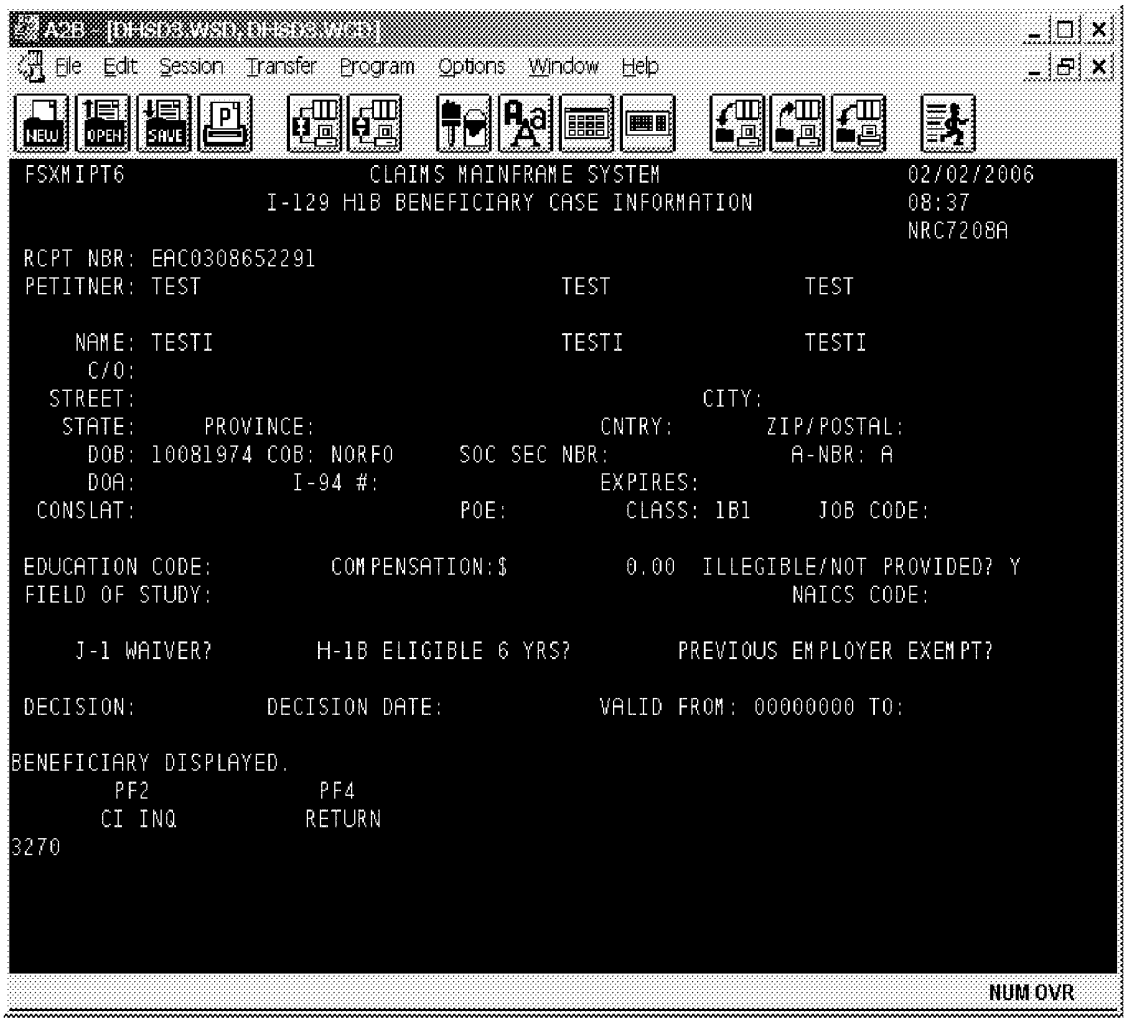
To see the beneficiary information press F1.



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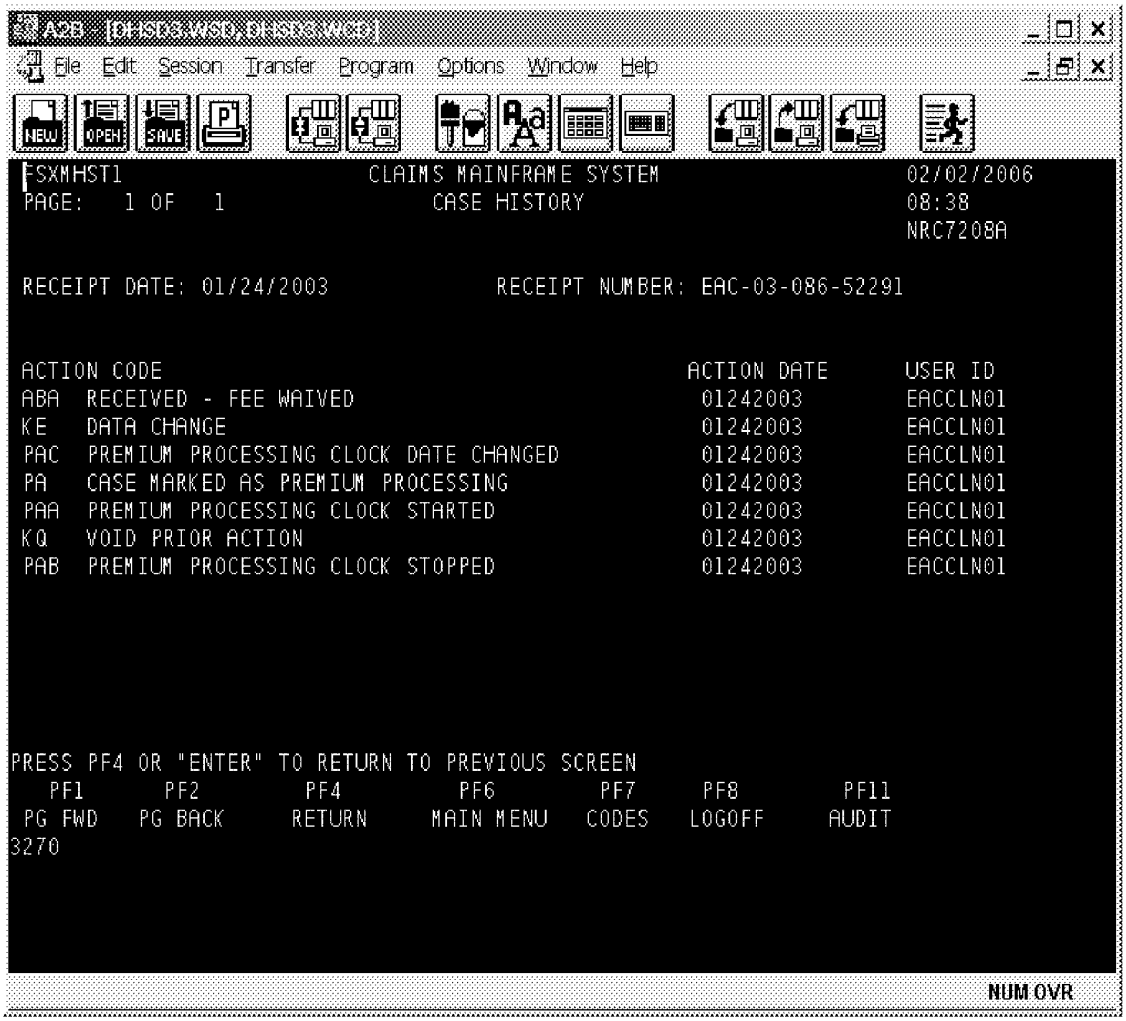
To view the history, press the F4 key to return to the previous screen, and enter F11.



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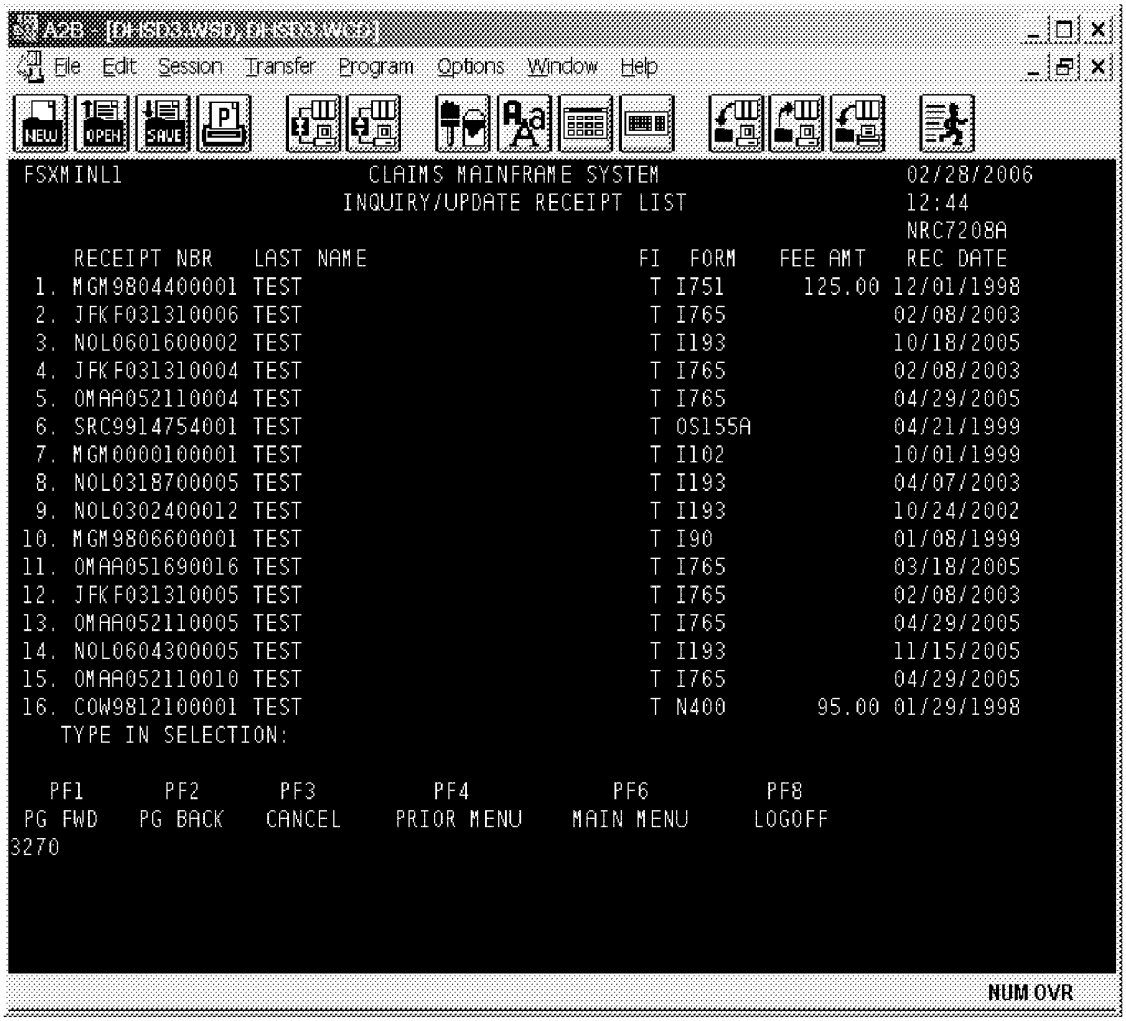

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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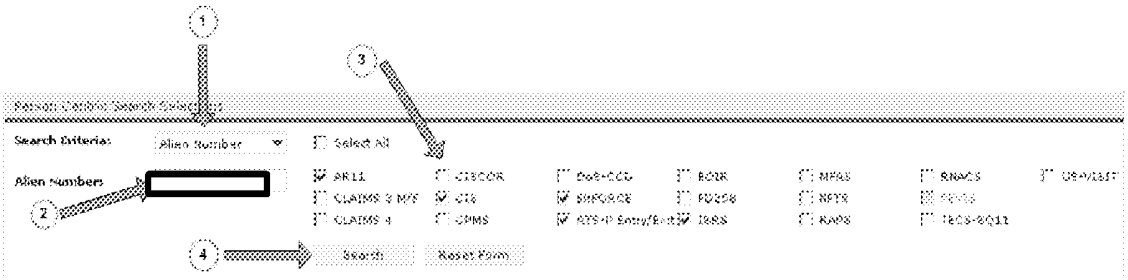
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.



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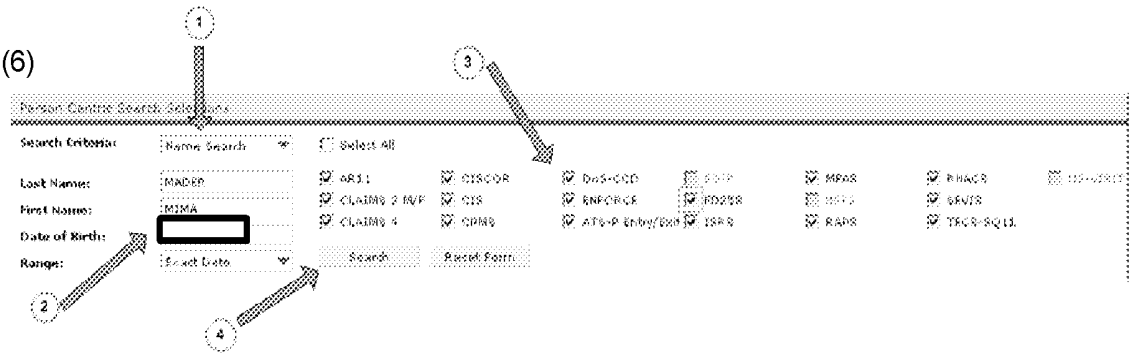

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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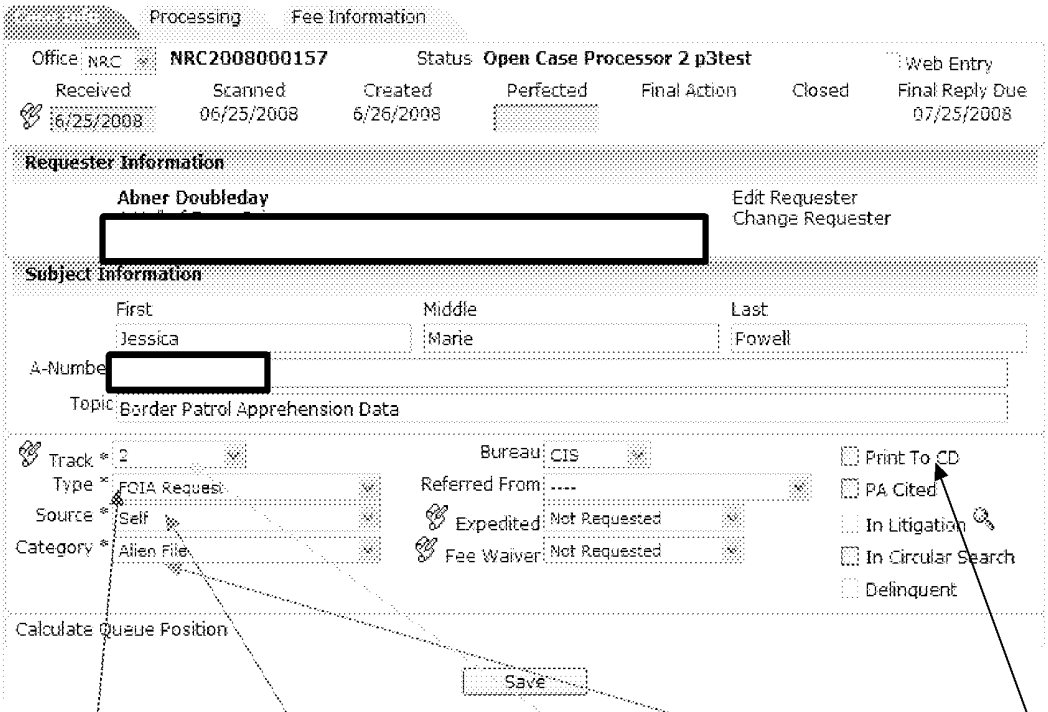

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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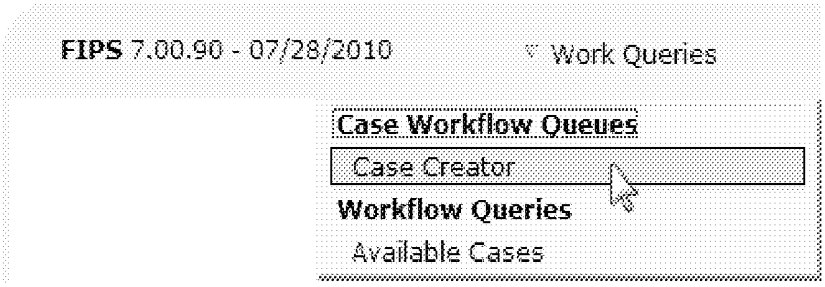
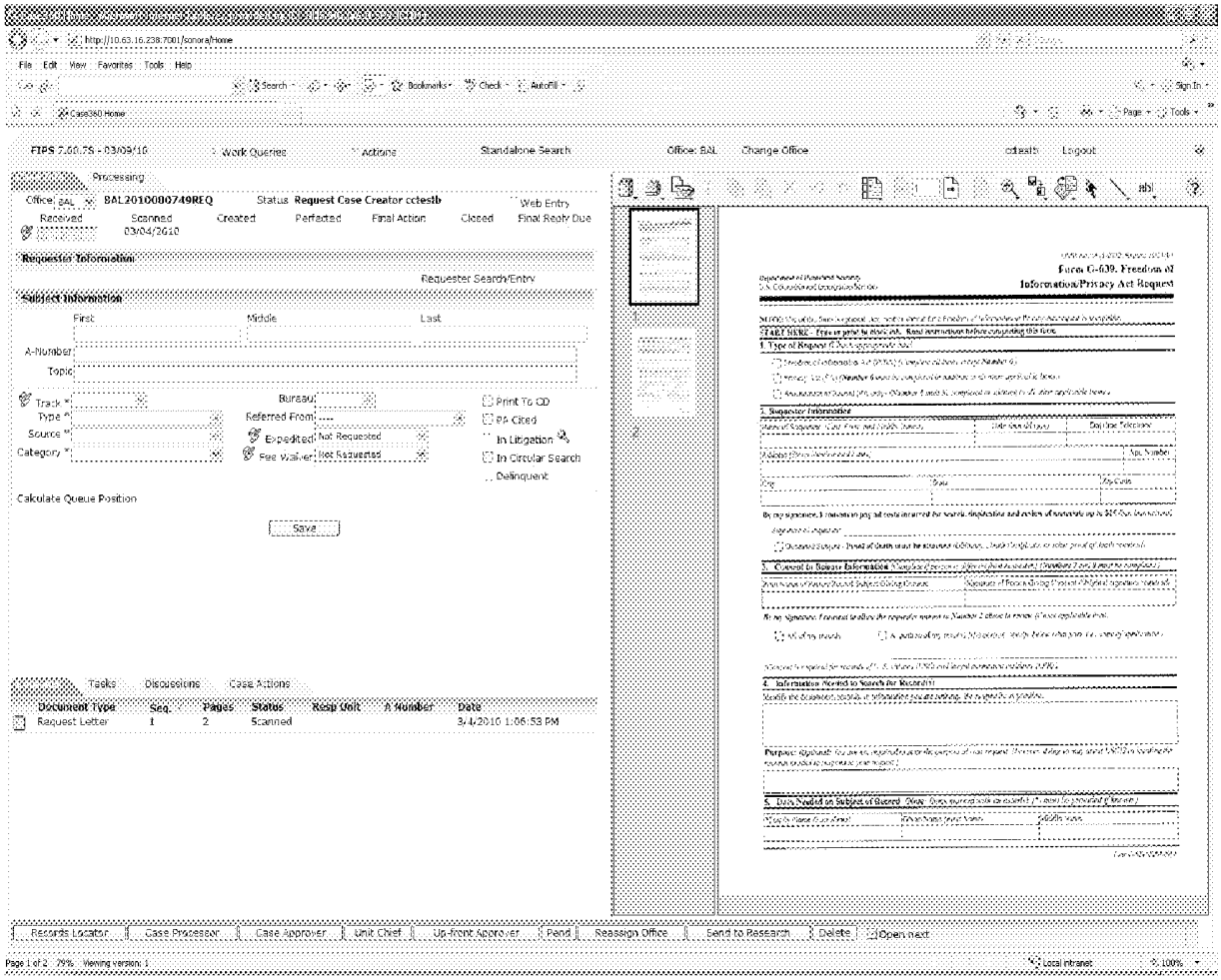
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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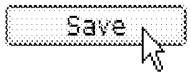
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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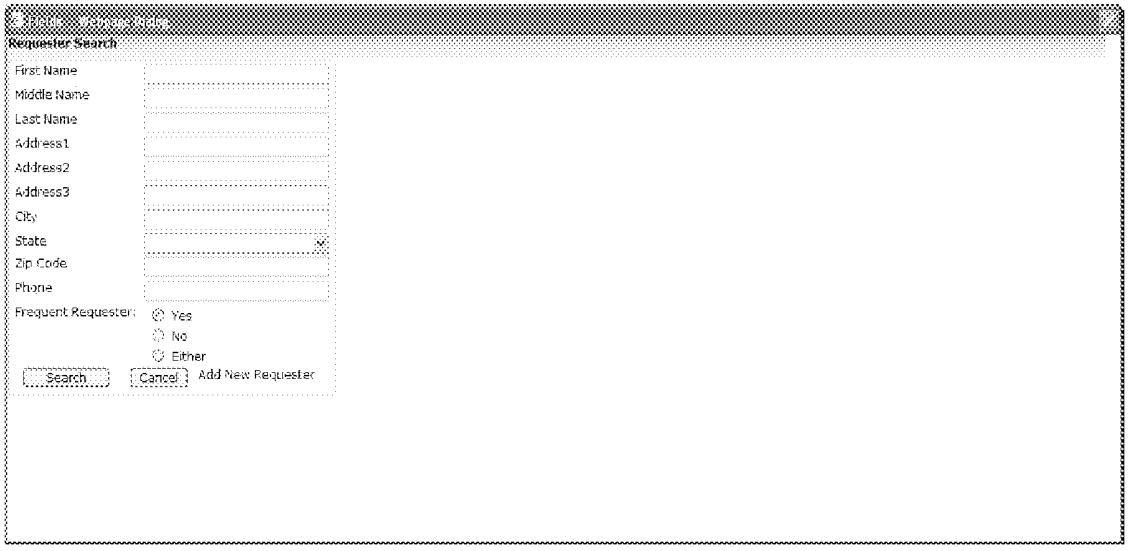
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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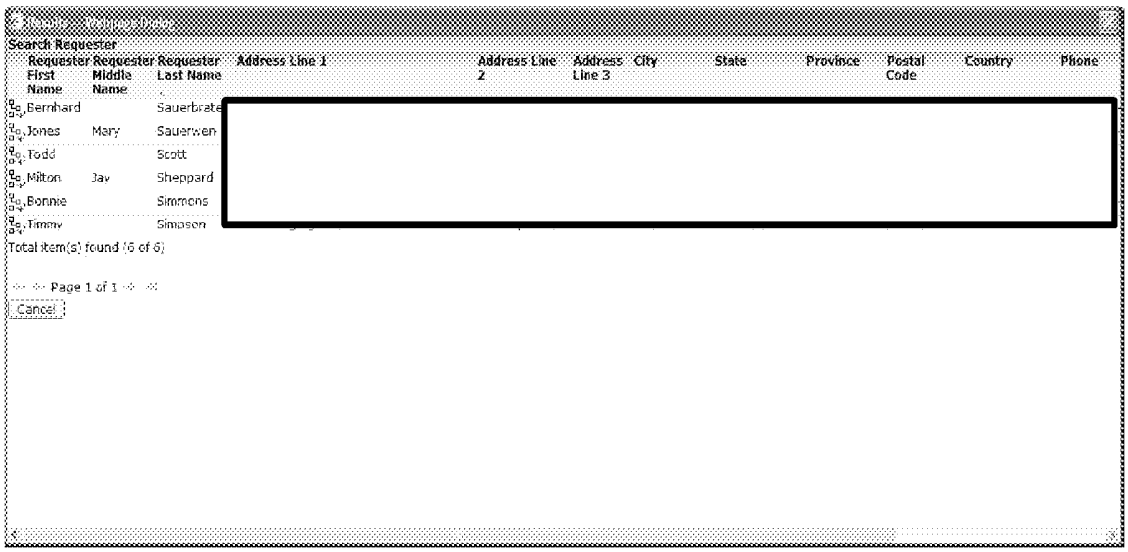
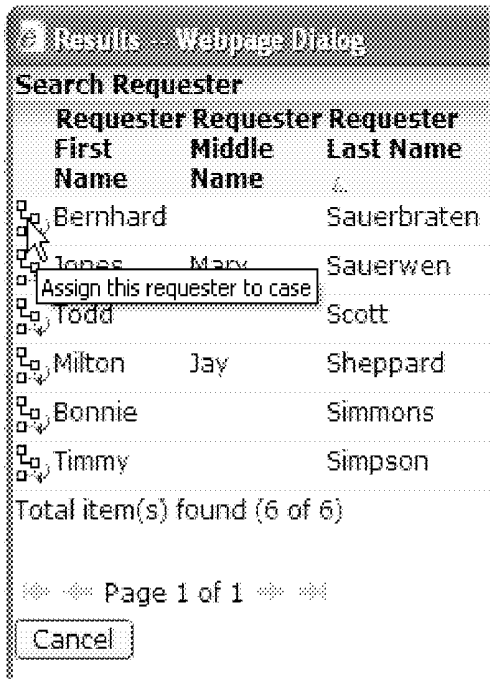


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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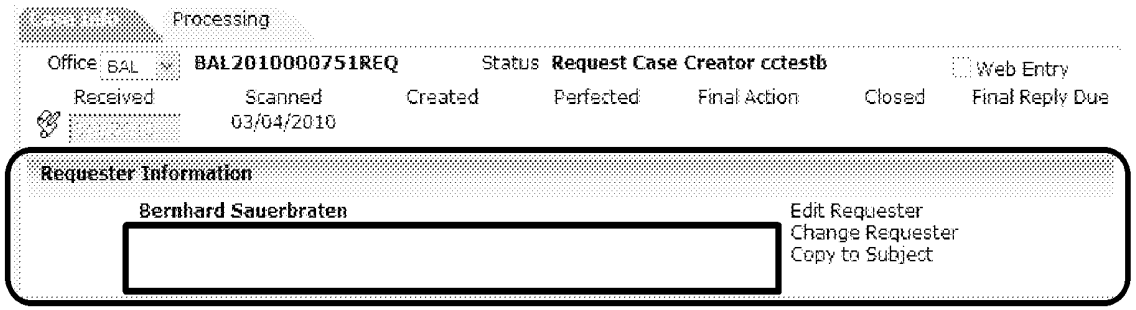

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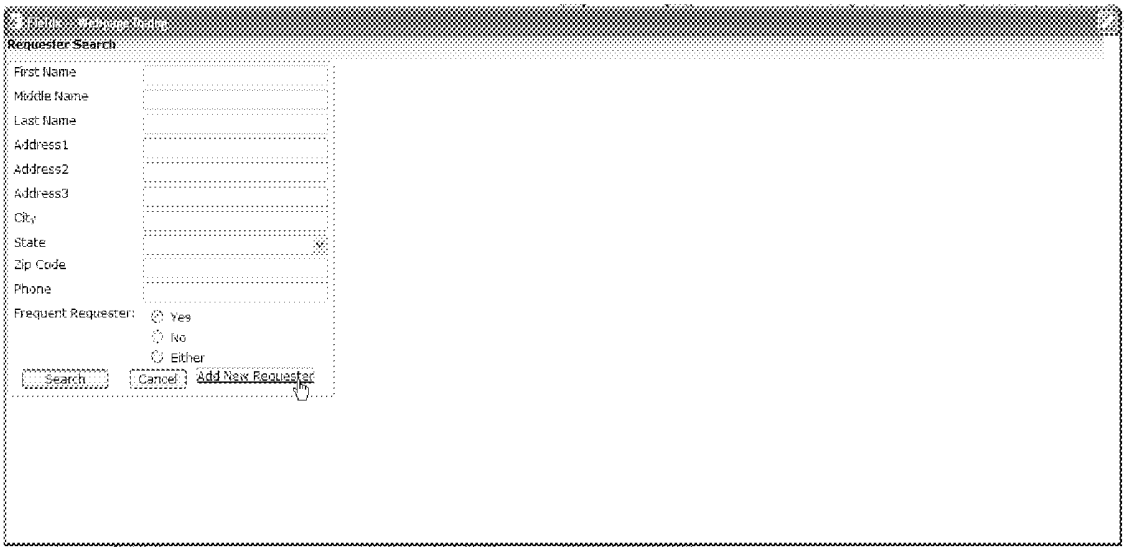
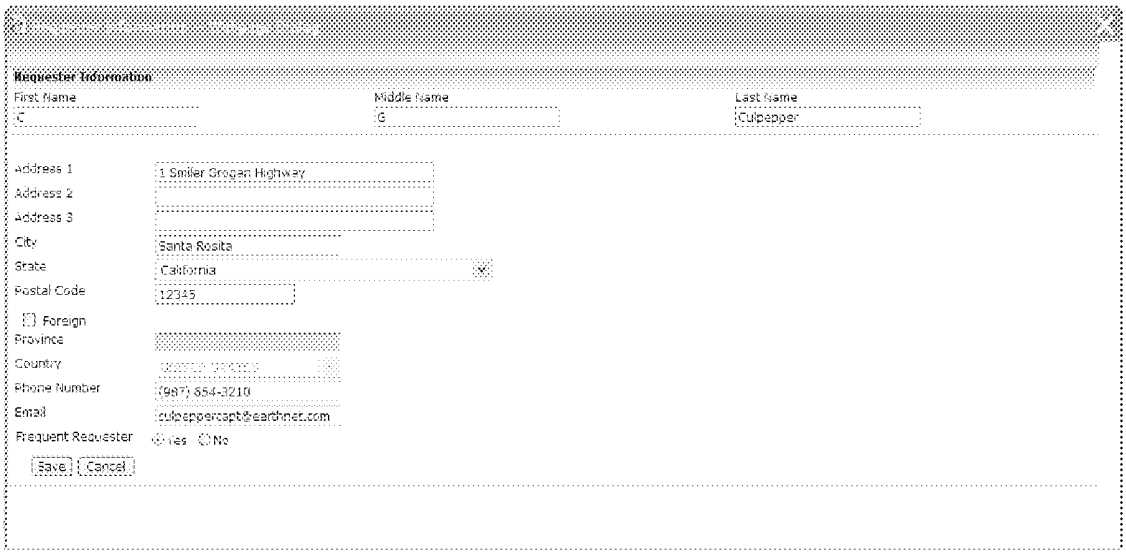
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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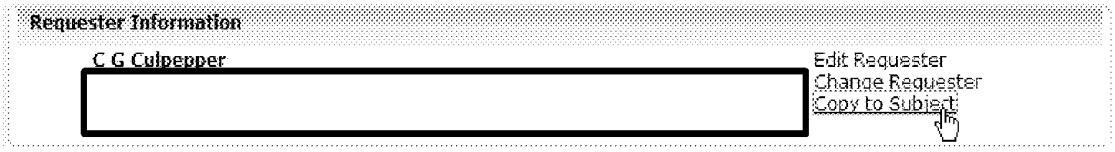
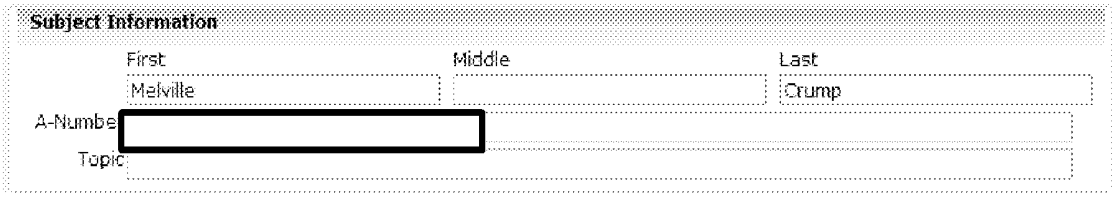
(b)(6)



Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6)



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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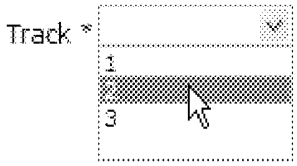
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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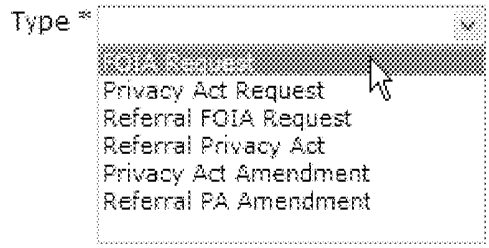
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

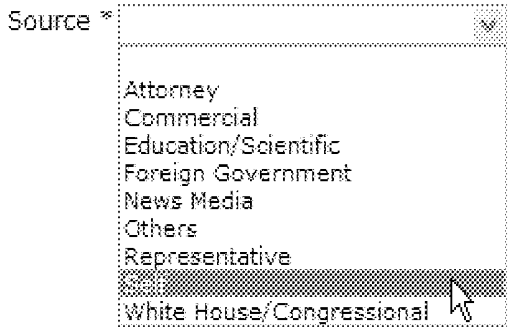
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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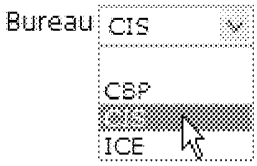
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



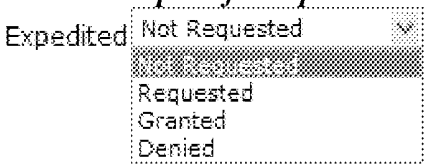
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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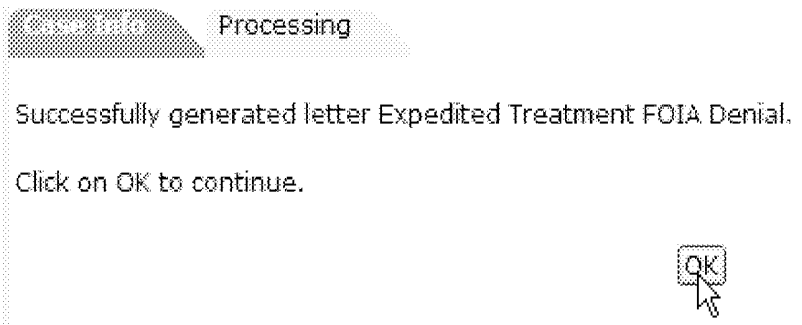
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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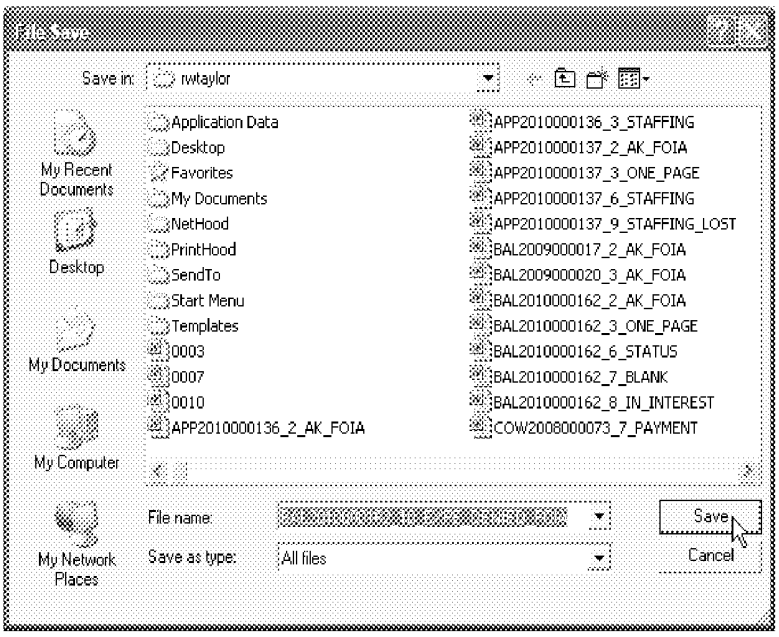

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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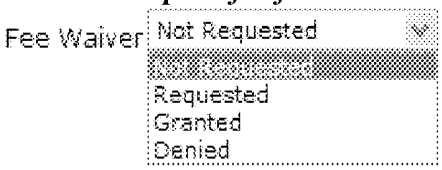
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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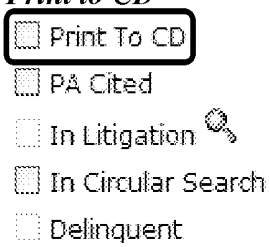
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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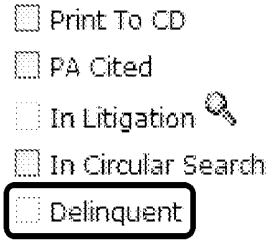
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

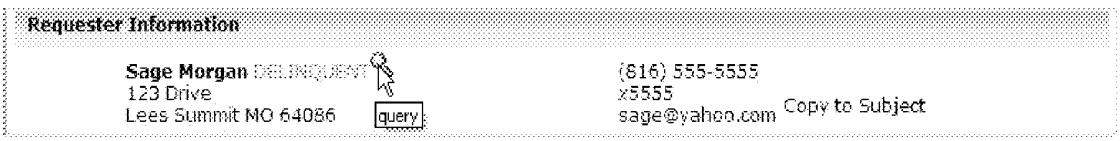
6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



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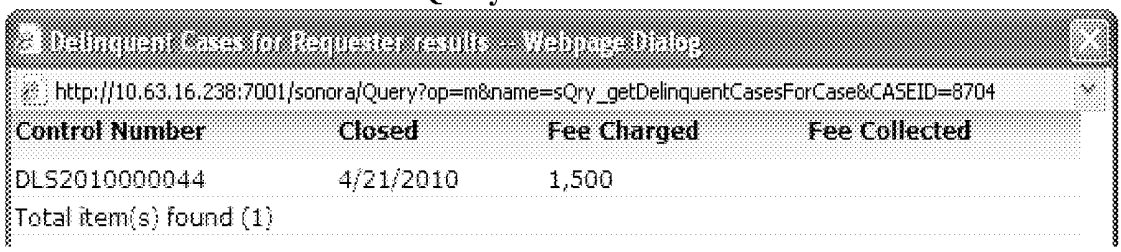
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

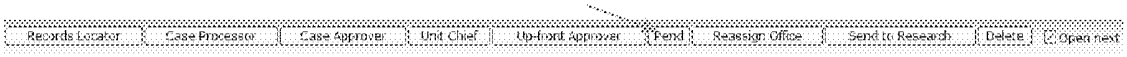
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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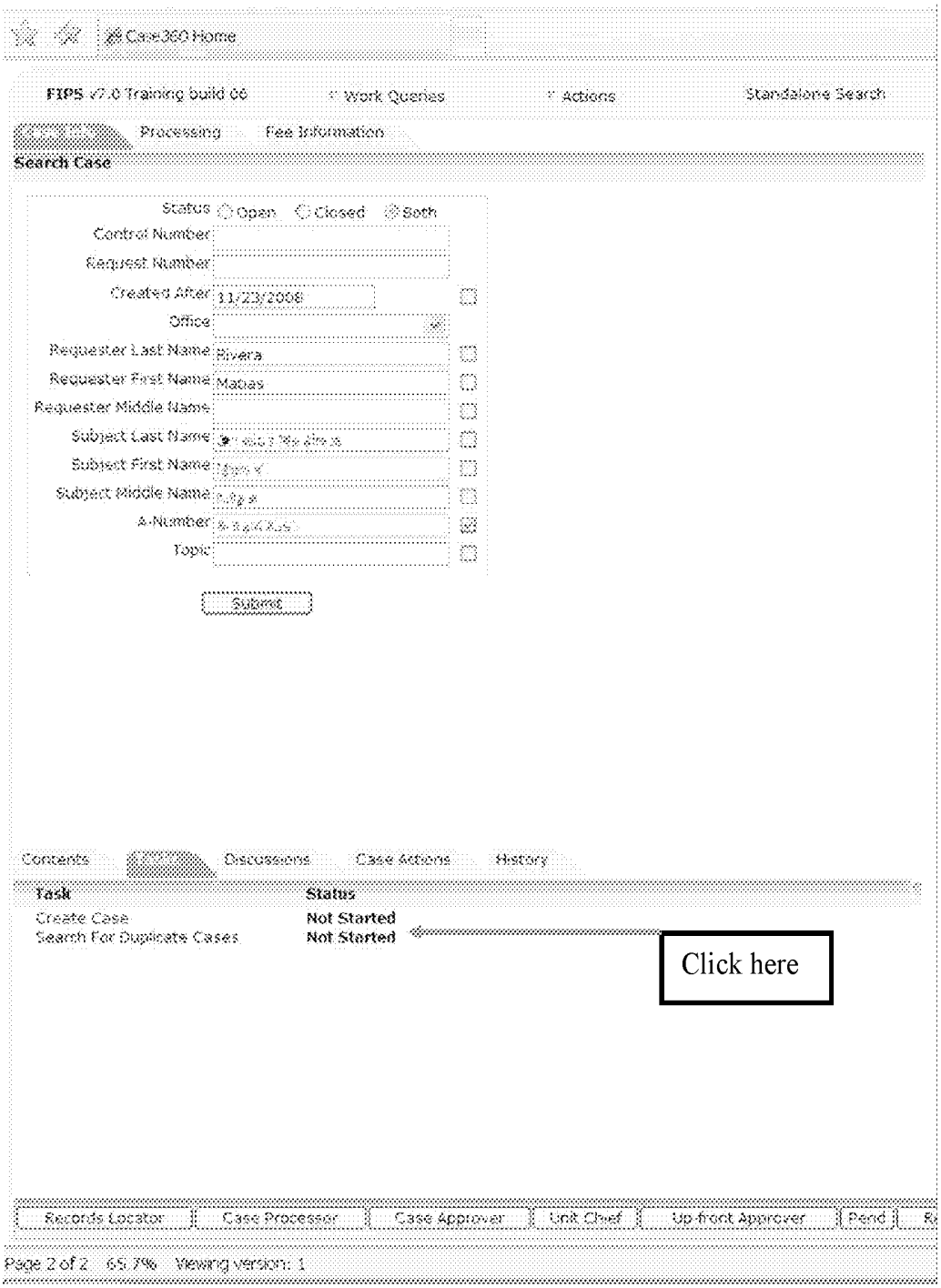

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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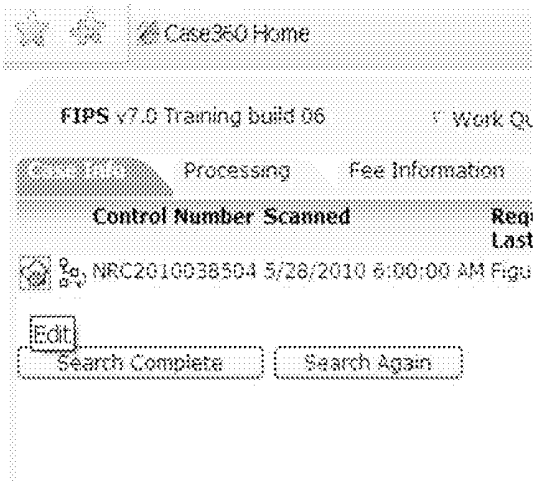
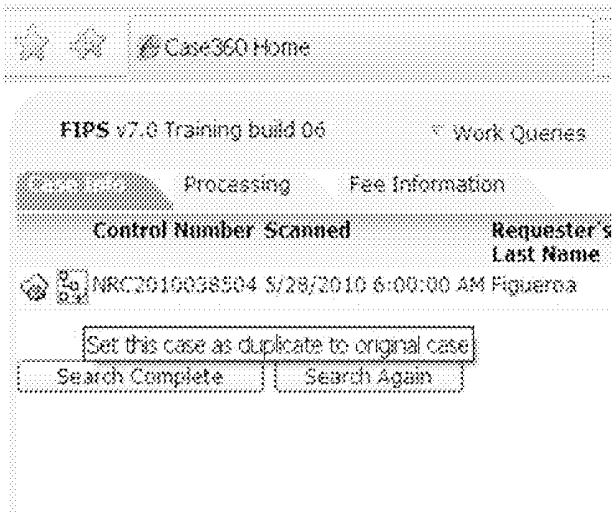


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

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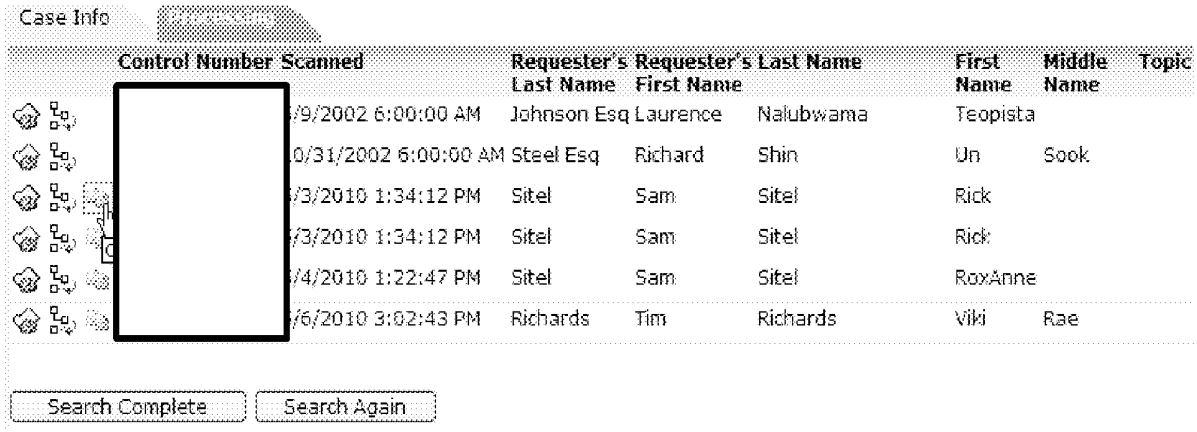
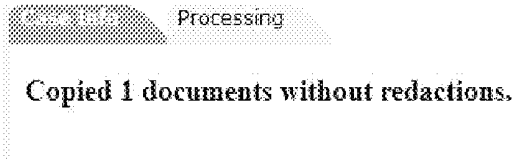
The Search Results screen lists any FIPS cases that match the selected criteria.
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

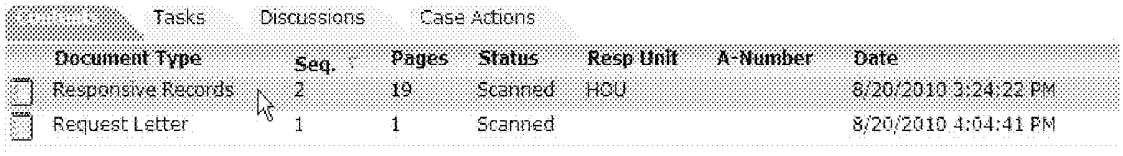
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in

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writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment (4)*. Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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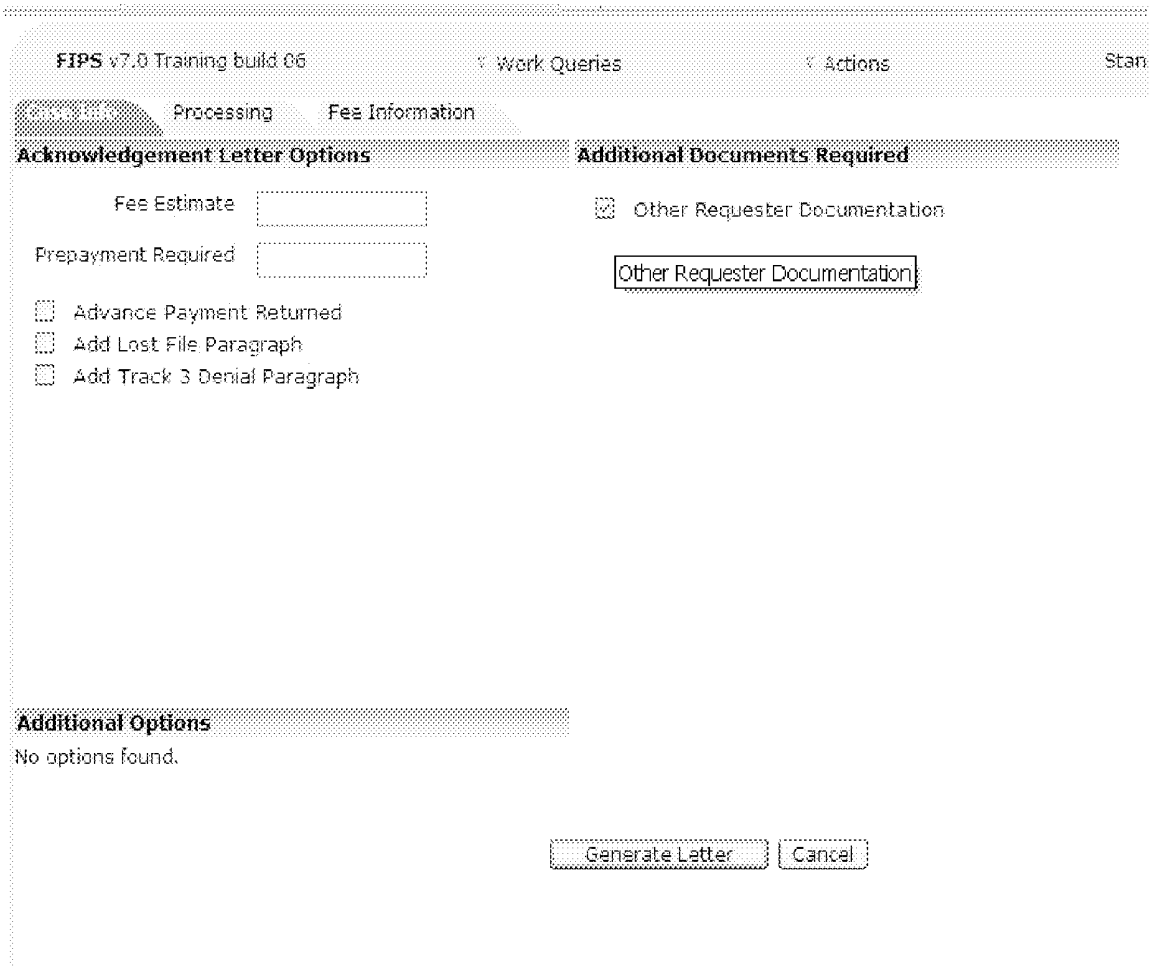
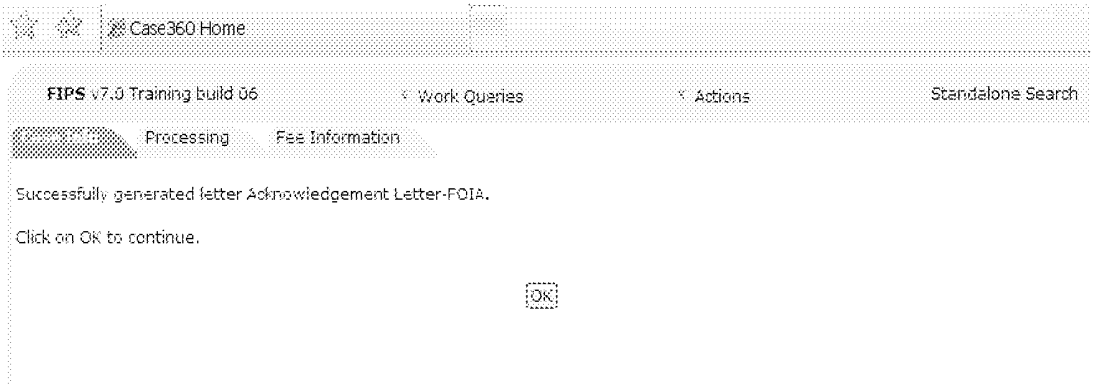


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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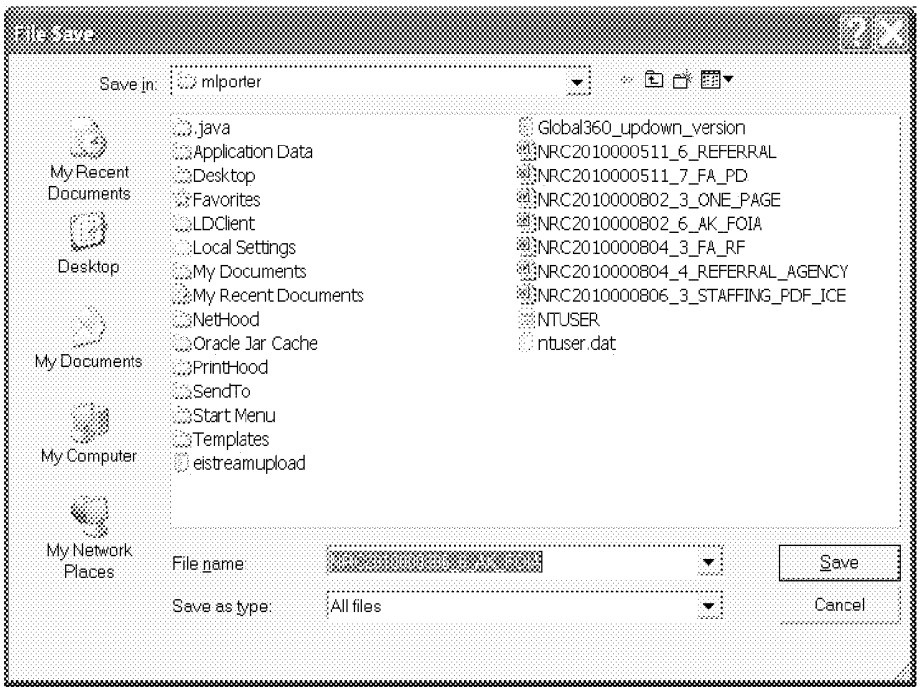

The acknowledgment letter will pop up:

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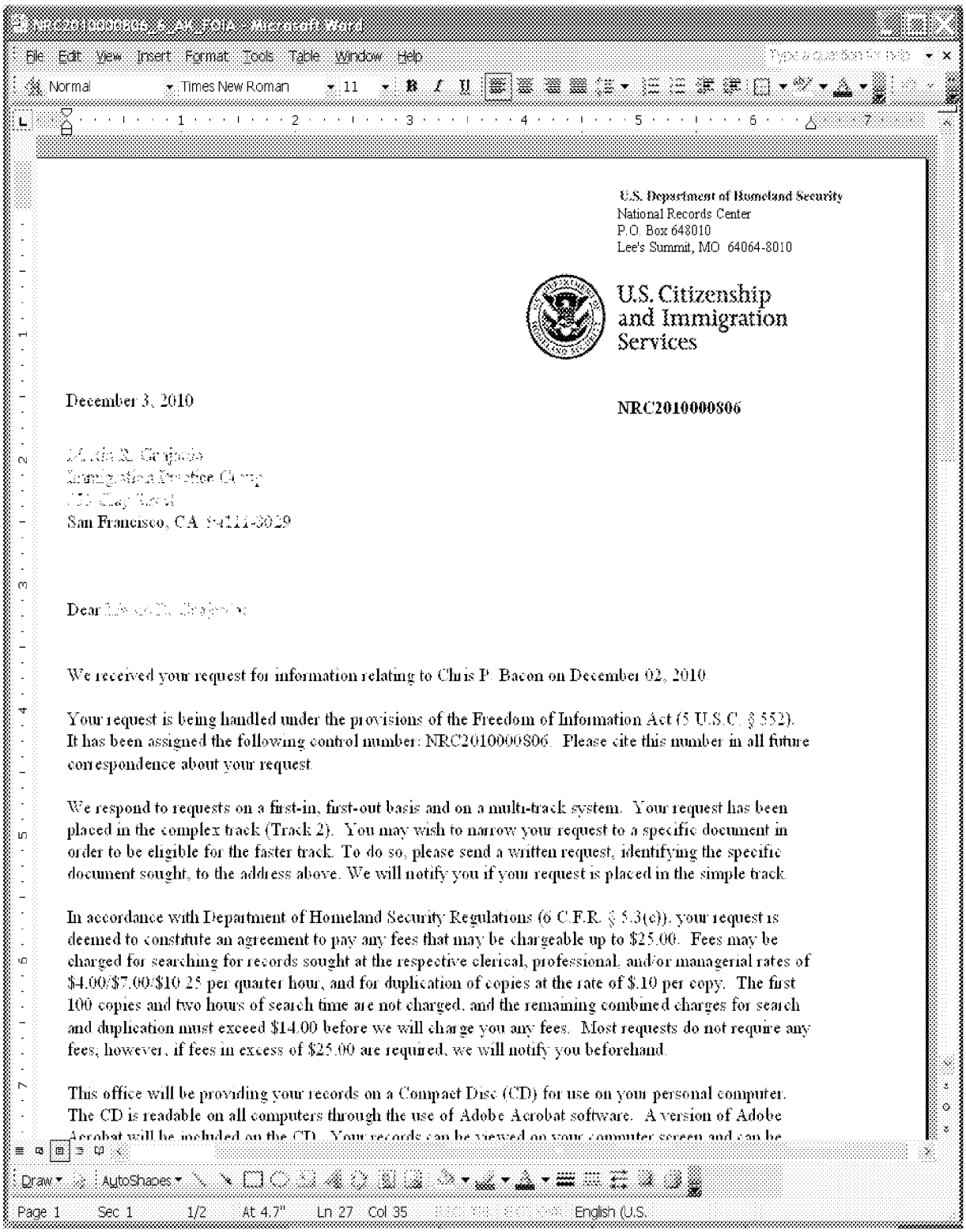

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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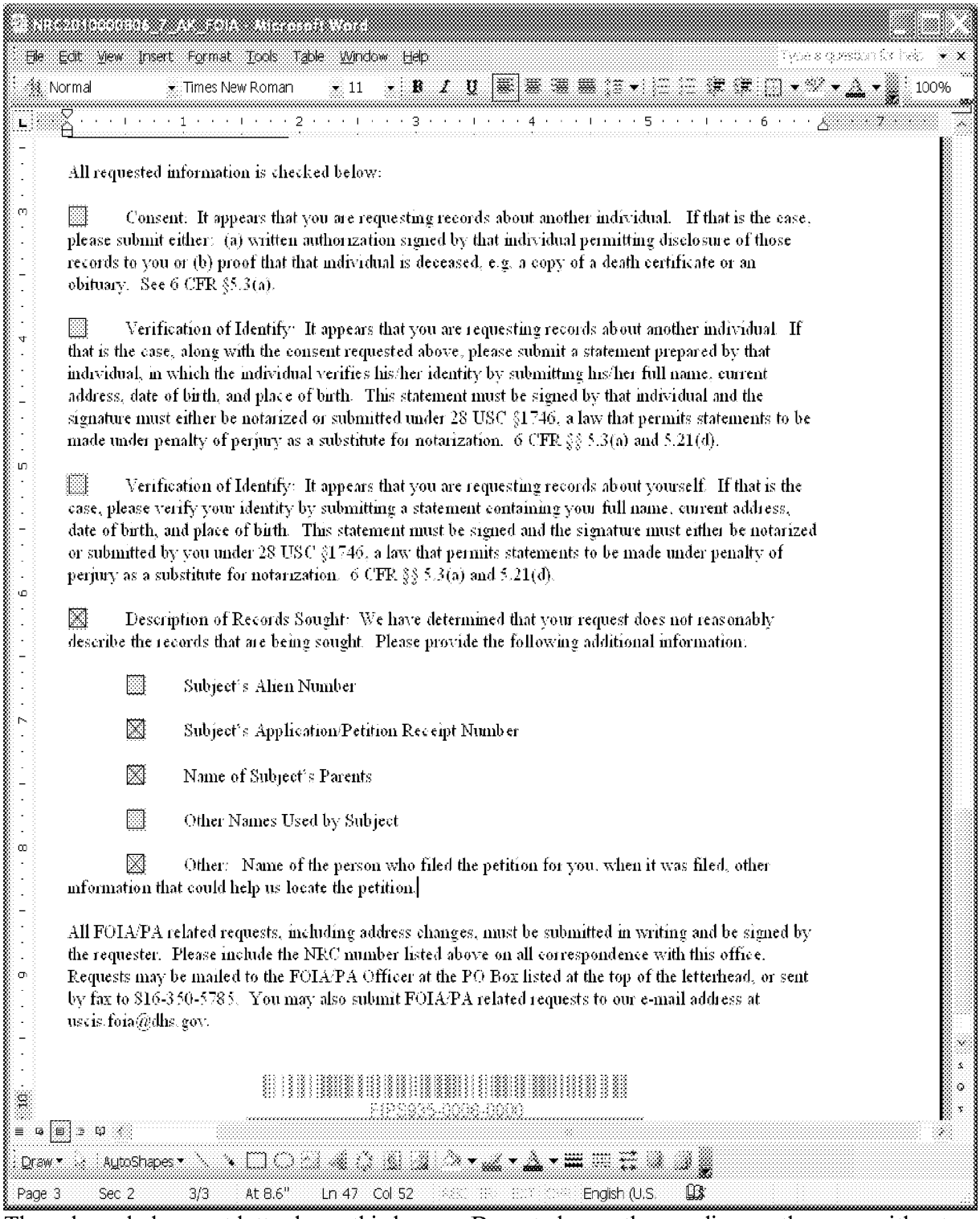

All requested information is checked below:

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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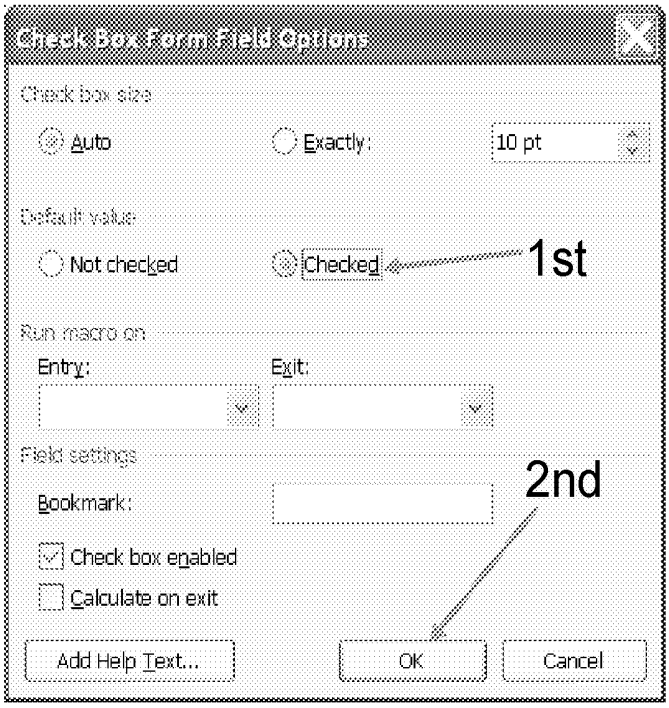
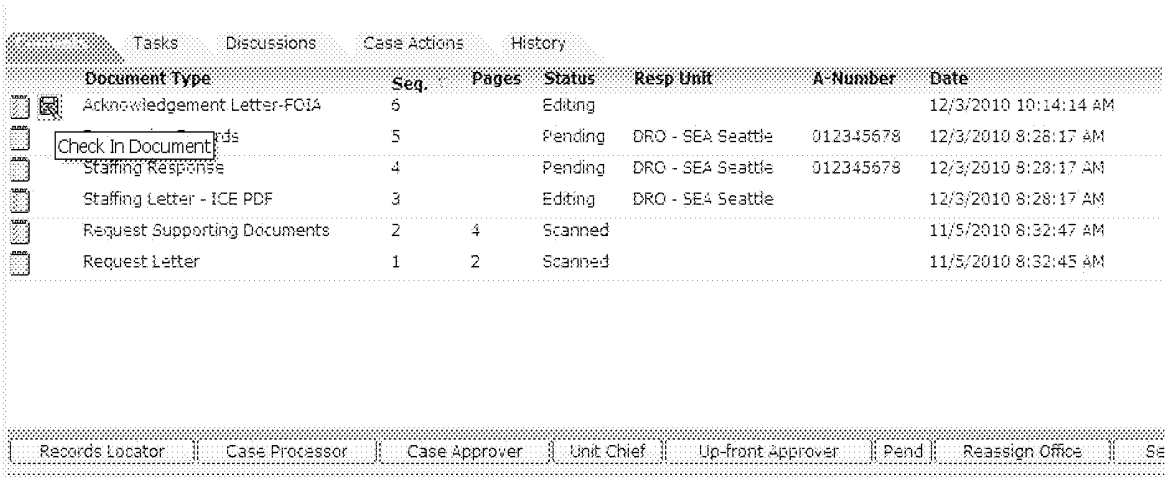


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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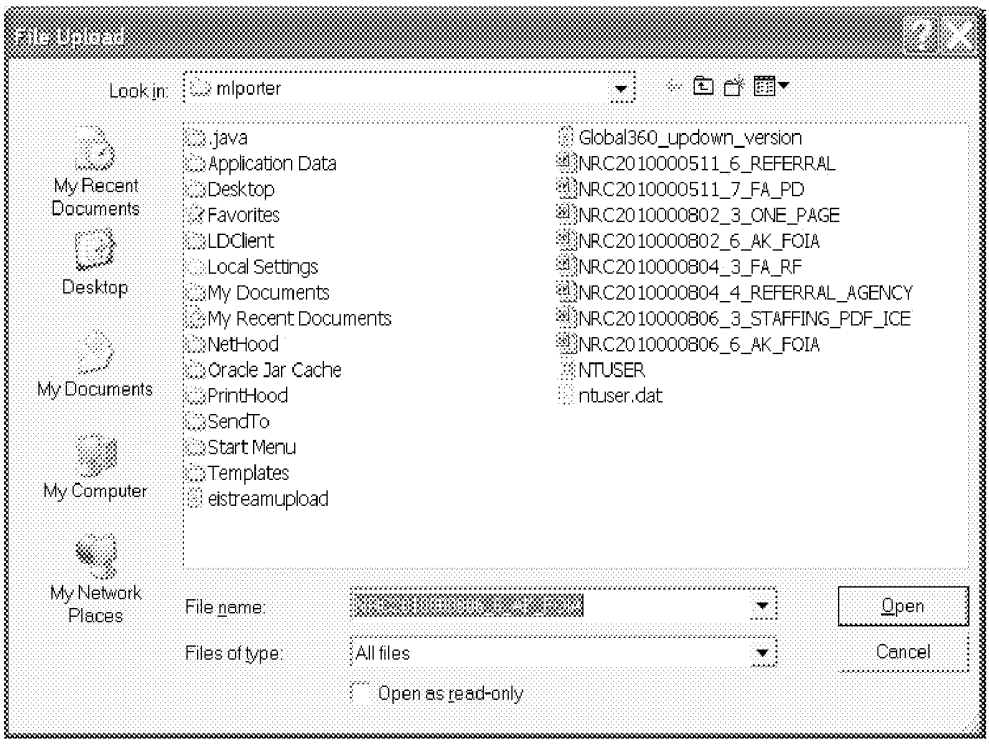
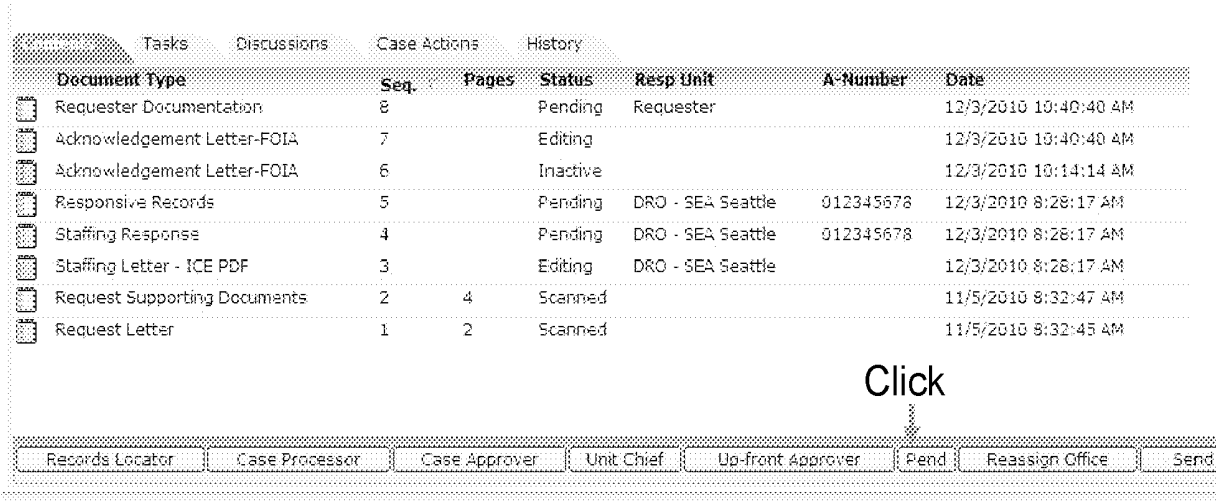


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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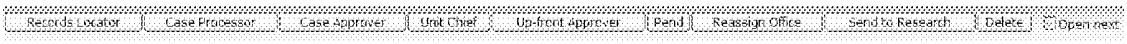
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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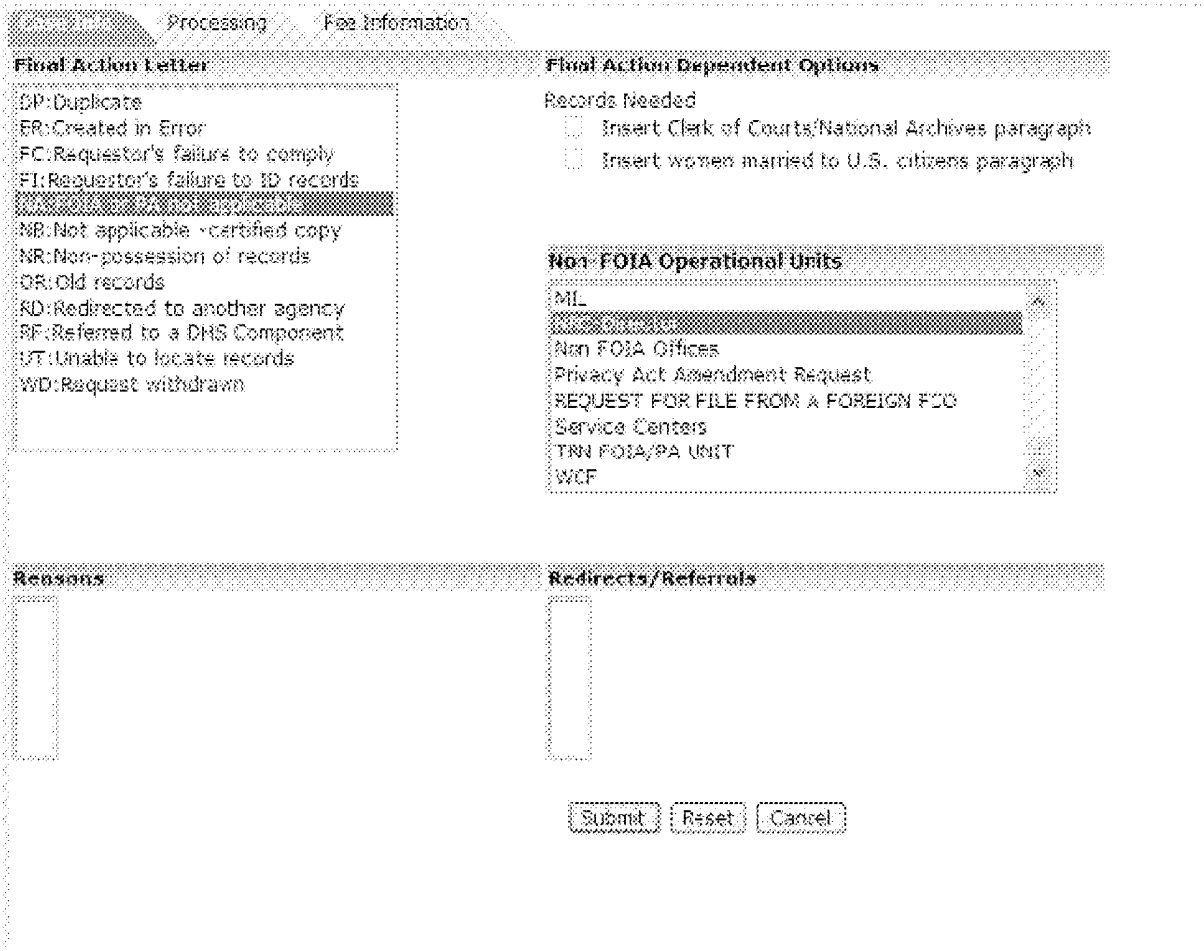

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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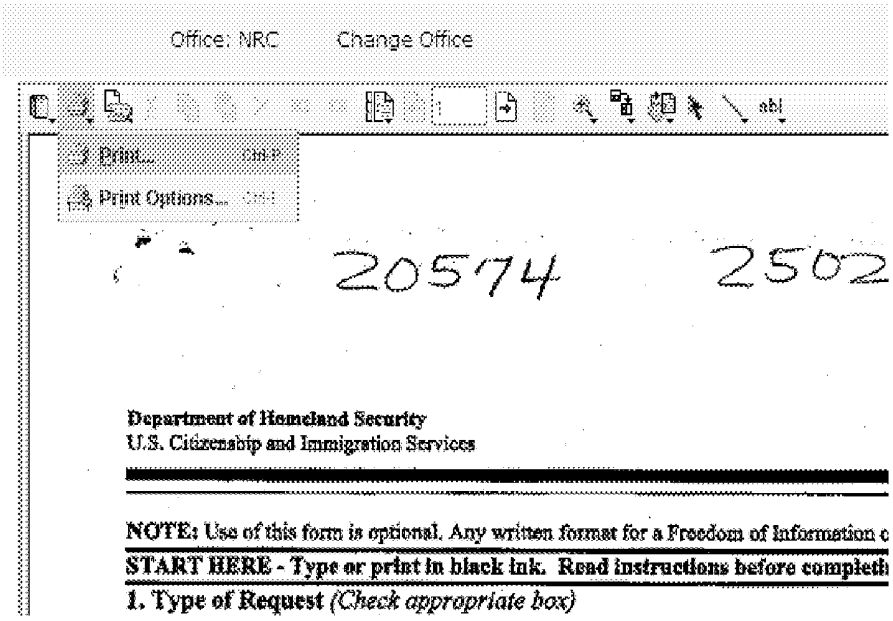
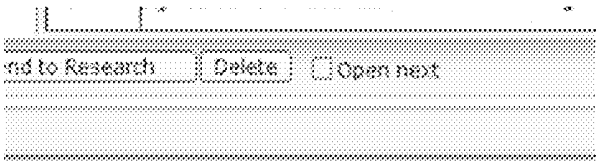


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

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9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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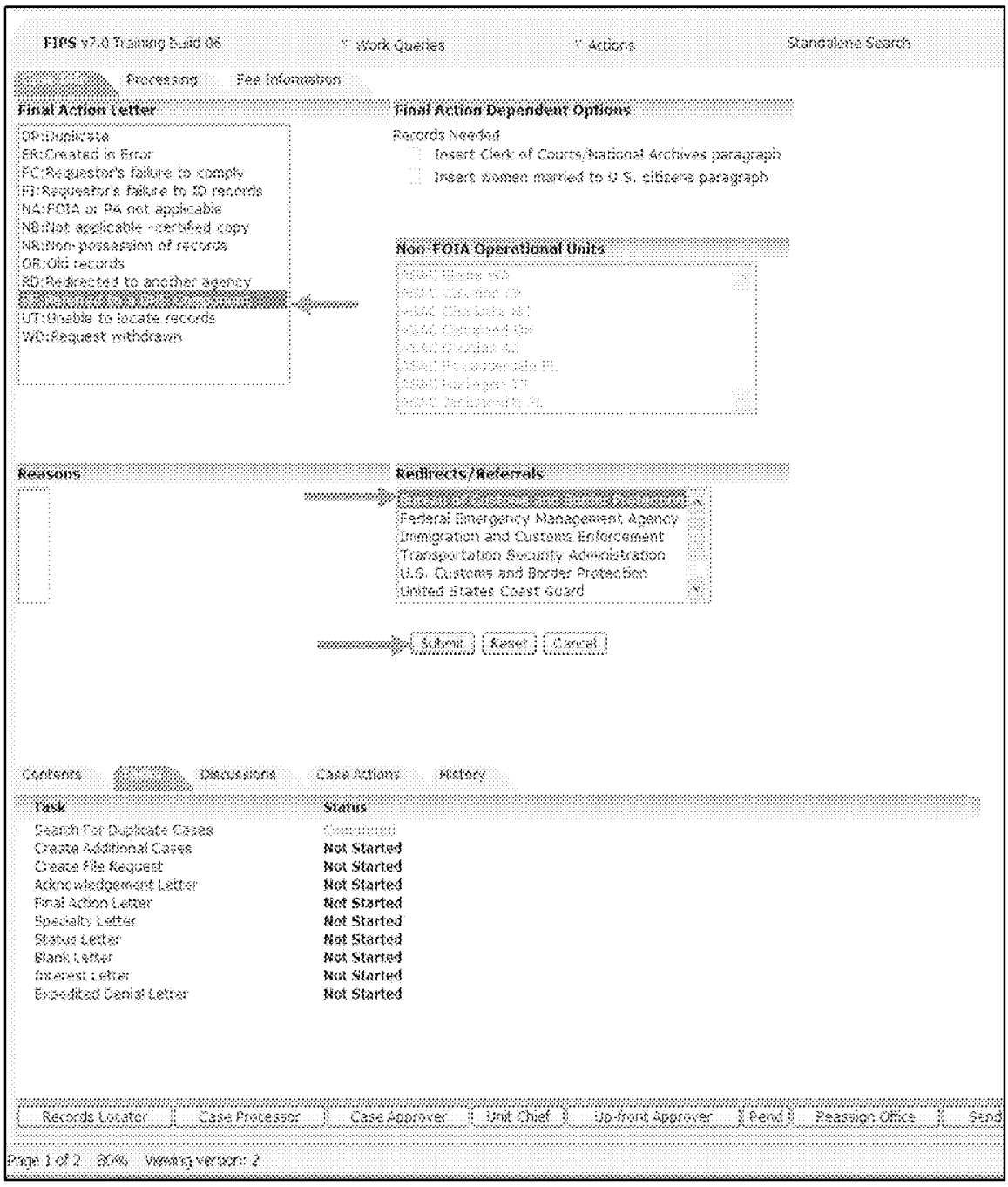

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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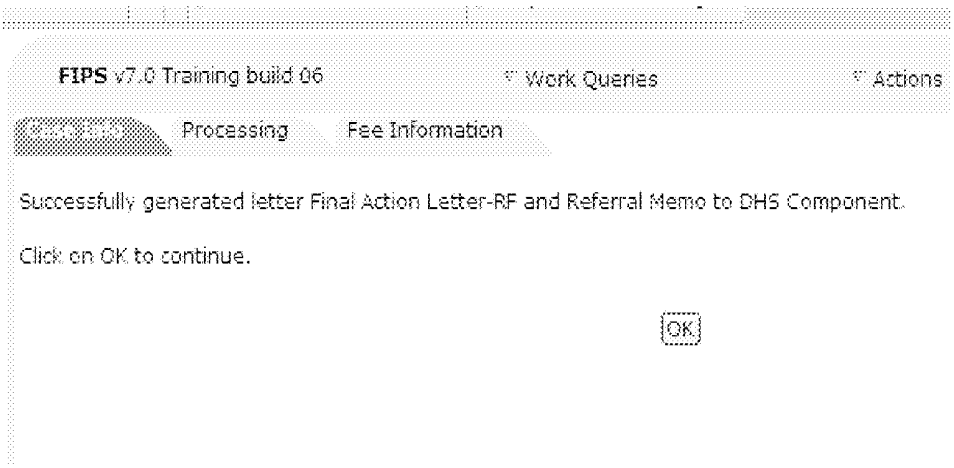
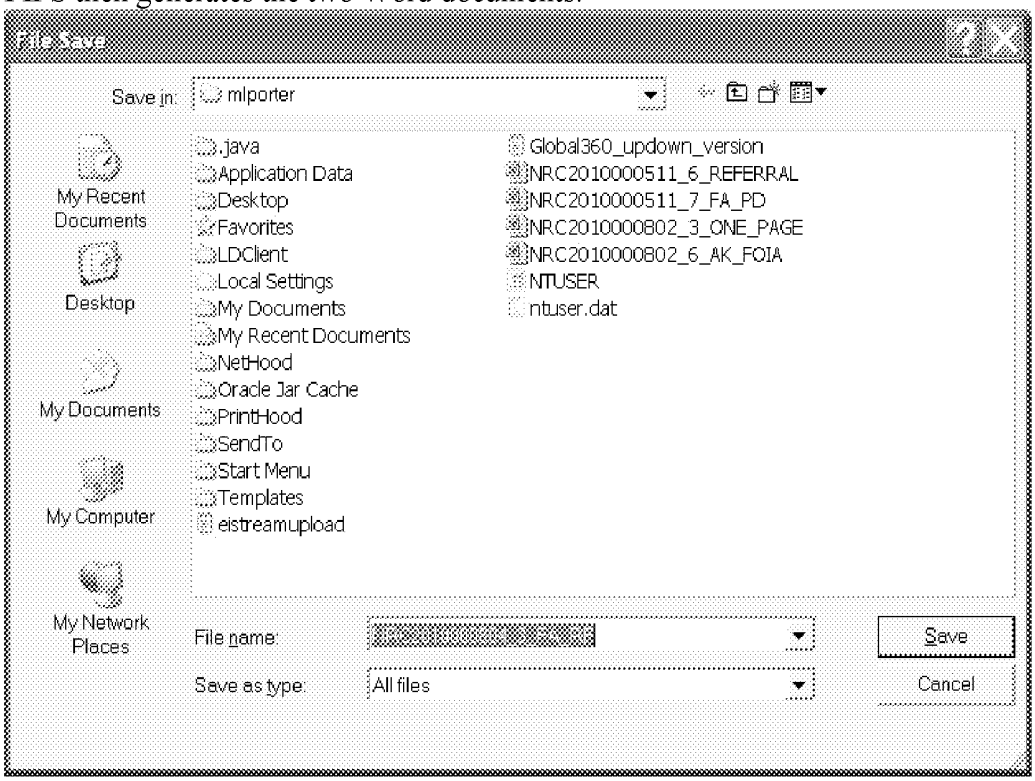


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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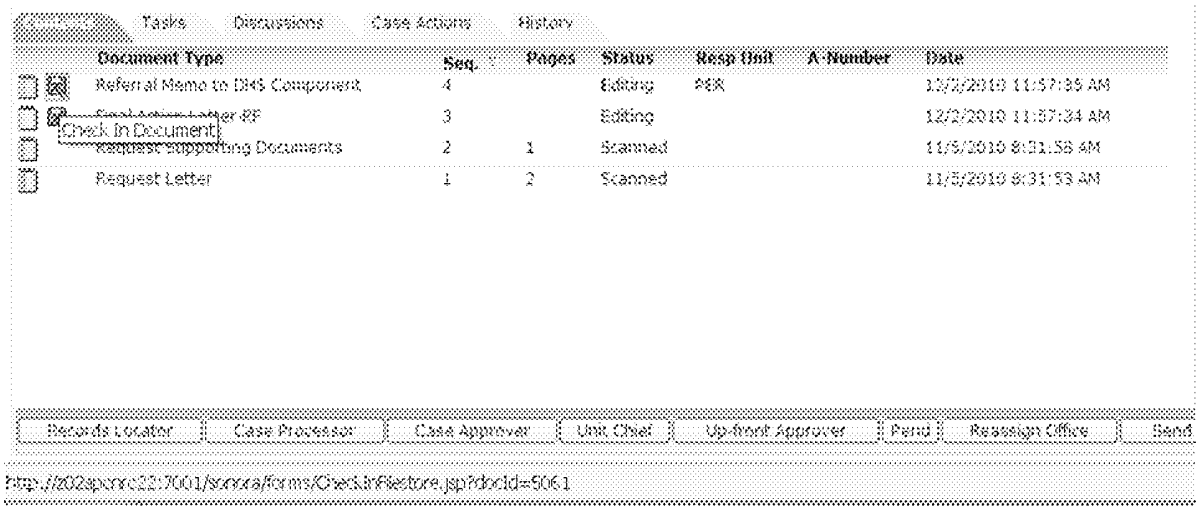
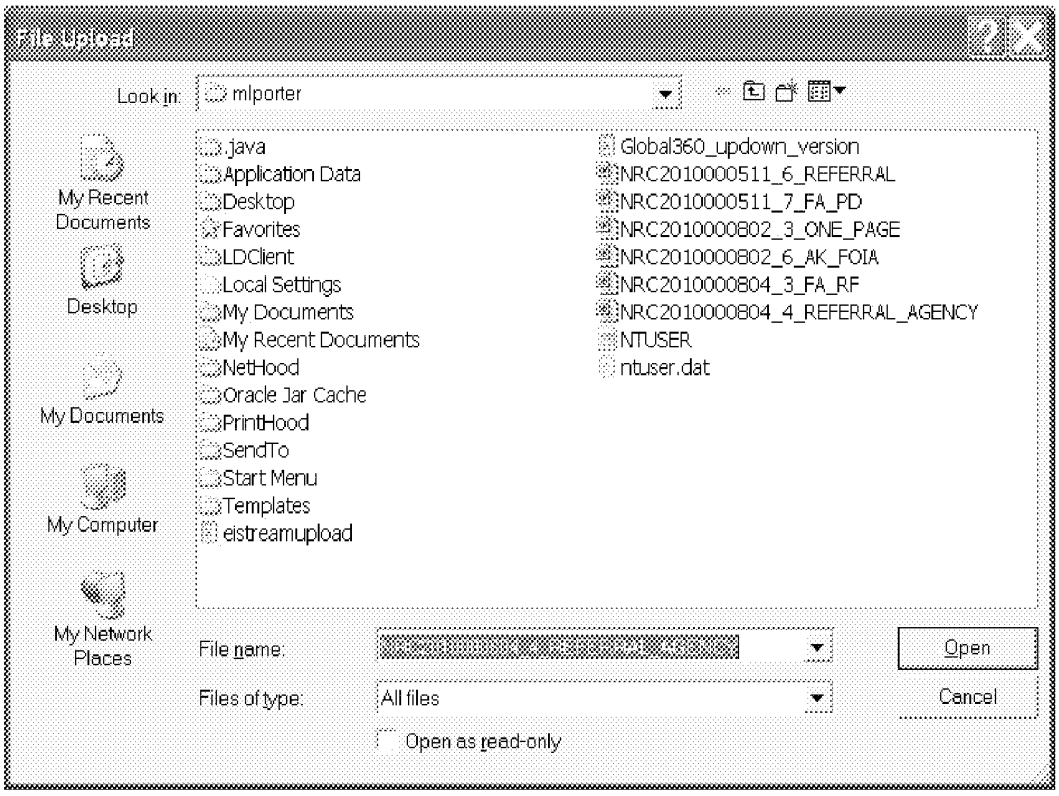


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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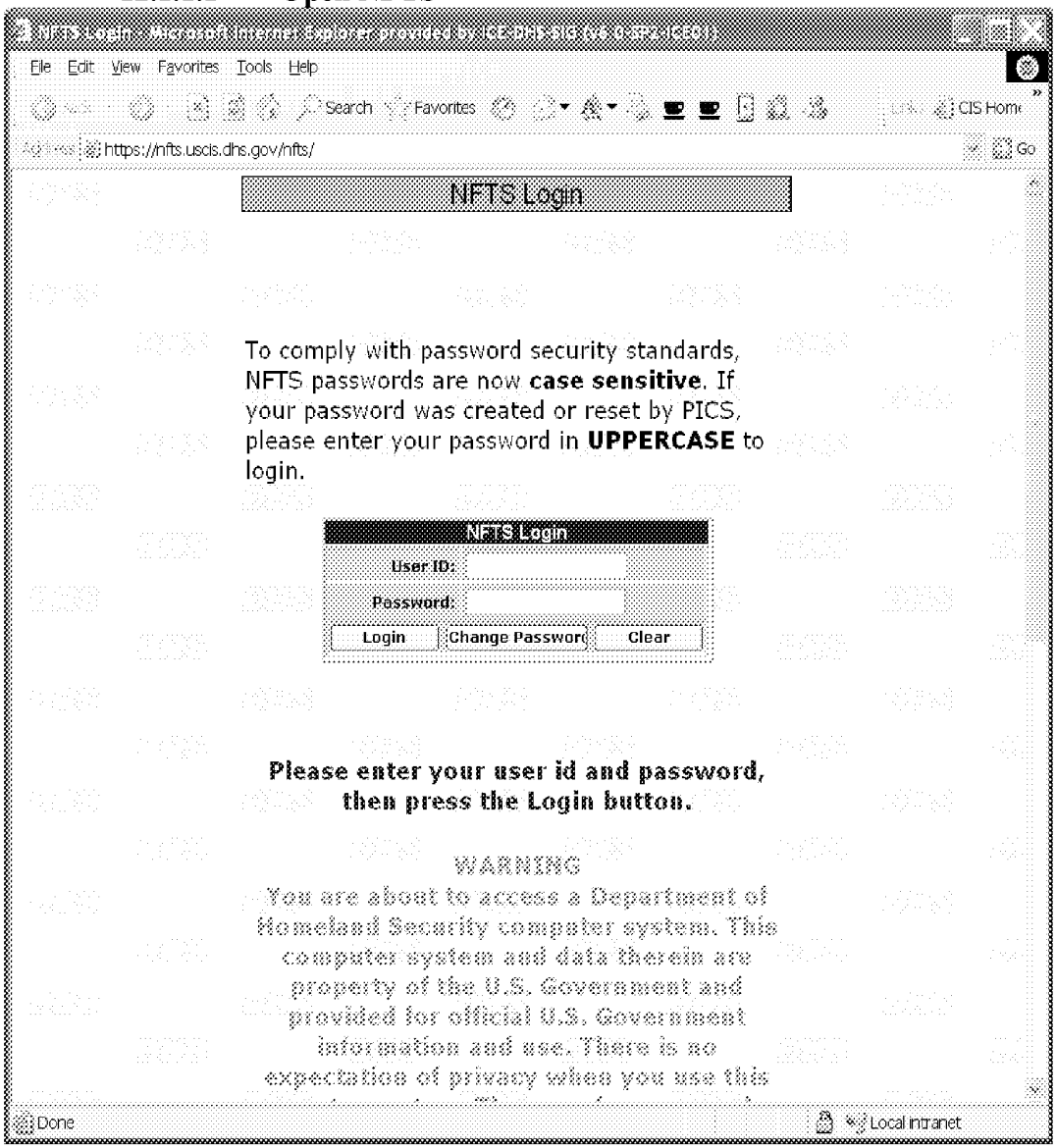
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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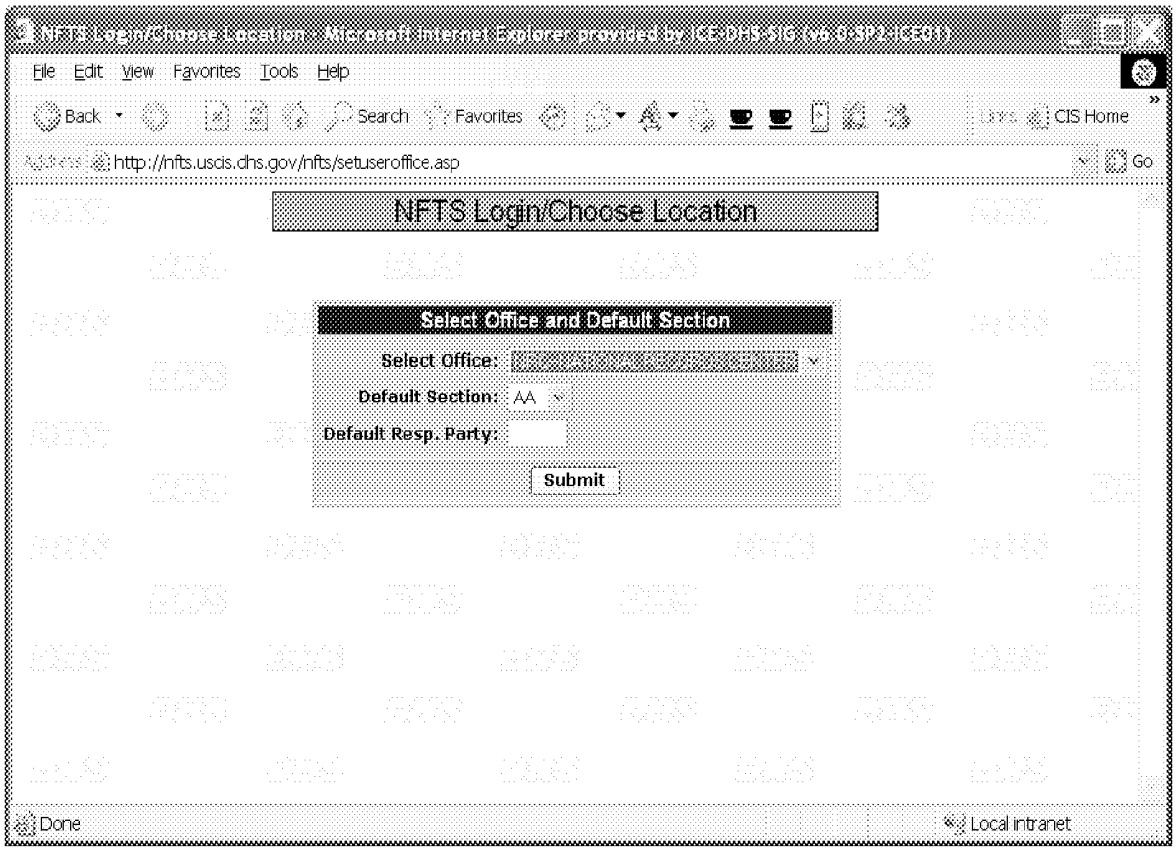
12.1.1.2 Submit your location



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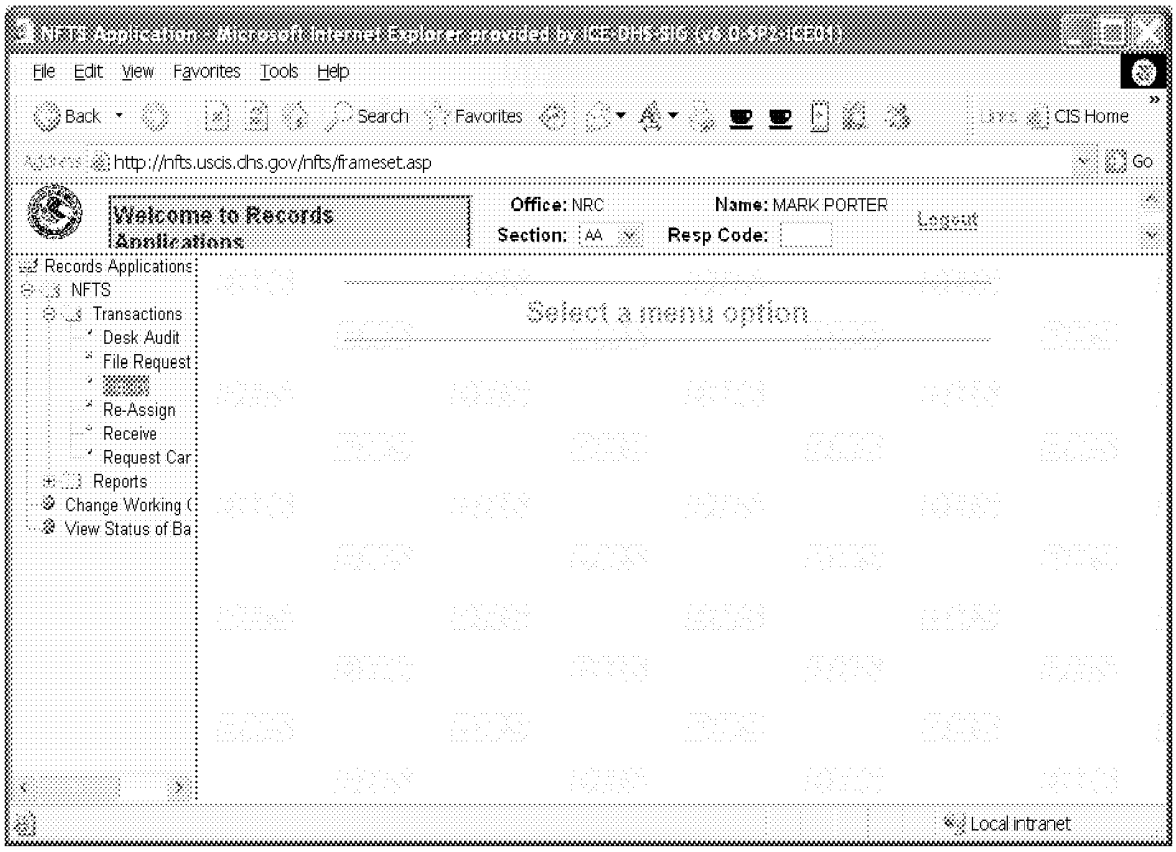
12.1.1.3 Select "Inquiry"



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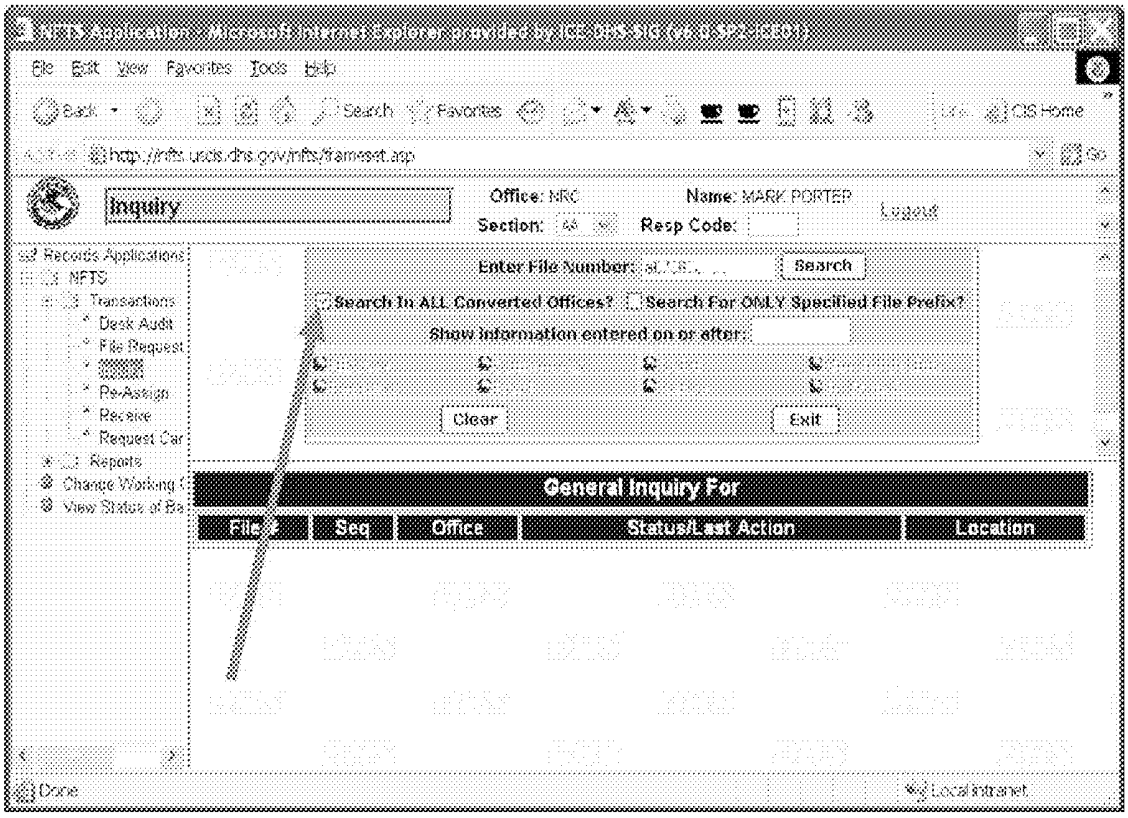
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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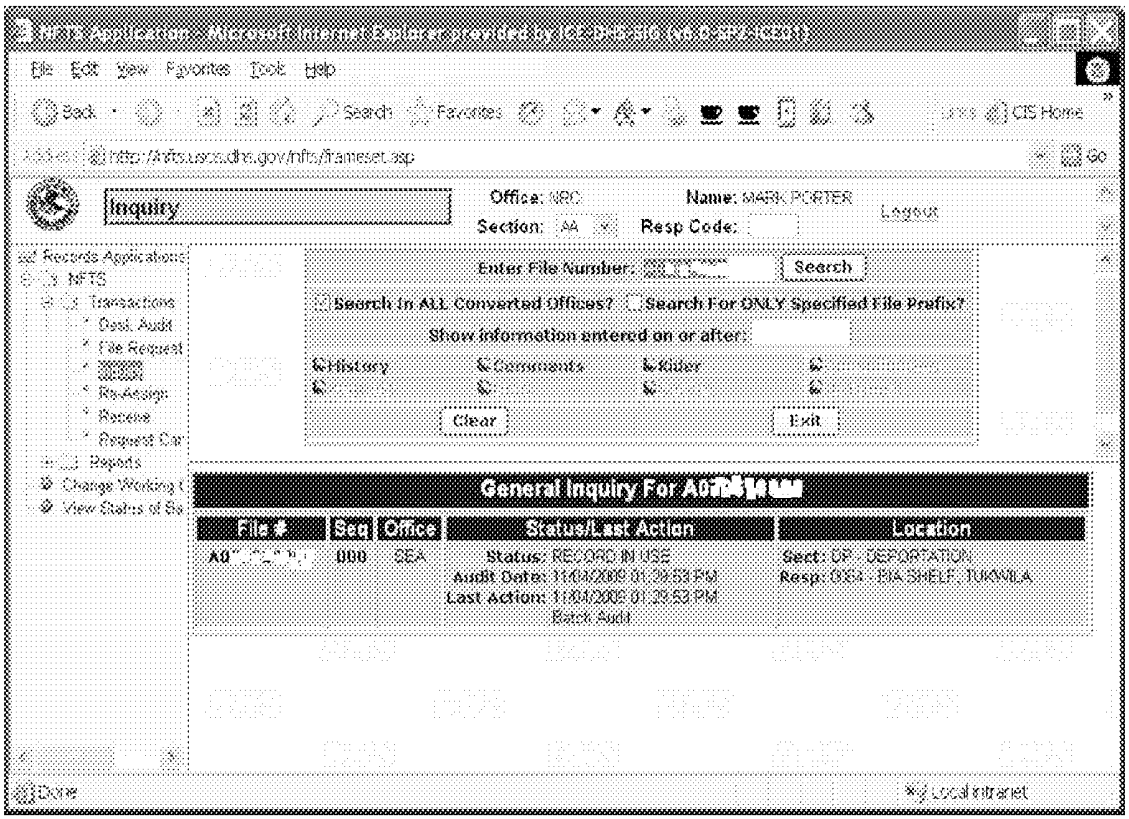
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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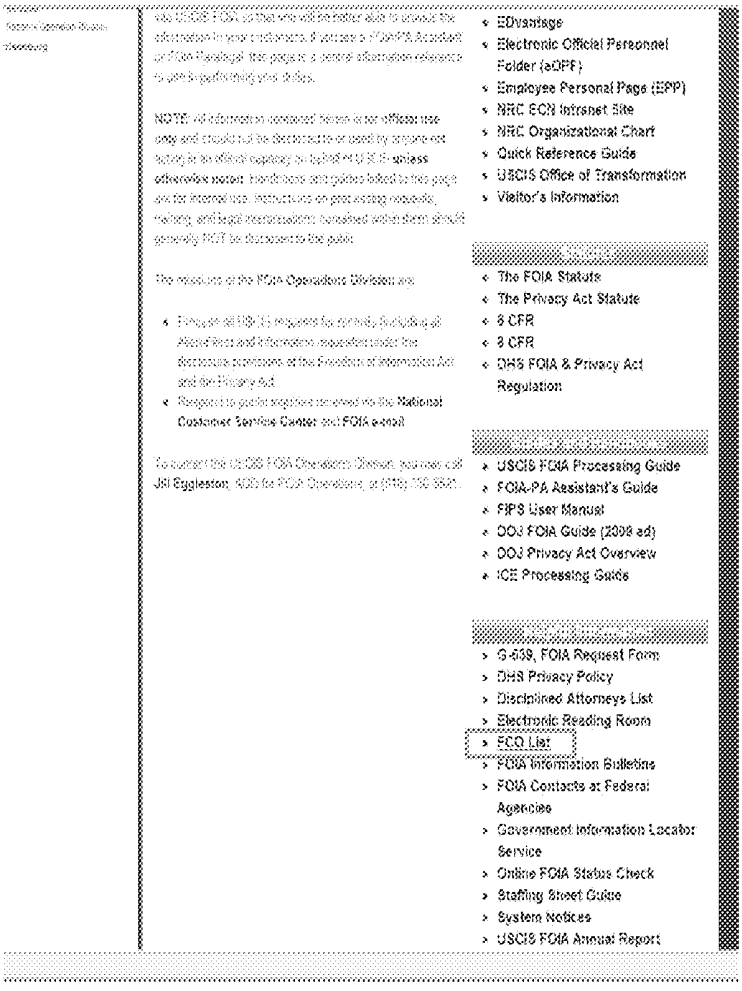
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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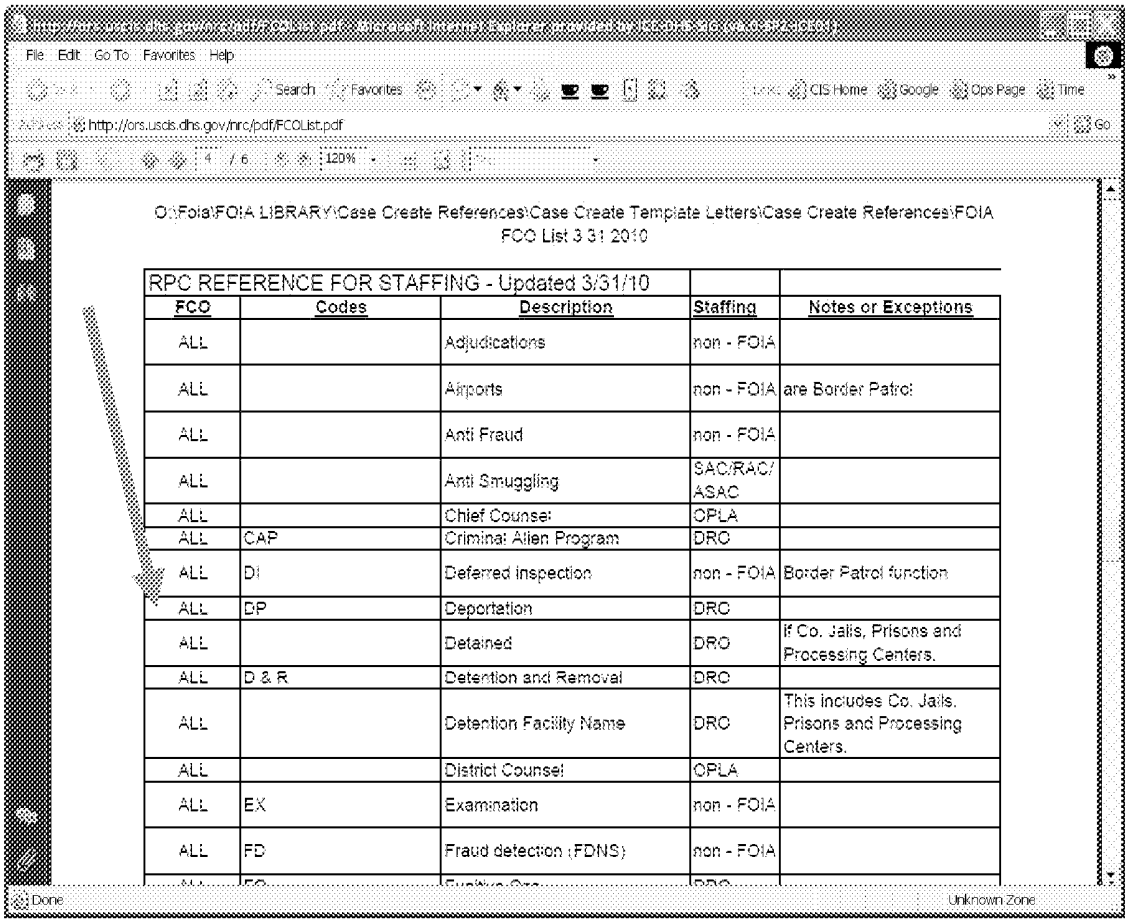
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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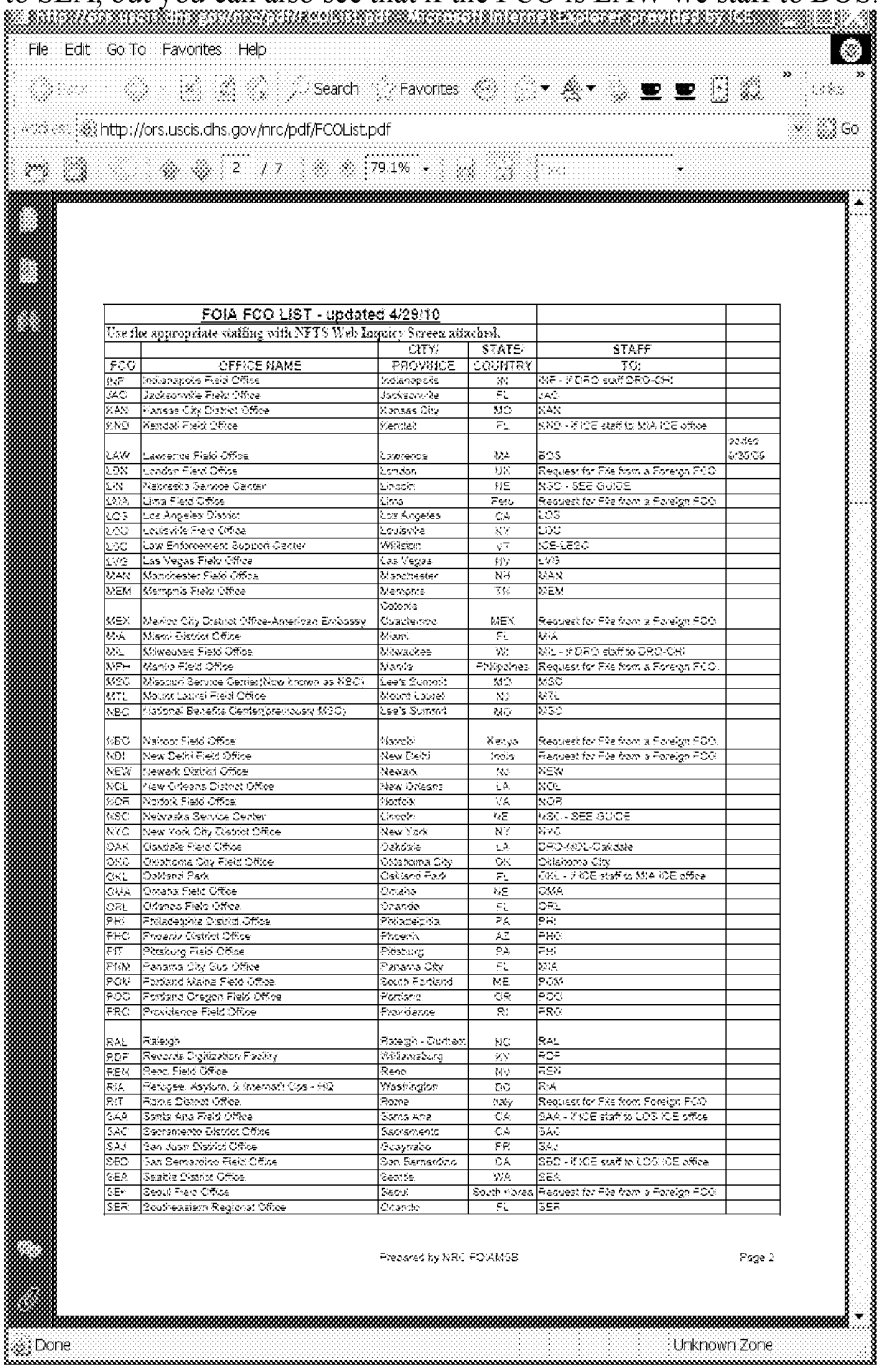
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKL	Milwaukee Field Office	Milwaukee	WI	MKL - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOA/MSB Page 2

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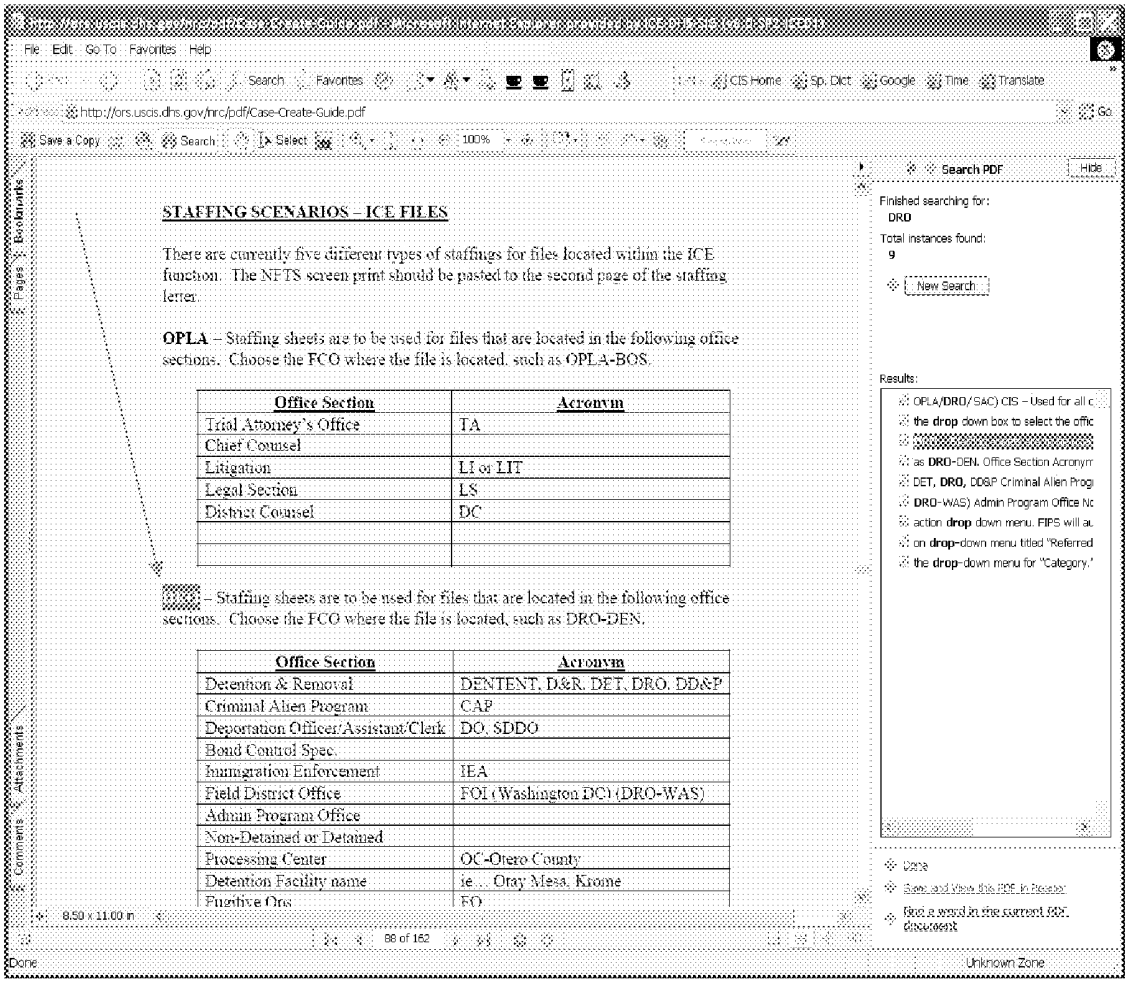
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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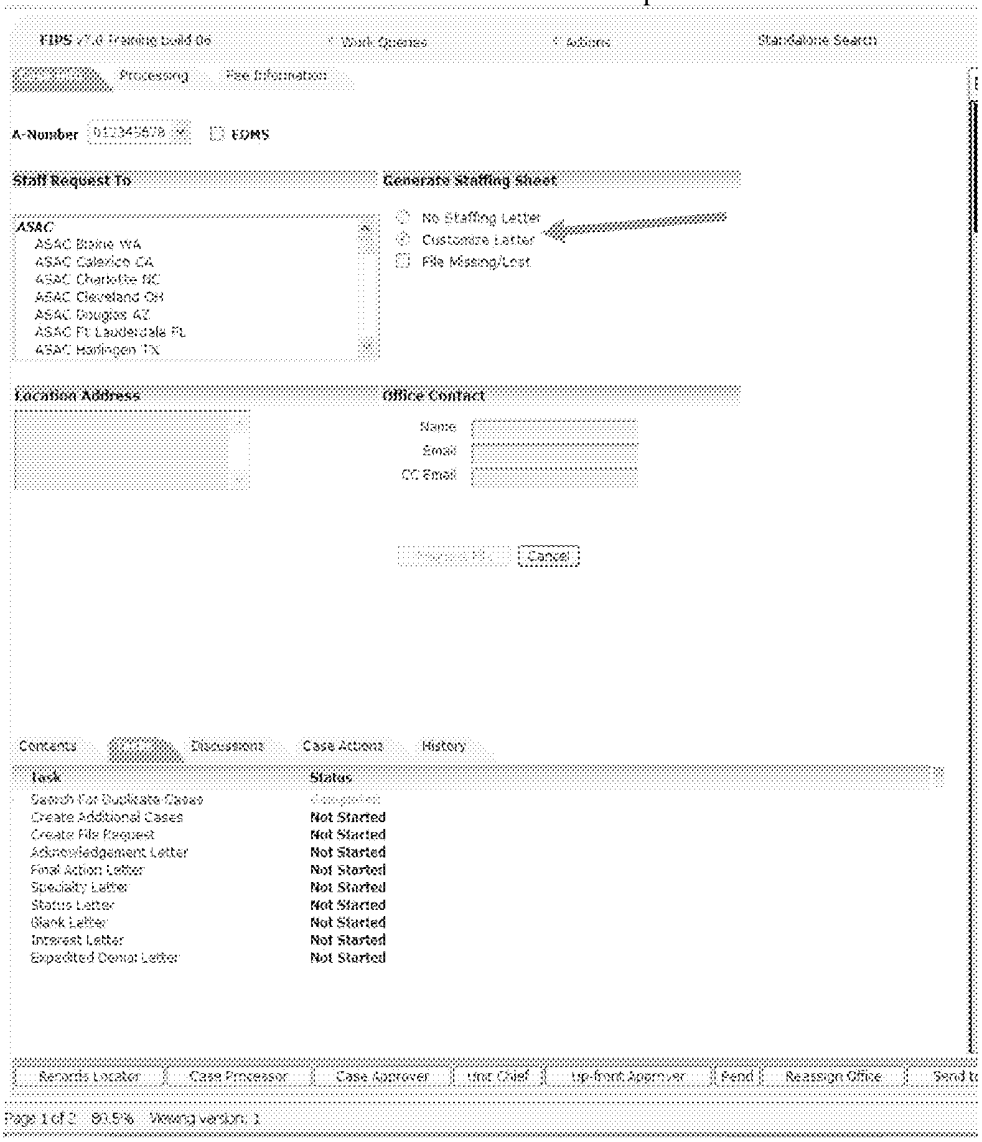
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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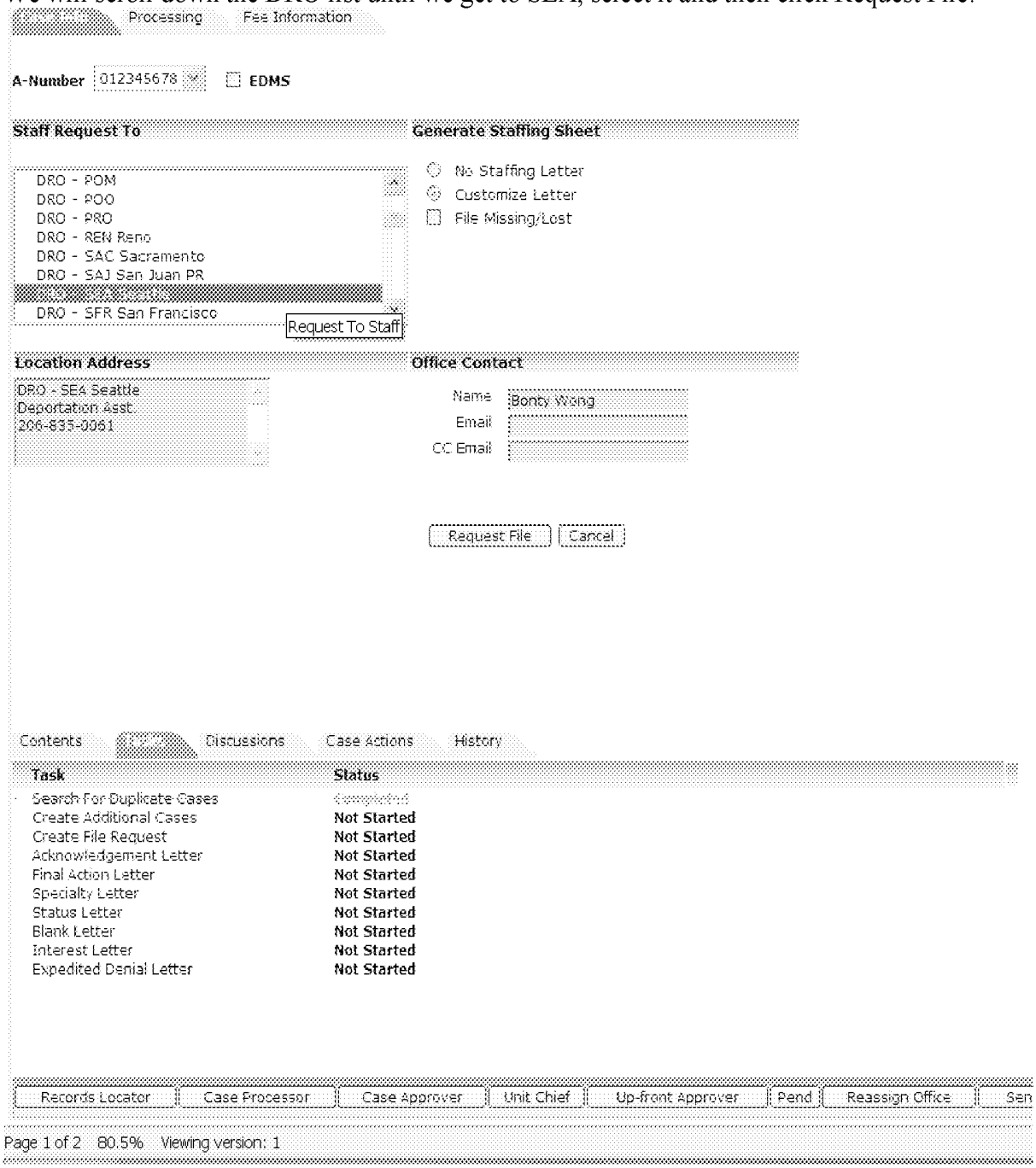
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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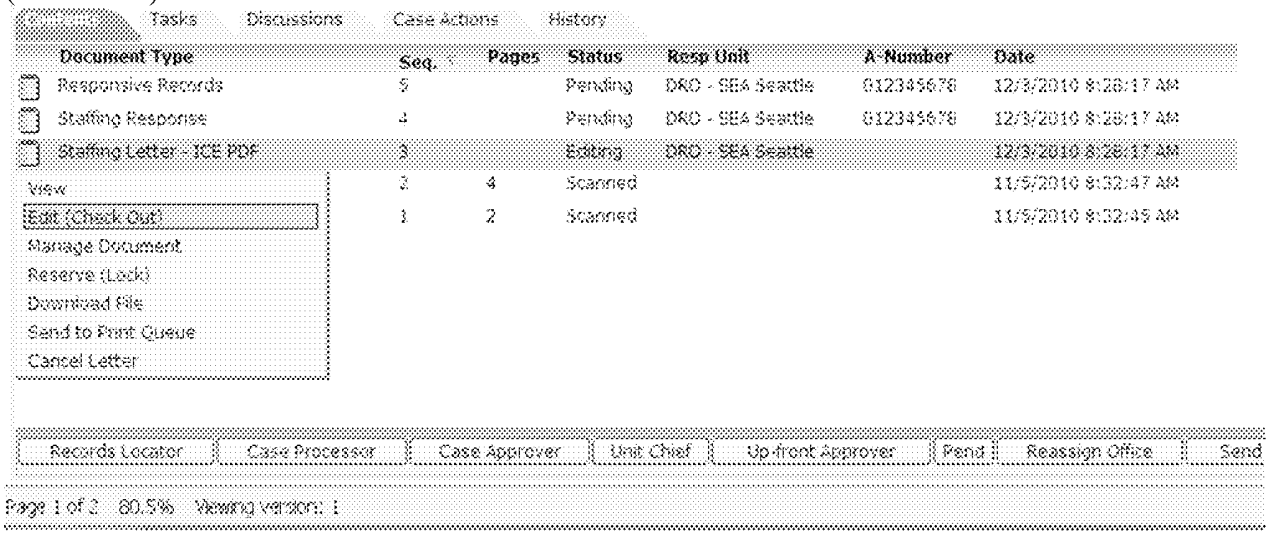
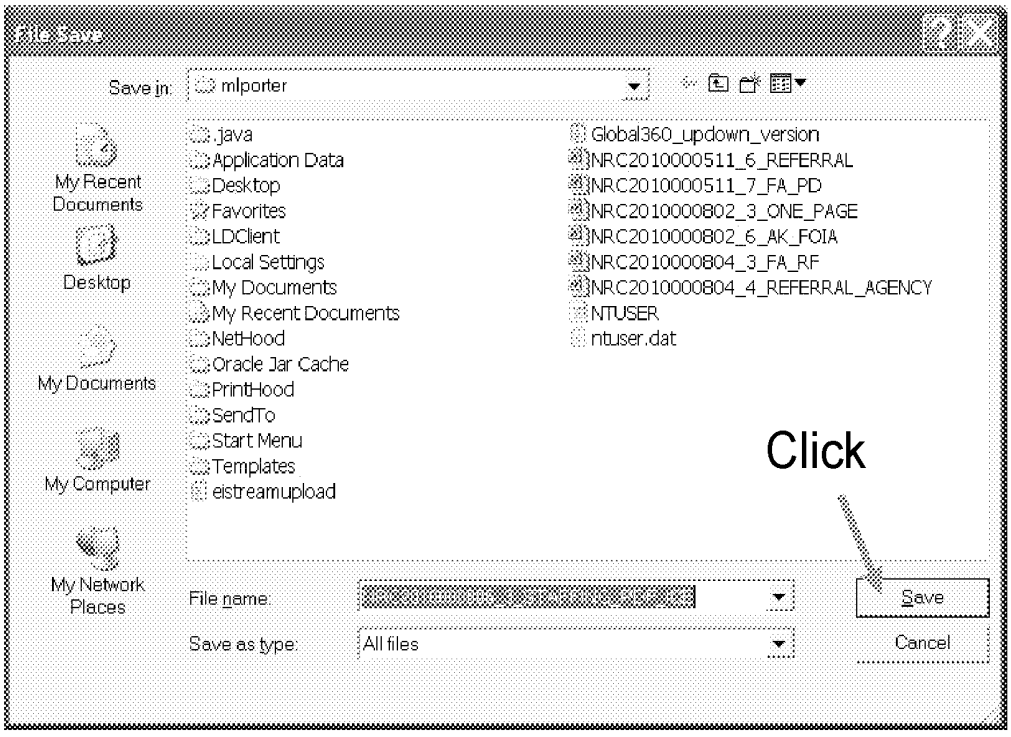
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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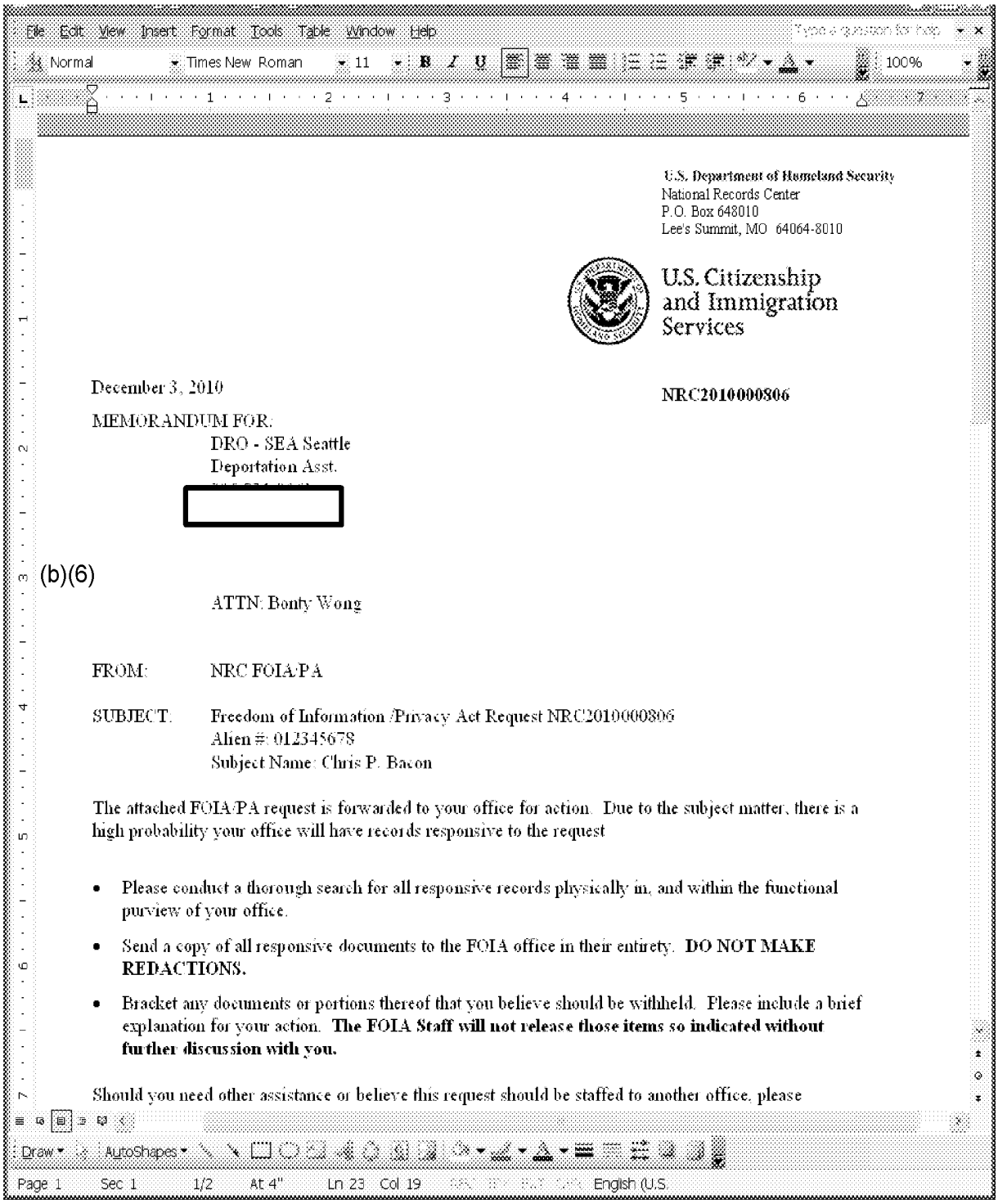
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.
[redacted]

(b)(6)

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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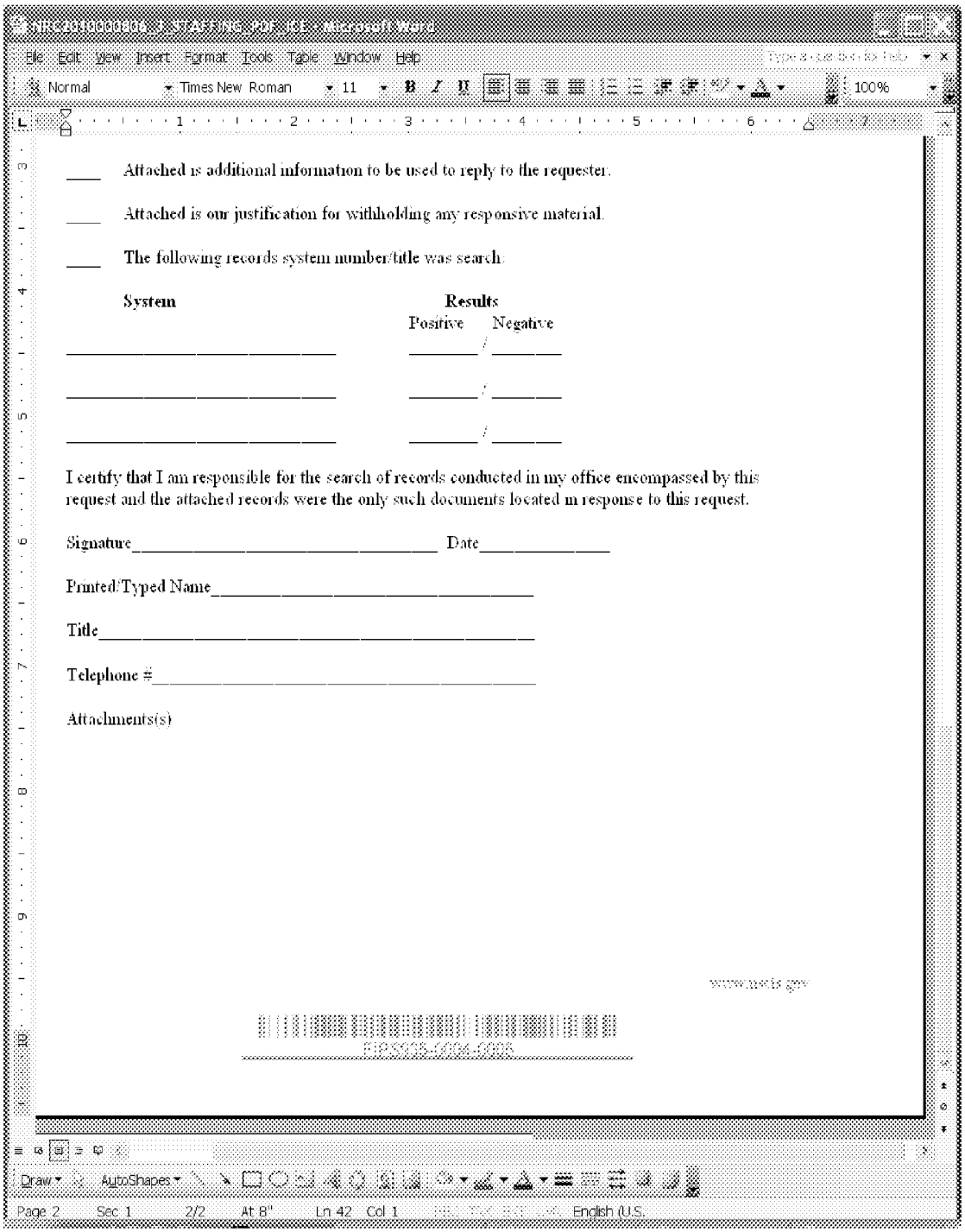
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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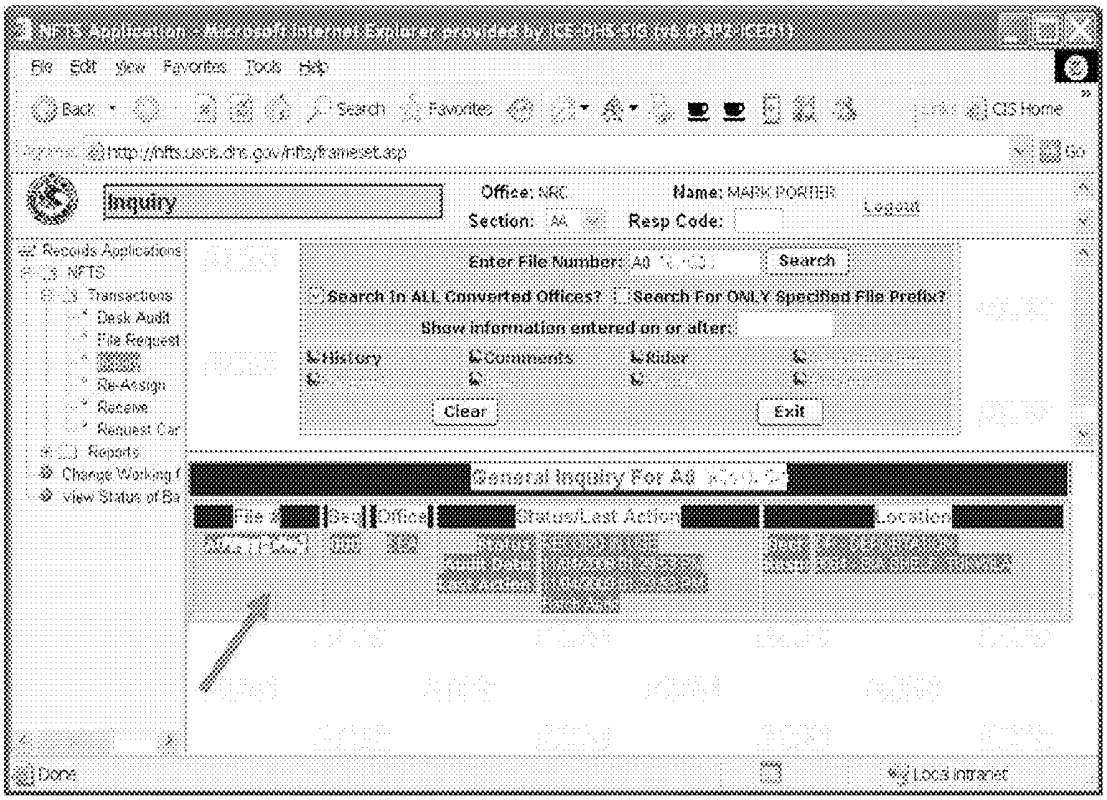
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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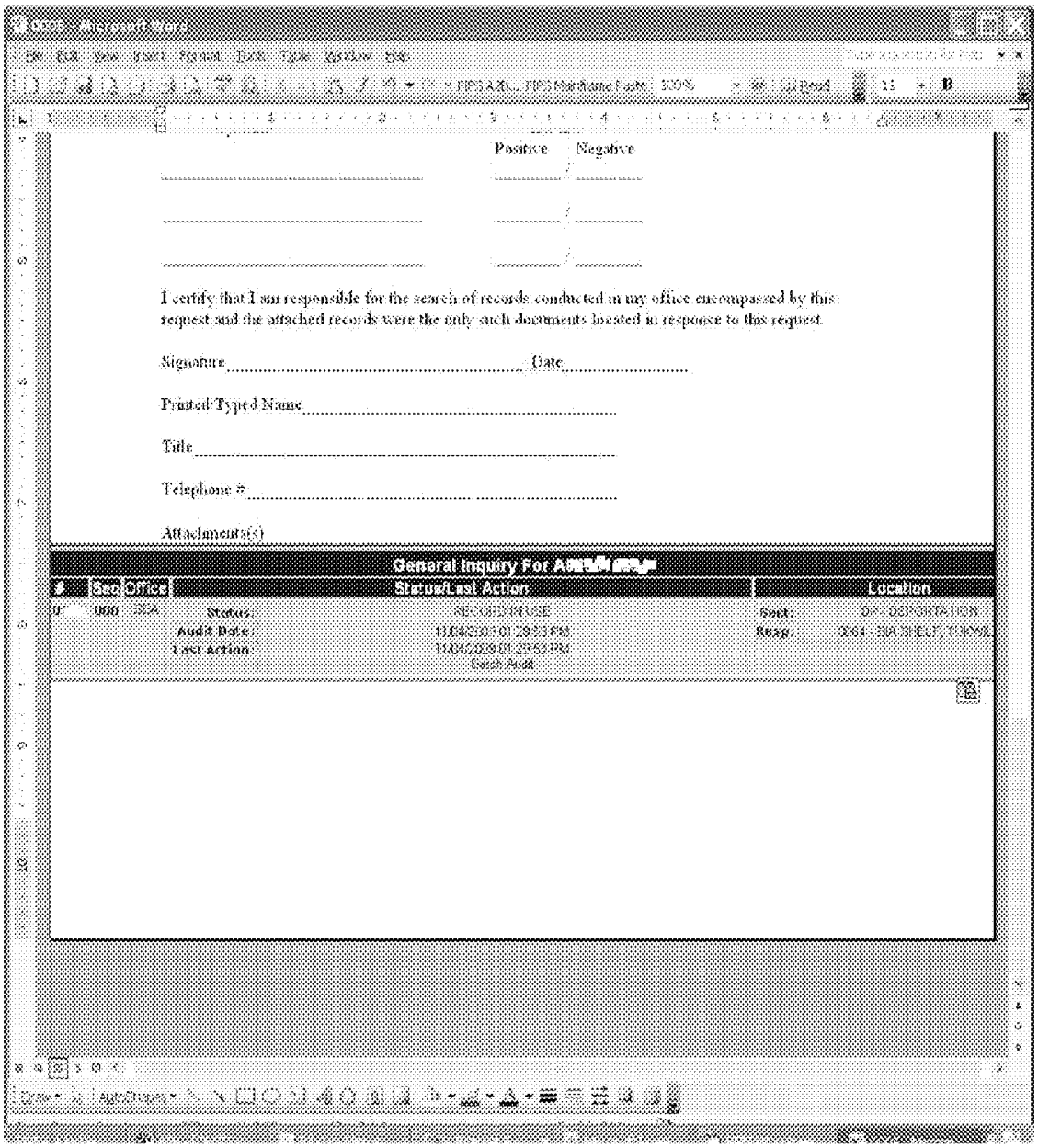
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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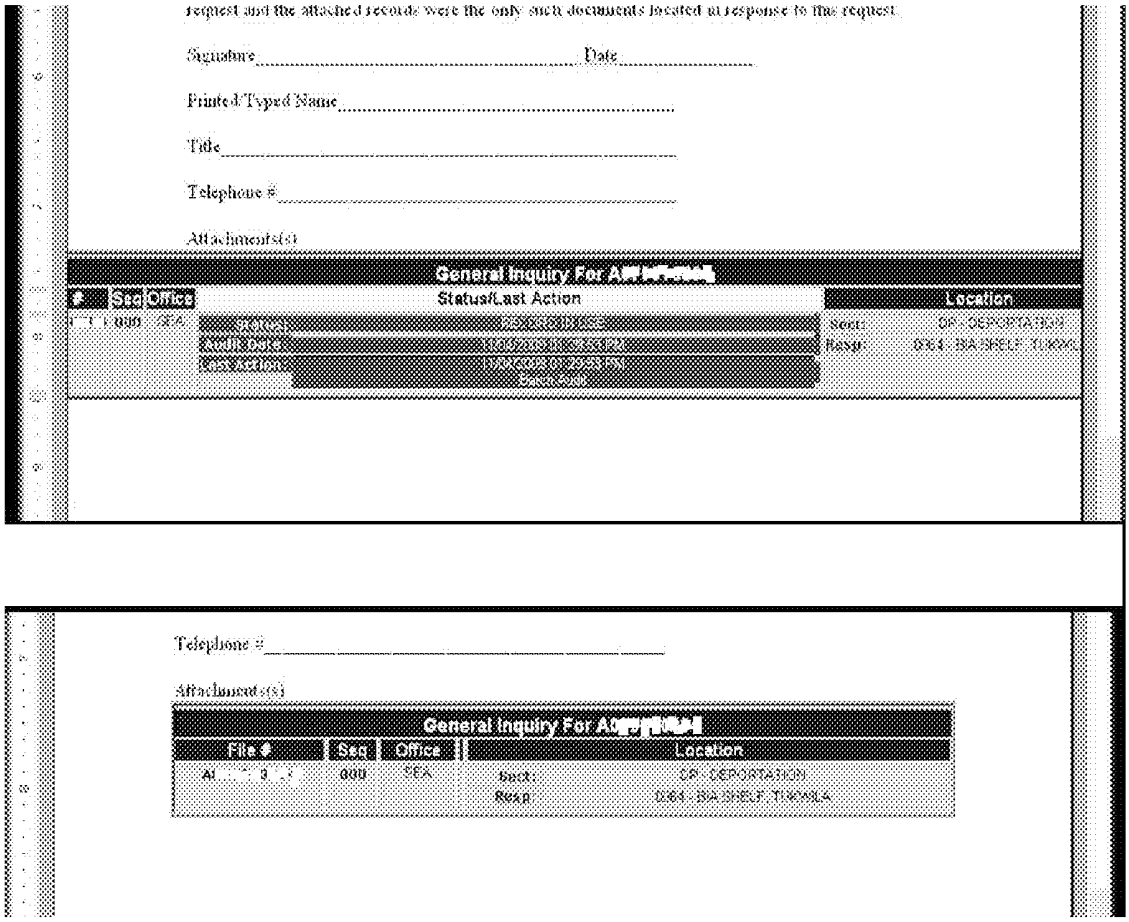
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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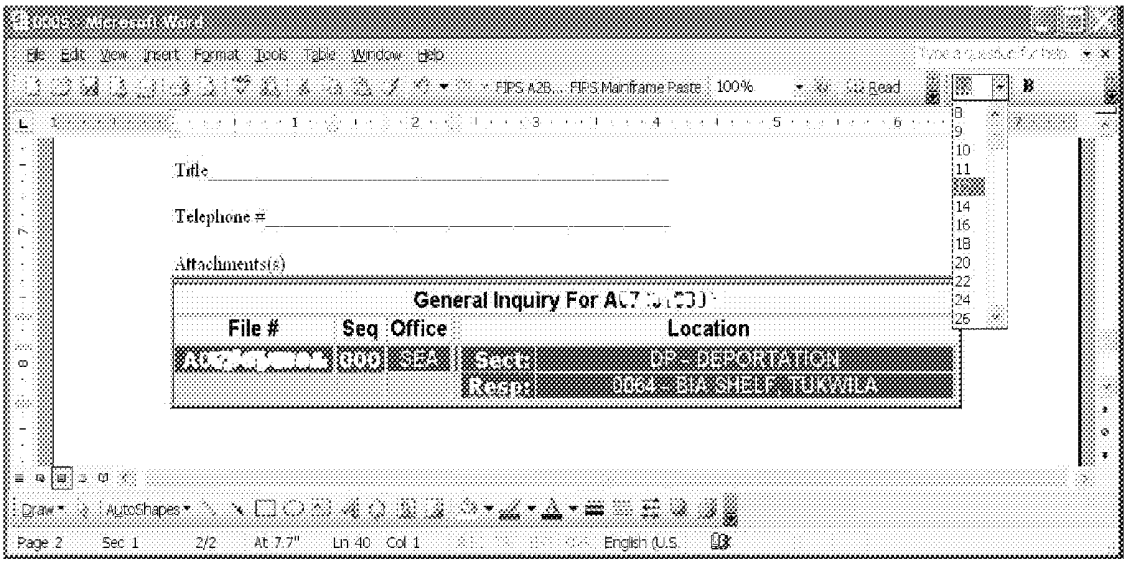
Next, highlight the whole area and change the font size to 12.



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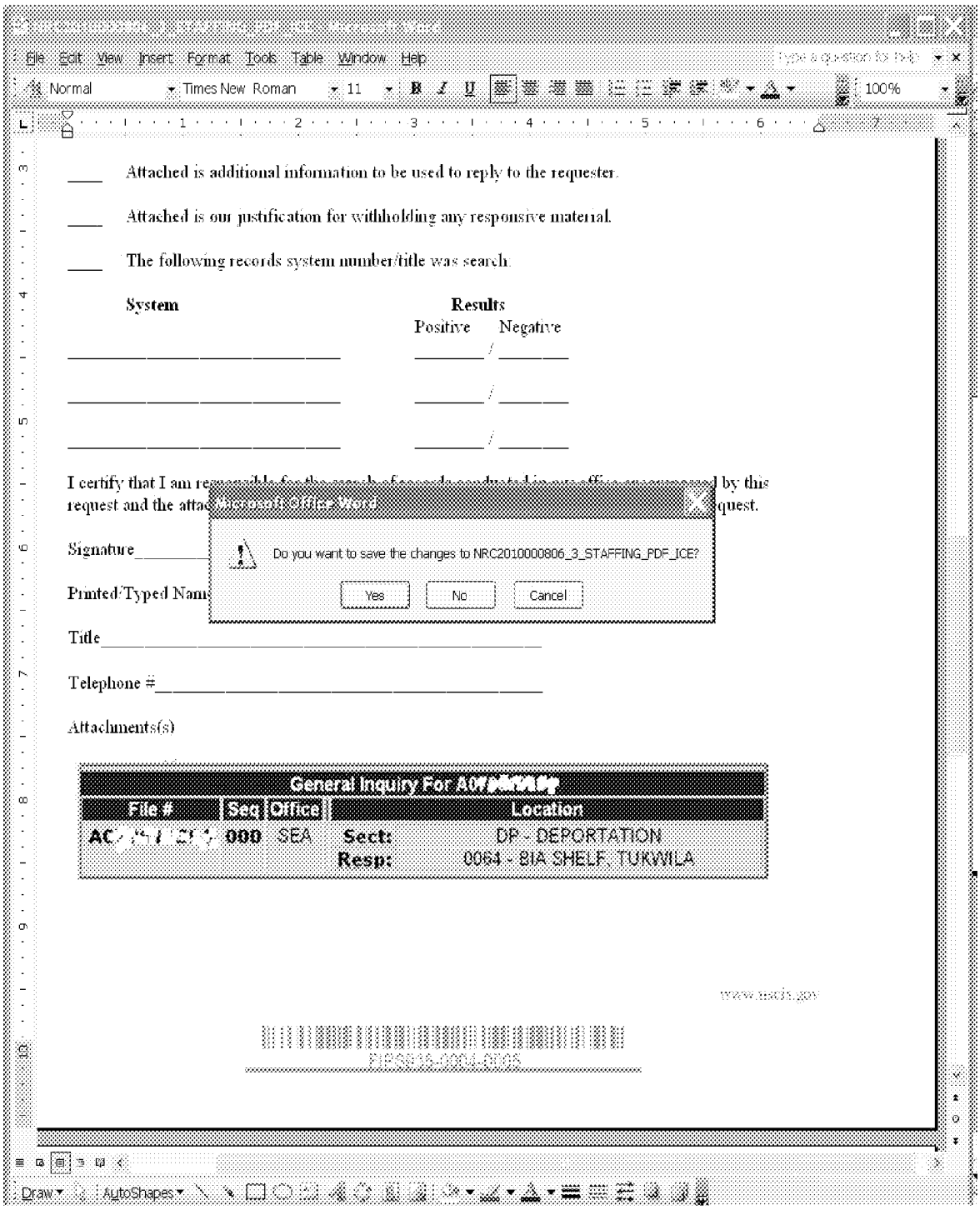
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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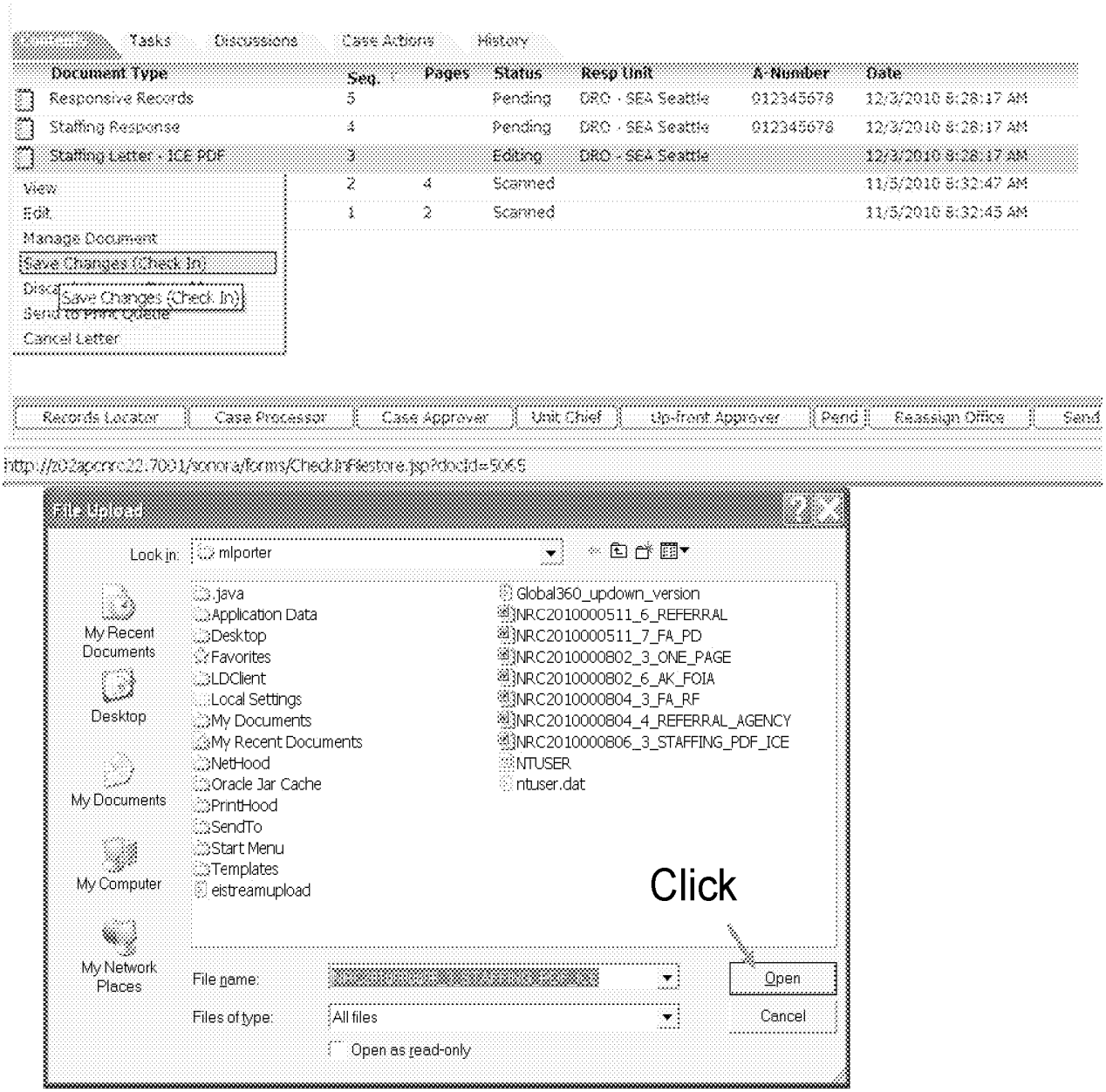
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

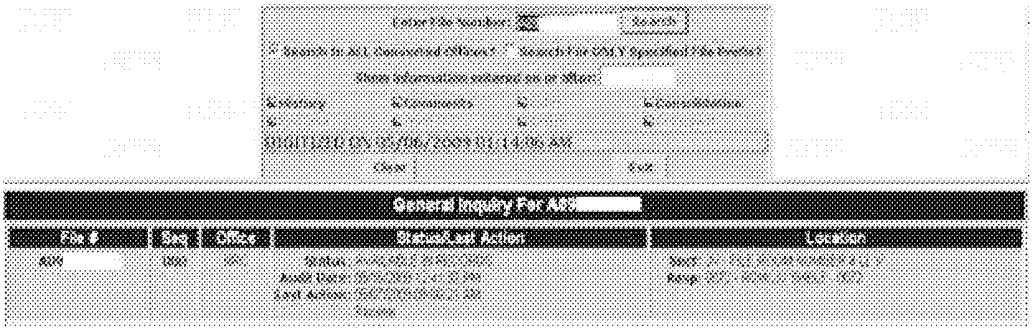
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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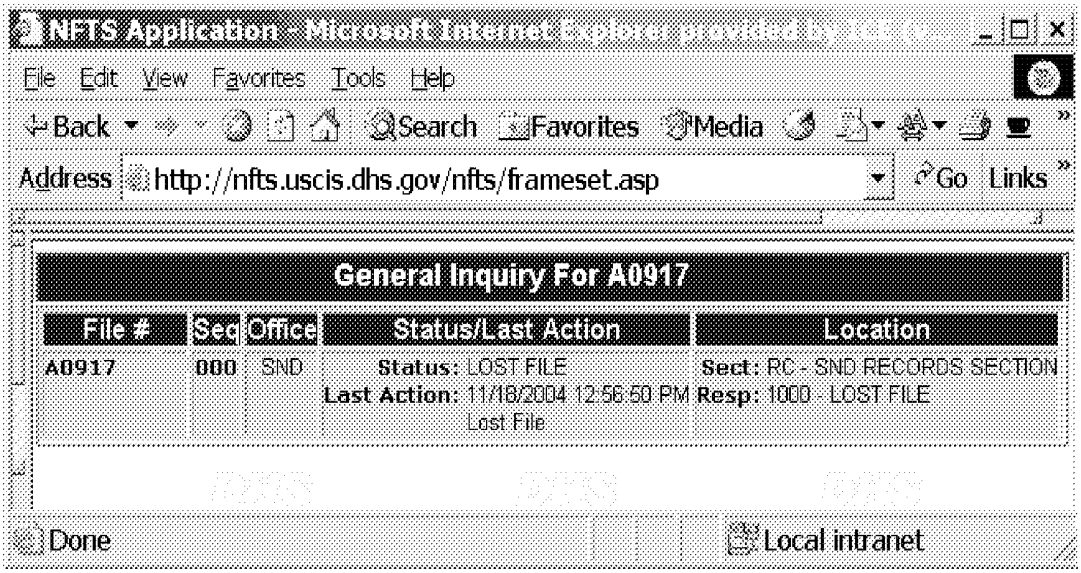
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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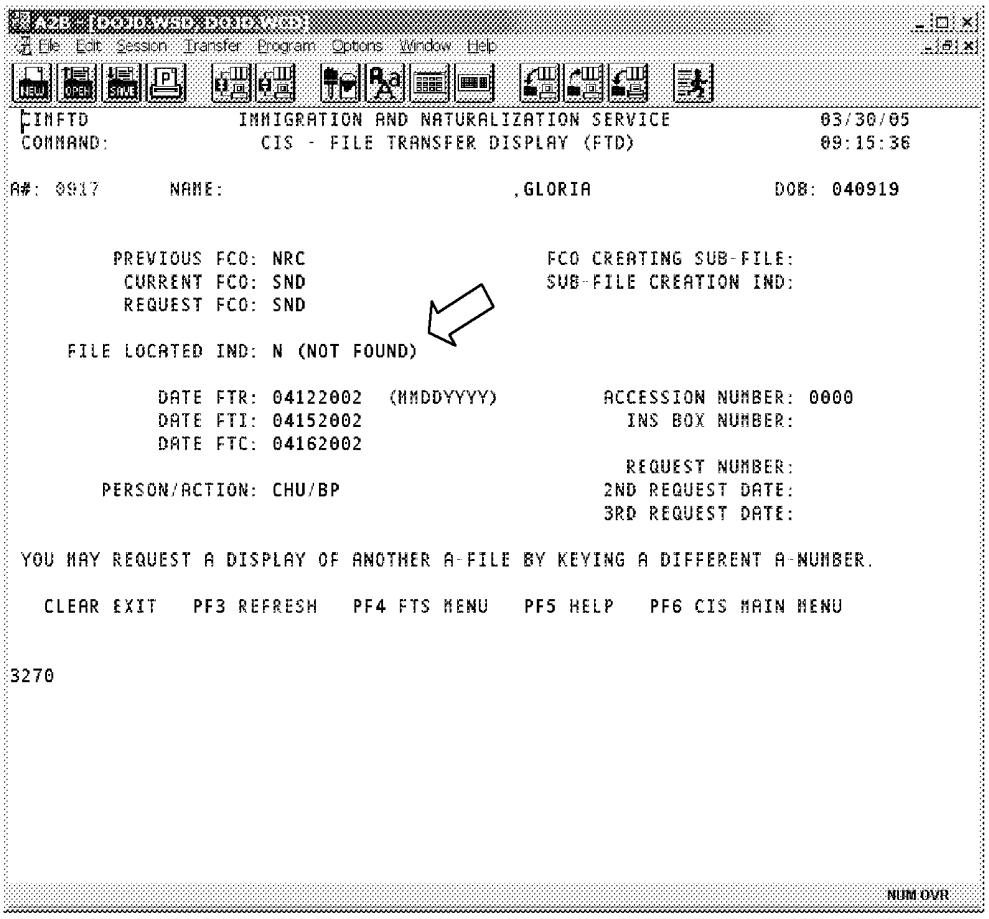
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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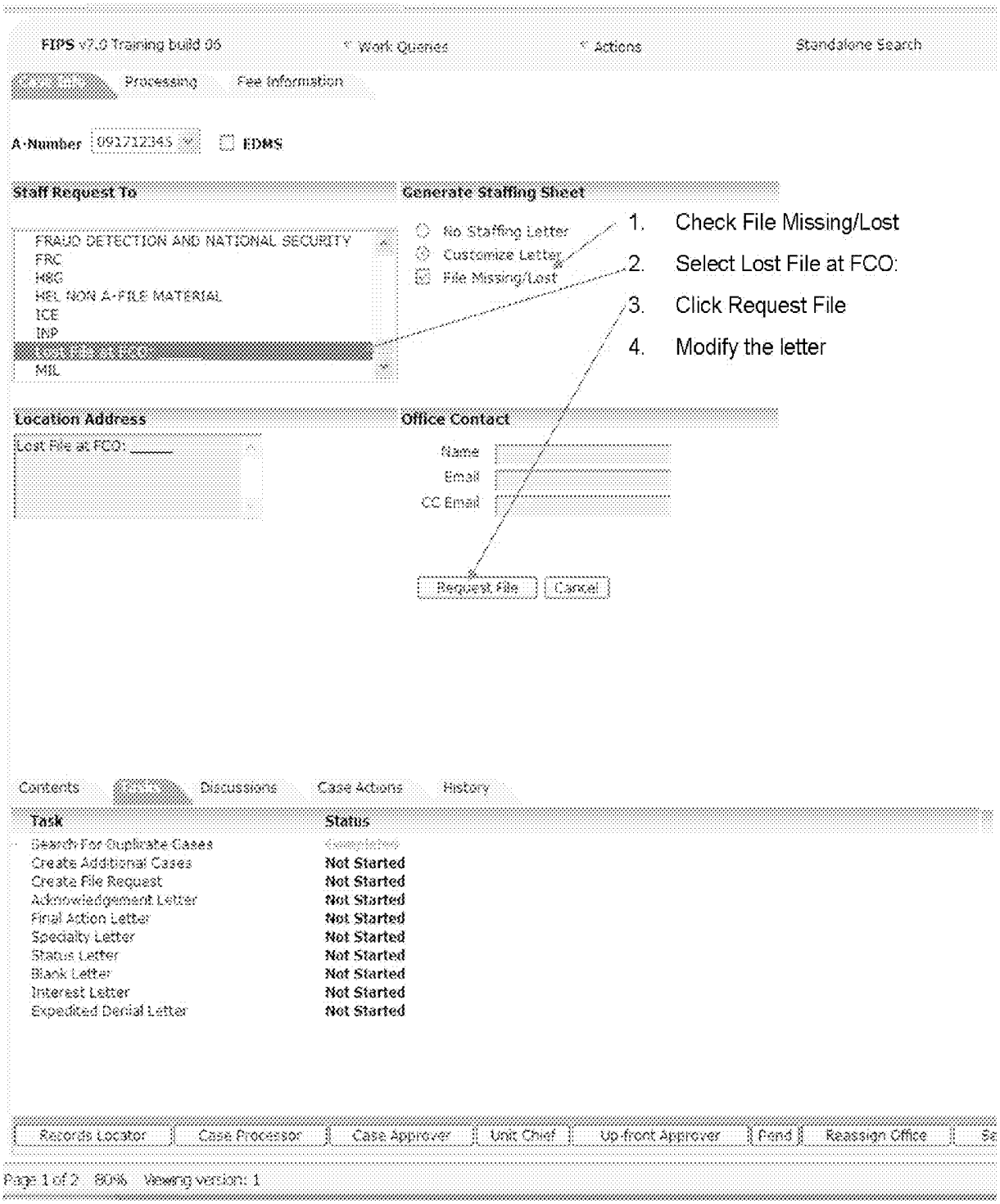

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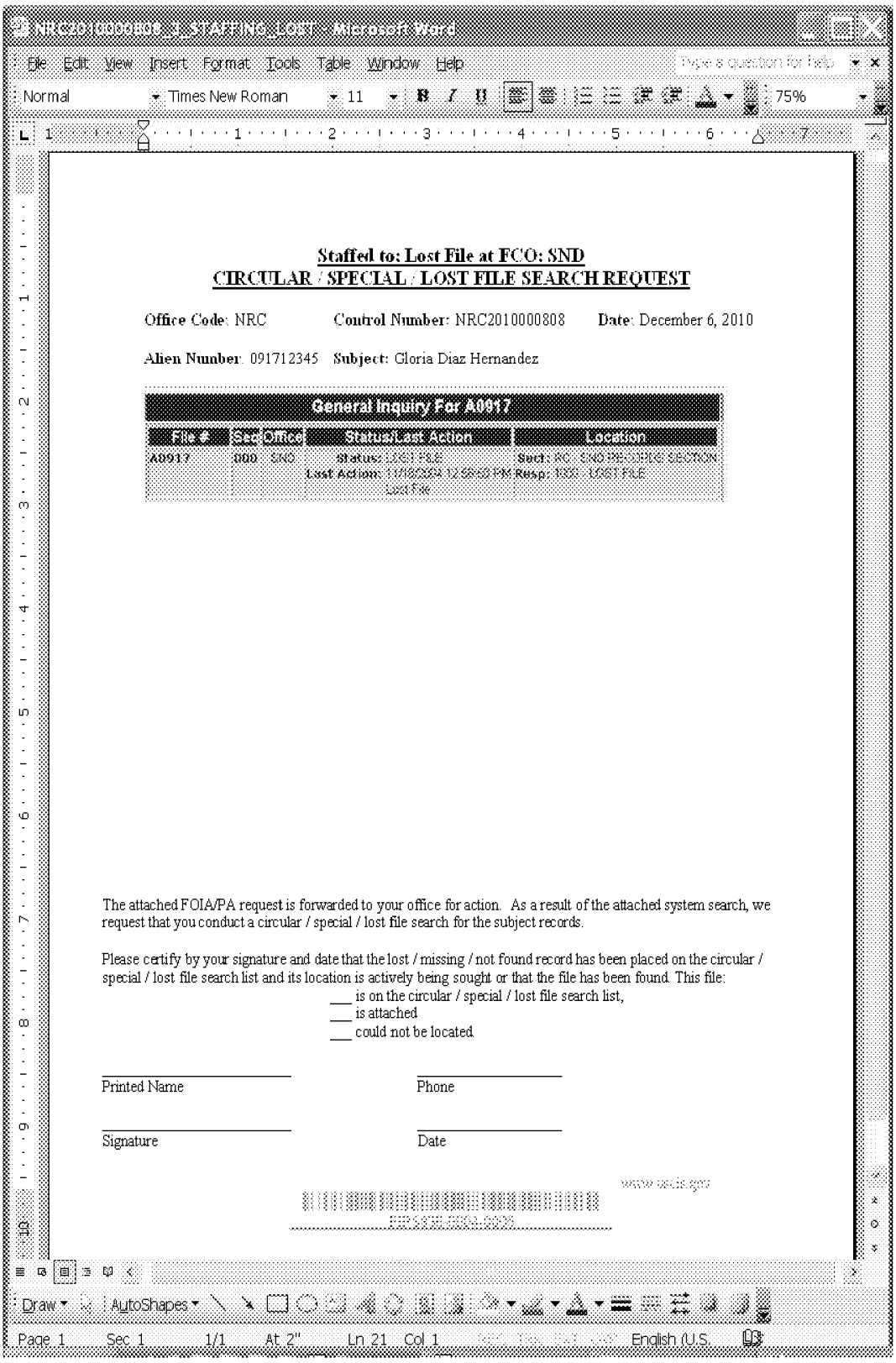

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Lost Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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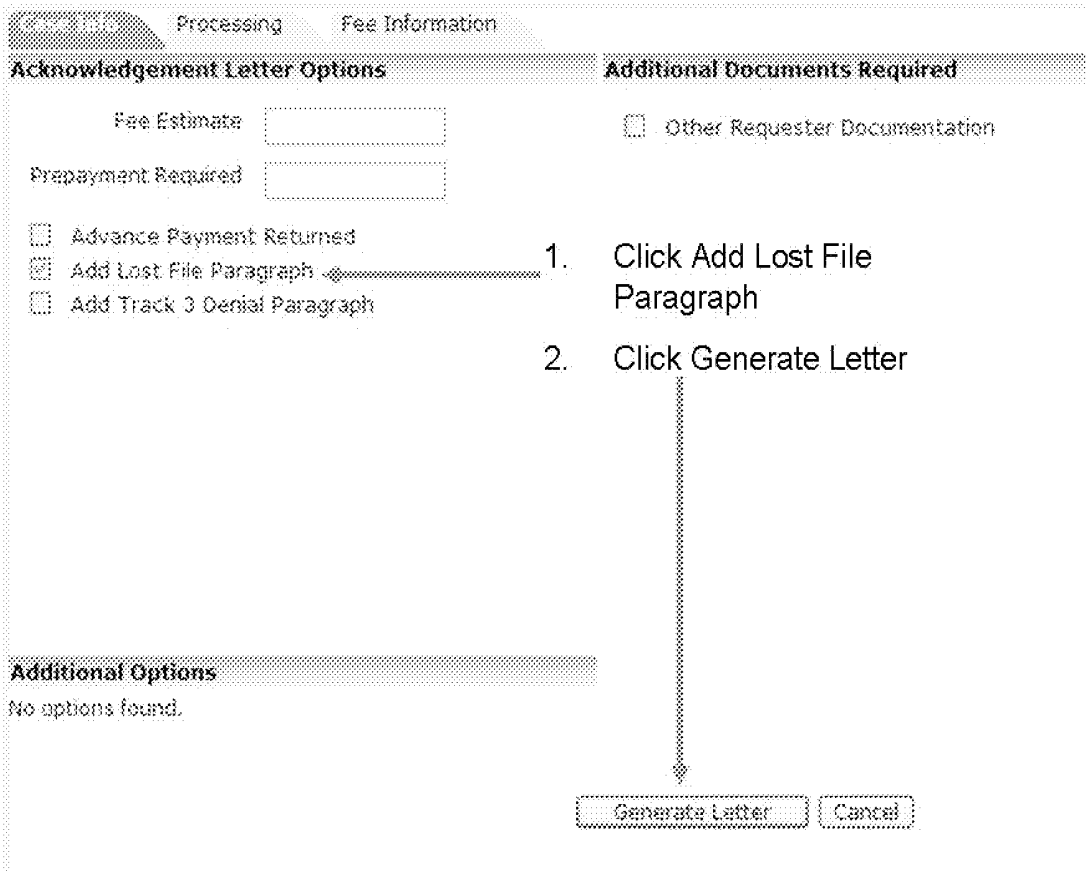

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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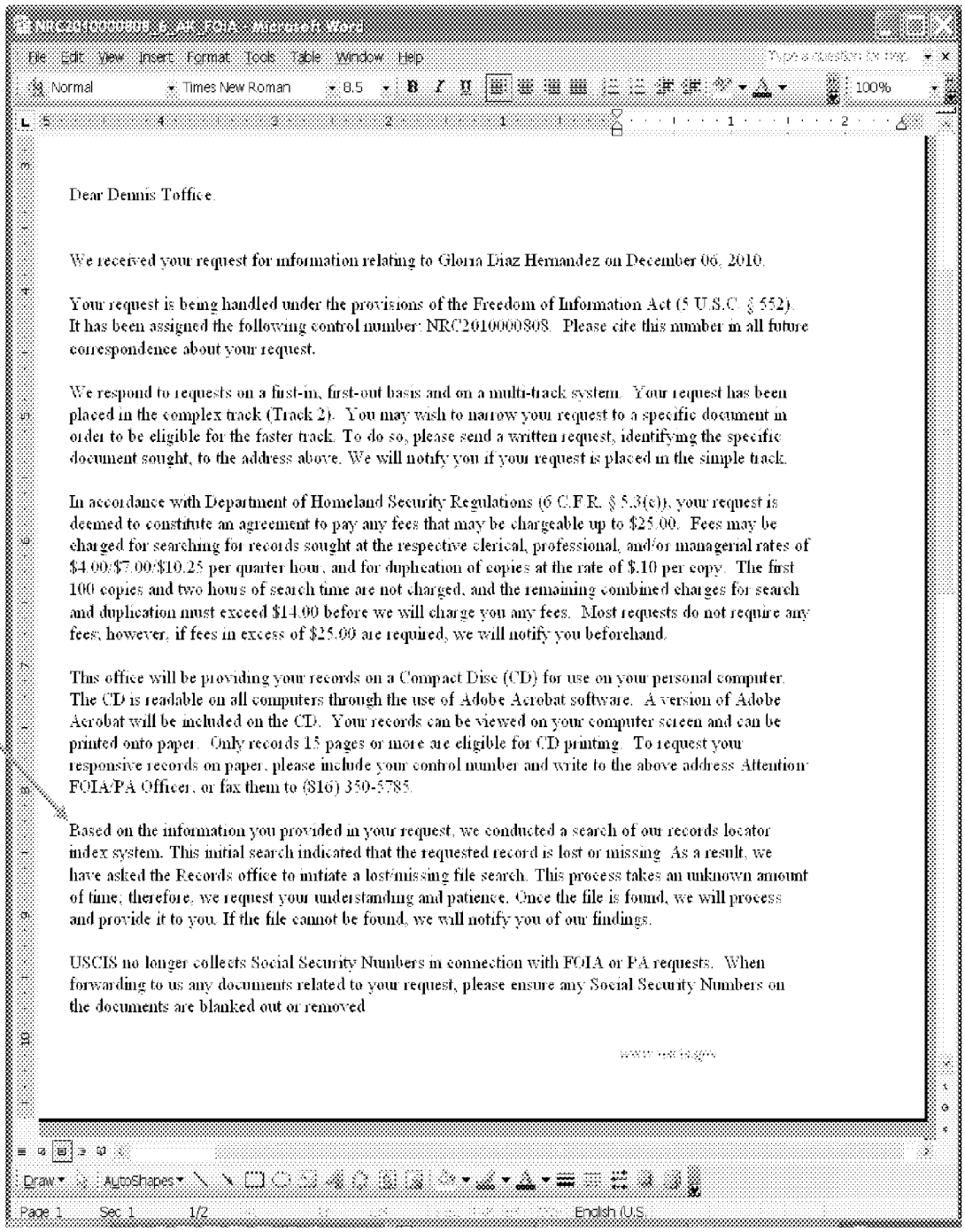

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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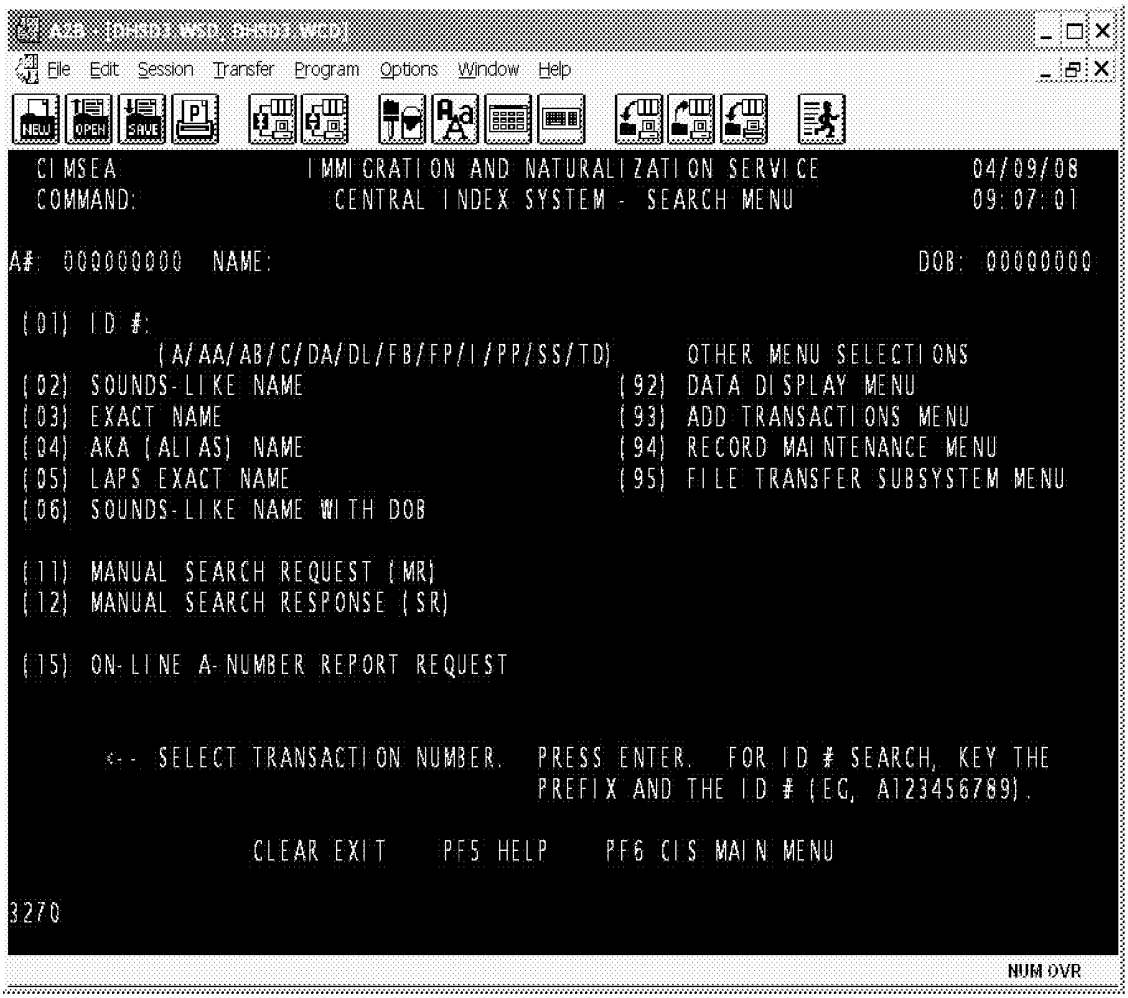

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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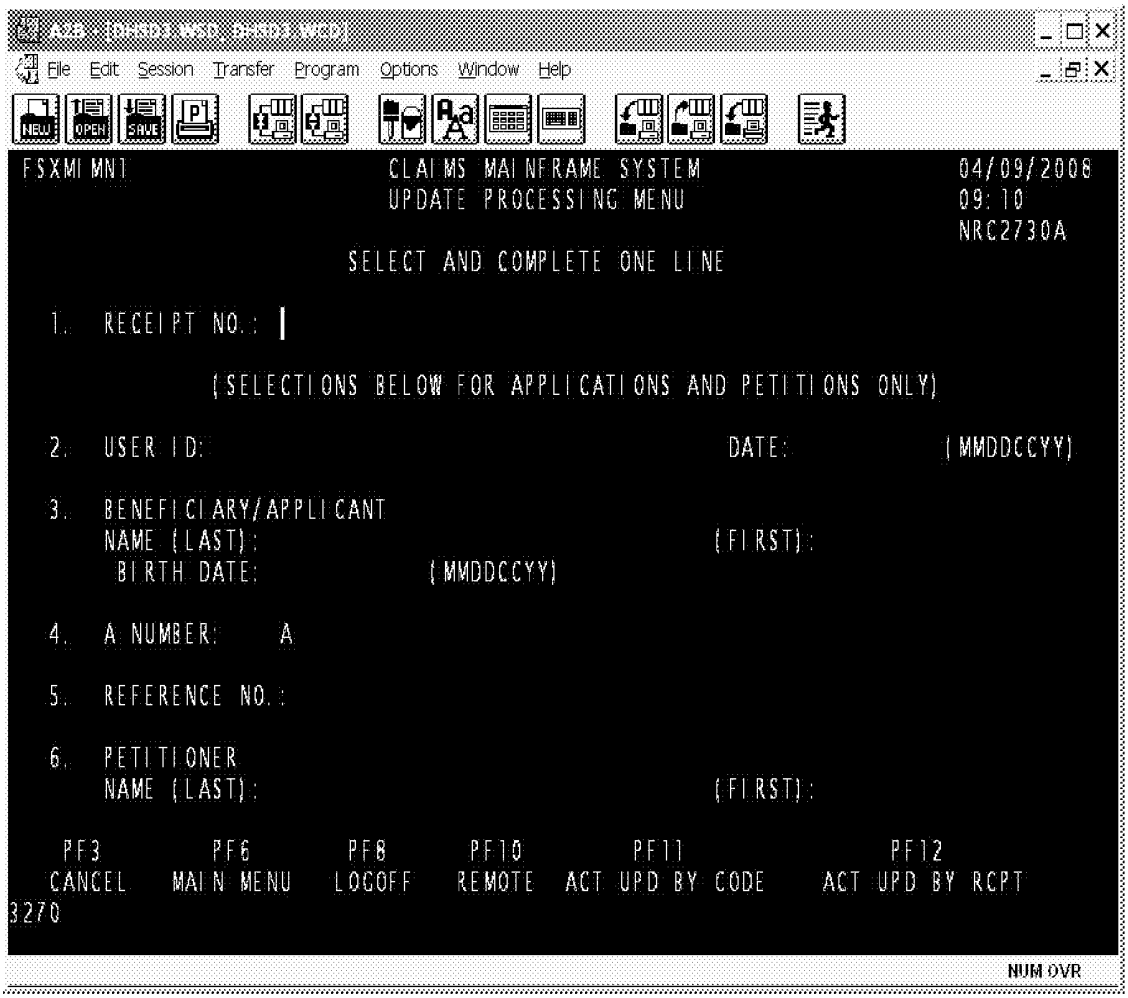

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, [redacted] etc., are not receipt files we can request.

(b)(6)

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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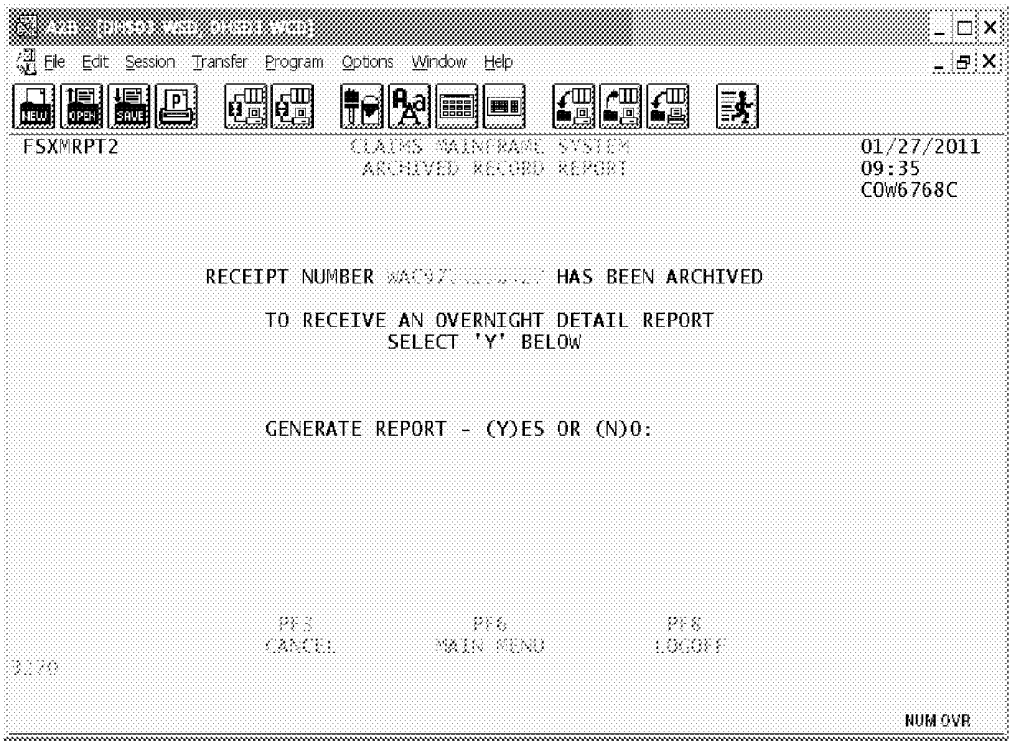
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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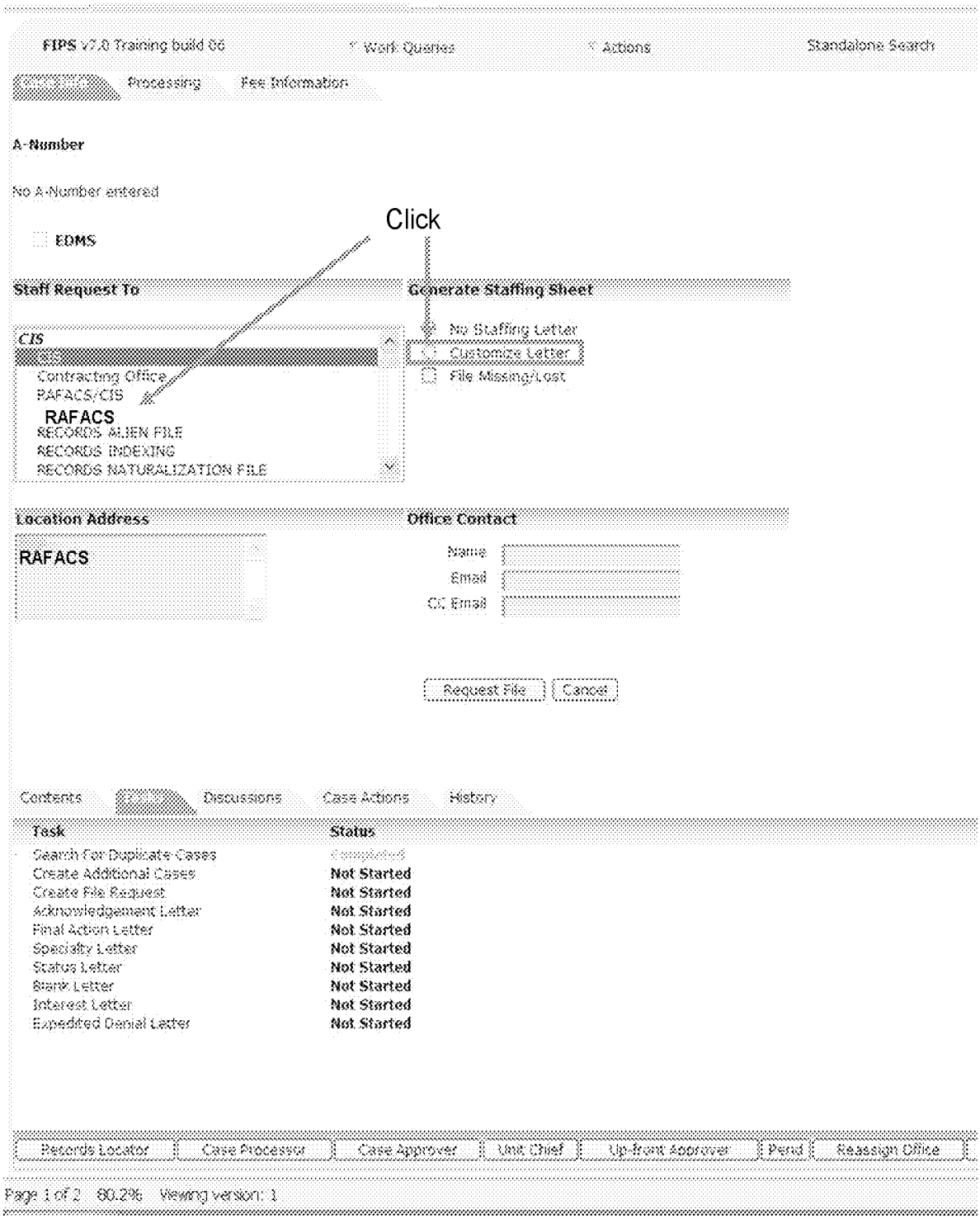

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wife	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wife	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
TO
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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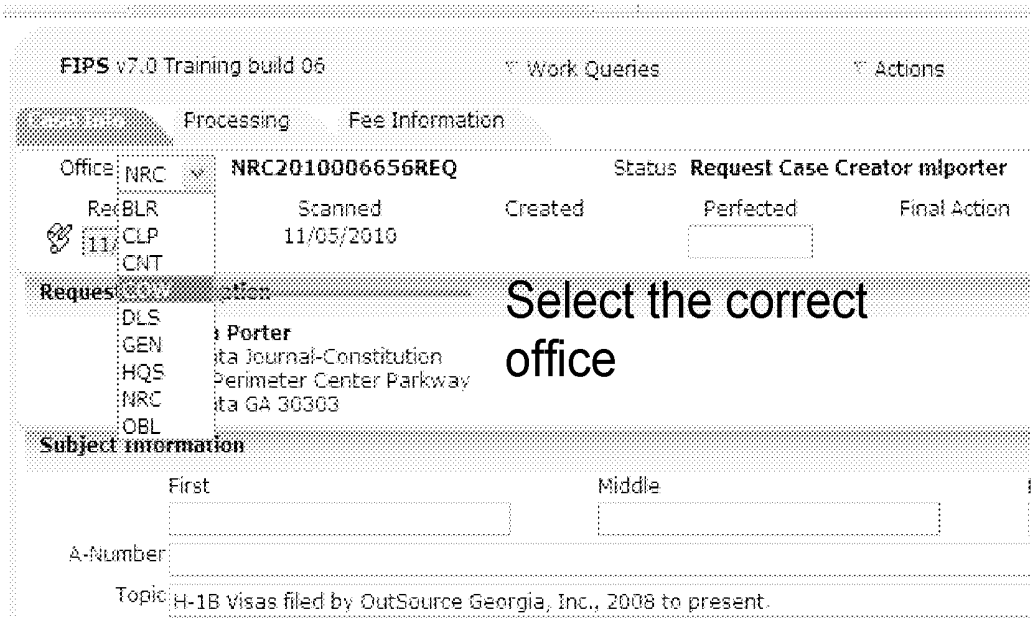
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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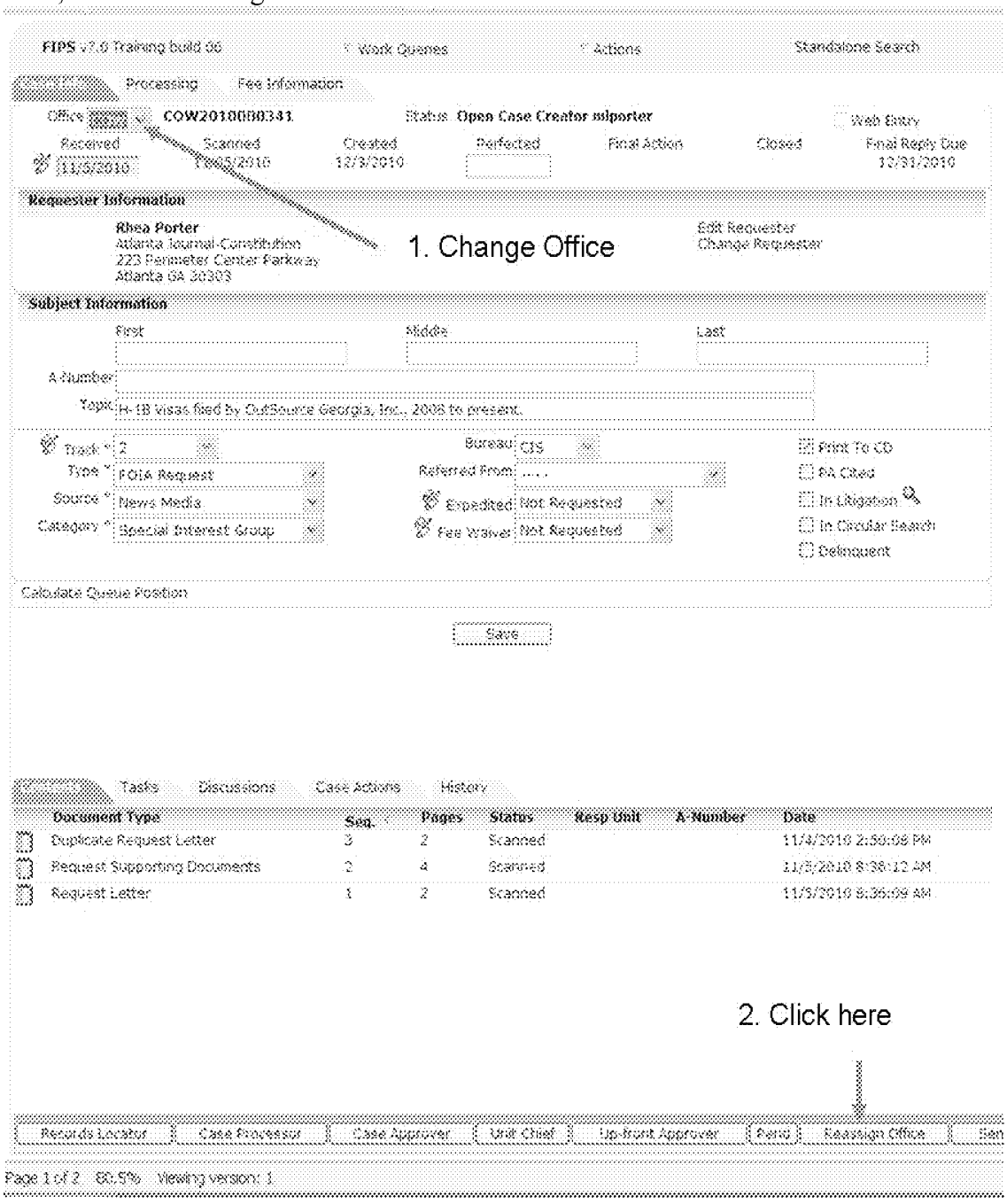
Next, click on "Reassign Office"



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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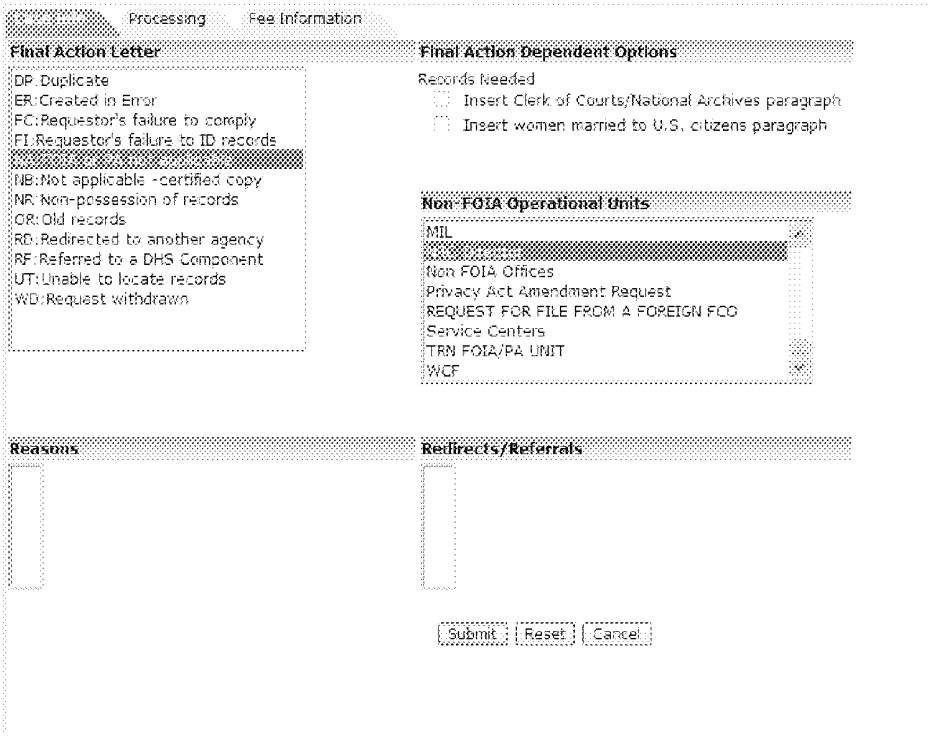
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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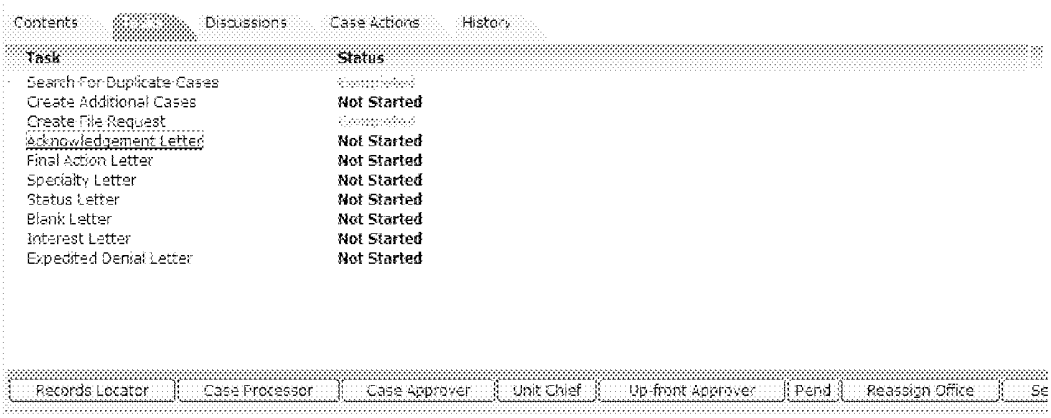
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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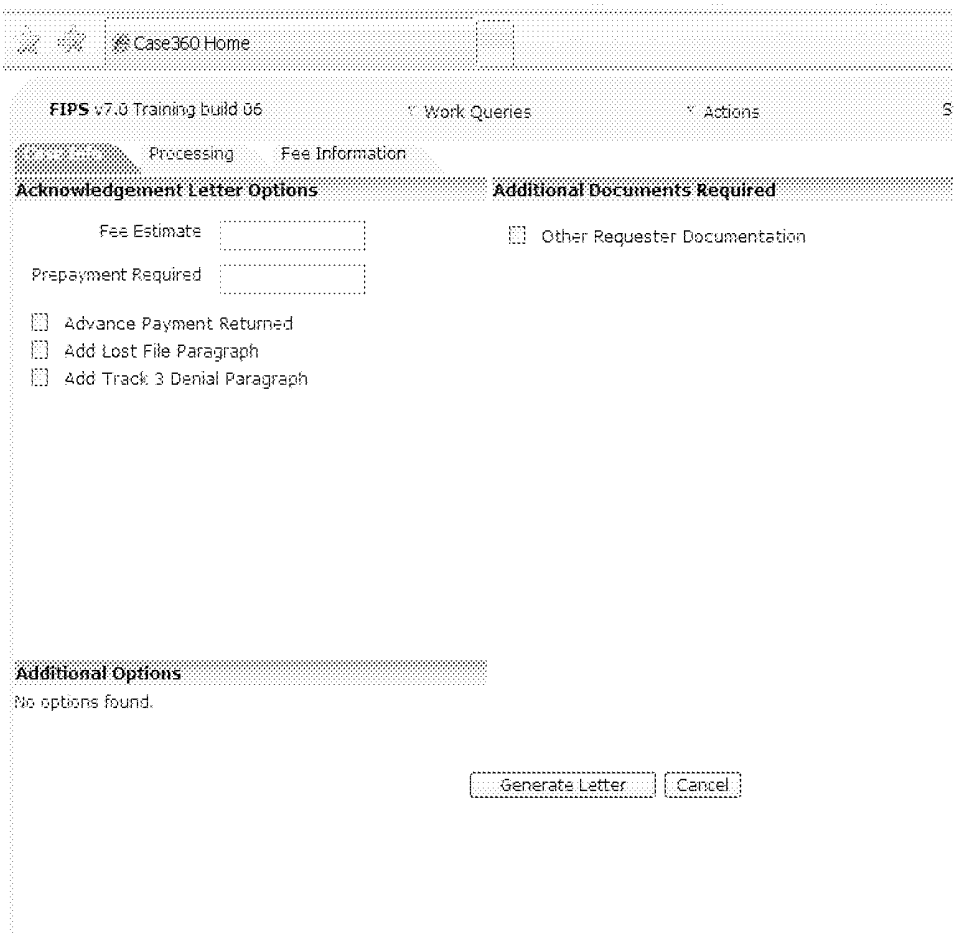
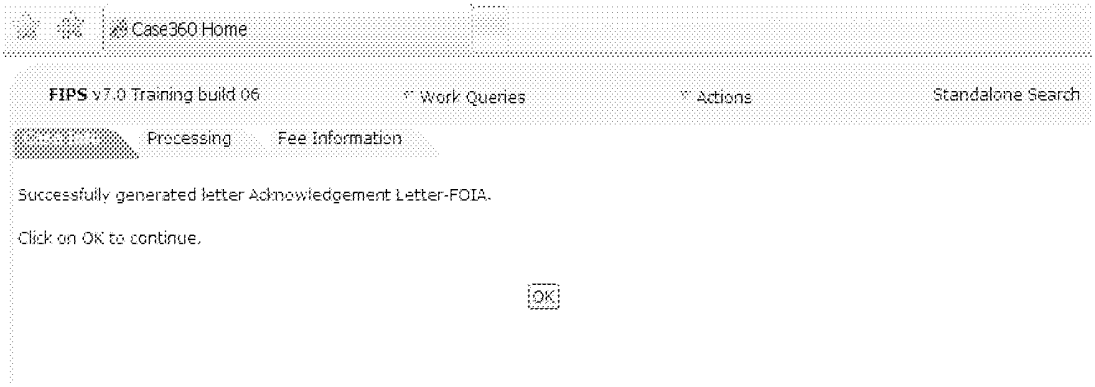


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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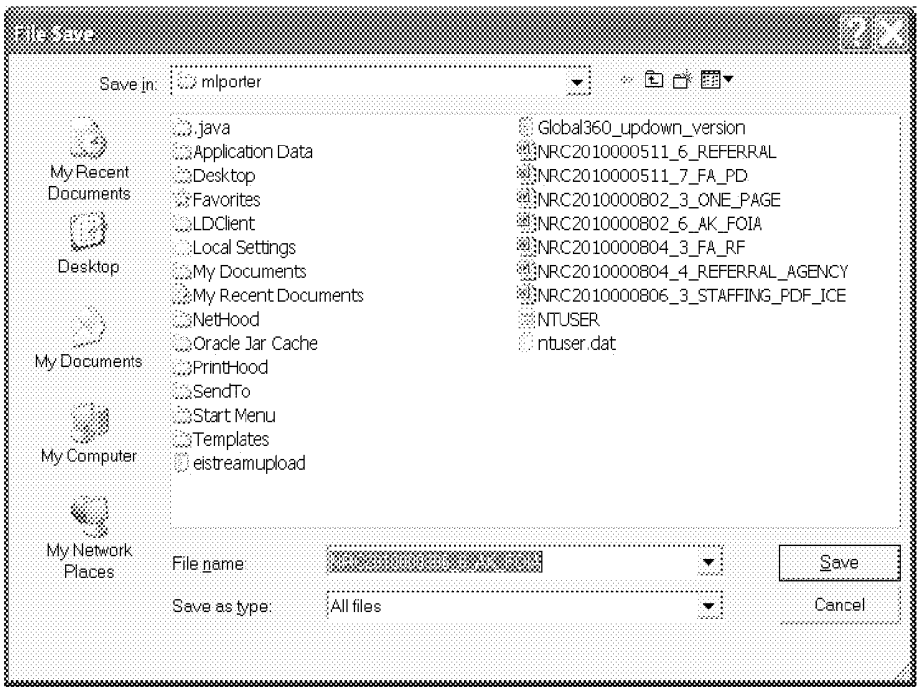

The acknowledgment letter will pop up:

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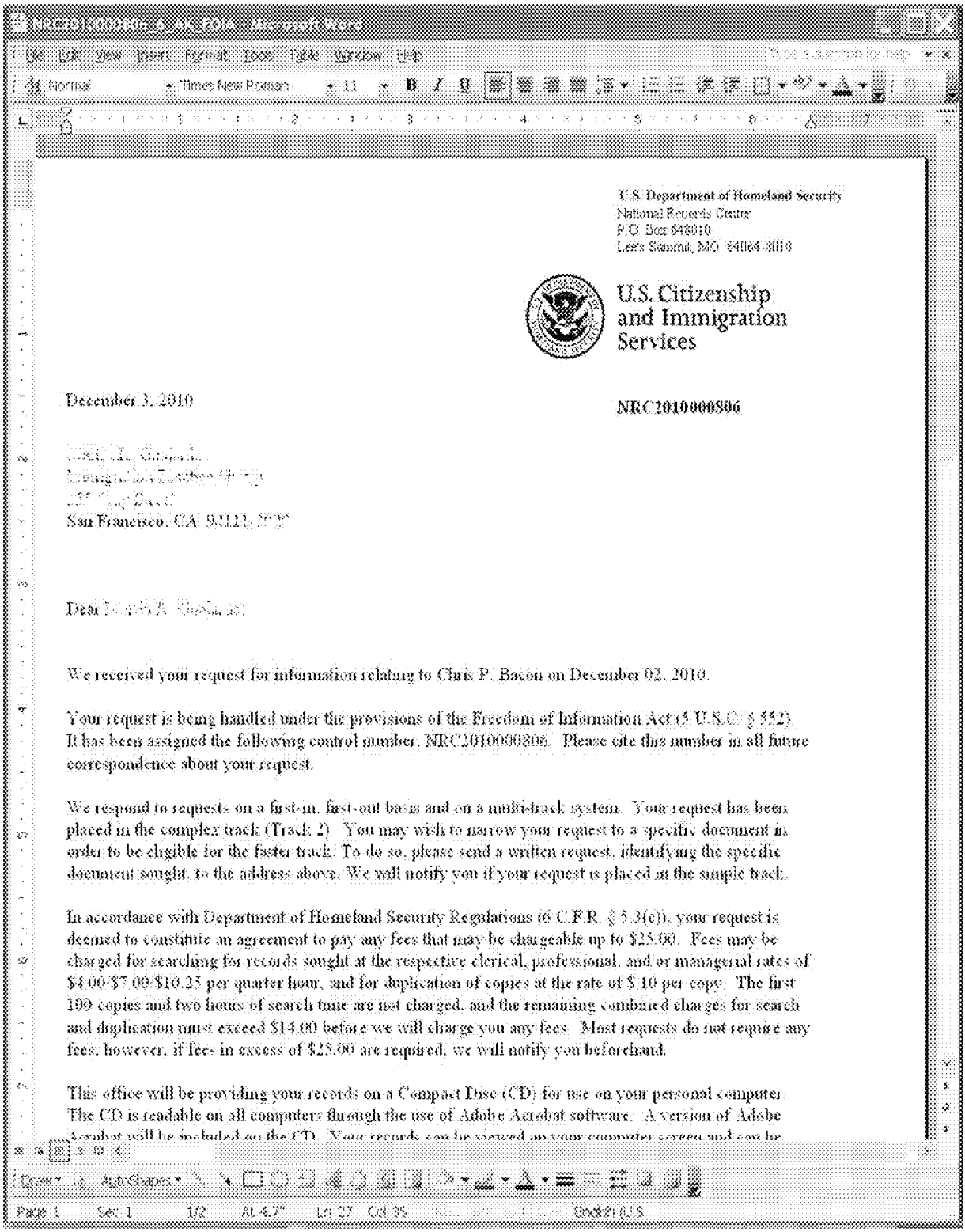

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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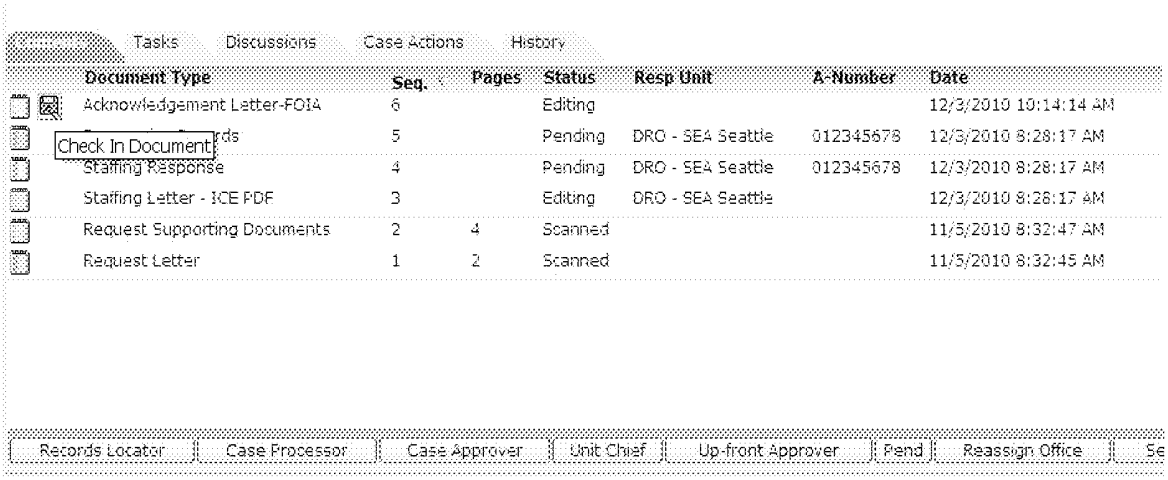
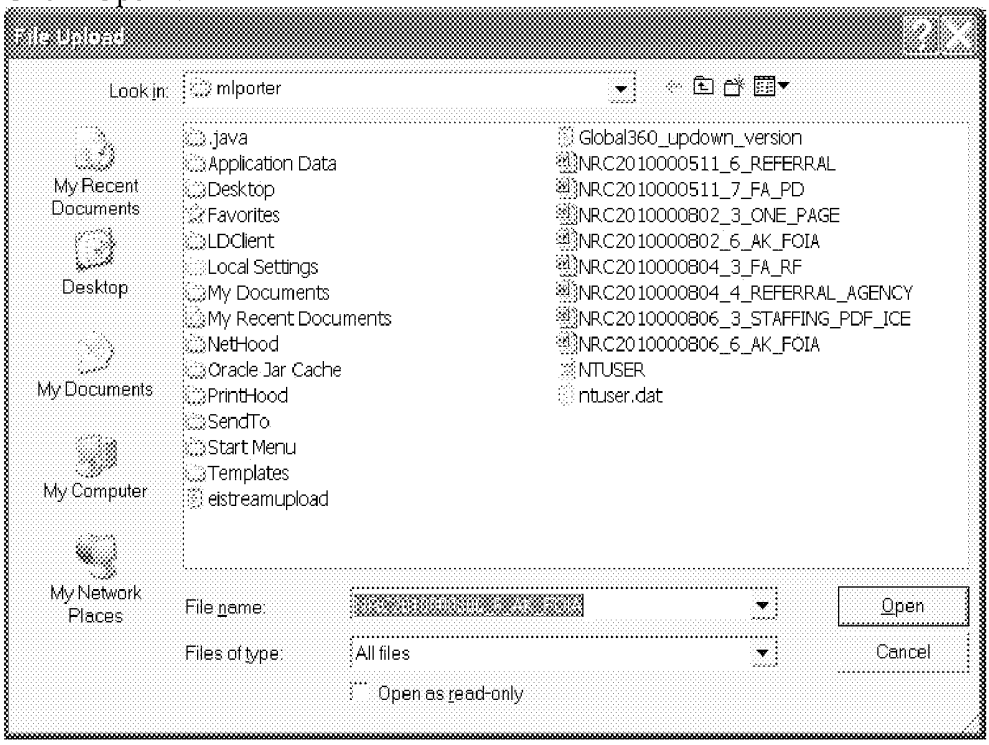


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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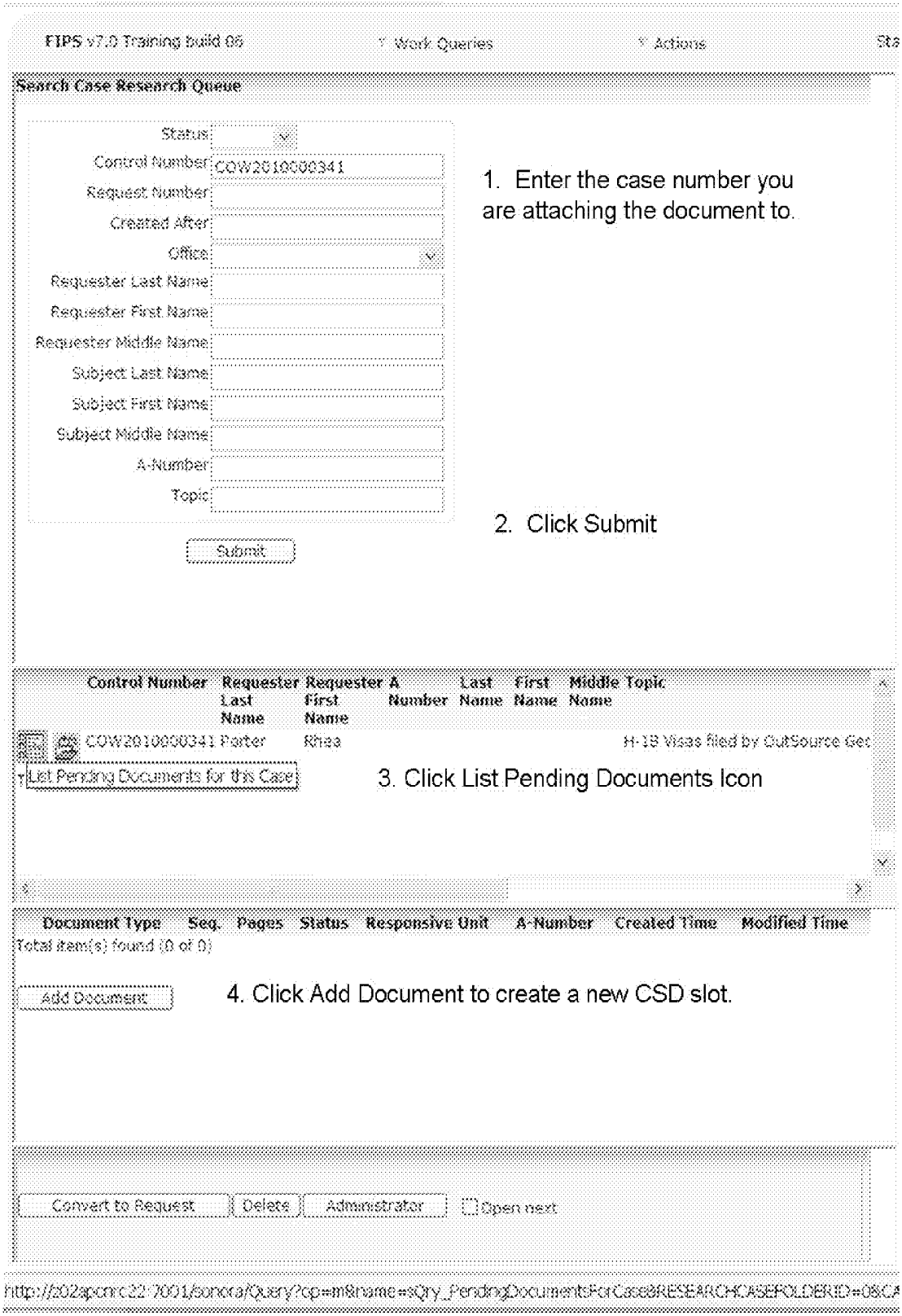

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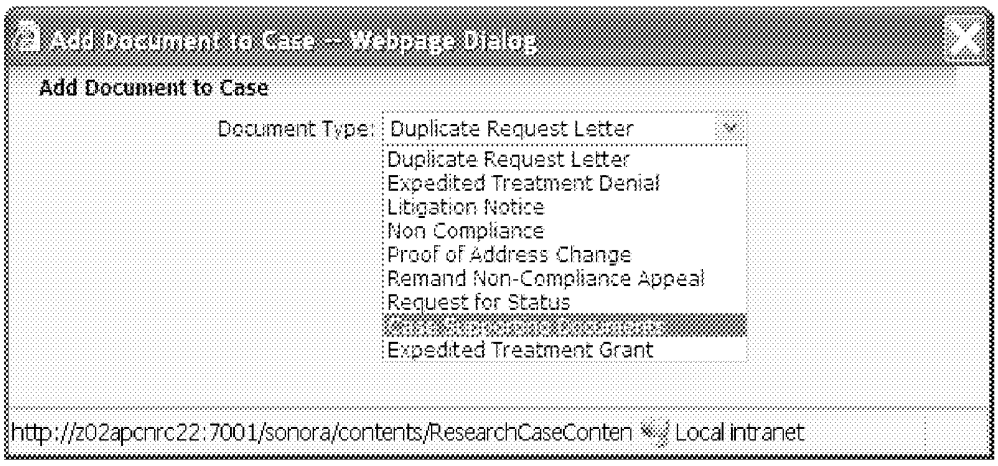

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM (NRC, FOIAOA)

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB (NRC, NRCFOIAMSB)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

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1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

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32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get

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consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

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32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

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34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

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36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

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41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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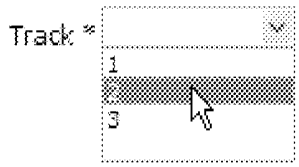
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

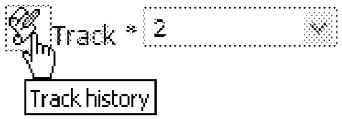
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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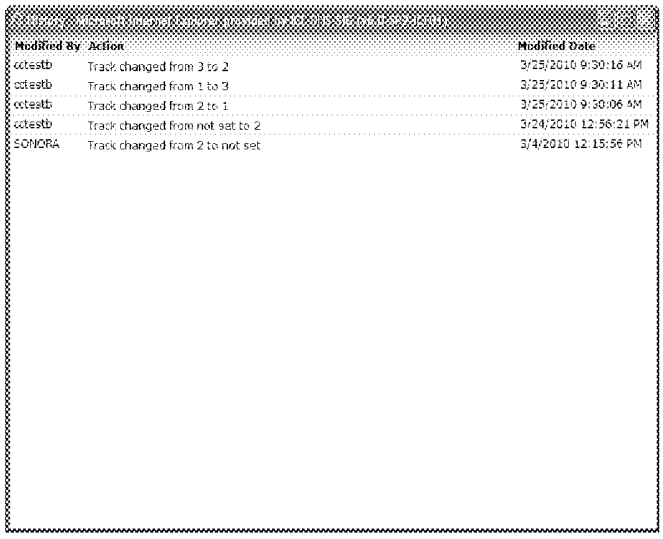
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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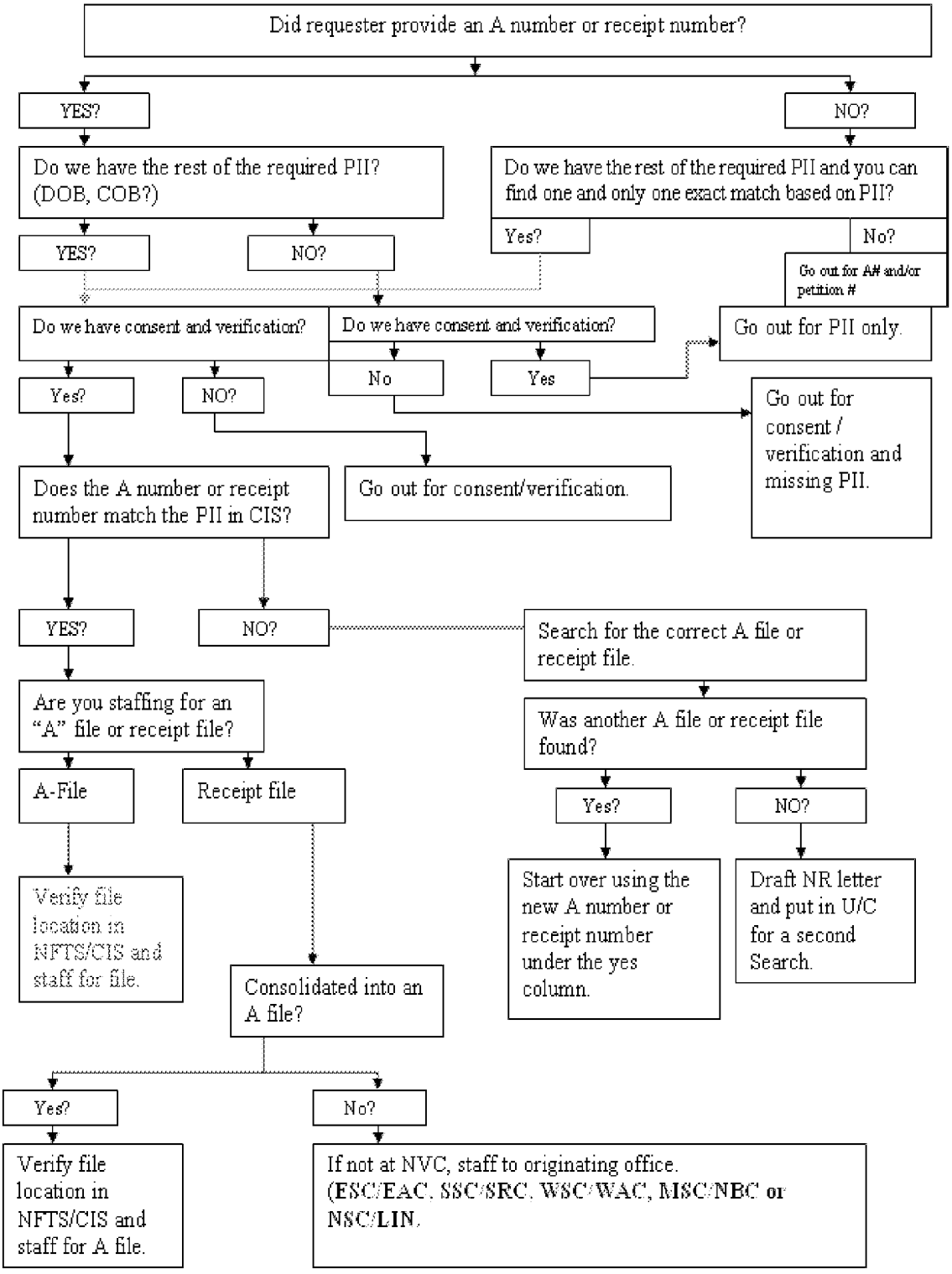
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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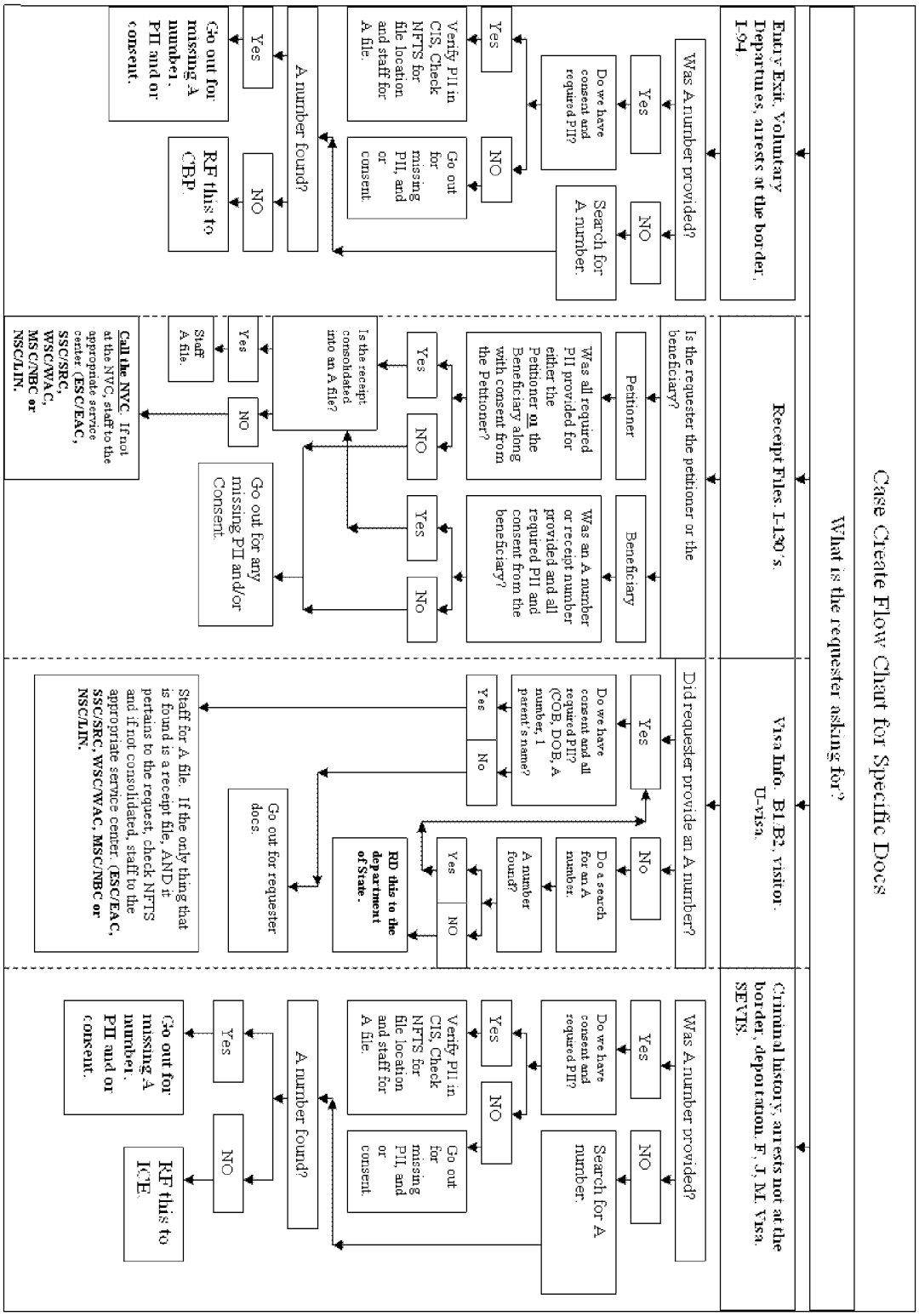

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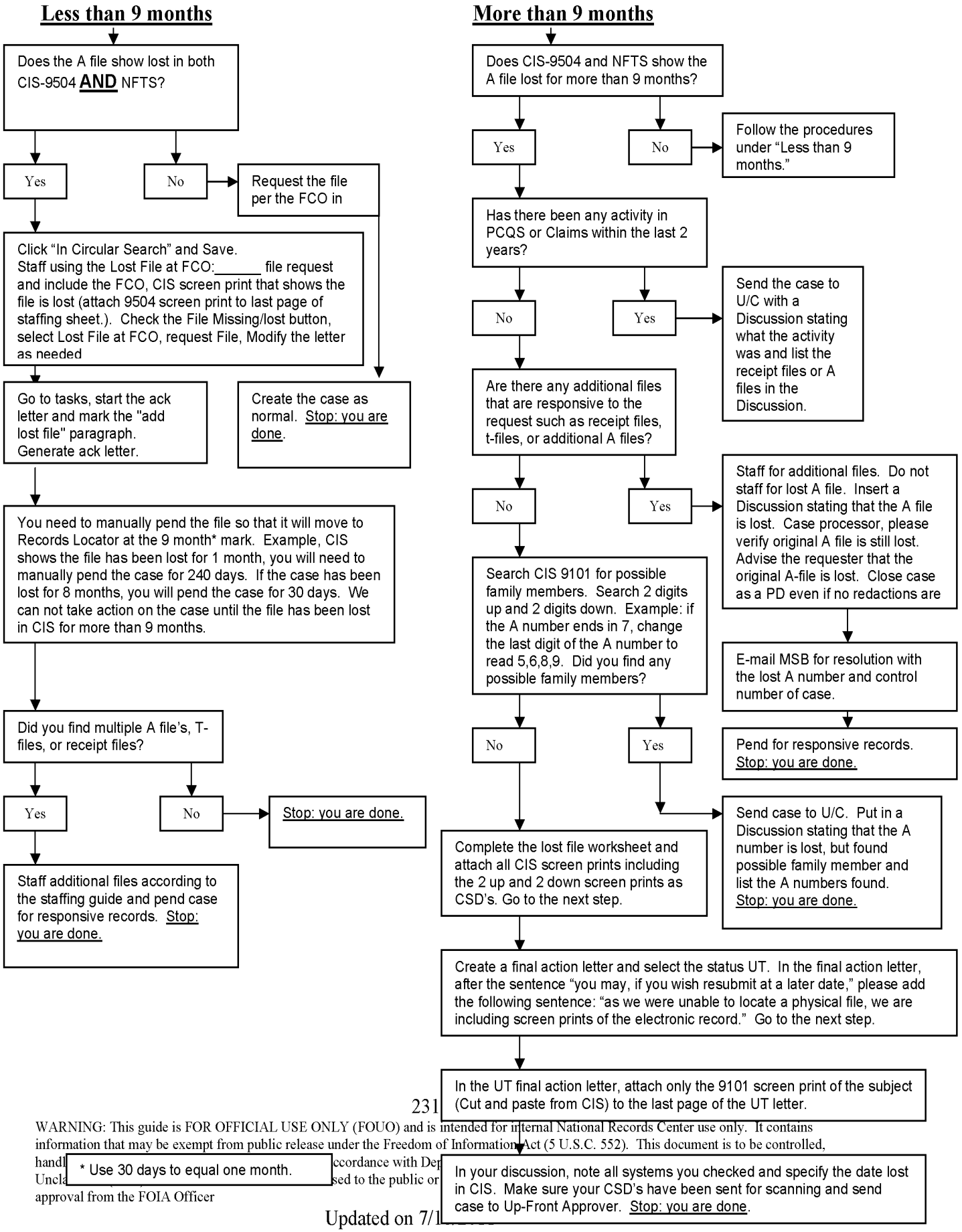
Lost File Flowchart



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Updated on 7/1

APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 058-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant or Public Information Specialist as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant or Public Information Specialist, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent. As of December 14, 2011, third party requesters are ***not entitled*** to any public documents that may be in the file they are seeking, as well as nor documents they provided in support of an application or petition. The general rule of thumb is if you need to go into the subject's file, you will need the subject of record's consent and verification of identity. Please refer to the section titled **"THIRD PARTY REQUESTS" 7.4.** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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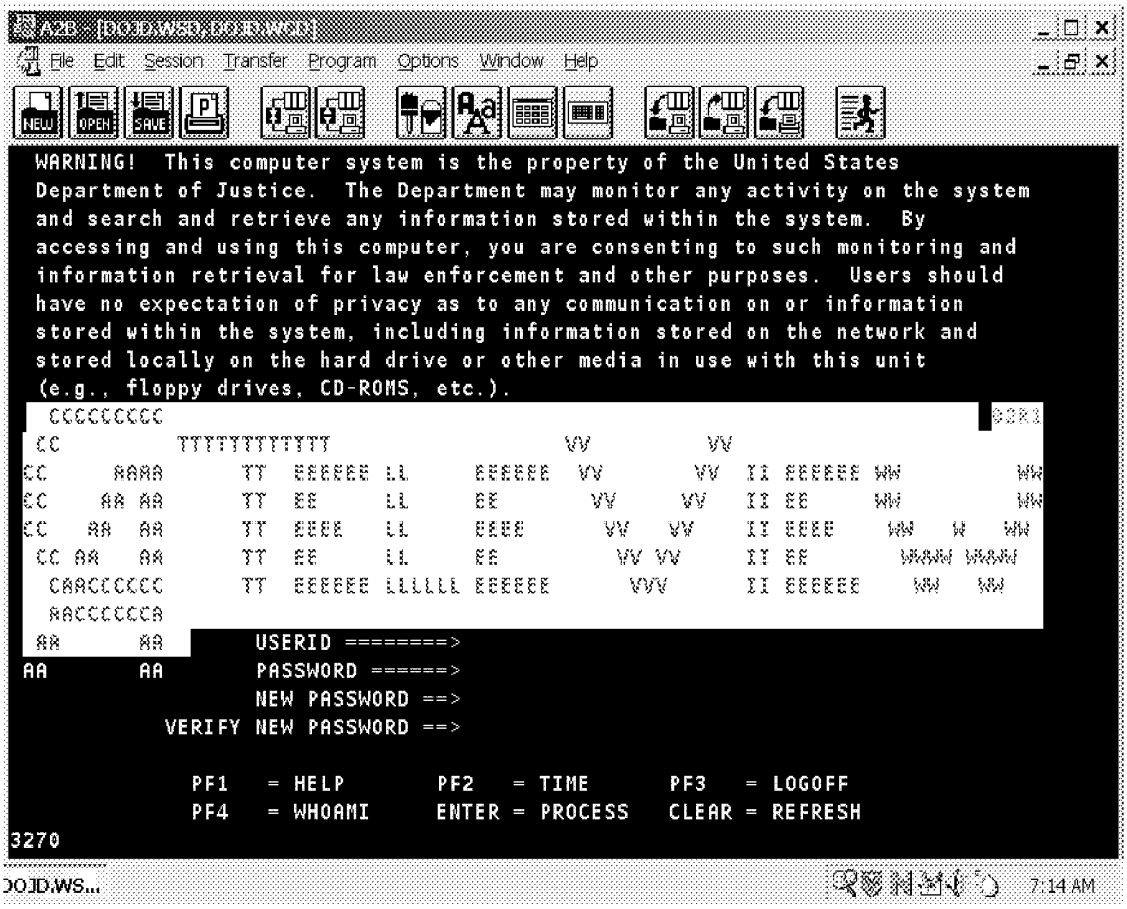
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the A-Number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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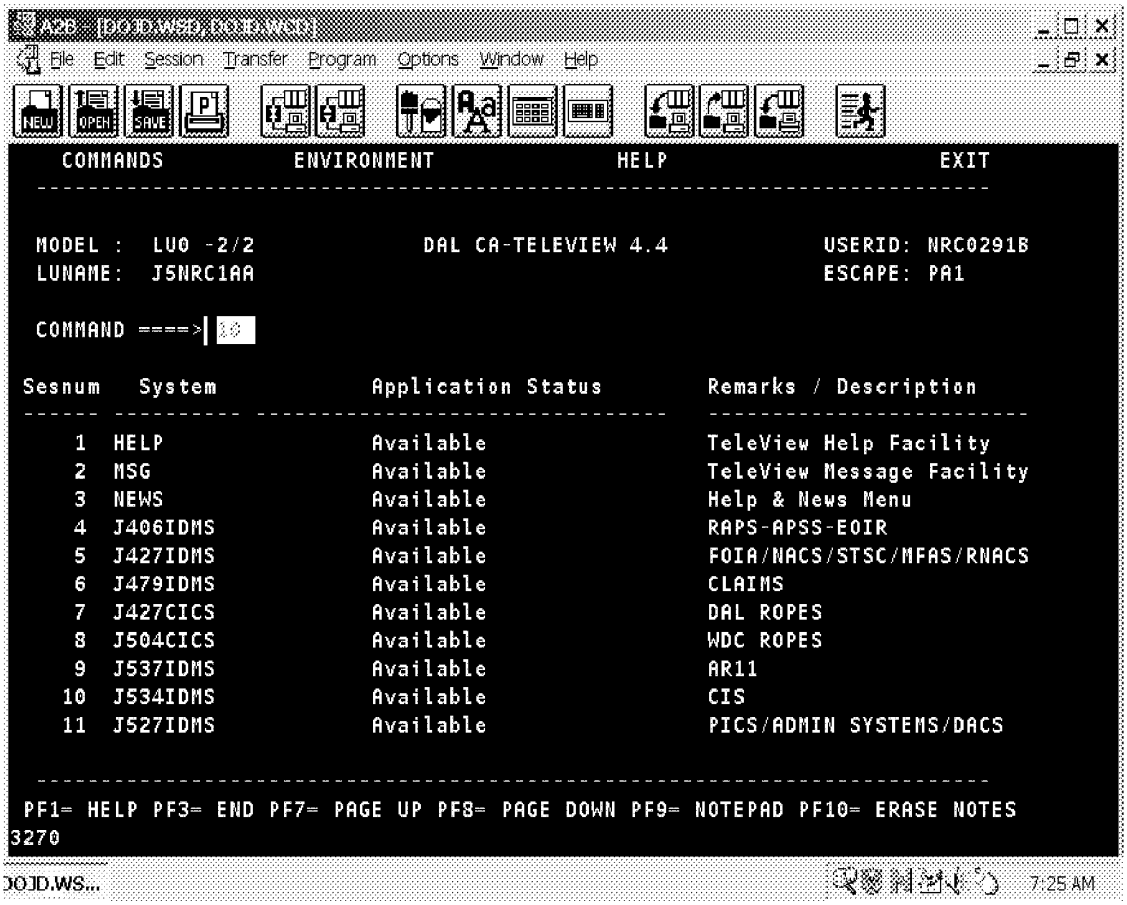
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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5.1.4 CIS Main Menu

This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the alien file (which we will frequently refer to as 'A-file'). The only "95" menu command we use is "9504" to verify if the file is Not Found (N).

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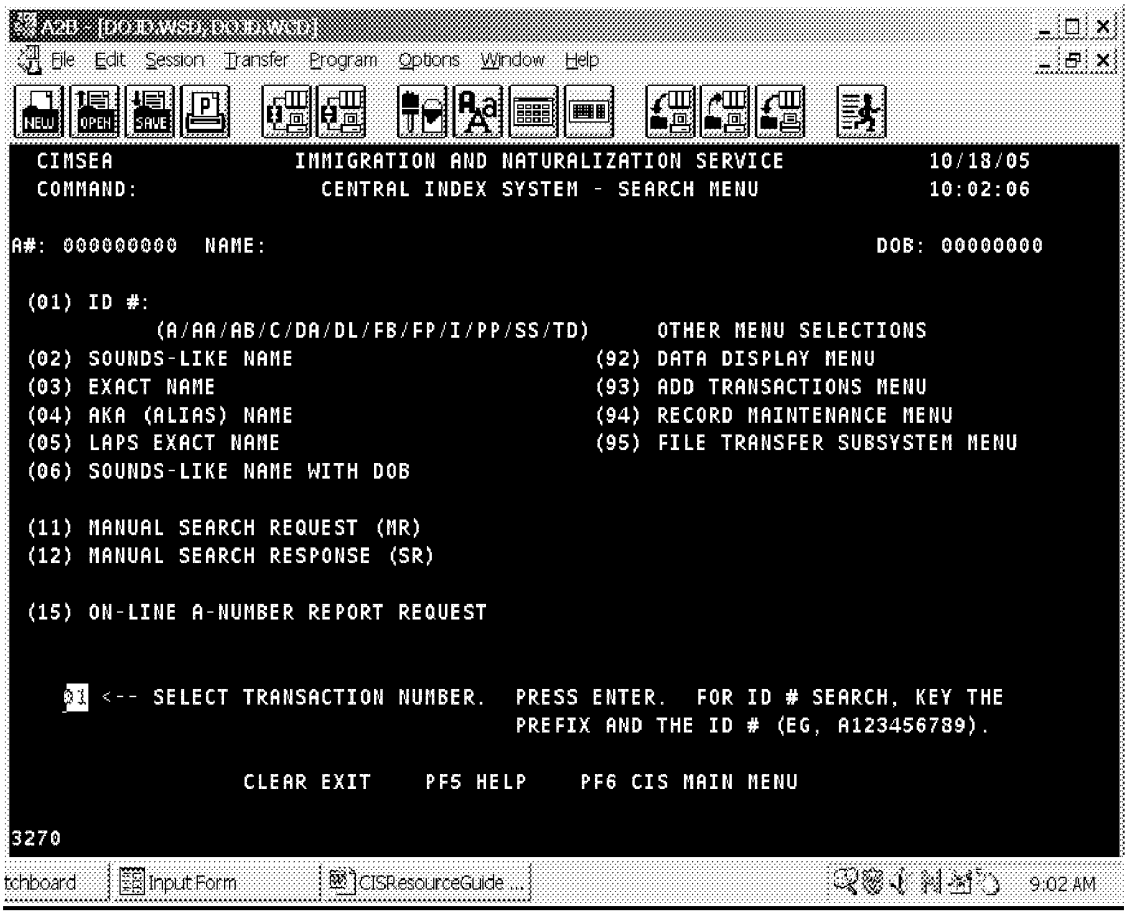
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-Number, certificate number, social security number, passport number etc.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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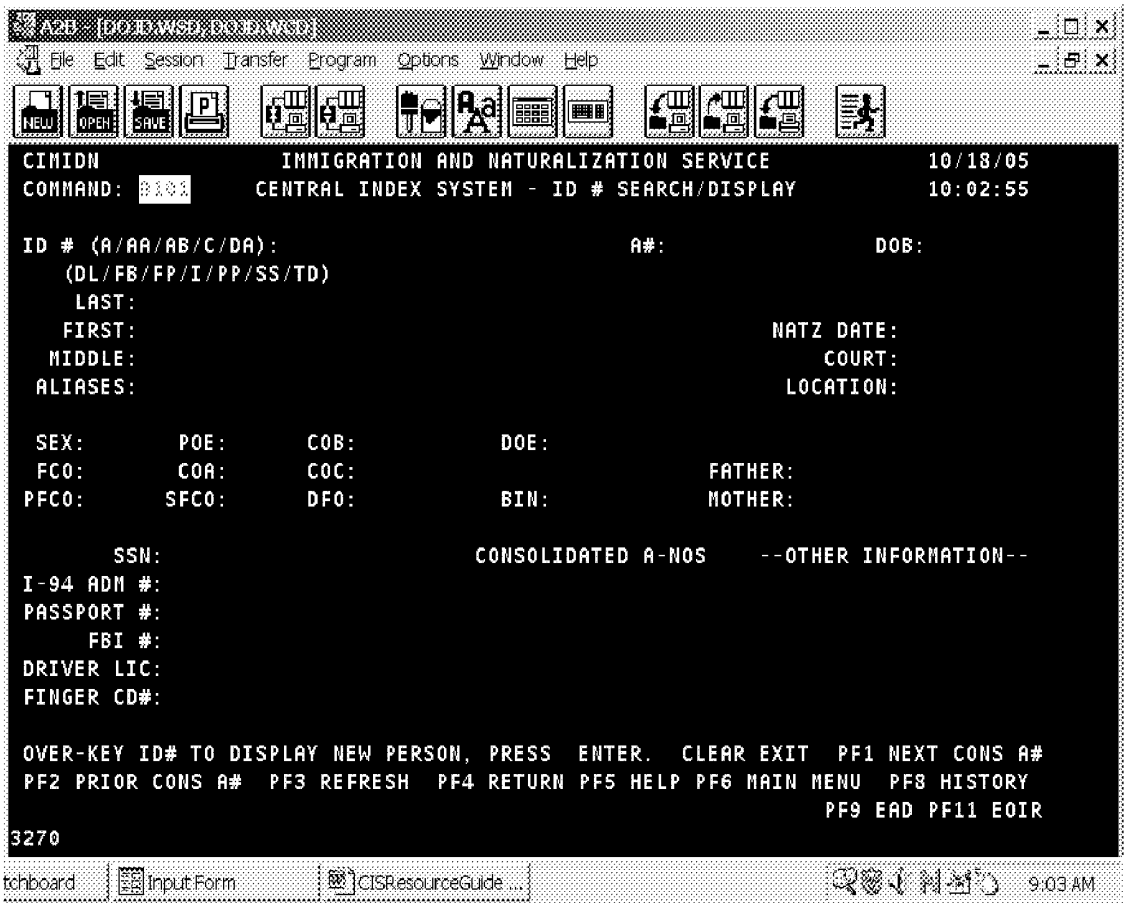
5.1.4.2 Search by A-Number (9101)



In the ID# field enter the appropriate prefix with information (commonly used ID searches, A = A-Number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject, it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. This screen contains information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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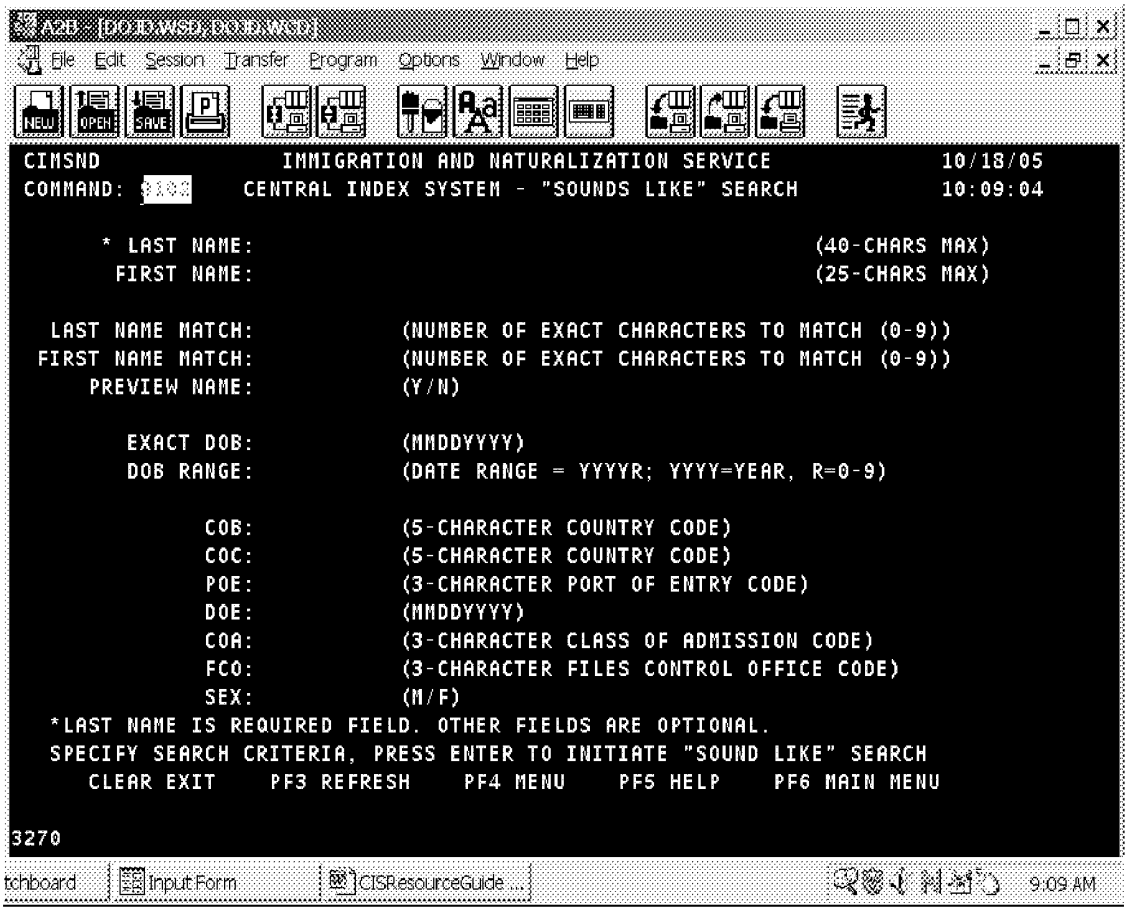
5.1.5 Sounds-Like Name Search (9102)



Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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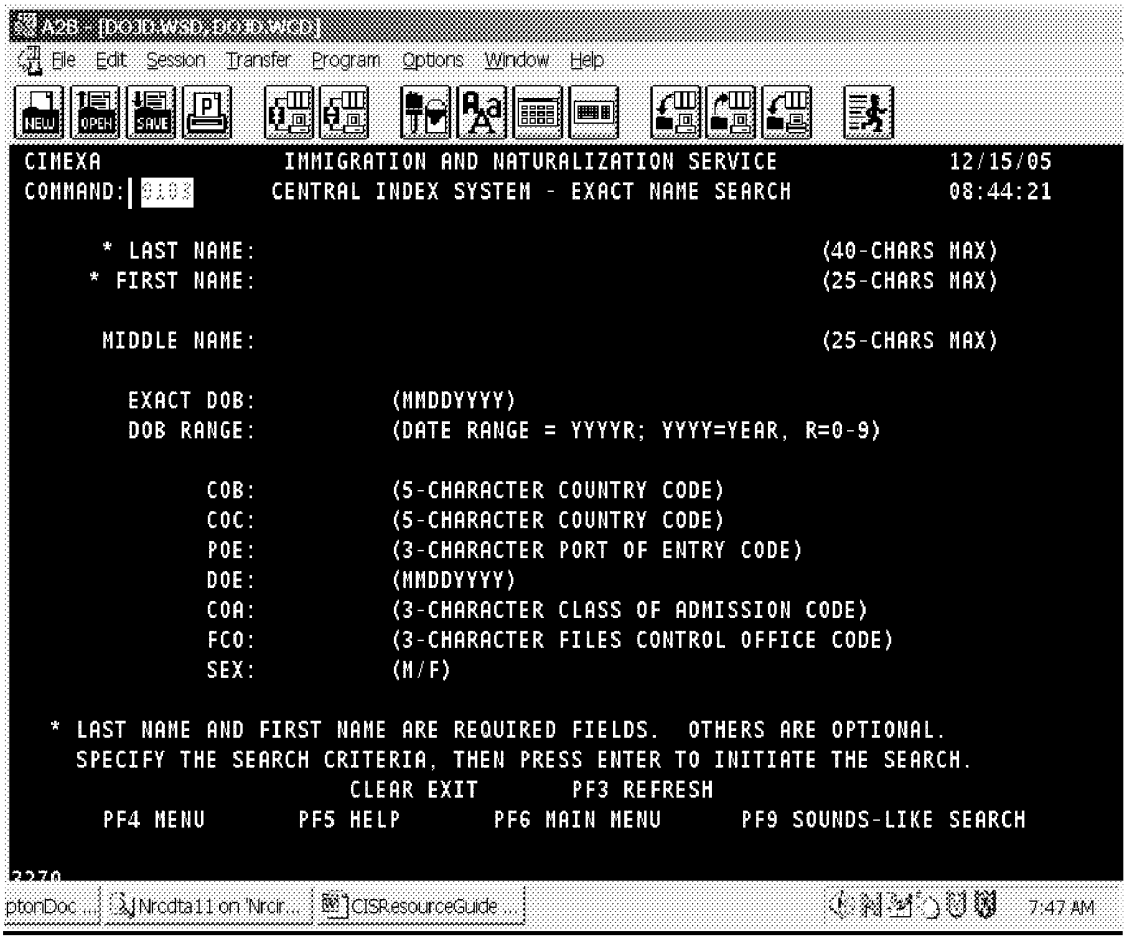
5.1.6 *Exact Name Search (9103)*



9103 is the primary screen used when performing a search based on the subject's name only or the subject's name with a specific year of birth range. The information displayed will be an exact name match.

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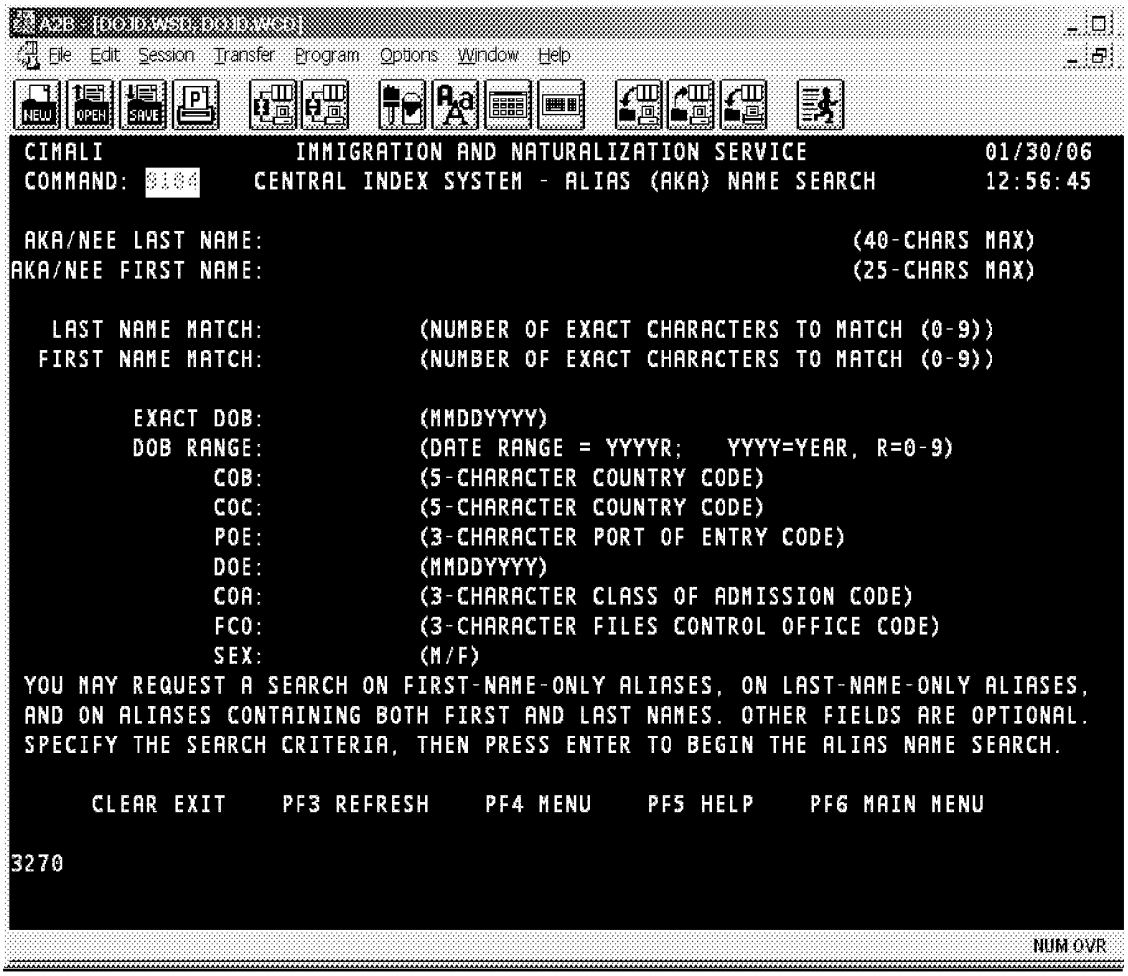
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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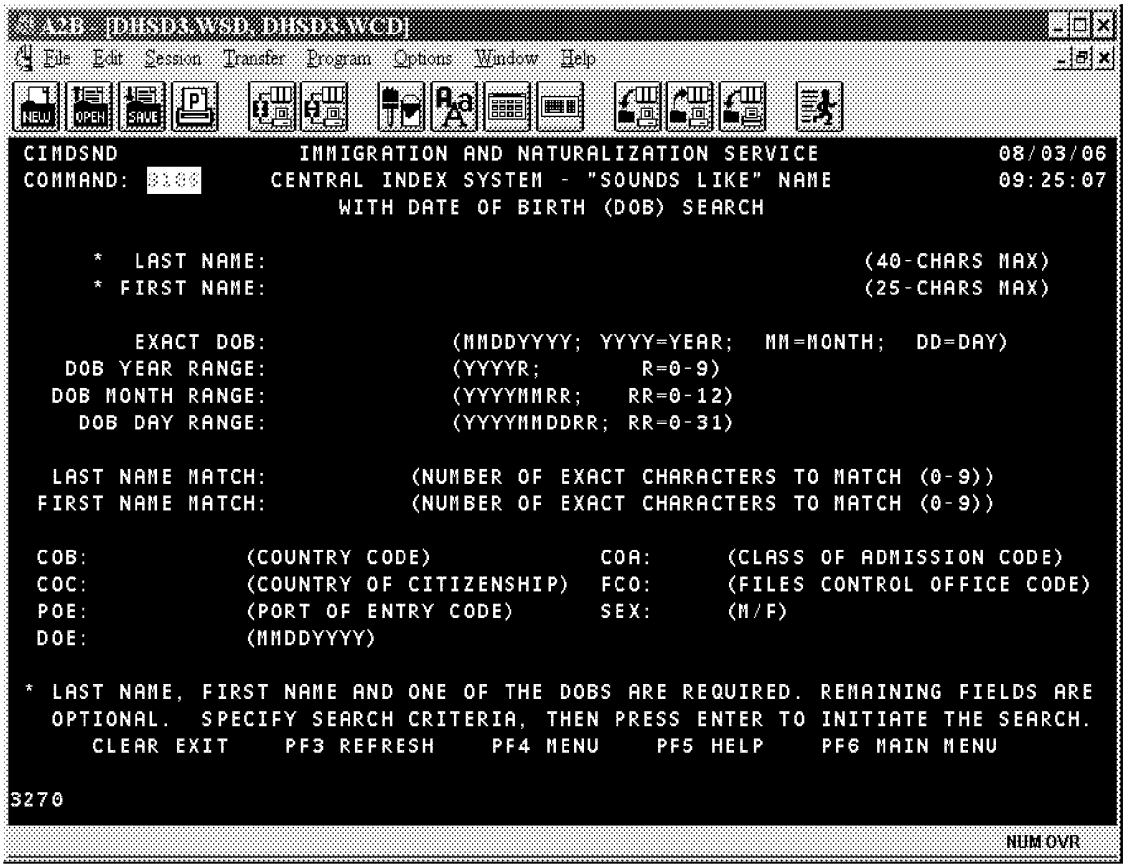
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requester made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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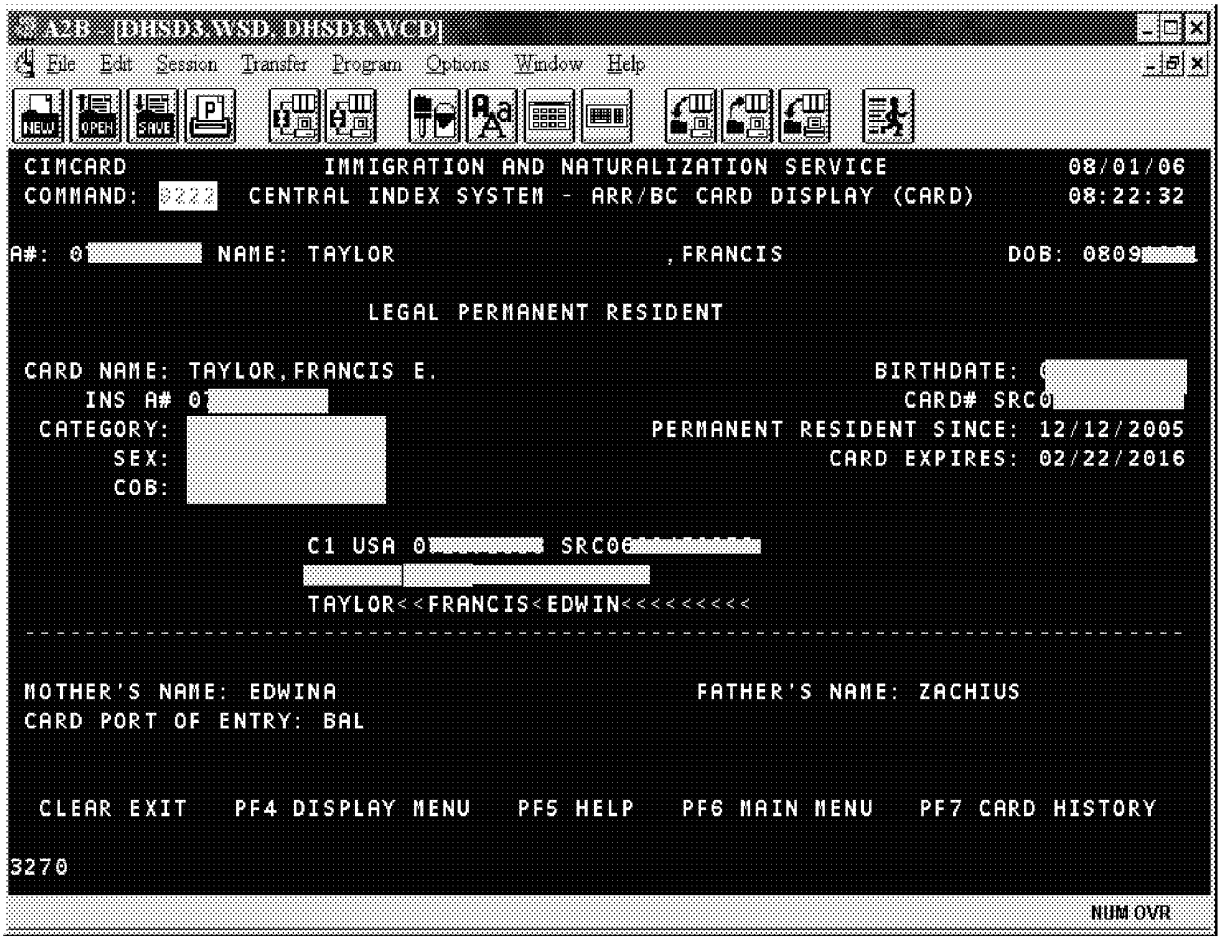
5.1.9 Card Display (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing (BCC) Card information.

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5.1.10 File Transfer Display (9504)

The main purpose of the 9504 screen is to check the location and movement of files. You will be using this screen in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The Tables section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as Class of Admission. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word tables. The next screen displayed will be the Tables Menu Screen.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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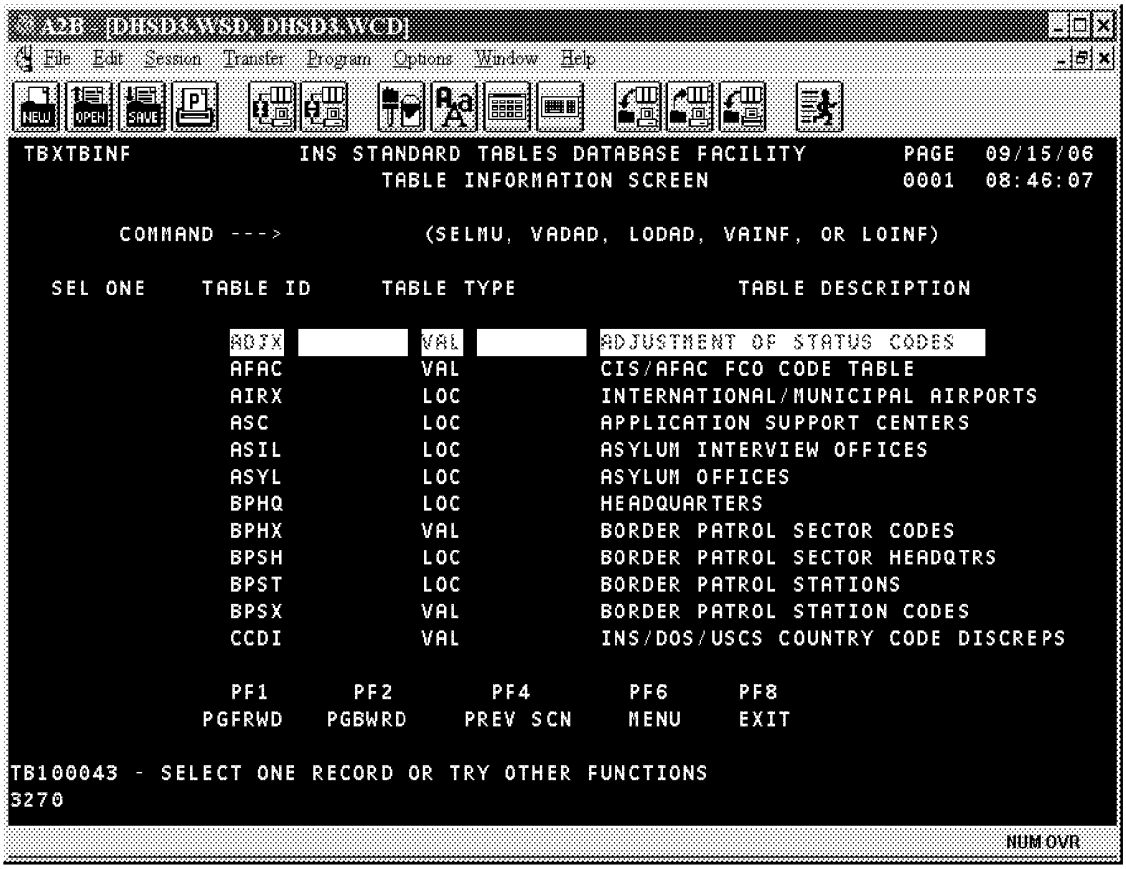
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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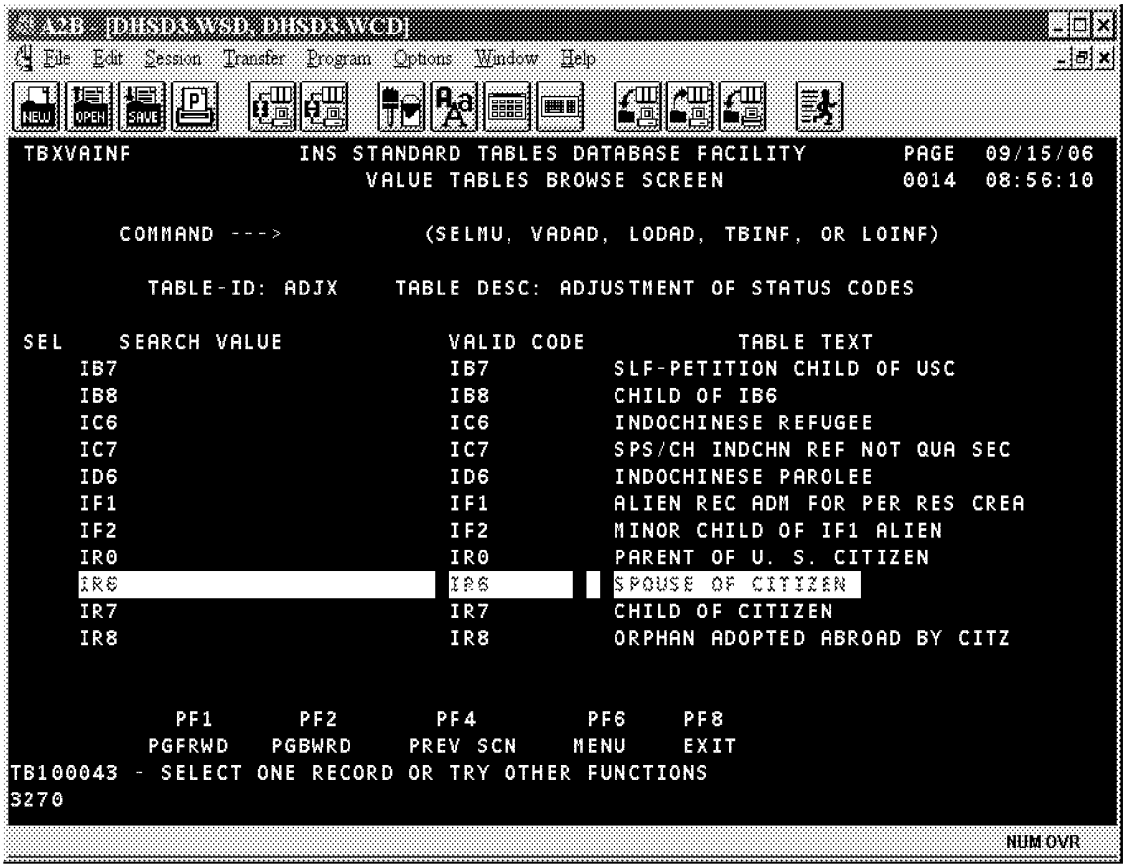
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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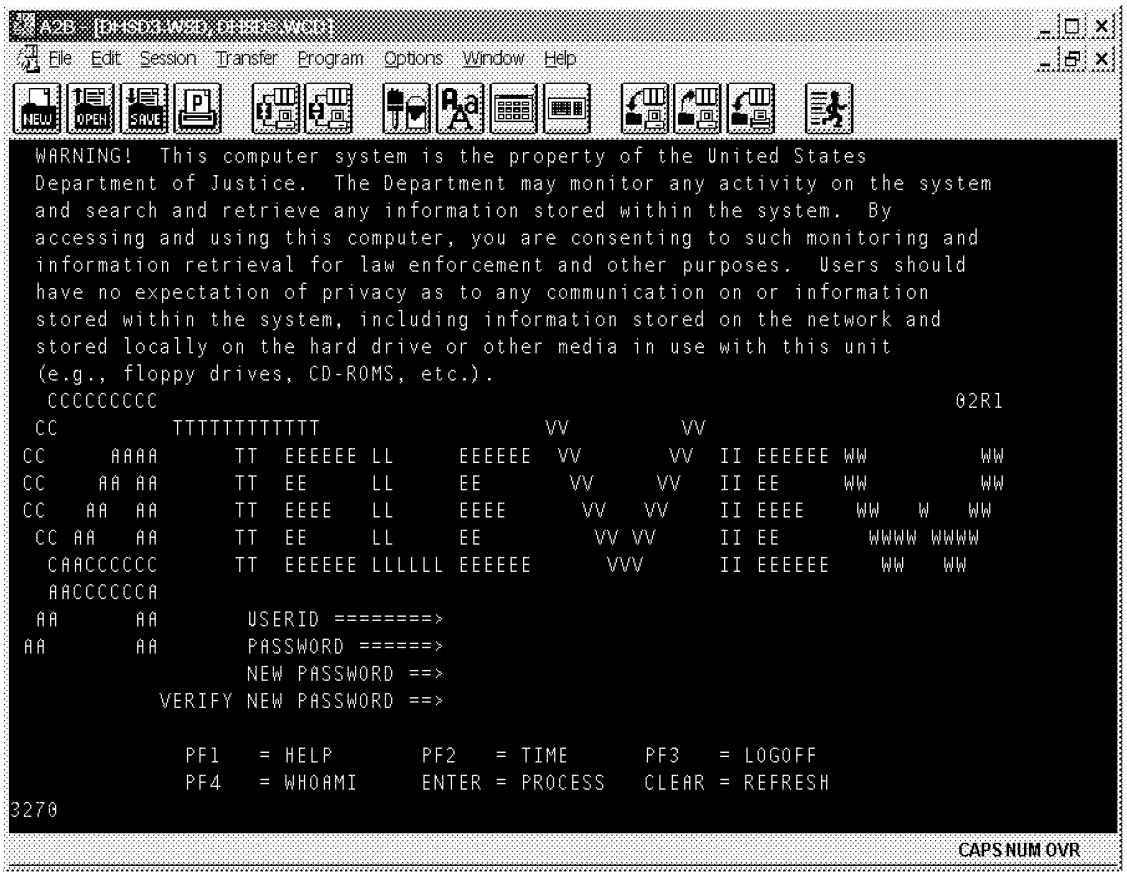
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 TeleView Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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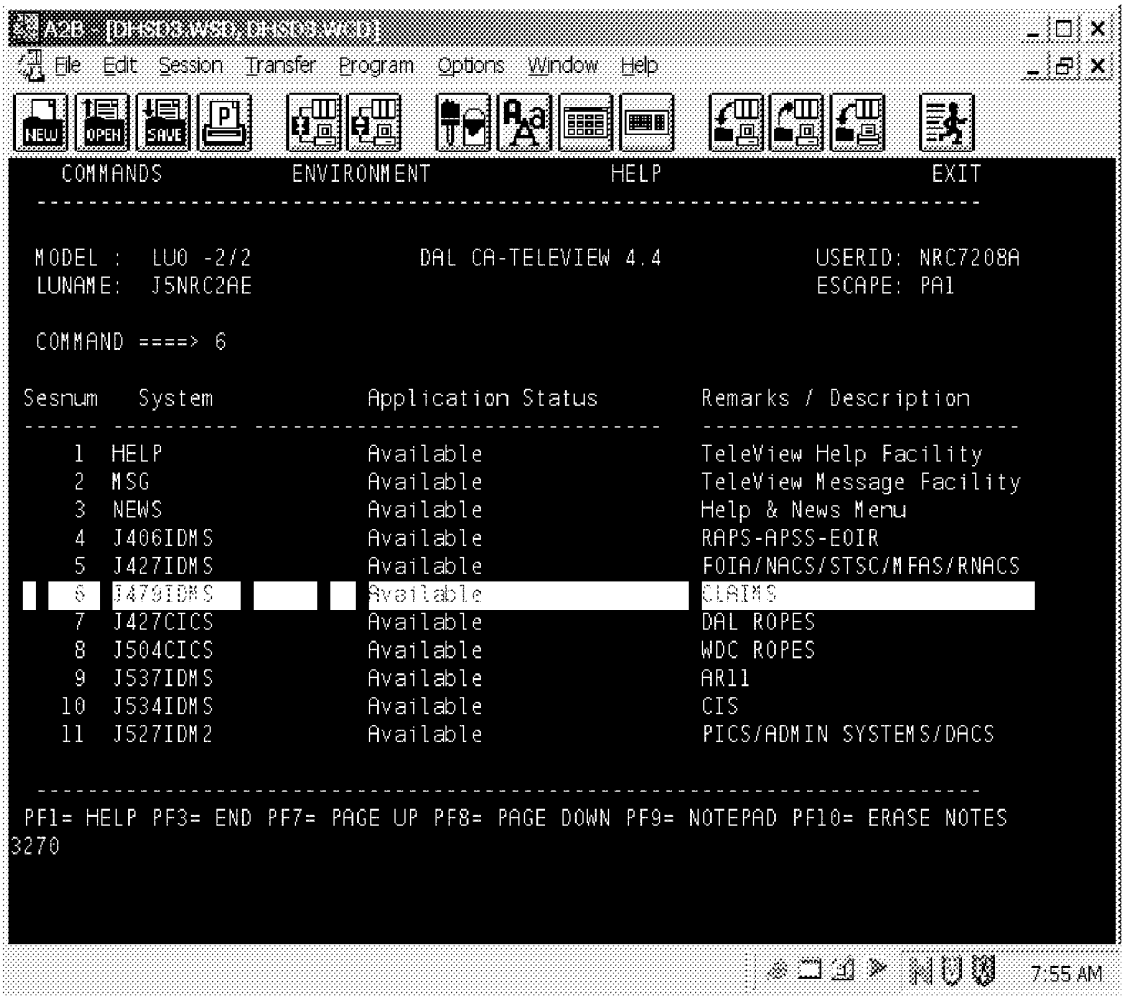
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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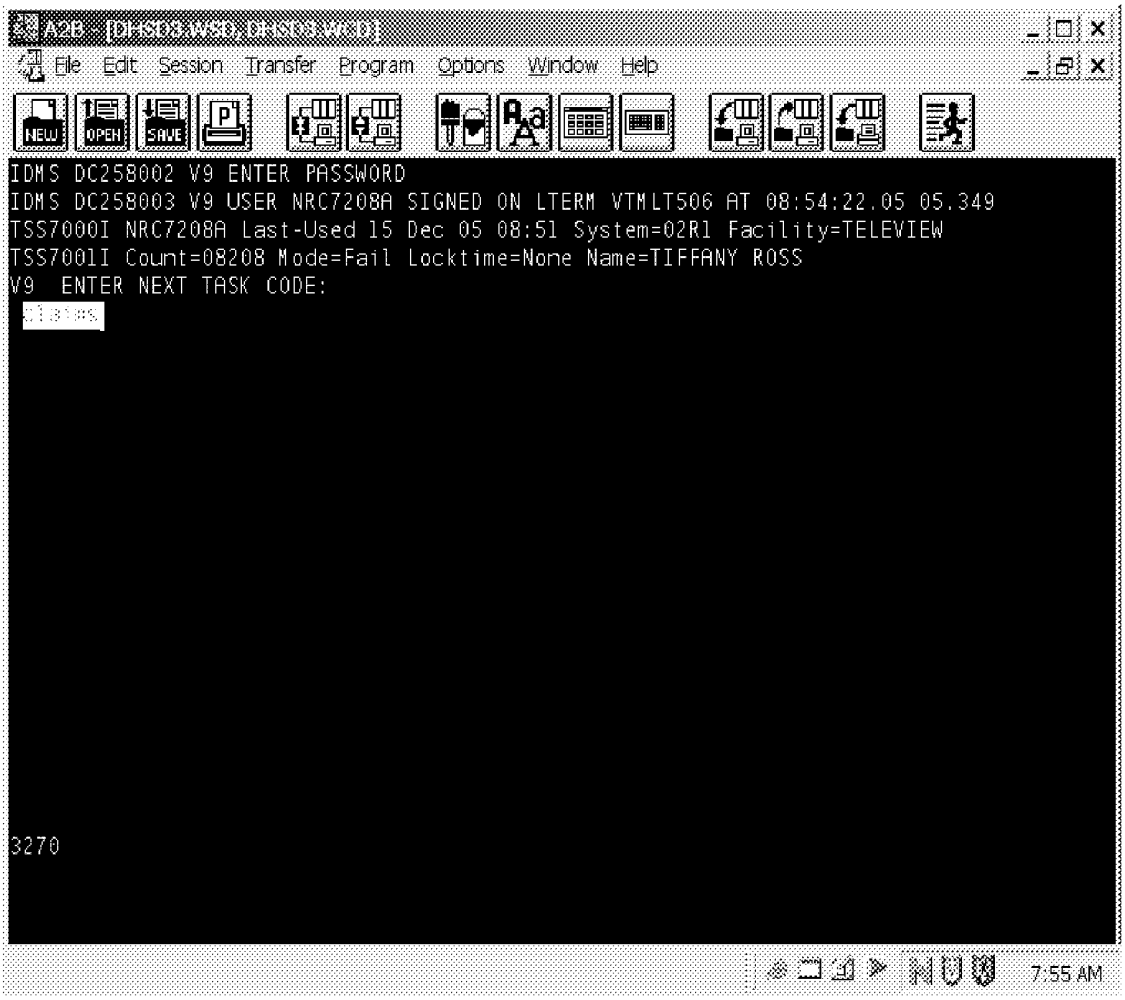
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in "claims" or "fare" and press enter. This screen is not case sensitive.

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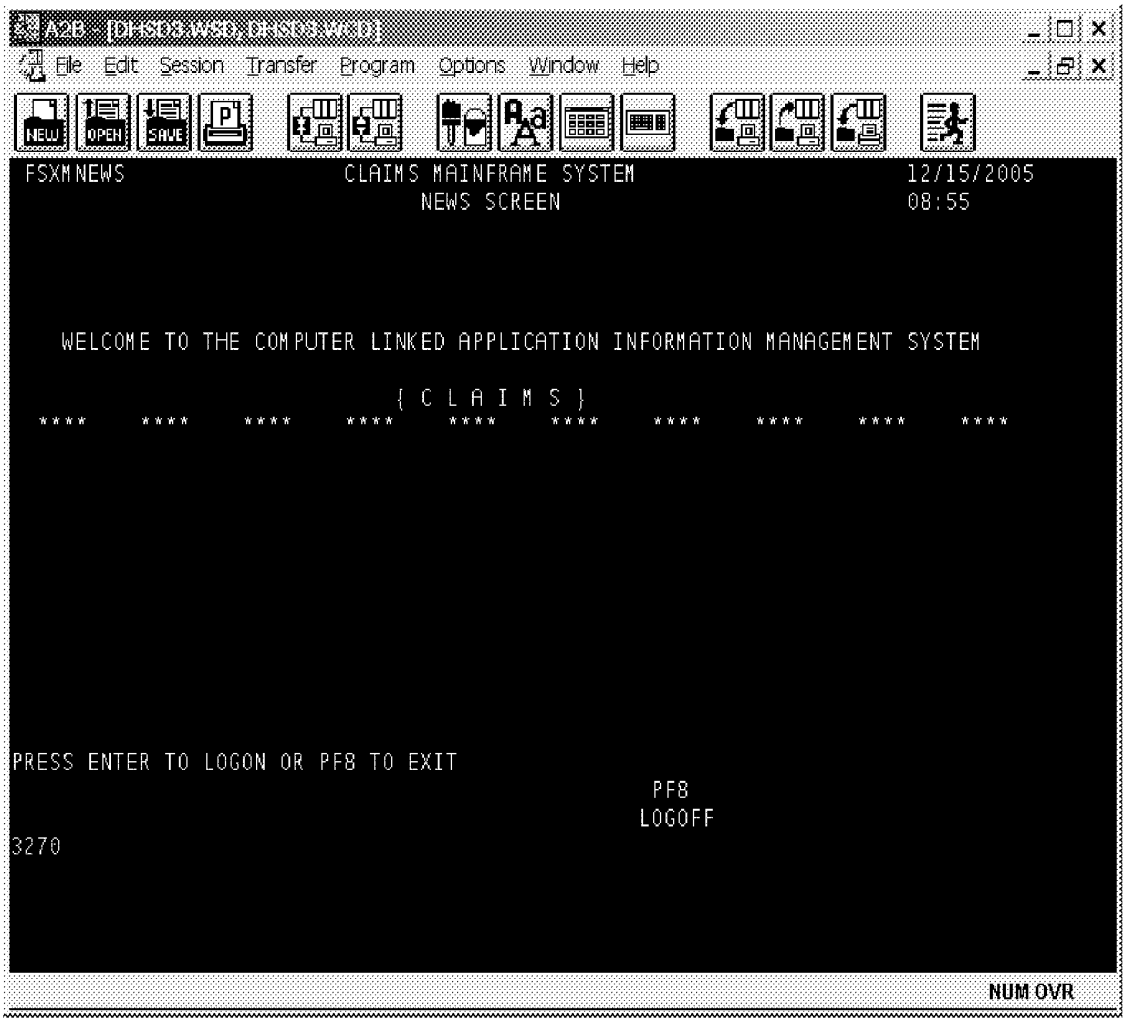
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password. Normally, your password is your last name in lower case. If your last name is longer than eight characters, then your password is the first eight characters of your last name in lower case. Your CLAIMS ID and password do not change.

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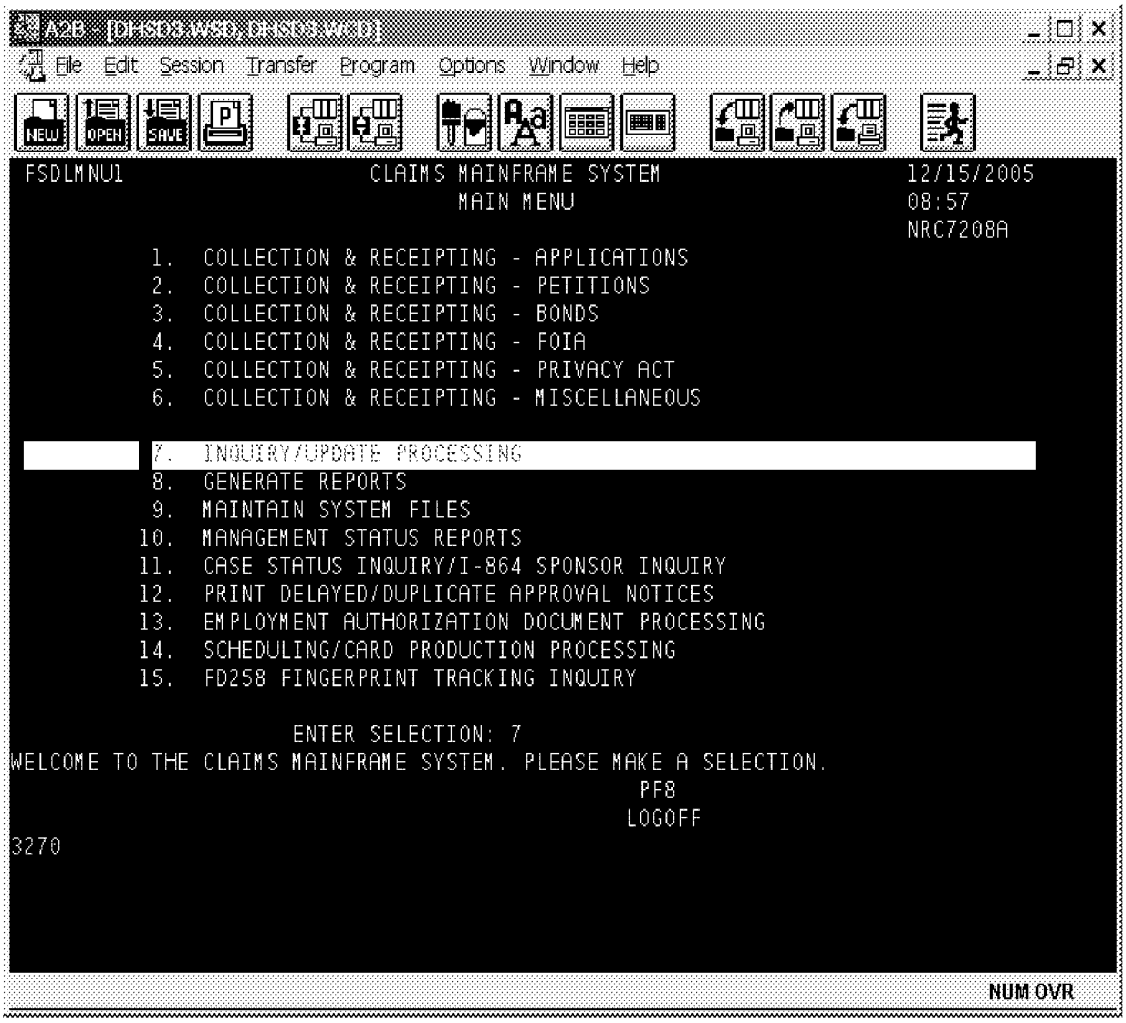
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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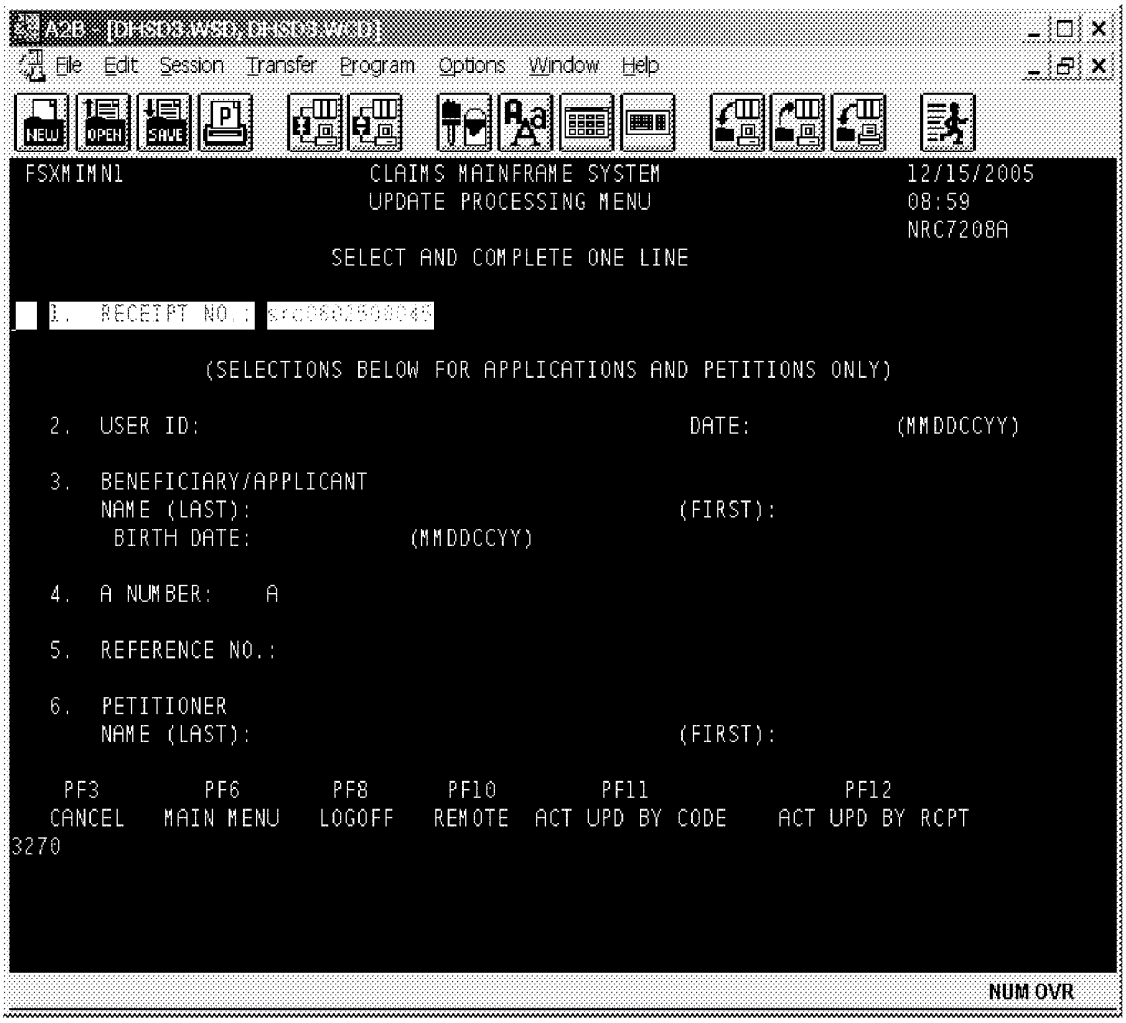
5.2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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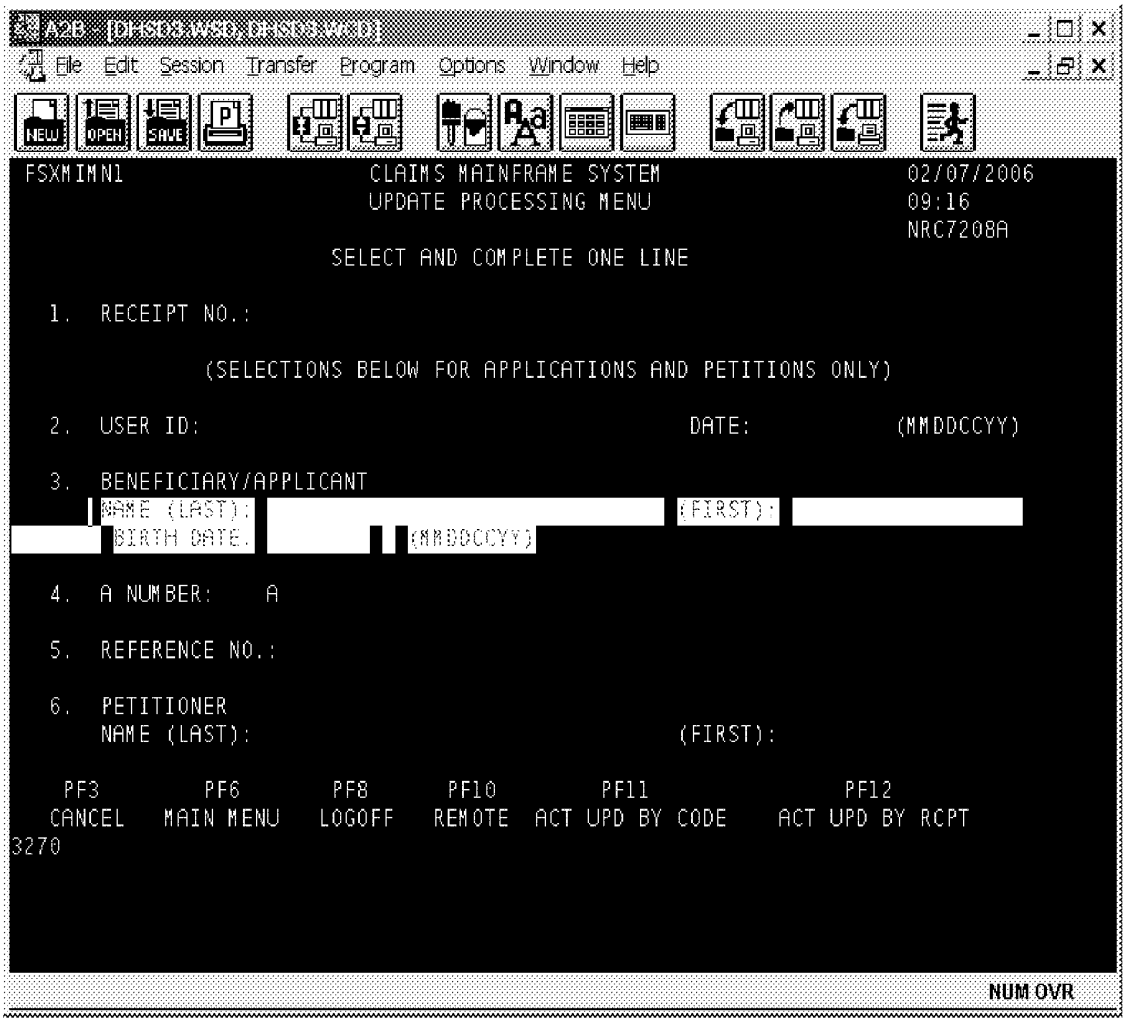
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" or wild card searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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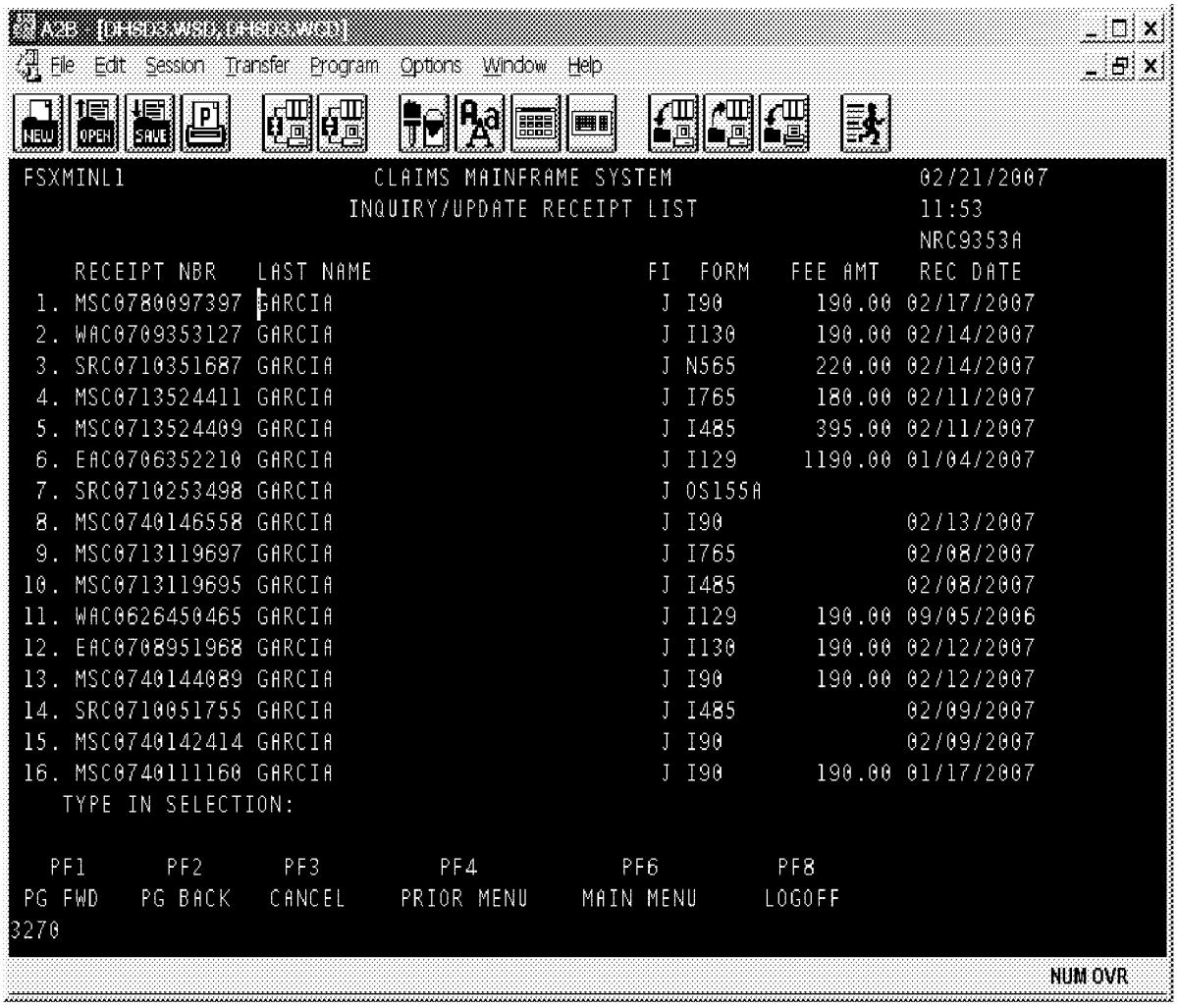

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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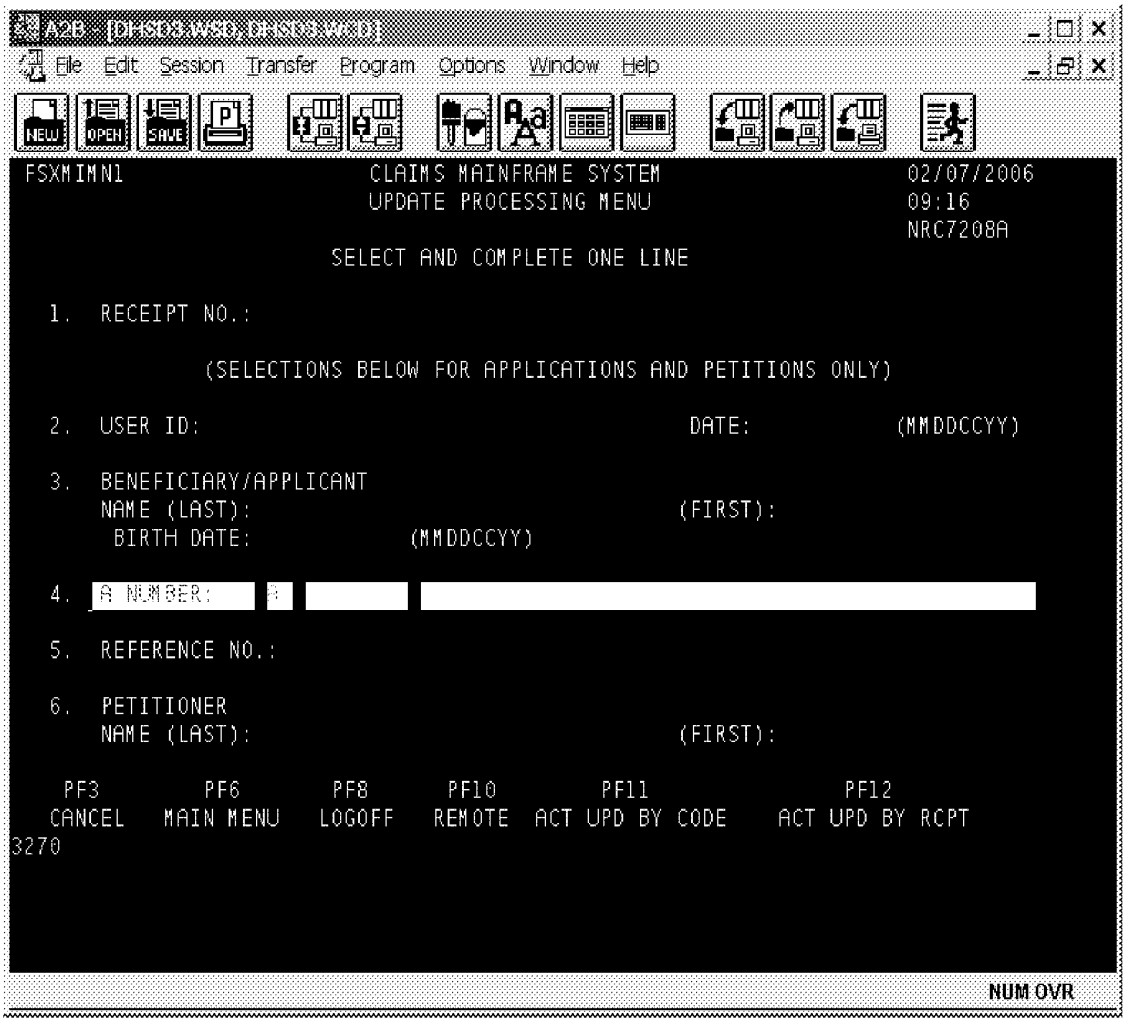
5.2.10 Searching with the A-Number



You may search by A-Number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-Number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-Number, you will not have to worry about it. Note: if you search by A-Number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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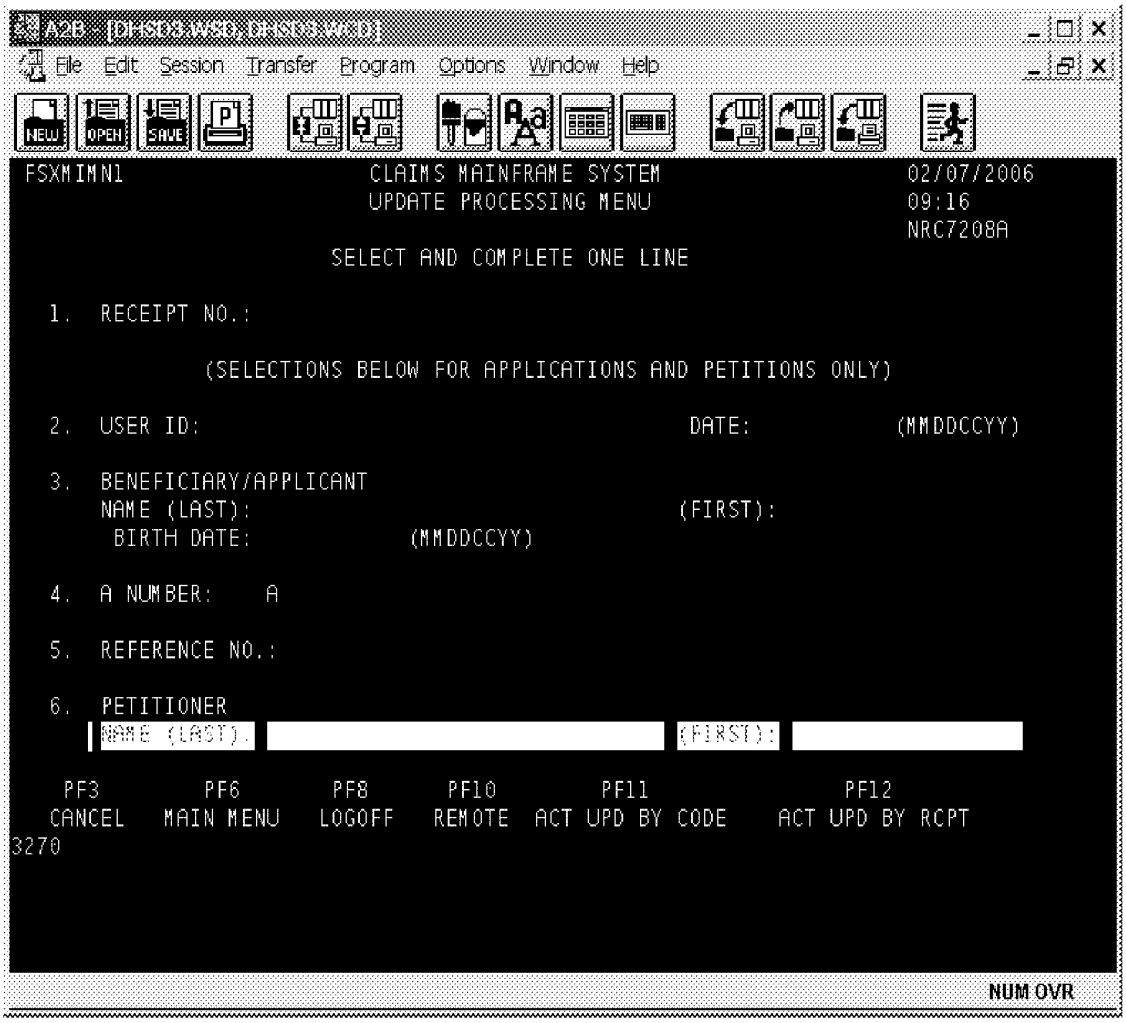
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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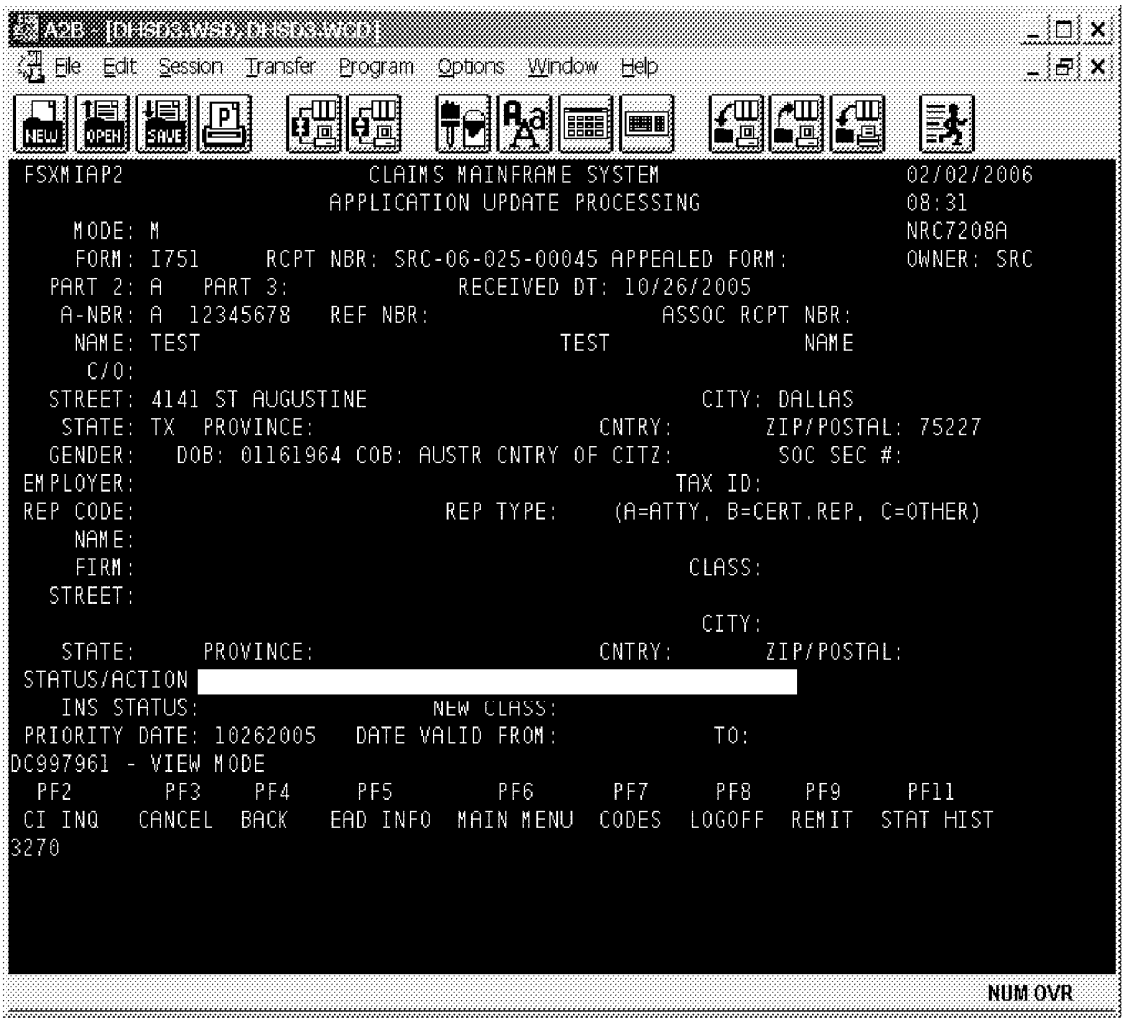
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-Number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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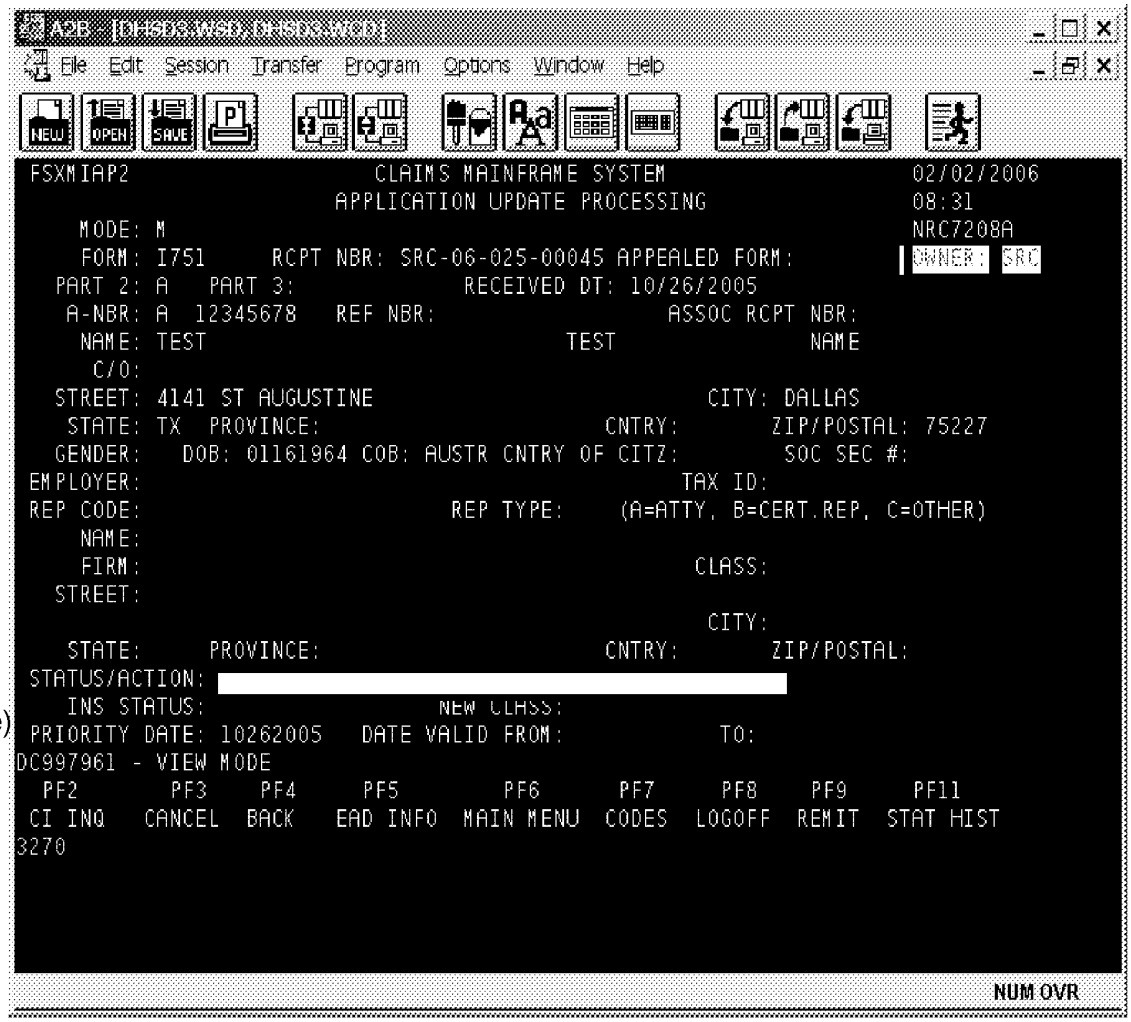

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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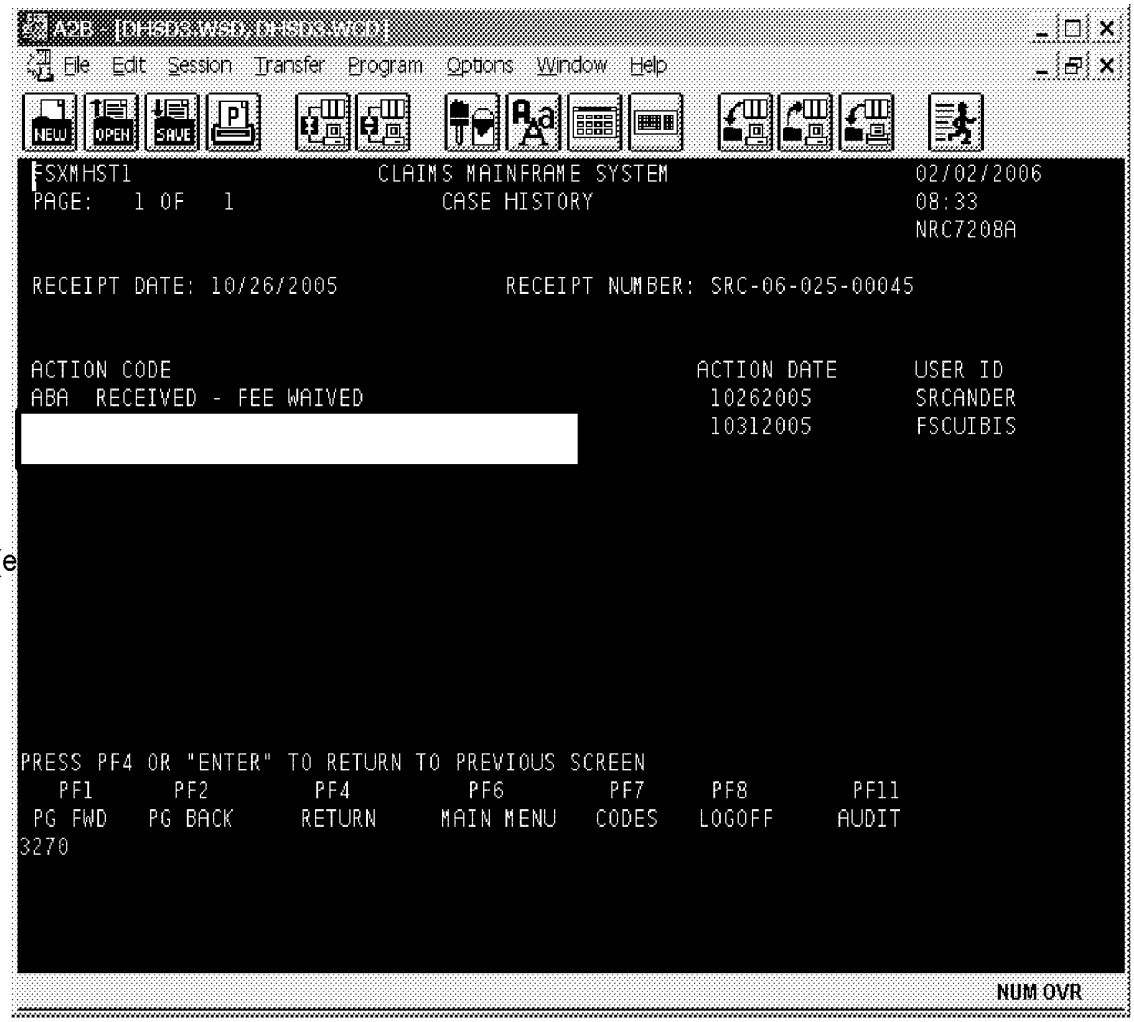

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, rejected or transferred, it may make a difference as to how we staff.

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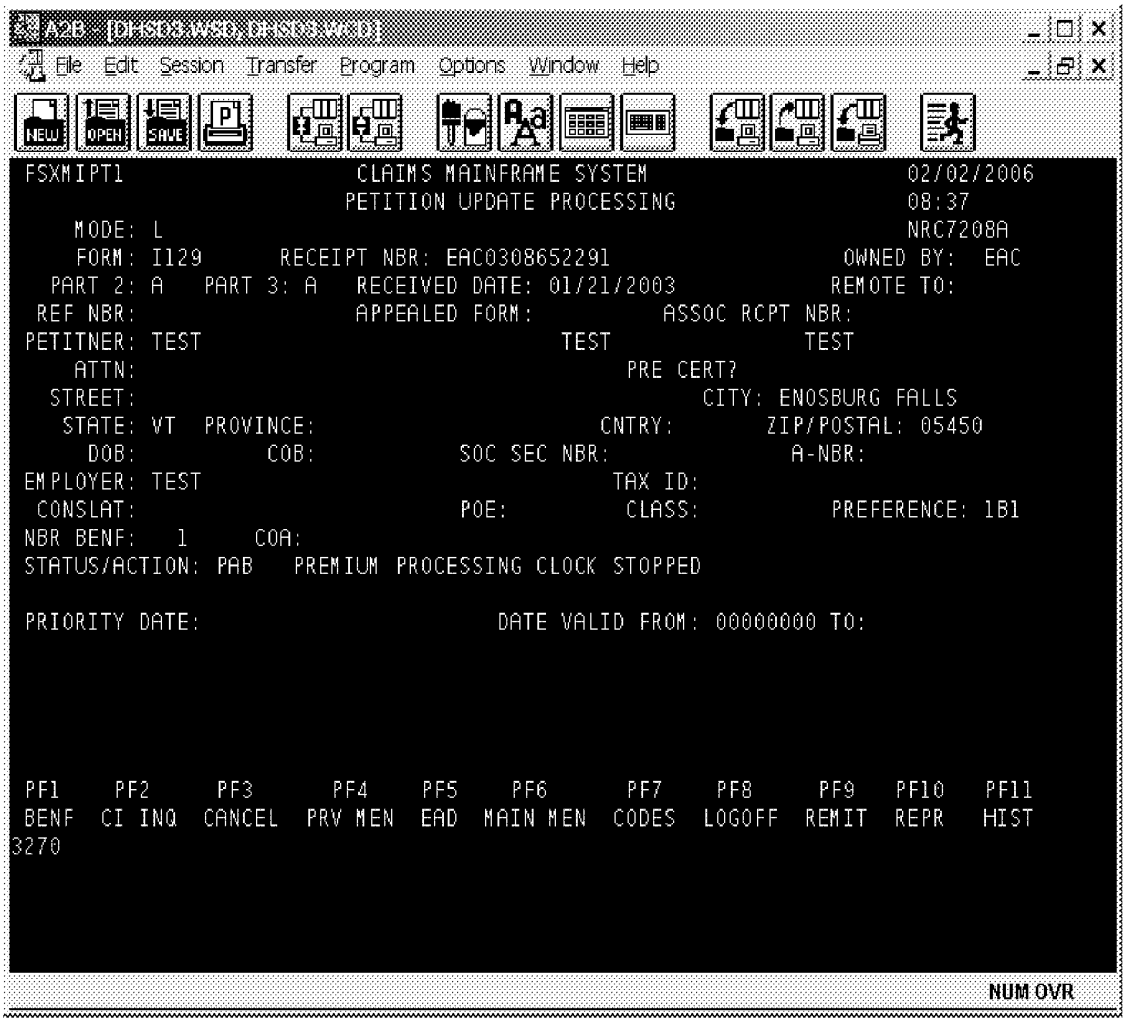
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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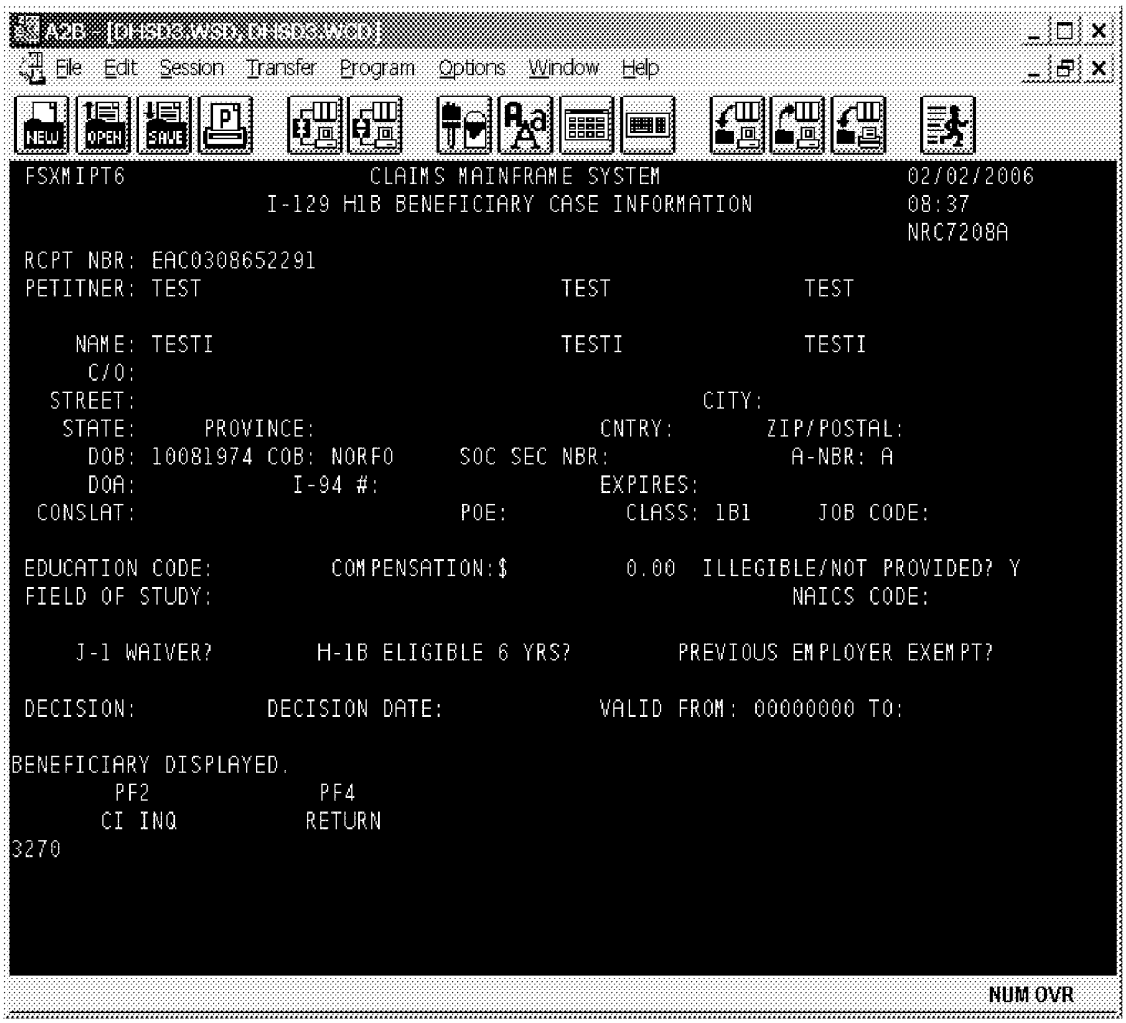
To see the beneficiary information press F1.



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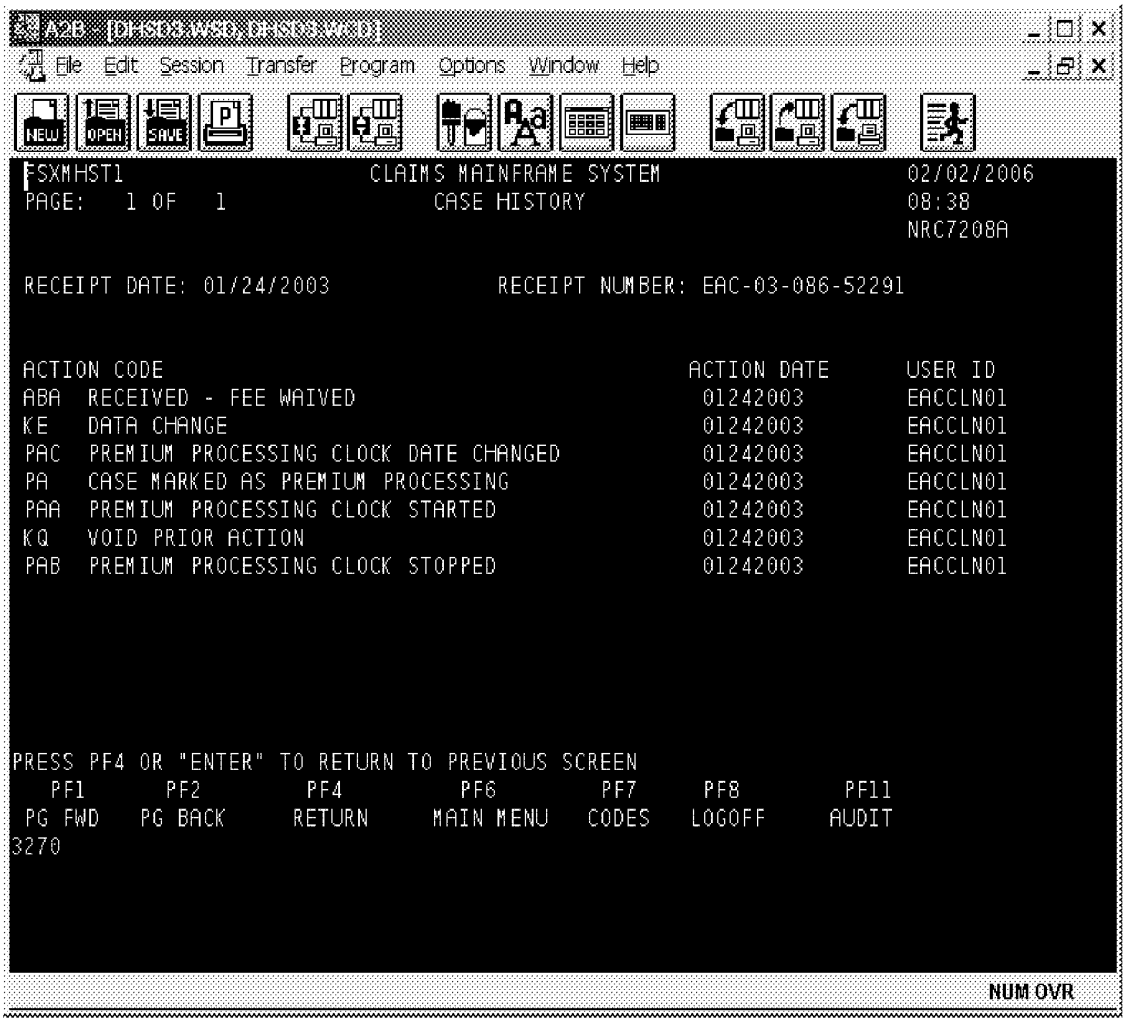
To view the history, press the F4 key to return to the previous screen, and enter F11.



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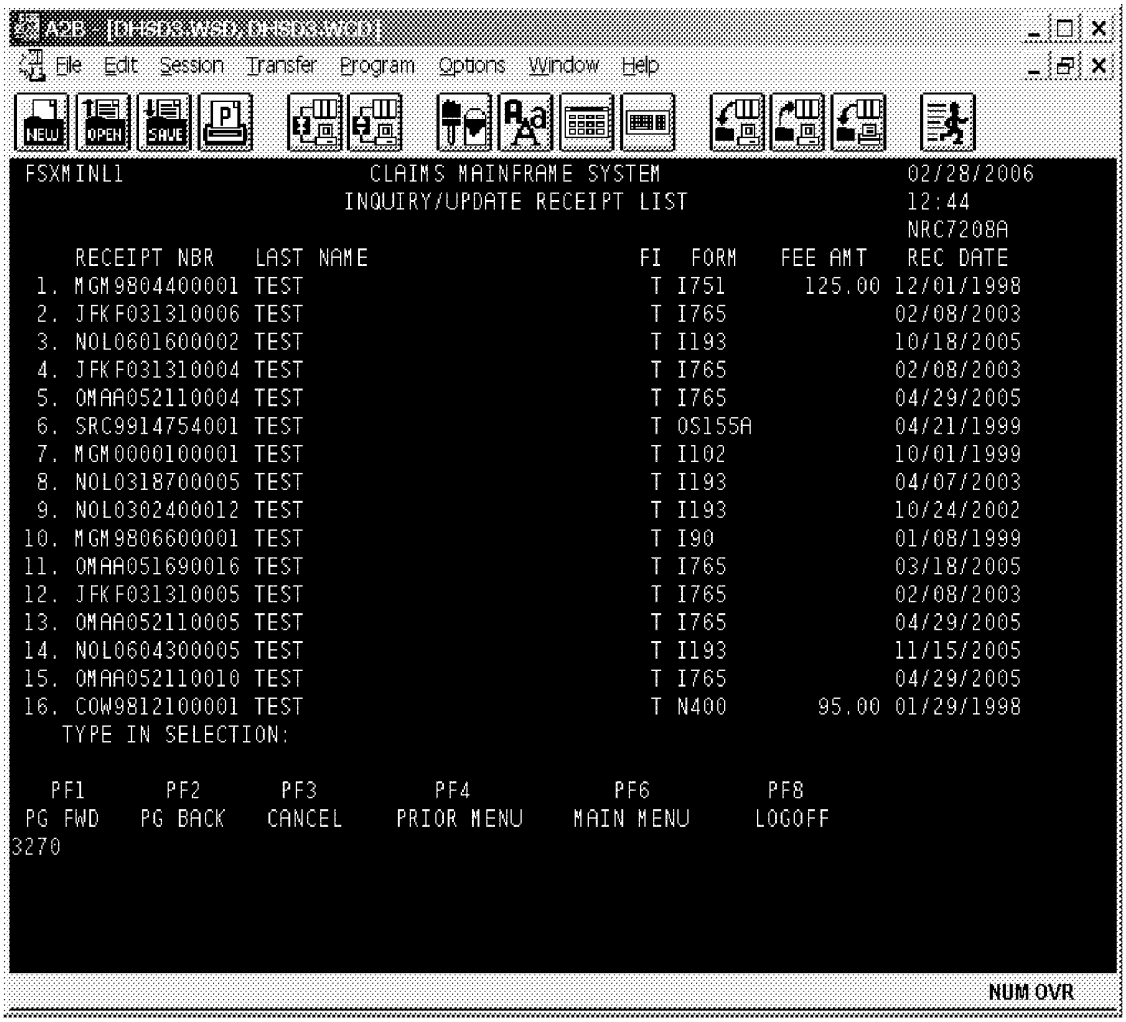

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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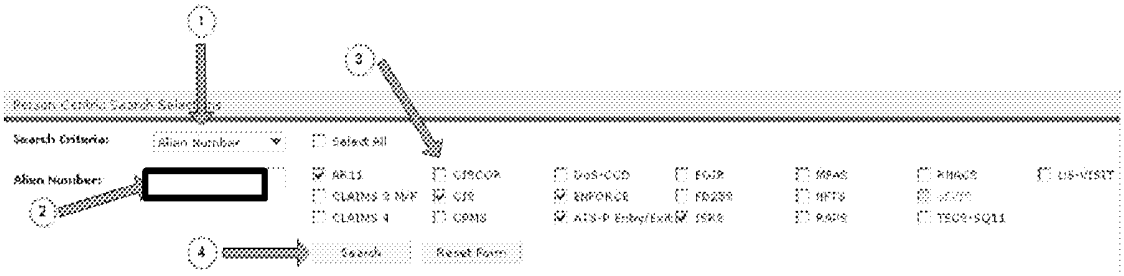
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DOS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq2.esb.uscis.dhs.gov/PCQS/PCQS_User_Guide.pdf



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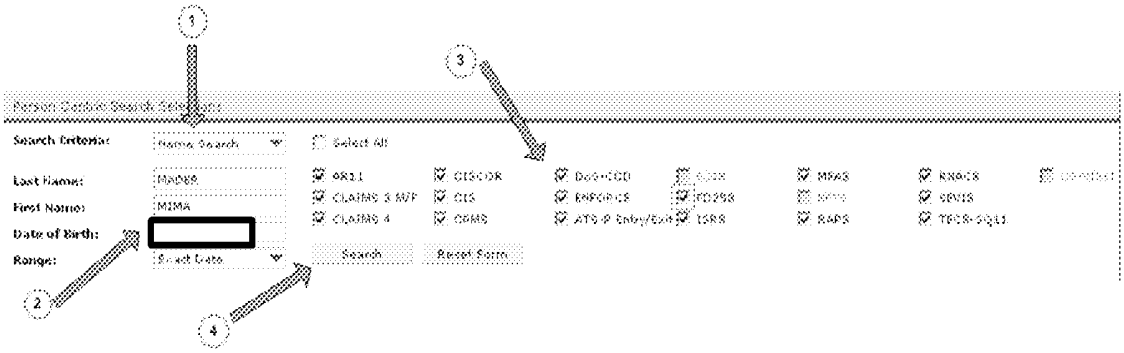

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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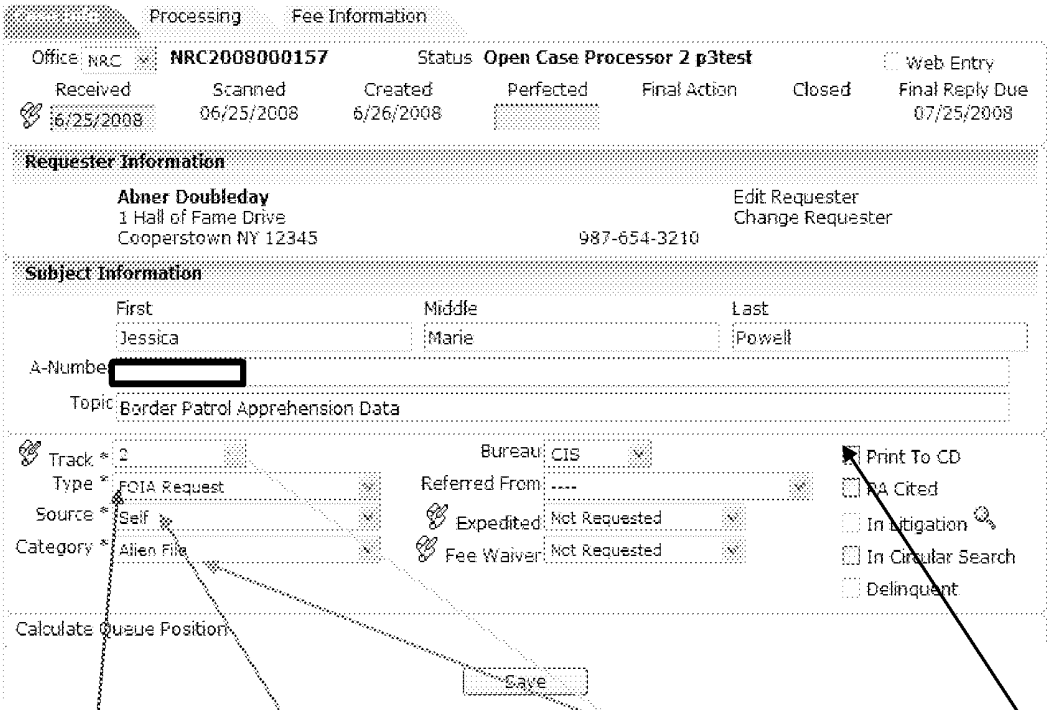

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
• Always FOIA	• Attorney • Commercial • Education/Scientific • Foreign Government • News Media • Others • Representative • Self • White House/Congressional		• Alien File • Asylum • Specific Documents • Non A-File Material • Personnel • Special Interest Group • SFR cases at NRC	

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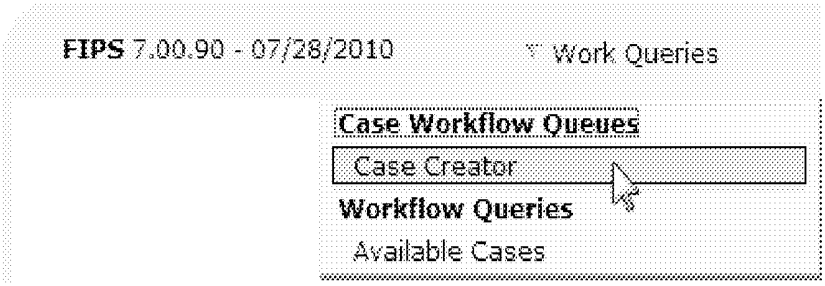
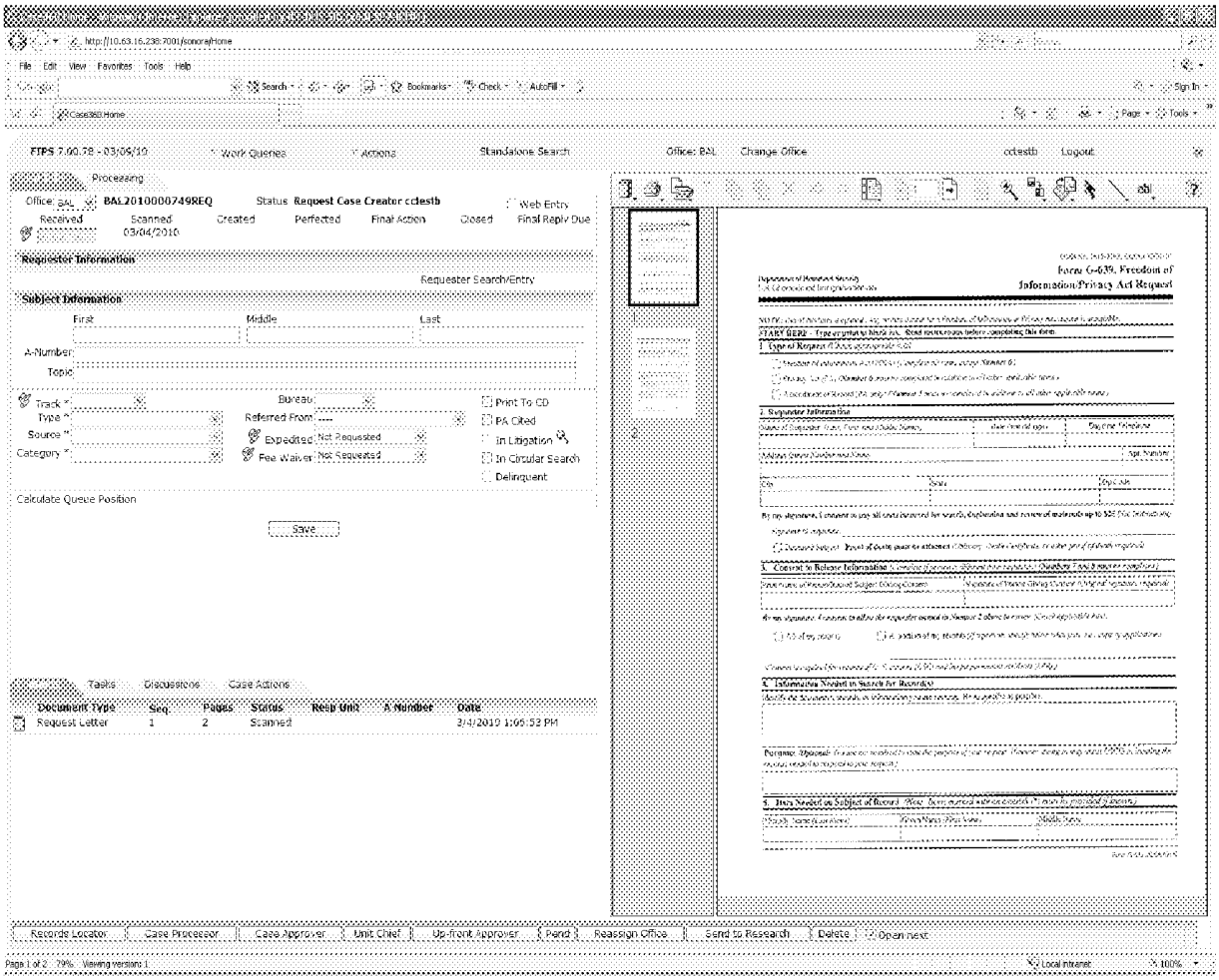
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Seq. 1 is the "Request Letter" and any supporting documents submitted with the request to include the mailing envelope. There will be a date and time in the right column. In older cases, the supporting documents may show in sequence 2 as Request Supporting Documents.

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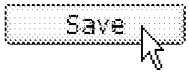
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be only a letter from the subject of record or the attorney. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

If you find two or more unrelated requests scanned into one request slot:

A. Create one of the cases.
B. Search to see if the other subject has an active case.
C. If you find an active case for the 2nd request, create a Discussion note explaining – no further action required.
D. If you do not find an active case for the 2nd request:
    a. print the request and attach a Scan As sheet noting it is a new request ,
    b. take it to OA to be scanned as a new request,
    c. create a Discussion note.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case: requester name and address, subject name, Track, type, source, and bureau.

If you are going to be away from your desk for 15 minutes or more, it is a good idea to check in your documents and log out of FIPS. It does not usually take very long to log back into FIPS and check your documents out again – in fact, it will save you time and effort. If you forget to log out and come back after a prolonged absence, you might possibly be disconnected from the server and not know it. When disconnected from the server, FIPS sometimes allows you to continue working but as soon as you attempt to save or check in a document, it will send you to the log-in screen and you lose the work you have done.

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 If the requester provides an alien number (which we will refer to as "A-Number,") you should first verify that it is the subject of the request and that this is not a duplicate case. After entering the A-Number in FIPS, copy the number you entered and open CIS 9101 screen. Enter 'a' on the number line, paste in the A-Number after the 'a', and press enter. Verify that the subject shown in CIS matches the subject listed on the request. Next, open NFTS, enter 'a' on the number line and paste the A-Number after the 'a', and press enter. This will show you the current location of the file. If the requester did not provide an A-Number, you should search by subject name and/or requester name by entering the information on the search screen and checking the boxes to use them in the search. If the requester provided multiple A-Numbers, you should verify that each is for the subject and

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then search by each file number. You may discover that two A-Numbers have been consolidated. In that case, you use the surviving A-Number only.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request. If Jr. or Sr. applies, make sure it ends with a '.' (period).

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company. For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens and Baker" as the requester name.

6.1.1.5 Do not hyphenate names. For instance, if the requester has written his or her last name as "Ortega-Ramirez," you should enter that name in FIPS as "Ortega Ramirez," omitting the hyphen. This saves time by permitting a person researching cases to enter "Ortega Ramirez" without having to guess if the case creator hyphenated the name.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for the requester name.

6.1.1.7 Please add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. If you do not find the person by exact spelling, you might look at the mothers and fathers last names, if provided. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%que%" and Subject First Name "Jaime." You may also need to search by variations of the first, middle, and last names – they may be in a reversed order in CIS.

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Some names may be found in CIS with a different sequence or combination of the first, middle, and last names. If you are unsure consult a co-worker, or supervisor.

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the requester in Section, "*Requester Information*." Please do not use the address on the envelope, or Form G-28 or letterhead as the requester address without first speaking with a supervisor about it. You may use other request documents to verify what is shown as the requester address on the request, if the address on the request is a foreign consulate office, or is a congressional office, (we cannot send mail or create FOIA cases in the name of a foreign consulate or a congressional office) then you may use the address listed on the G-28, or other documents in the request, such as an envelope -– If there is a cover letter or other document specifying that the records should be sent to a different address than consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. Something that is evident to you because you have been creating the case might not be immediately obvious to a supervisor or processor who has just opened the case. Please keep in mind that if you have done something out of the ordinary, adding a Discussion note will clarify your thought process and your decision. If there is a cover letter or other document specifying that the records should be sent to a different address than the one specified on the request, use the one they state should be used. If you can find no other address, be sure to add a Discussion note to the case and send the case to Unit Chief (which we will frequently refer to as UC). If addresses are difficult to read or unclear, you may go to

A. http://zip4.usps.com/zip4/welcome.jsp to verify that it is a valid address and the format that should be used.
B. http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides similar address information for Canadian addresses.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The

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issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief without any staffing or acknowledgement letter. Be sure to add a Discussion note to the case titled 'Missing address.'

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney. If the attorney's name is part of the firm's name, then the first line of the address should be "Attorney at Law." If the attorney's name is not part of the firm's name, then the firm's name should be the first line of the address. For example, if the requesting attorney is Manuel Solis, and the firm's name is "Law Offices of Manuel Solis," the first line of the address should be "Attorney at Law." For another example, if the attorney's name is Spiro Serras and the firm's name is "Wilens and Baker," the first line of the address should be "Wilens and Baker." If the address on the request is a residential address under the name of someone other than the subject or requester, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the requester or subject name on the request as living at that address, the mail will be returned. Using 'c-o' (in care of) allows USPS to deliver the mail to that address as long as the person listed receives mail at that address.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country and postal code. You must complete these at least the city and country name fields to ensure proper delivery. Some foreign countries also require postal codes.

This link (http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides address information for Canadian addresses. Also http://bitboost.com/ref/international-address-formats.html#Formats can be used to find the proper format for foreign addresses to ensure you have the needed information in the correct format.

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If a foreign address has no postal code and FIPS will not accept the address without it, add an '-'as the postal code. It may also be necessary to view the return address on the envelope to see how the address should read because their address formats are different than ours. A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. The following places should use standard U.S. mailing addresses because they are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information. Searching by last name and first name brings up more exact matches. Changing the frequent requester indicator to 'either' will search for both regular and frequent requesters. Refer to the rules in section 6.1.1 for any questions on searching for requester information.

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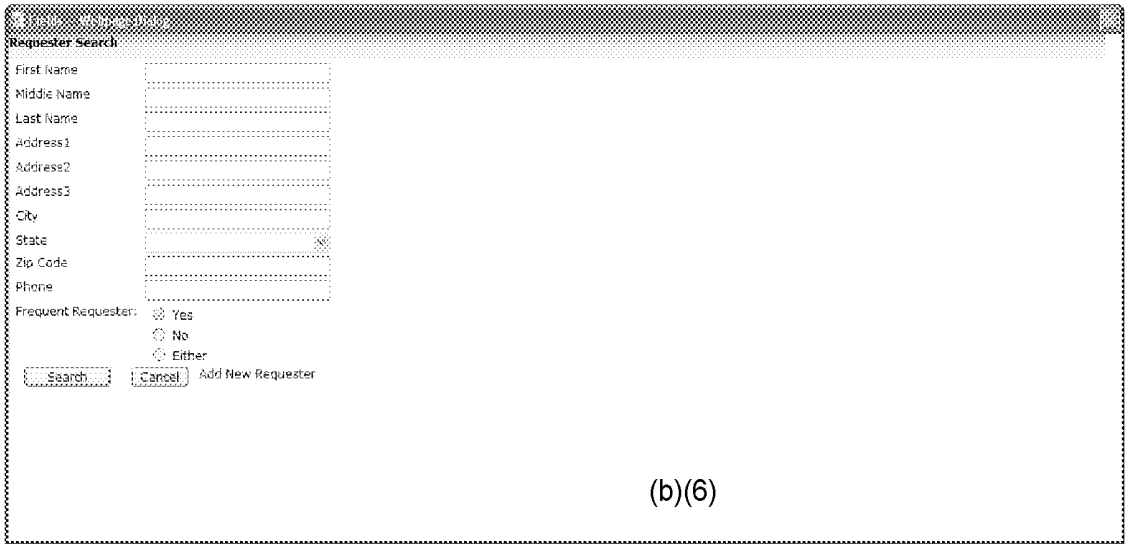
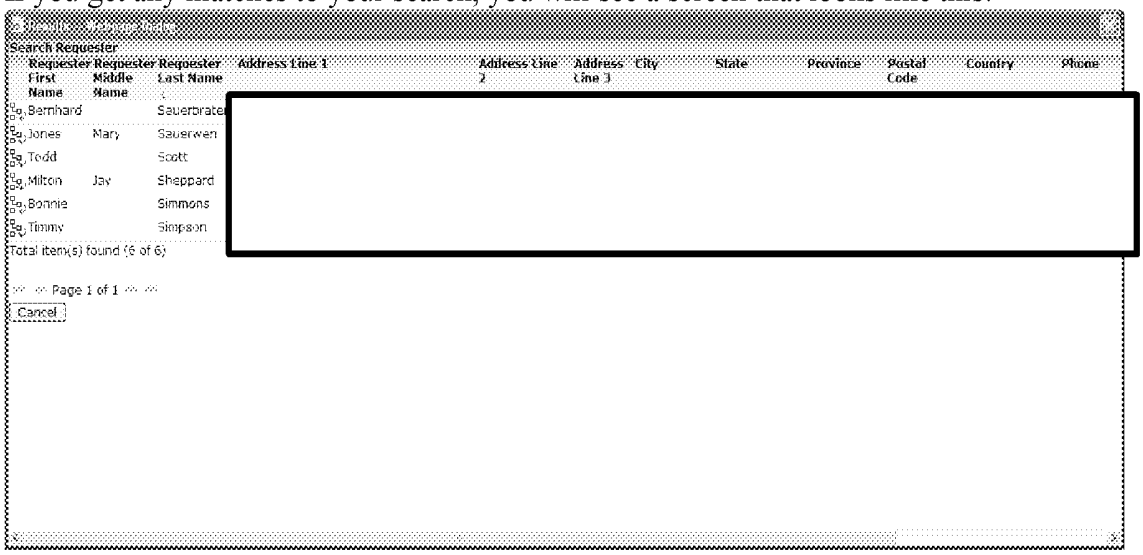


(b)(6)

If you get any matches to your search, you will see a screen that looks like this:



If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name. Make sure the address is an exact match, including any apartment or suite number – just matching by names causes problems when addresses don't match exactly.

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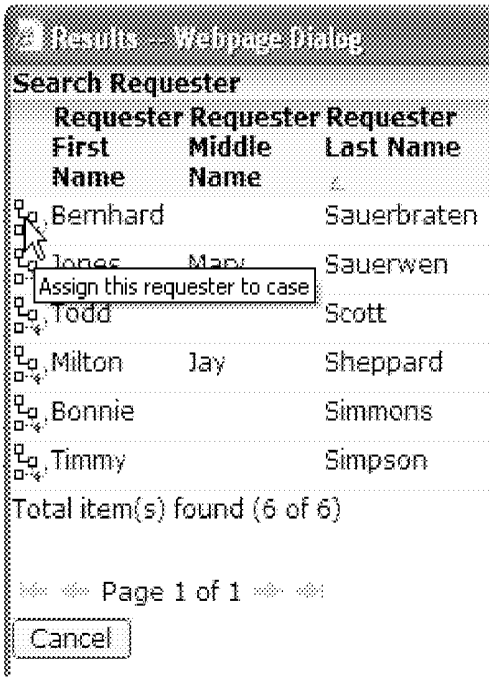
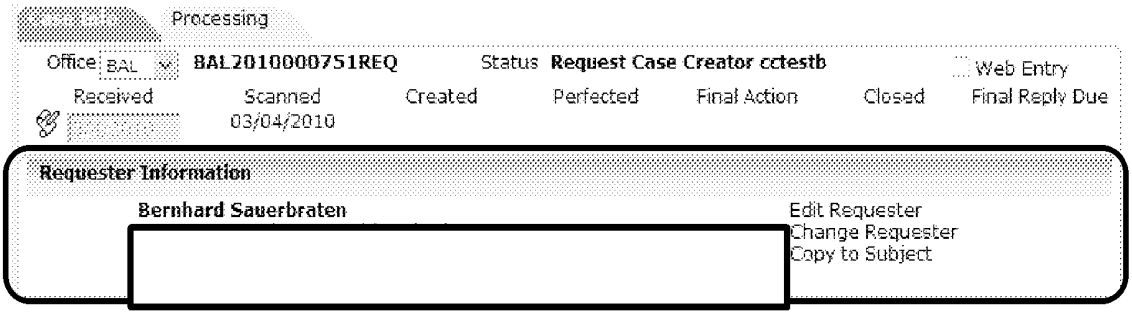


And it will populate the requester information like this:

(b)(6)



6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:

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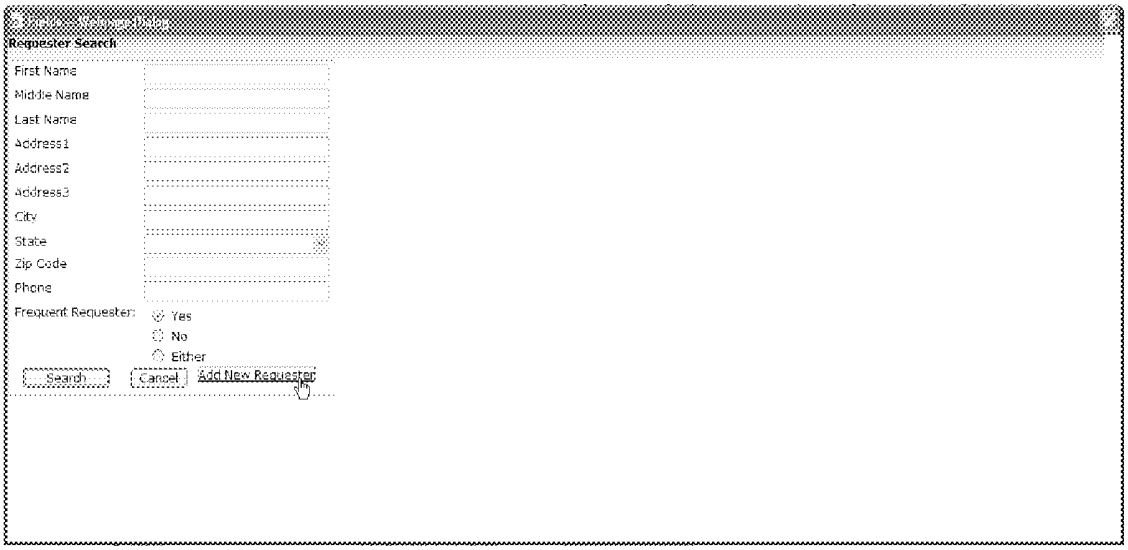
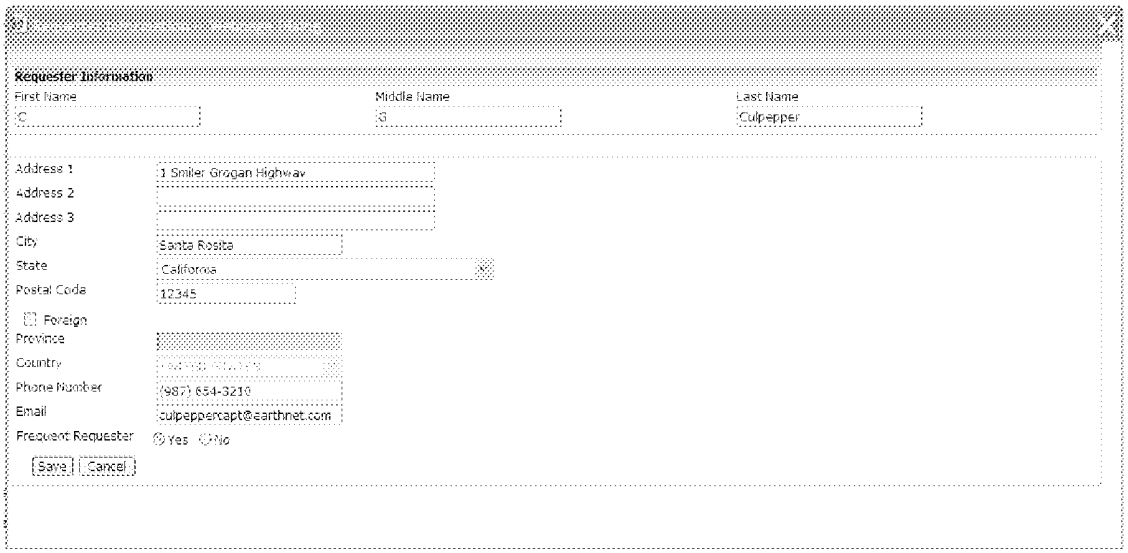


Click on Add New Requester, you will get a dialog box .

Note: We don't use parenthesis when entering phone numbers



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information and decide if this is a Frequent Requester. If the requester is an attorney or representative who is not already in the system, please save as a Frequent Requester. Do not create a new frequent requester if one already exists with matching name & address information, including apartment or suite numbers (first & last names should match, but first initials or a second last name may be used in some cases and if addresses match, they can be used). Phone number should be entered in the following format: 999-999-9999 for US phone numbers. Extensions are allowed after a space following the phone number. Although you are not required to do so, you may enter the e-mail address if it is provided. Click 'save'.

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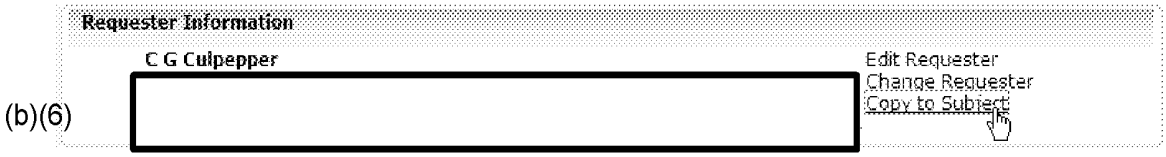
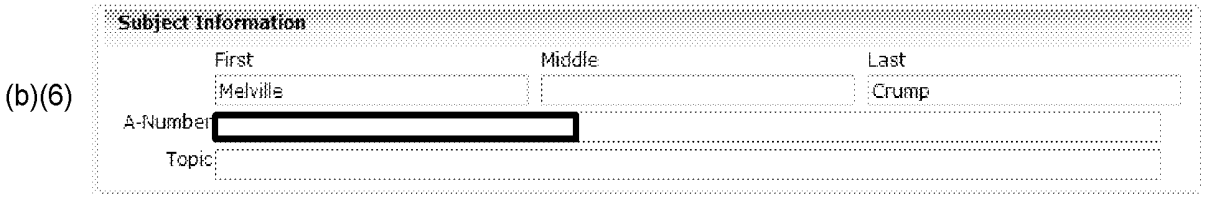
6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject by clicking on 'Copy to Subject'



Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field. FIPS converts all 'A-Numbers' to 9 digits by inserting leading zeroes.

Note: We don't use parenthesis when entering phone numbers



6.2.1 Name

Enter the subject's name, as it appears in section "Requester Information" of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester. If a receipt has been consolidated into the beneficiary's A-file, we require consent from the beneficiary or we will close the case as a Failure to Comply (FC). *See Section 7 for Consent and Verification of Identity*. Watch for identical family names requesting records of other family members. Please verify all A-Numbers and receipt numbers in CIS or CLAIMS to be sure they belong to the person whose records are being requested.

6.2.2 Alien Number

In the alien number field, enter the subject's alien number, as provided on the request, as an eight-digit or nine-digit number. FIPS will automatically convert all A-Numbers to nine digit

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numbers by adding leading zeroes. Do not use the preceding 'A' or 'T' file indicator in FIPS.

6.2.2.1 **A**lways check the A-Number in CIS to be sure it belongs to the correct subject. Copying and pasting the A-Number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma and verify they are all for the subject.

6.2.2.3 If you have created the case and you see less than eight digits in the A-Number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

6.2.2.4 Do not enter the petitioner's A-Number if the request is only for a copy of an unconsolidated petition filed on behalf of someone else. If the request is for all records, we would need to staff for the A-Number and receipt file. If the subject of the A-Number and beneficiary are different people, you must create multiple cases.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-Number of the beneficiary, and change the subject name to that of the beneficiary, since we will request the beneficiary's 'A-file'. We require consent from the beneficiary or the case will be closed as Failure to Comply (FC). For more information about this, please refer to section 7.2, Verification of Identity.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide
- significant interest requests with a topic unrelated to a subject records request. You may change the Topic field (unlike the A-Number field) after you have created the case.

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Do not use Topic to describe specific documents such as an I-130 or immigrant visa if the receipt number is unknown – you should specify that in the Discussion notes and in the acknowledgement letter. It is always a good idea to read any correspondence you prepare to be sure it makes sense. For more information, refer to section 18, Acknowledgment Letters. When you use Topic, you must check and possibly modify any staffing or acknowledgement letters.

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

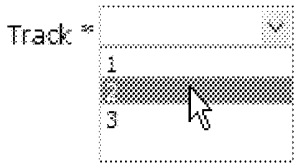
Correct: MSC0412360000
Incorrect: MSC-04-123-60000

6.2.3.2 The format above assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility (for the same subject), you may staff for up to four receipt files on one staffing sheet. See **Staffing Sheet Guide** for more guidance.

6.2.3.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See section 8.8, USCIS Personnel Information, for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You will need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

6.3.1 Track



6.3.1.1 Track 1 –

Track I requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category Asylum and Alien file for refugee requests. Assign those to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the requester

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must contain the following paragraph and it must be modified to show the specific documents requested:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). "You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified."

You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. If the requester responds that he or she needs the whole file, a FOIA/PA Assistant or Public Information Specialist working in Records Locator (which we will refer to as RL) or the Research queue can change it to Track 2 at that time. See sections 34-35 for instructions on how to change tracks.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and/or lists more than three documents on the G-639, please select the category Alien File, Asylum or SFR cases at NRC and make the case a Track 2. (See sections 34 for instructions on how to change tracks.) Track 2 should also be used for cases created for SIG.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge
- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will normally review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present

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with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Already Approved Requests for Track 3 Processing with Pending Cases

Before you create the case, look at the documentation and/or check for a duplicate. Sometimes you will find a current, open pending case which is ***already approved*** for Track 3. If you find another case and it is not a DP case, simply click "Send to Research" and you are finished with the case. Add a Discussion to the original case, "Research, original case already approved for Track 3 processing please attach as CSD". If it is an exact duplicate request to the existing pending case and already approved for Track 3 processing, you will close this case as final action ER-Duplicate case. Add a Discussion to the original case, "Research DP Case closed as ER, and provide the NRC control number". (See section 6.4 for information on Searching for Duplicates.)

Track 3 Approval on Pending Cases. If you find an ***existing duplicate pending case that was denied*** Track 3, and has now been ***approved*** for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD, change the case to track 3 and send approval notification. Add a Discussion note to original case, "Research, Track 3 upgrade needed". (See sections 34 & 35 for instructions on how to change tracks.)

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide, section 6.3.6

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no Expedited cover sheet, do not mark either box. Add a Discussion and send the case to Unit Chief. A supervisor will approve or deny expedited requests.

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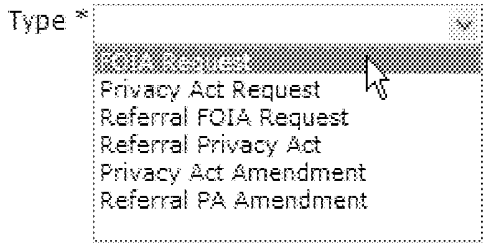
6.3.1.3.7 New FOIA Requests for Track 3 Processing If the requester specified Track 3 processing on a new FOIA request but the request does not have a cover sheet, please create the case, evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

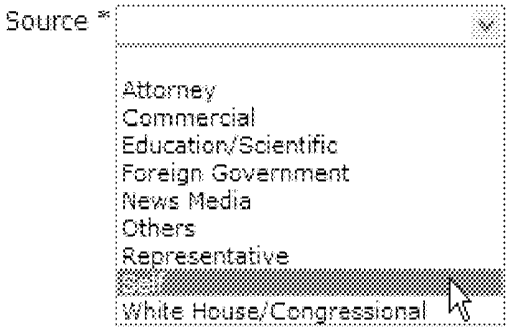
6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" below the A-Number on the left side on top of the NFTS screen shot on each FIPS staffing sheet. Check the barcode at the bottom of the staffing sheet anytime you add or modify a staffing sheet. You may have to move the text box up if it interferes with the barcode.

6.3.2 Type



Always select **FOIA Request**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.
Privacy Act Amendments are requests to correct or amend something on the specific document or file. This type of request is not for a copy of records or the file. If a request is for a 'Privacy Act Amendment' please refer to Section 8.13.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the

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individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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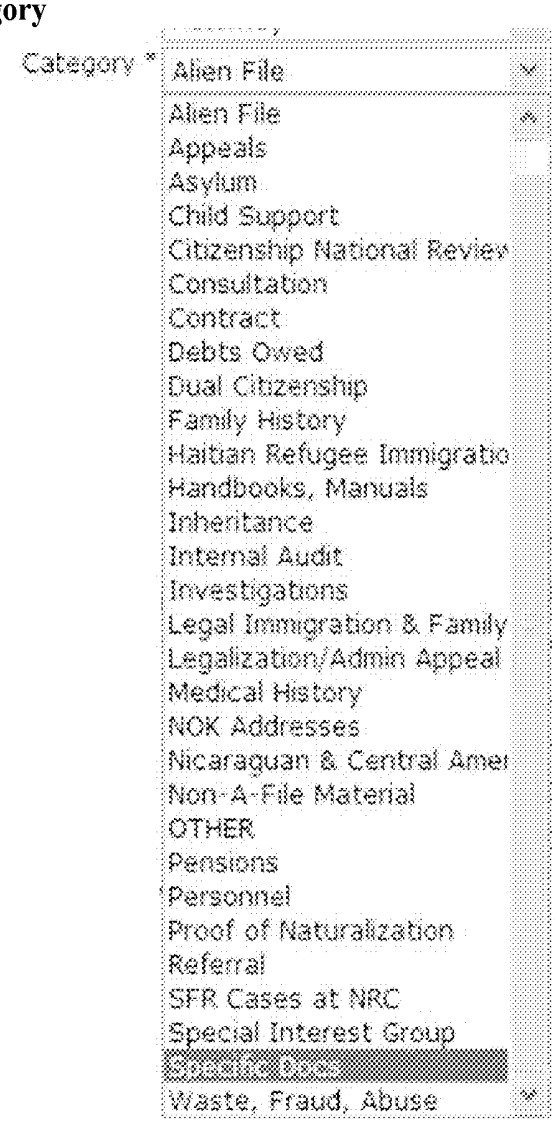
6.3.4 Category



There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files
g. Requests for copies of Refugee files/ Asylum files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, or refugee documents you should create it as Asylum, Track 2, or a refugee request as Alien file, Track 2.
You must update the language in any Track 1 case to specify what documents have been requested. See section 9 for CBP and ICE referrals.

6.3.4.3 Personnel –The requester is seeking information relating to USCIS personnel matters, including information related to job vacancies. These are Special Interest Group cases but created in the Personnel category.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case If you believe a request qualifies as a Special Interest

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Group, create the case in track 2 as normal. Search for duplicates and then create the case in the NRC queue, but do not staff or create an acknowledgment letter. Prepare an e-mail and Discussion note explaining the situation and send to NRC, FOIASIG. Send the case to Unit Chief.

A Special Interest Group (SIG) processor will review the case and move it to their queue if it is truly a SIG case. A Special Interest Group processor will then create the staffing and acknowledgment letter. This enables the Special Interest Group, responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.** This category is very important. SFR cases at NRC can apply to cases in any processing Track. It does not matter what Track the case is in – if the FCO is SFR, you must make the Category "SFR cases at NRC."

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

A. Naturalization Certificate Files (C-files) from September 27, 1906 to April 1, 1956

B. Alien Registration Forms from August 1, 1940 to March 31, 1944

C. Visa files from July 1, 1924 to March 31, 1944

D. Registry Files from March 2, 1929 to March 31, 1944

E. Alien Files (A-files) numbered below 8 million (A8000000) and documents therein dated prior to May 1, 1951

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, select Category **OTHER,** then do the following:

a. Create the case.

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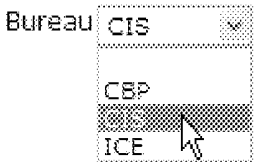
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a Discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (The point of contact, currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in the Case Create queue to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



The Bureau selections are used to track cases and apply equally to all processing Tracks. Bureau should be determined by the location of the file at the time the case is created. The three possible selections for Bureau are:

ICE – Select this when the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC), based on the NFTS ICE staffing locations.

CIS – This is the default in FIPS. Leave it selected unless it falls under ICE or CBP.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

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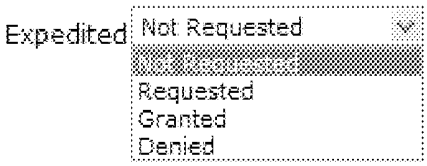
6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes ***either:***

> (1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; **or**
> (2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

A requester who seeks expedited processing must explain in detail the basis of the need and submit a separate statement that the facts are certified to be true and correct to the best of his or her knowledge and belief. The requester must establish that one of the following situations exists in order to receive expedited treatment of his or her FOIA/PA request. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 Reviewing Expedited Treatment Requests

The OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet. With *or* without a coversheet attached to the request, you will still need to review the request. ***Helpful review information is listed below:***

A. If you search for duplicates and find the case recently closed as FC or NR, refer to the New Request guidelines in 6.3.6.4. In any case, you must read the entire request carefully to ensure it is or isn't a new FOIA request. Sometimes the request will be similar to the closed case

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but now the requester is seeking additional documents or is responding to the closed case.

B. If you find an open pending FOIA request or a case closed as PD or G1 within 6 months, we consider it a duplicate request with a request for expedited treatment. Refer to section 6.4.
C. If you find a recently closed case with the final action codes of RD, RF, DP, or ER, it may also be a duplicate request with a request for expedited treatment. Refer to section 6.4 if you determine it is, but otherwise refer to section 6.3.6.2.3.

6.3.6.2 Resubmitted for expedited processing: If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD. ***Helpful steps to reviewing duplicate or currently open expedited treatment requests are:***

A. Search and review any existing duplicate cases.
B. Review the new request documents to ensure it is a duplicate case with Expedited Treatment Requested.
C. Attach the new request as a duplicate (DP) to the current open pending FOIA request case.
D. Enter a Discussion on the original FOIA request case, "To Research, Expedited Treatment Requested, and briefly describe your findings.
E. Send the new request to the Research queue. The Research point of contact (POC) will attach the new request to the existing/pending case as a CSD and complete the expedited approval or denial actions, if needed.

6.3.6.2.1 If expedited processing has been approved based on new information and a duplicate (DP) case exists, follow the guidance listed above in sections 6.3.6.2, (A-E).

6.3.6.2.2 If expedited treatment was already denied or approved in the ***currently open prior case,*** and the supervisor's decision is the ***same***, if you have not already created the case, you may send to Research, where they will attach your request to the original case as a CSD. Follow the guidance listed above in section 6.3.6.2, (A-E), or if the case is a duplicate case (all new expedited request documents that are the exact same FOIA request documents previously submitted at the same time, in a currently open or prior case), follow the guidance in section 6.4, Searching for Duplicate Cases.

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6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter, create it as a new case, or attach as DP, (duplicate) and close with the ER(created in error) final action code, based on the situation. To close a case ER, please refer to section 15 of this guide. If in doubt, consult your supervisor. Please refer to the section 6.4 on DP (duplicate) Cases, and the previous guidance listed above on reviewing expedited treatment requests. Create a Discussion with your findings on the original FOIA case prior to sending to Research or closing as a DP case.

6.3.6.3 Sometimes the OA room will miss an expedited request or there is no coversheet attached. As you are reading the request, you will notice the requester has asked for expedited treatment within the body of their letter, and it would not have been obvious to anybody who had not thoroughly read the letter. If this happens, do not select anything (requested, approved or denied) in the drop-down box at this time and do not create the Expedited Denial Letter, the Acknowledgement letter or the Staffing letter.

A supervisor must review newly created FOIA Request cases with Expedited Treatment requests in the ***Unit Chief (UC) Queue***, before selecting expedited processing or addressing the decisions. If the review process was missed and/or the coversheet is missing you must then do the following:

A. Create the case
B. Enter a Discussion prior to sending to the UC (Unit Chief Queue) "Expedited Treatment Requested per page(s) __, denied/approved"
C. Send the request to UC (Unit Chief Queue)
D. E-mail your supervisor with NRC FOIA Request number and the details.
E. Send the request to UC (Unit Chief Queue).

When the case is returned to you from the Unit Chief in the Case Create queue, review the decision, refer to 6.3.6.4 or 6.3.6.5 whichever applies.

6.3.6.4 If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "***Granted"*** in the Expedited drop-down box. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted.

A. Select "Granted" in the Expedited drop-down box.
B. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted. After completing the acknowledgement letter you will then need to create a "Blank Letter" and add the following: "This letter serves to notify you that your case has been approved for expedited processing." Make sure you review both

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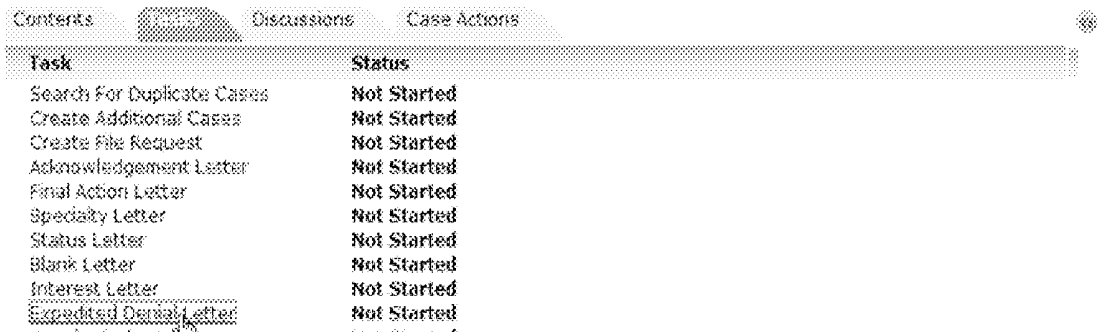
letters for accuracy and complete the selected processes by saving each letter and by checking the letters in.

C. Create a Discussion "Expedited Approved by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request as approved per the Unit Chief/Supervisor's guidance.

USCIS denies most requests for expedited treatment because the requester fails to establish either of the necessary criteria.

6.3.6.5 If the supervisor has indicated denial, you must select "***Denied"*** in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

A. Select expedited denied by clicking on the Expedited drop down box.
B. Advise the requester in this denial letter of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office. Select the Expedited Denial Letter. A Word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.
C. Enter a final Discussion note "Expedited Denied by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request, denied per the Unit Chief/Supervisor's guidance.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in section 6.3.1.3.

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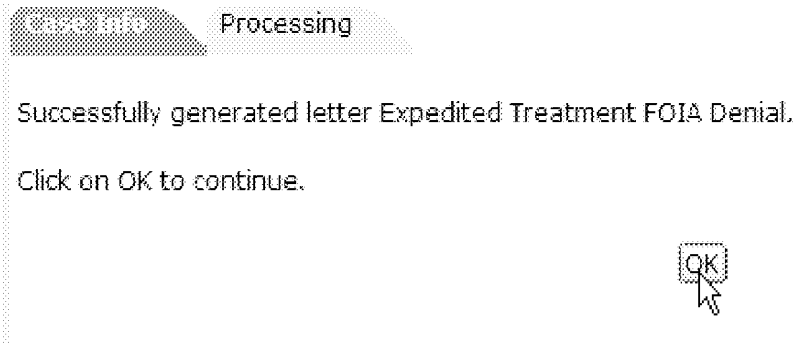
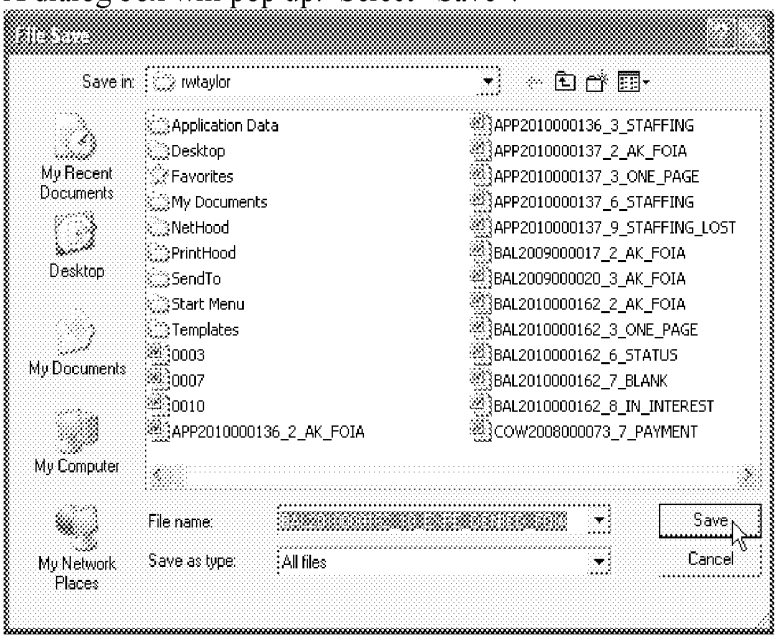


A dialog box will pop up. Select "Save":



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it in.

If you have made expedited granted selection, your acknowledgement letter will not address expedited treatment granted. Refer to section 6.3.6.4, for granted letter guidance.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a ***multiple case***, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The Supervisor will make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests. Send the case to the Unit Chief Queue (UC) if an approval or denial is needed. Refer to Multiple Case Guidance when creating multiple cases.

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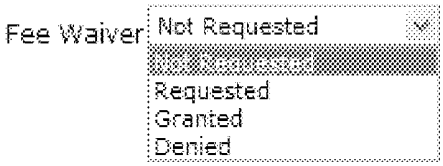
6.3.6.8 If there is an Expedited Treatment Requested cover sheet, but for any reason, the disposition of the case is to Up-front Approver, then please change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a ***cover sheet*** advising you of approval or denial. The supervisor may determine to deny based upon the two criteria listed above. If the supervisor marked denied, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

Fee Waiver Denied with Coversheet

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

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6.3.7.2 When you are finished creating a case with a fee waiver denial, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was ***no cover sheet***) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

Fee Waiver Request Without Coversheet

A. Do not select anything in the Fee Waiver Request drop down box
B. Create the case, but do not staff or create acknowledgement letter
C. Add a Discussion note and send to Unit Chief
D. Send an e-mail to your supervisor
E. After a decision is made, the case will be returned to your Case Create queue
F. Then use 6.3.7.4 for denied or 6.3.7.5 for granted, whichever applies.

6.3.7.4 Fee Waiver Denied

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

6.3.7.5 Fee Waiver Granted

A. Select "Granted" in the Fee Waiver drop-down box. After the case has been created as normal,
B. Create a Blank Letter with the following sentence included, "This is to inform you that your request for a fee waiver has been granted."

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to ***close the case RD, RF, DP or ER***, then change the Fee Waiver drop-down box to "Not Requested" and click Save before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested." If you are closing the case Up-front, do not generate a letter regarding whether the Fee Waiver was denied or granted. If you are not sure, please consult your supervisor.

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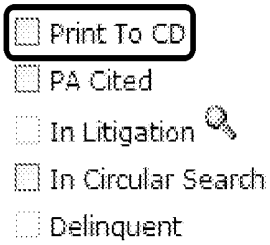
6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format.

RULES FOR UNCHECKING "PRINT TO CD"

6.3.8.1 Unchecking the Print to CD Box
Uncheck the "Print to CD box" on any case where the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter.

6.3.8.2 If the mailing address is foreign, it does not matter if they ask for paper. We are sending it on CD. If you are unsure, please consult your supervisor.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the sentence that begins with "This office will be providing your records on a Compact Disc (CD)" and replacing it with a paragraph that reads "This office will be providing your records on paper."

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

6.3.8.5 If a requester in the United States specifically asks for his or her records on paper, uncheck "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)" and replace it with a paragraph that reads "This office will be providing your records on paper."

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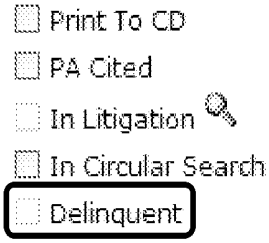
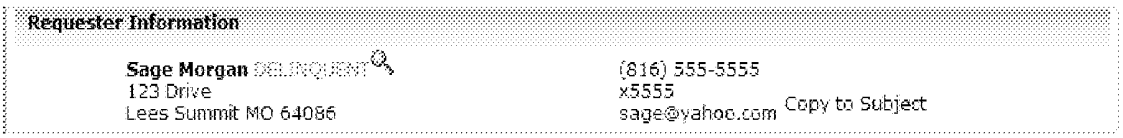
6.3.9 Is this a delinquent requester?

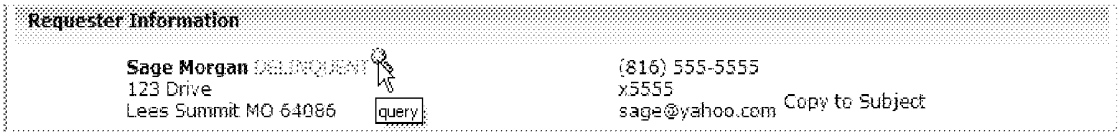


The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

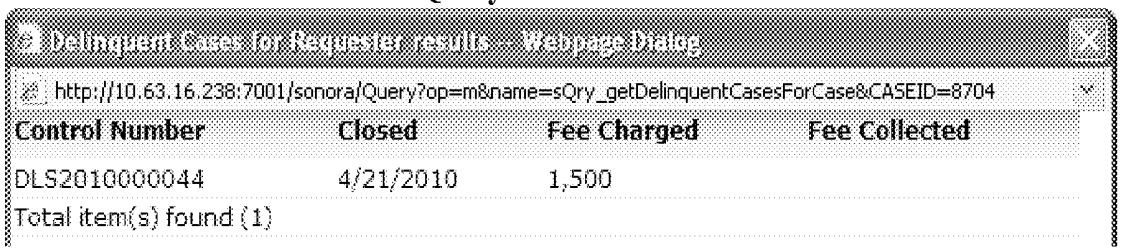


To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



The query results appear in a separate window.

Query Results



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If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant or Public Information Specialist working in Records Locator queue may need to cancel pending requester documentation for cases pending payment of fees due to a prior delinquent status that has been removed, because the

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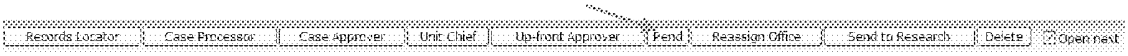
system does not.
If the FOIA/PA Assistant or Public Information Specialist working in Records Locator queue does cancel pending requester documentation, he or she should generate a new acknowledgement letter and staff the case as usual.

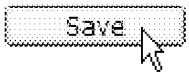
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter, save the letter and check it in

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:



6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed. To be considered a duplicate, a request must be from the same requester, include the same request documents dated on or about the same date and is seeking the same information about the same subject. Requests with ICE or CBP transfer or referral letters, receiving offices will transfer these requests to NRC. The letters must be attached to the ***open pending original case*** as a CSD and they are not considered (duplicate) DP cases. Send the case to research.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, transfer these requests to NRC. These are true duplicate cases when an office has ***already processed*** this request with a final action code of either ***PD or G1.*** If the original case is ready to be processed, send to research to attach as a CSD. If we closed a previous case FC and the requester is now providing additional information, it is not a duplicate.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Follow the

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guidance in section 6.4. Set this case as a DP (duplicate) case to the open pending original case and close your case with a final action code of ER.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%quez" and Subject First Name "Jaime." We may have created a case for him before using either the name Vasquez or Vazquez, and we may have included his second last name, Hernandez. If you search "Va%que%" it will find all three of those variations, but be careful – if the subject has a very common name, you might get hundreds of matches. If the subject has multiple A-Numbers, you must search for each one. Sometimes they will provide an A-Number that has consolidated into another file. You may stop searching if you determine that those A-Numbers have been consolidated. Staff only for the survivor file – never a consolidated file.

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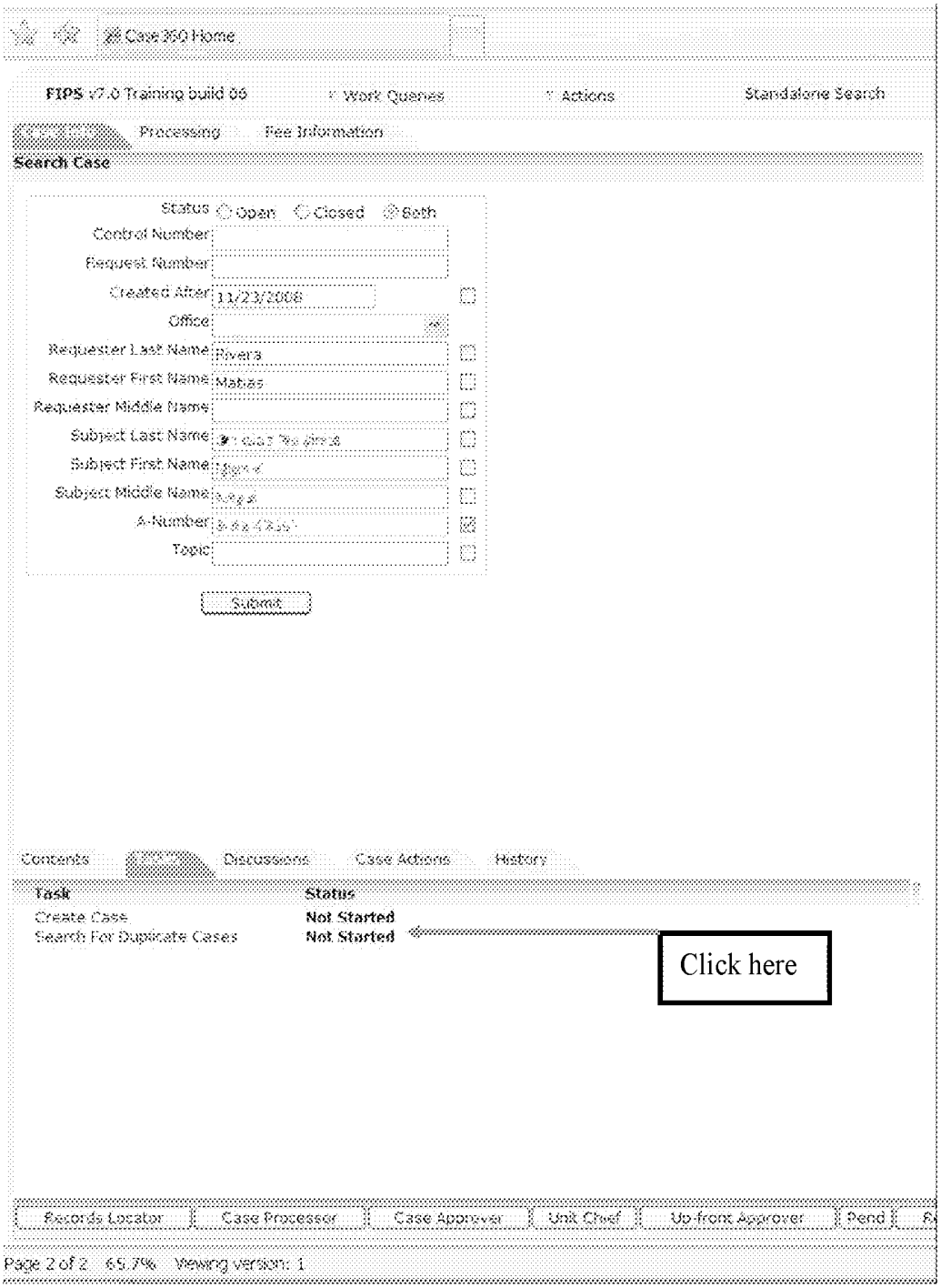

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate To be a "true duplicate," it needs to be the same requester, seeking the same information about

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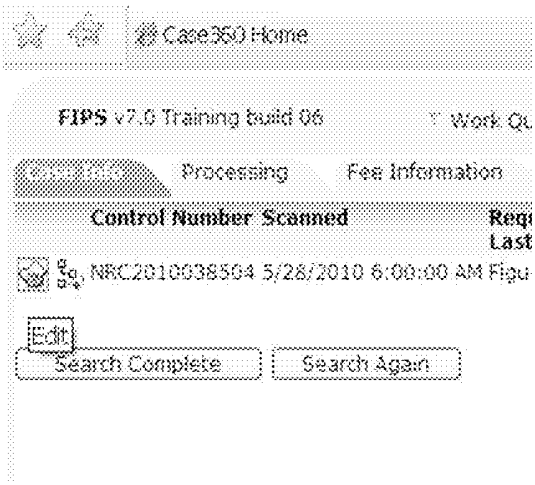
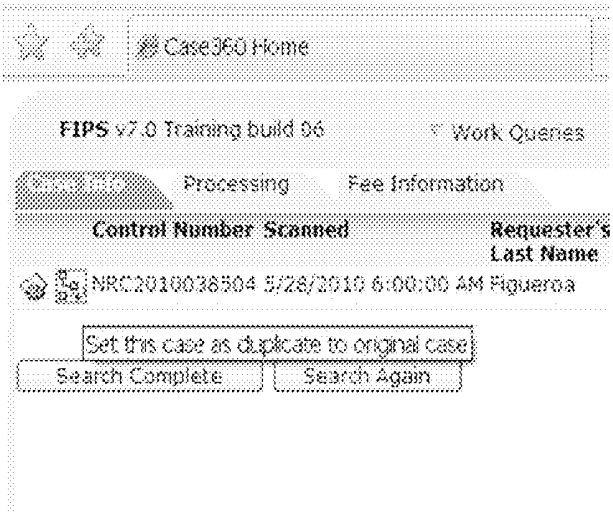
the same subject. Also, duplicate would not apply if the original case closed FC unless we are still missing the same information that caused the case to close.



By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

A. If there has been a case that was closed G1 or PD within six months from same requester –
B. This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a "true duplicate" of another case and closed G1 or PD within six months from same requester, you will select "Set this case as duplicate to original case" as follows:



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If you determine that it is not a *true duplicate*, please insert a new Discussion entitled "Similar Case" with the case number of the other case in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

A. The requester is the same, and
B. The information being requested is the same in both requests,

Do not close this case as a duplicate. Attach the case as a duplicate case by selecting "Set this case as duplicate to original case", next select "Create Case" and close the case with a final action code of ER , enter a case Discussion and send the case to the Up-front Approver.

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

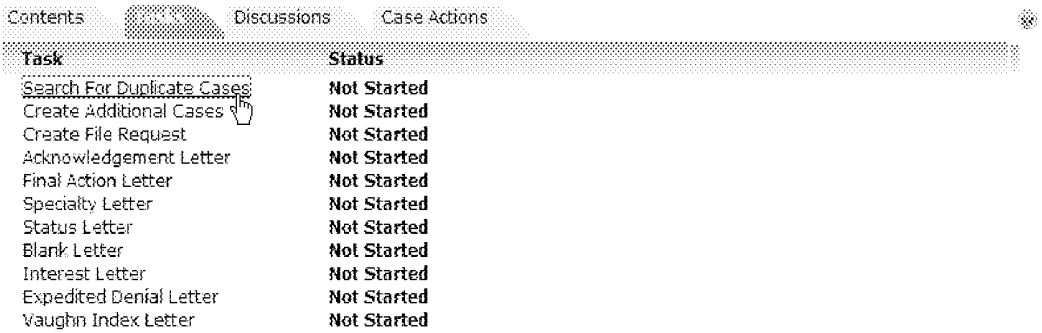
6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.



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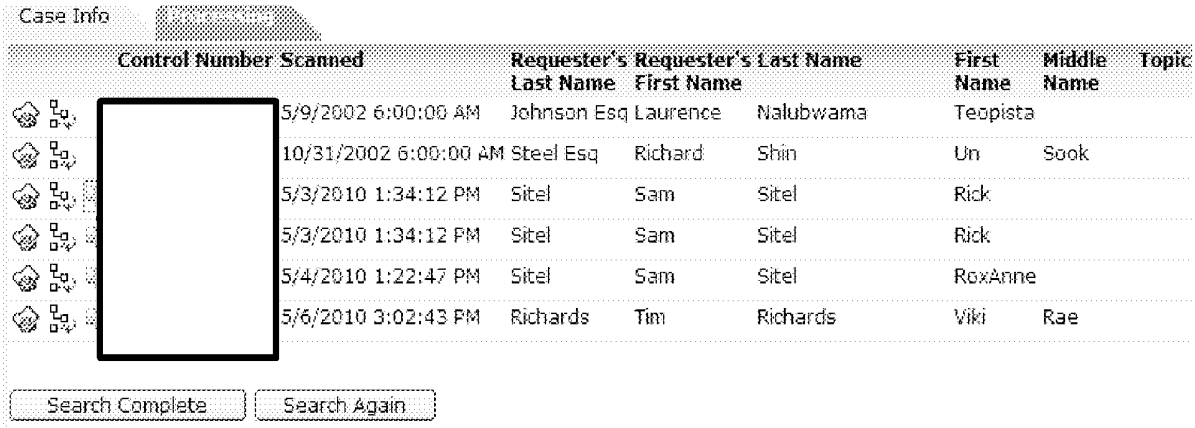
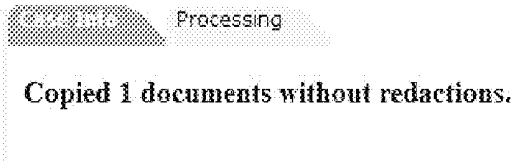
Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When you have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

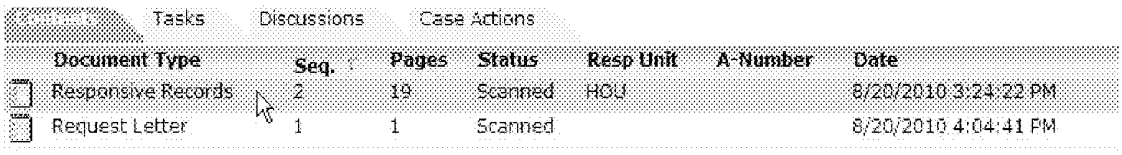
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7 CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

Consent, for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the *competent* individual to whom the record pertains. The case

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creator must review the request and supporting documents to determine if proper consent is present.

> 5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.
>
> 6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

This includes requests for any consolidated petitions the requester or petitioner submitted or provided on behalf of the beneficiary (subject of record, SOR). We must always have beneficiary or subject of records consent if the petition has been consolidated into the beneficiary's A-file. *If we need the subject's A-file, we need consent from the subject of record.* If the petition has not been consolidated into the beneficiary's A-file, we may staff for it with consent of either the petitioner or the beneficiary.

A person does not need to sign consent to request his or her own file.

Consent could be:

A. Block 3 on Form G-639, or

B. A properly executed Form G-28, or

C. A separate declaration by the subject, such as:

> Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. §

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5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Request the proof of parentage by marking "other" on the requester documents page and insert the following

- If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent. If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. The signature of the parent/guardian must be notarized or signed under penalty of perjury. Minors may also request their own files themselves. They do not have to have the consent of a parent or guardian to make this request. An attorney may also represent a minor.

You may need to modify the font on the requester documents section "other field" if needed, to fit onto the one page without interfering with the FIPS barcode on the bottom of the page. Do not modify the acknowledgement letter.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity (VOI)

If a requester is asking for a Privacy Act record, he or she must provide verification of identity. Do not confuse verification of identity with consent.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 8 CFR § 5.21, we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the requester does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

If we have consent and verification of identity, but are unable to confirm a match because of multiple matches or a possible match, We may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional information, the information they send back to us does *not* have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The requester may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the

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requester declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. We will continue to accept these as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.

6 CFR § 5.21(d) ***Verification of Identity***, says the requester must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the requester ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the *subject has signed only the first page* and the second page does not contain the signature of the subject but has been notarized. The Verification of Identity section was not signed. Close as a failure to comply.
C. If the requester is asking for records concerning another *(living)* individual, and if there is only one signature and it is not signed under penalty of perjury nor notarized, close as a failure to comply.
D. If the subject of record failed to sign consent, and it is not a self-request, close as a failure to comply.

Closing as Failure to Comply for Verification of Identity and/or Consent (FC): Please refer to section 16 of this guide.

More information about VOI: The subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

A. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
B. If a requester has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.

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C. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
D. DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.
E. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA ***does not include*** a Form ***G-28*** with a ***statement made under penalty of perjury by the requesting attorney or representative*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:
>
> (1) If executed outside the United States:
>
> > "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> > Executed on (date).
> > (SIGNATURE)".
>
> (2) If executed within the United States, its territories, possessions, or commonwealths:
>
> > "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> > (SIGNATURE)".

7.3 Reasonable Description of Records Being Sought:

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7.3.1 Finding a Single Match

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request (*staff for*) the Alien file if there is only one match and there is no other indicator that it may not be the correct subject of record. If the requester provided the required information and we do not find a match or a possible match, and the subject of record would have entered the United States after 1975, we do not send out for additional information. You will prepare a No Record (NR) final action letter and close the case (see section 12.7.6, No Record).

If the requester believes we have records, he or she may provide additional information in order to open a new request and have us conduct a second search. Always create a Discussion addressed to the case processor (CP), justifying why you sent for additional information and whenever you staff for a possible match based on best available information.

7.3.2 Finding Multiple Matches

You may possibly find multiple matches, and you may be unable to confirm a match to the records due to limited information provided by the requester. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need all the beneficiary and petitioner PII to find a petition. In situations like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

A. Alien Number (if known)
B. Application/Petition Receipt Number (if known).

Additionally, we may ask for items of information such as mother's and father's names. If you have found more than one possible match, and those matches have parents' names in CIS, we can narrow our search or confirm we have the right A-Number. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. Check all relevant boxes on the requester documentation worksheet, save the letter and check it in. Do not staff for a file if you are sending for requester documentation. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant or Public Information Specialist working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester entered "unknown," or "none" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter. For example, if the requester entered "unknown," "none" or "N/A" under *Alien Number,* it does not make sense to

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ask for their A-Number. You may have to use discretion. If you found parents' names in CIS and it would help to match the person to the A-Number, you may ask them for parents' names, even though the requester may have entered "unknown," "none" or "N/A" under *Father's Name* and *Mother's Name.* If in doubt, please consult a supervisor.

7.3.3 Researching Considerations

7.3.3.1 If you do not find a confirmed match, refer to Section 8, CASE CREATE SITUATIONS/OTHER PROBLEMS.

7.3.3.2 Verify the requester is not asking for specific documents we would normally refer (RF) or Transfer (TR) and is not a part of the "Bracero Program" (section 8.6), or entered into the United States prior to 1975 (section 12.7.5), Genealogy (section 6.3.4.6), etc.

7.3.3.3 After you make sure none of the above situations apply, you will then need to close the case as a No Record, (NR) final action code. Please refer to section 12.7.6, No Record.

7.3.3.4 Always create a Discussion to document your findings and the reason you decided to request the additional information. If you do not enter a Discussion, the Records Locator (RL) and Case Processor (CP) will not know what you found in your searches.

If you send an acknowledgment letter requesting additional information, please do not request a file. This is to avoid having to pay for the file scan if the requester does not respond with additional information. Also, if we have to ask for additional information, we probably do not have enough information to staff for a file.

7.3.4 Requesting Additional Information with the Acknowledgement Letter

7.3.4.1 Go to the "Tasks" tab and select "Acknowledgement Letter"

7.3.4.2 After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

7.3.4.3 We then click on "Generate Letter." Our only option at that point is to click OK

7.3.4.4 As soon as you do, a File Save pop-up window will appear. Click "Save."

7.3.4.5 The acknowledgment letter will pop up

7.3.4.6 The acknowledgement letter has a third page. Do not change the wording on the acknowledgement page without specific supervisory instruction to do so unless it is a Track 1 Request. In Track 1 cases we modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need.

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7.3.4.7 You save the document, exit Word, and check the document in, click "Open" and you will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester."

7.3.4.8 Create a Discussion explaining why you needed to request additional information

7.3.4.9 Pend when you are finished.

7.3.4.10 When the requester provides the additional information, A FOIA/PA Assistant or Public Information Specialist working in Records Locator queue will request the records.

Screen shots including step by step guidance follow.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

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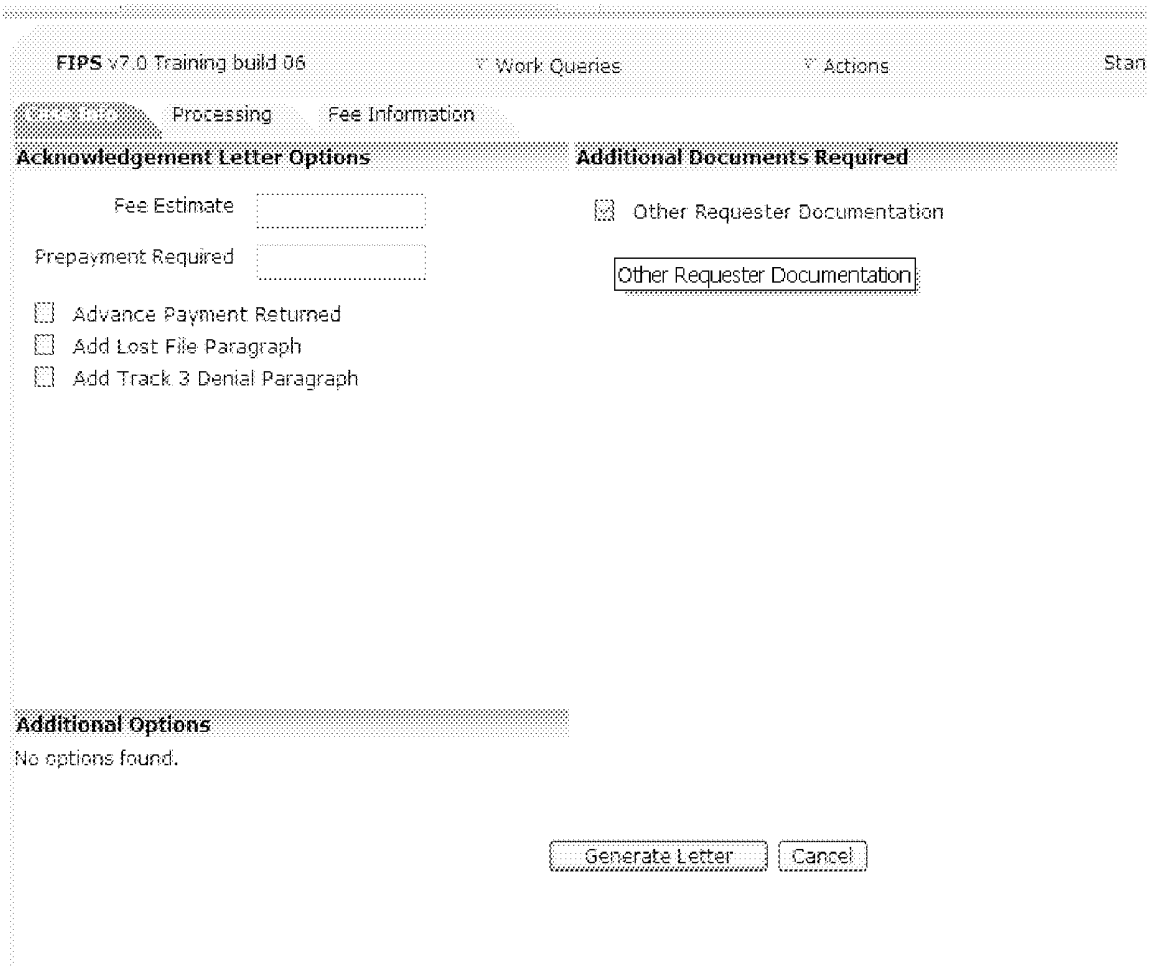
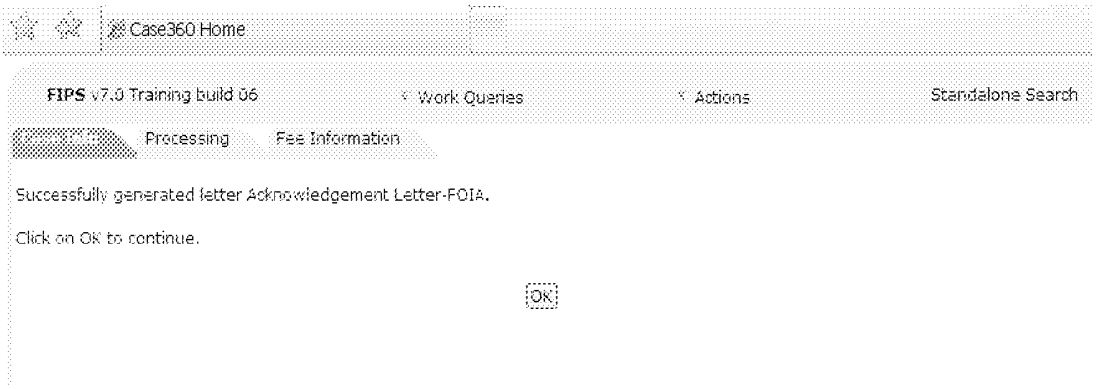


We then click on "Generate Letter." Our only option at that point is to click OK.



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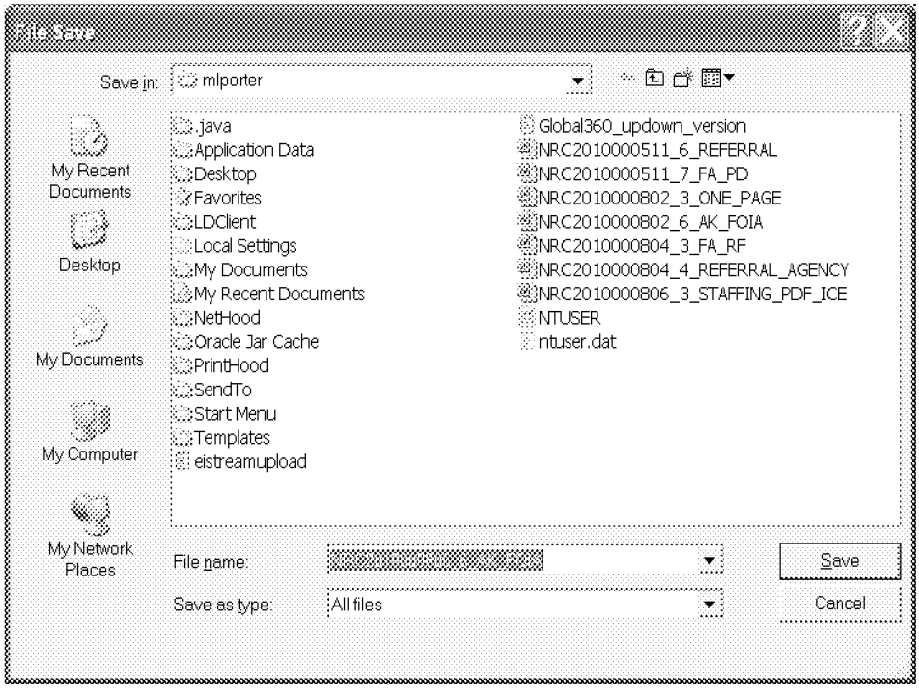

The acknowledgment letter will pop up.

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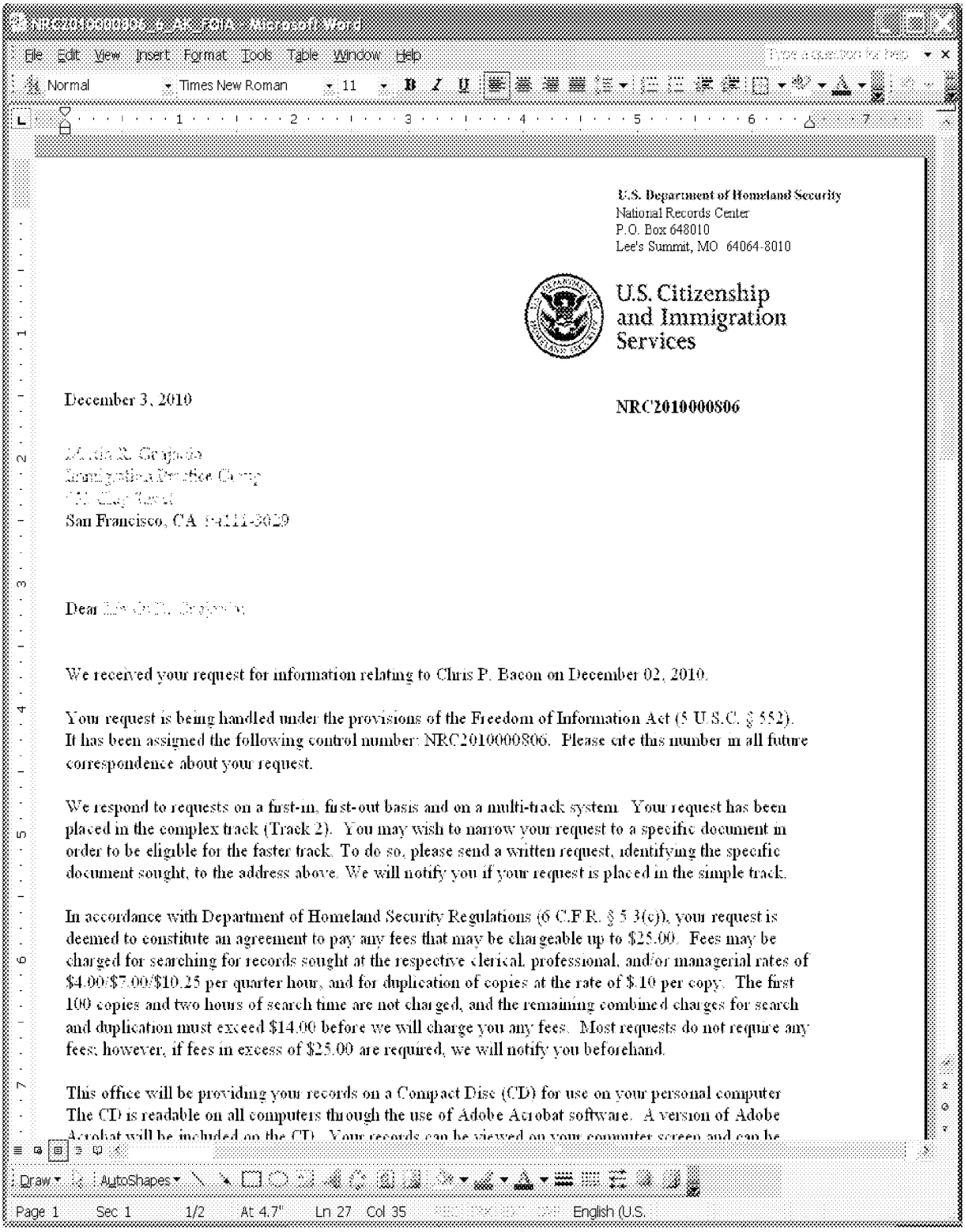

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
[redacted]
[redacted]
San Francisco, CA [redacted]

Dear [redacted]:

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing you records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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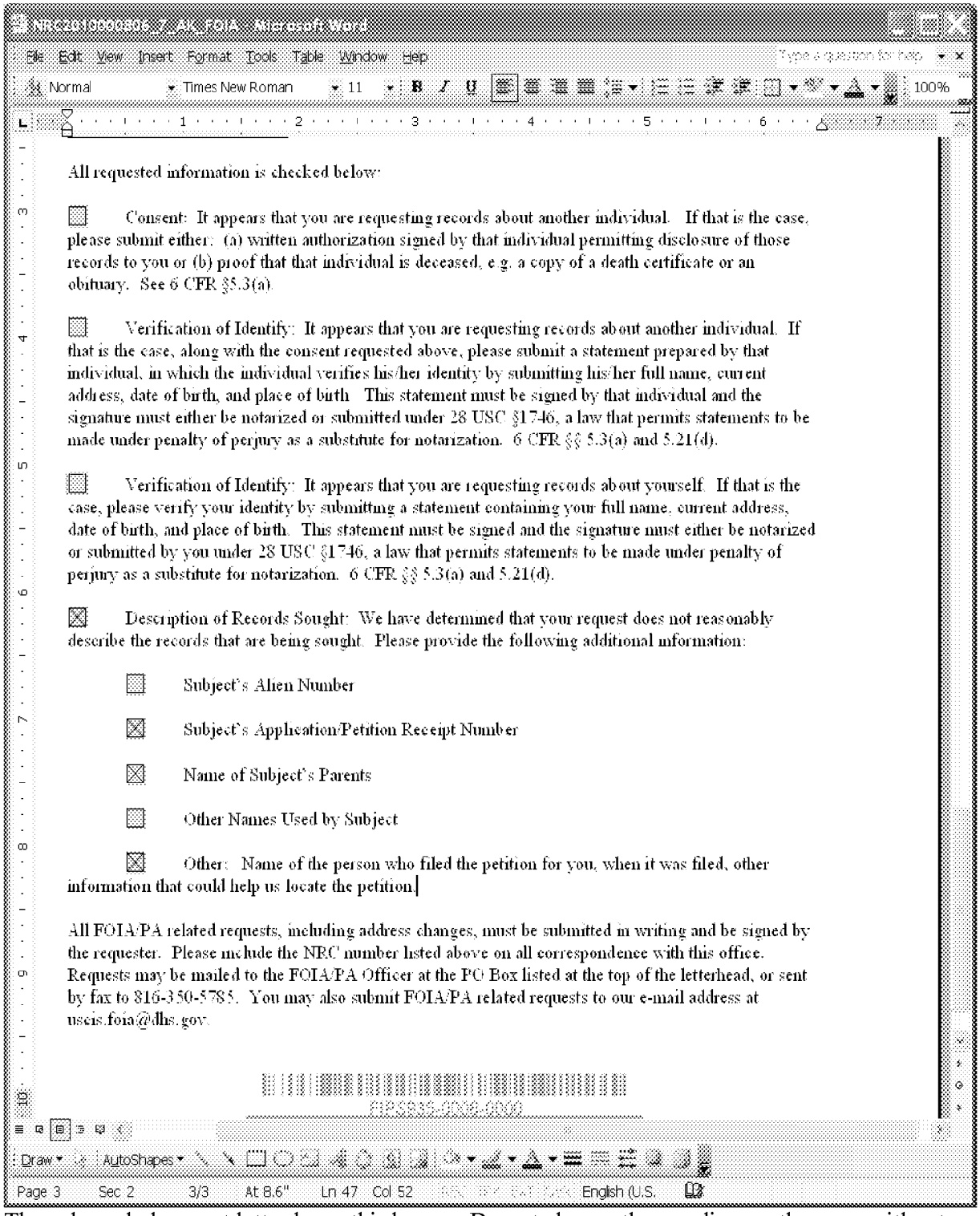

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. In Track 1 cases we must modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need

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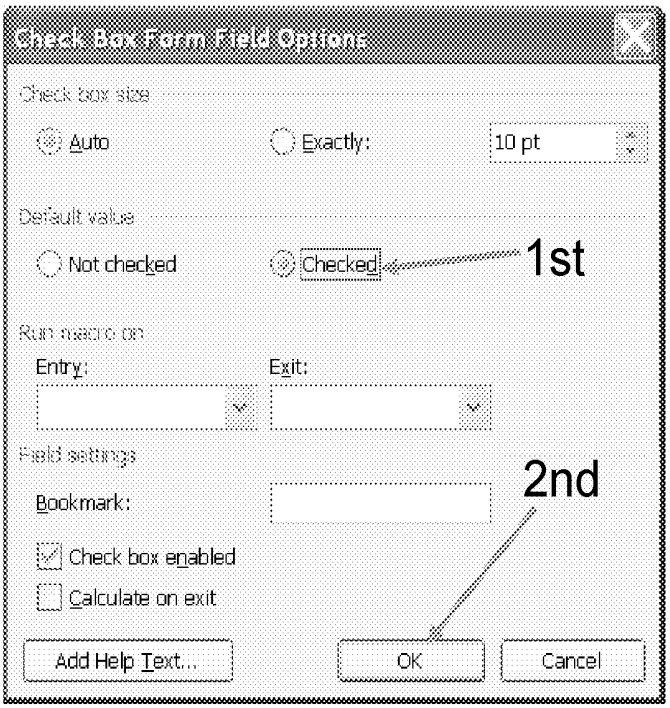
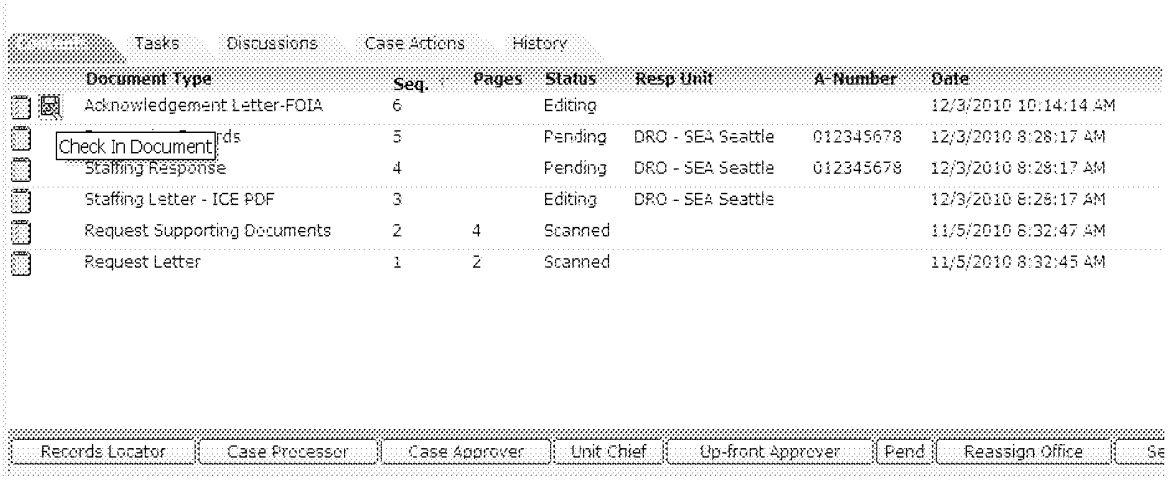
additional information, select the radio button marked "Checked" and then click OK for each item of information you need.



The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in.



Click "Open".

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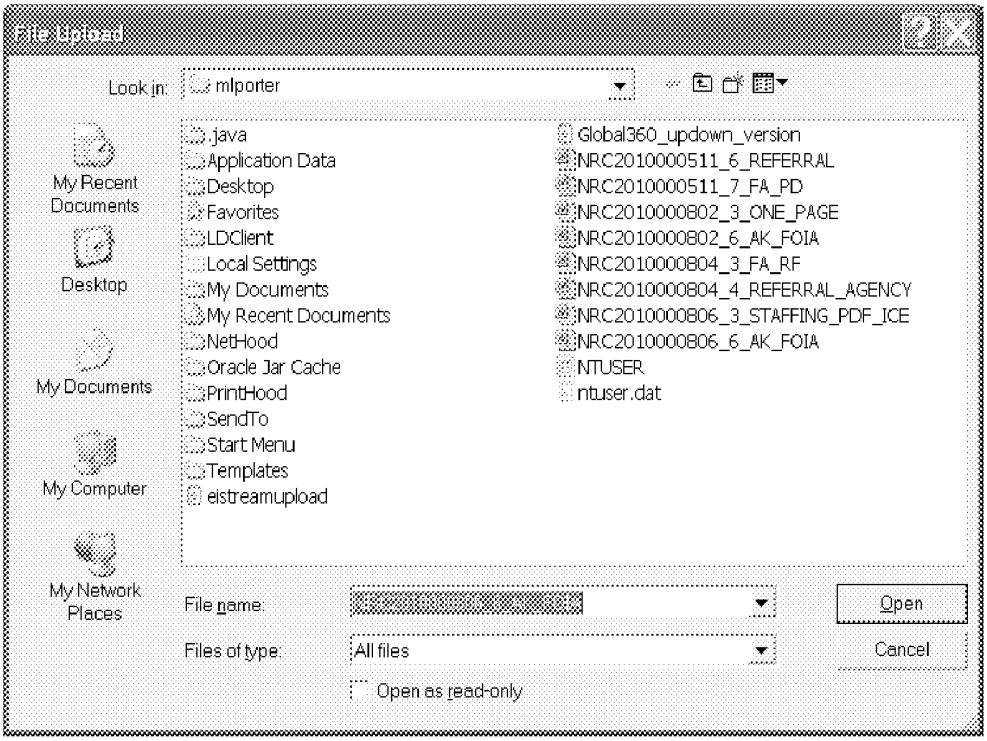
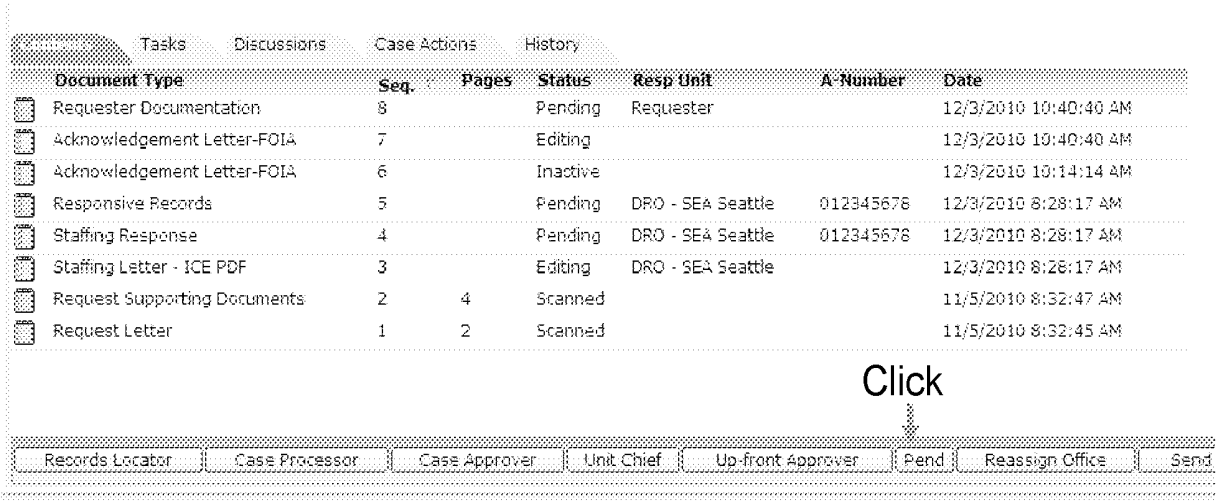


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, create a Discussion and send the case to "Pend."



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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, close the case as a failure to comply (FC). It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor.

Third party requesters are not entitled to any public documents that may be in the file they are seeking, nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, create a Discussion for the Up-front Approver and close the case as a Failure to Comply. Reference Section 16 FC (failure to Comply) Case Closings.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

If the requester says the subject is deceased and did not provide proof of death, but the subject is not over 100, we must send for requester documentation. If that is the situation, do not staff for the file.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their co-workers and then supervisors. If the problem cannot be resolved, the creator should create a Discussion and send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please close the case ER, insert a Discussion and then send the case to Up-front Approver. Send an e-mail to NRC, FOIAOA with the case information. The supervisor will review and close the case. A person may be using the consulate's address, and that is not the same thing as a request from a foreign consulate. If the subject mailed the request and wrote the consulate's address on the G-639, then you should use the subject's address from the envelope and set it up as a self-request. If you are unsure about which address to use, please consult your supervisor.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, or if they are asking for an I-20 which is a student visa, then you should refer (RF) the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska." See section 9, Referral and Redirection.

Otherwise, redirect (RD) the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal

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documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport." See section 9, Referral and Redirection.

8.3 Routine use requests

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, you will close this case as "Created in Error"(ER). The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

If you are not sure if the case is a routine use case, do not close the case as ER. Seek supervisory guidance. If you are not able to seek guidance, create a Discussion and send the case to the Unit Chief (UC) and e-mail the supervisor.

Closing as ER- Routine Use cases

A. Select the "Final Action Letter" from the Tasks tab, select "ER" from the final action codes list. FIPS will not generate a letter.
B. Print the request and place a cover sheet on the request with the comment "Supervisor: Routine Use. Not a FOIA-Request. Do not scan into FIPS."
C. Create a Discussion with your findings for the Up-front Approver, "UFA-This case is a Routine Use case" and explain why.
D. Move the case to the Up Front Approver queue.
E. Give the printed copy to your supervisor and follow up by sending an e-mail with the NRC control number and requester name to your supervisor

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8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors.

Closing as ER- Bond Obligor Cases

A. Select the "Final Action Letter" from the Tasks tab, select "ER" from the final action codes list. FIPS will not generate a letter.
B. Create a Discussion with your findings for the Up Front Approver, "UFA-This case is a Bond Obligor Case" and explain why.
C. Move the case to the Up Front Approver queue.
D. Please send an e-mail to your supervisor and NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

The OA room will mail the request to ICE.

8.5 REQUESTS: A-Number Only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

A. Search CIS with the information provided on the request to locate an A-Number.
B. If you locate an A-Number, compare the information provided on the request with the information in CIS to make a positive ID.
C. You must have VOI and possibly consent in order to proceed. If consent or any required PII is missing, close as Failure to Comply (FC). Reference section 16, FC Case Closings.
D. If you do have adequate VOI:
E. Print a copy of CIS 9101 screen.
F. Create a File Request to RAFACS and leave the "Customize Letter" button selected.
G. Create a Discussion "CP, A-file number only requested".

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H. Attach a "Scan As" cover sheet to the screen print, mark the box "Responsive Records" and take to a person designated to scan RAFACS-only responsive records.
I. You will not staff for the Alien file. When the alien is requesting A-number only, the CP will be using the 9101 screen print as responsive records.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records (9101, CIS Screen Print) are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

A. Begin with a thorough search of CIS, CLAIMS and PCQS.
B. If you find a record, please staff for the file. If you do not find a record, you will be requesting a manual search.
C. Create a Records Indexing Staffing and enter all information provided by the requester.
D. Enter a Discussion note
E. Pend for the manual search.

From the Records Locator Queue, if the manual search staffing response produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case. Reference Section 12.7.6 No Record (NR) for Final Action NR.

For the Records Indexing letter which is used to paste onto the FIPS staffing Sheet, O:\Foia\FOIA LIBRARY\Case Create References\Case Create References.

Or Enterprise Collaboration, ECN Network /Case Create Library
http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx
Select the "RECORDS_INDEXER" letter and copy paste the Records Indexing staffing sheet onto the end of the FIPS request letter. Press Ctrl+Enter at the bottom of the FIPS letter to insert a page break and paste in the letter.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

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The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information. Create a Discussion asking the CP to provide this NARA contact information, if no other records are found in the Records Indexing search.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations Received From Other Agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies.

A. A transmittal memorandum advising us to respond directly to the referring agency is a consultation.
B. A transmittal memorandum advising us to reply directly to the requester is a referral.

Create a Discussion and send the case to processor. Send an e-mail to NRC, NRCFOIAMSB advising them that you have created the case and that it is a referral/consultation from another agency. Include the subject's name and the NRC control number.

8.8 REQUESTS: USCIS Personnel Information

Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

A. If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.
B. Create a Discussion on your findings.
C. Send an e-mail to NRC, FOIASIG with the case information and NRC control number.
D. Do not send the acknowledgement letter or staff for the file.

8.9 REQUESTS: Official Personnel File

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You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You will be closing the case as NA (FOIA or PA not applicable). Please refer to section 14 of this guide.

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross. Create a Discussion identifying the case as a Red Cross request.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the **routine use** category. Reference section 8.3 REQUESTS: Routine use.

8.12 REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted ***on a G-639, we are required to provide the requester with a copy*** of the specific documents requested. Create the case as normal and insert the language in the acknowledgement letter. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following language in the acknowledgement letter:

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

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A. If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, close the case as "ER" (created in error). To close a case ER, please refer to section 15 of this guide.
B. When you close a case ER, FIPS does not create a Final Action letter. You will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter.
C. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester.
D. Include a detailed Discussion note on your findings.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

The Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution. Print a copy of the request. Attach a coversheet to the copy of the request and write "OA- Do Not Scan, G-884 Request for Return of Original Documents." Deliver the copy to the OA Room. They will forward it to the Case Resolution team if they have not done so already.

8.13 REQUESTS: Privacy Act Amendment (A request to correct/amend records etc.)

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

A. Begin as usual, filling in requester and subject information and searching for duplicates.
B. Select Privacy Act Amendment - not FOIA Request.
C. Assign it to Track 2. Assign it to Category: Special Interest Group.
D. Create the case.
E. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
F. Create a Discussion and send the case to the Unit Chief (UC). You are now ready to move on to the next case.
G. You do not reassign the office. A Special Interest Group person will change the Office to "COW" by clicking "SAVE" and then clicking "Reassign Office."

8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

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A. Insert a Discussion titled "Untranslated Documents" and the reference page numbers
B. Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB
C. Send the case to Unit Chief
D. After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional Correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to NRC, NRCFOIAMSB advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject is not in the request, please contact a member of the MSB for more guidance. Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo used to print the request.

A. Select "Print." FIPS will then print out all the pages of the request.
B. Retrieve those pages and take them to the designated appeals point of contact (currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

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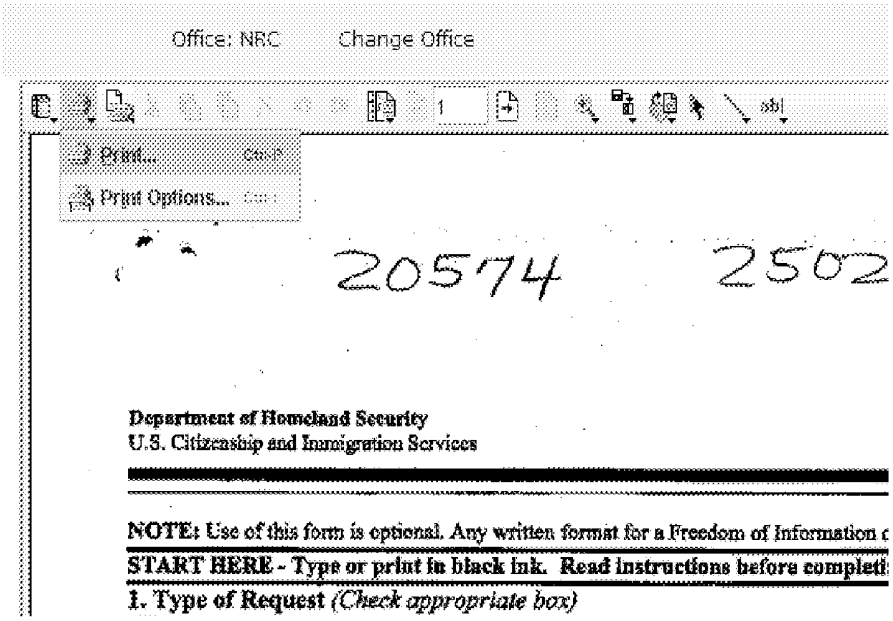
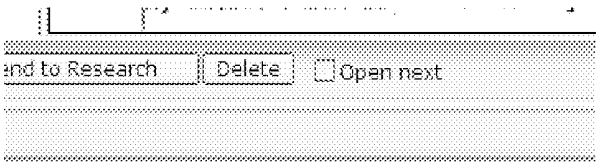


Before you press Delete, you should have the printed request *in your hands* and not still on the printer. Once you press Delete, there is no way to get the information back.



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8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this I-694 request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. There should already be responsive records in the case.

A. Create the case.
B. When you prepare the acknowledgment letter, request VOI and/or consent if needed. Most often, you will have to request adequate VOI. *Please take note:* We do not close an I-694 request FC for not providing all the required elements of VOI with the original request.
C. Create a Discussion for the CP.
D. If VOI or consent is not necessary and there are responsive records already scanned in, send the case to processor.

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER.

A. Create the case.
B. Create a Discussion with findings for the Up-front Approver to close as ER
C. Send a message to NRC, FOIA PROGRAM; Cameron, Lincoln L, providing the REQ number and information indicating the request was a subpoena or court order. The Chief Counsel's Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.
D. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

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The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will ***not*** certify naturalization certificates for ***living persons***. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship.

A. Evaluate if the request qualifies under the Genealogy Program. Refer to section 6.3.4.6.

B. If the requester's relative does fall under the description of genealogy reocords as described in section 6.3.4.6, he or she must submit the request to Genealogy.USCIS@dhs.gov. You may direct them to USCIS.gov for more information. The link for Genealogy requests is in the left column, listed under "Services."

C. If the requester's relative does not fall under the description of genealogy records described in section 6.3.4.6, please include the following paragraph in your acknowledgement letter:

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This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC routinely transfers the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, a requester writes with the following request:

"Please send the records of Giuseppe Granchio, born March 22, 1899 in Italy. Mr. Granchio naturalized in 1957, changed his name to Joe Granchio, and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in section 6.3.4.6 of this guide.

Mr. Granchio meets one of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the criterion of section 6.3.4.6 E, because he would have documents in his file dated after 1951.

If you are creating a case and the subject of the request is 100 years of age or older, **but** the person **DOES NOT fully meet the criteria for a genealogy case**, please pay special attention to NFTS.

A. NFTS may show that the file has been retired and is at a Federal Records Center. If that is true, create the case and request the file.
B. It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

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If the subject meets the criteria listed in secton 6.3.4.6, continue with the steps listed below:

A. If NFTS shows that the A-Number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA.
B. Please select Final Action Letter and select NA: FOIA or PA not applicable. Please refer to section 14 of this guide.
C. Replace the body of the Final Action Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References/NARA_Historical Record Letter
D. Create a Discussion with findings for the Up-front Approver.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

A. Create the case
B. When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency.
C. Create a Discussion for the Up-front Approver
D. After generating the final action letter, send the case to Up-front Approver.
E. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we do not send out for additional information, we close as FC consent and Verification of Identity, but this situation is an exception. You should create the case as you normally would. Please do not send out for additional information in pending (not finalized) adoption cases and do not close as FC for the following reasons:

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A. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship
B. The child is usually too young to give consent
C. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please create a Discussion and send your case to the Unit Chief (UC) for supervisor review.

9. Referral and Redirections

9.1 Referral (RF)

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Referring the Case to another Agency or Unit (RF)

If you find no A-file or receipt file for the subject, follow the following the referral guidelines and RF to CBP. The list below includes example s of when to Refer (RF) to CBP and or ICE.

Note: We may sometimes need to refer to CBP for Entry and Exit as an example, and include the ICE contact information on the Final action letter for Drug smuggling. It all depends on how the requester worded the specific documents needed. For example, you could not find any A-file or receipt file and the requester specified one of the following:

Entry exit / Departure information
Copy of an I-877

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Any reports or incidents at the airport.
Copy of I-94 card
Arrests at the border
Voluntary departures
Border stops

Note: If receiving a request for the entire records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you find no records, you will then refer to ICE or CBP as needed.

RF to ICE

Criminal history
Drug smuggling
Human trafficking
Deportation
Information about SEVIS
F, J, or M Visa requests

Referring the Case

A. Create the case as normal
B. Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit."
C. FIPS will automatically create two documents: a final action letter to the requester and a referral memorandum to the DHS component.
D. FIPS then generates the two Word documents
E. You will need to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.
F. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
G. After you have done this for both documents, enter a case Discussion with your RF findings and send the case to Up-front Approver.

The following screen shots provide views of steps B-G in FIPS:

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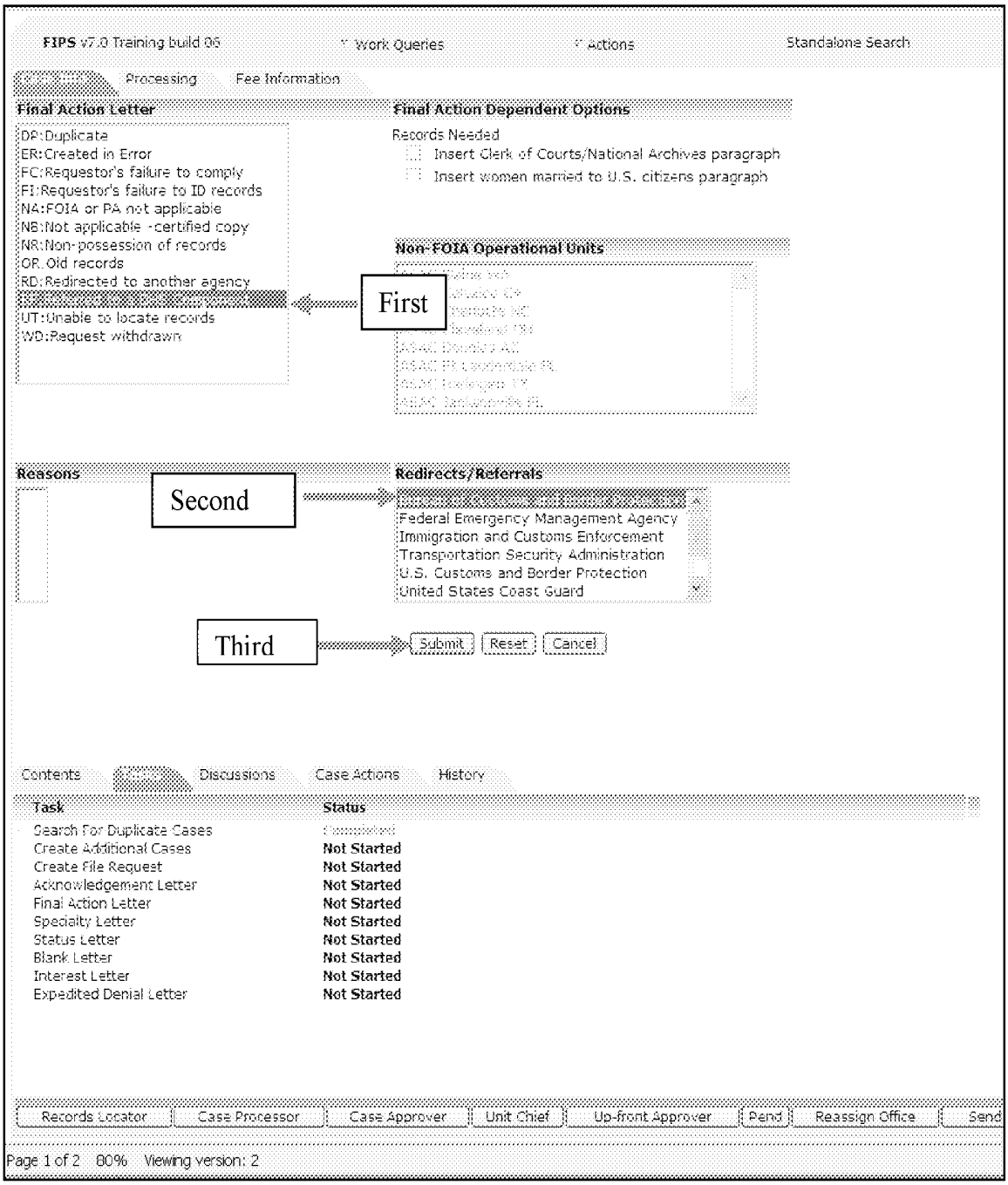

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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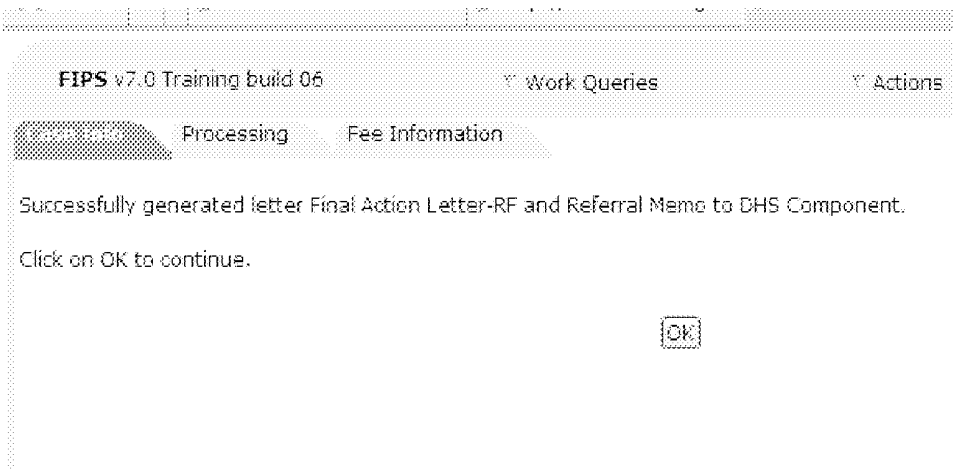
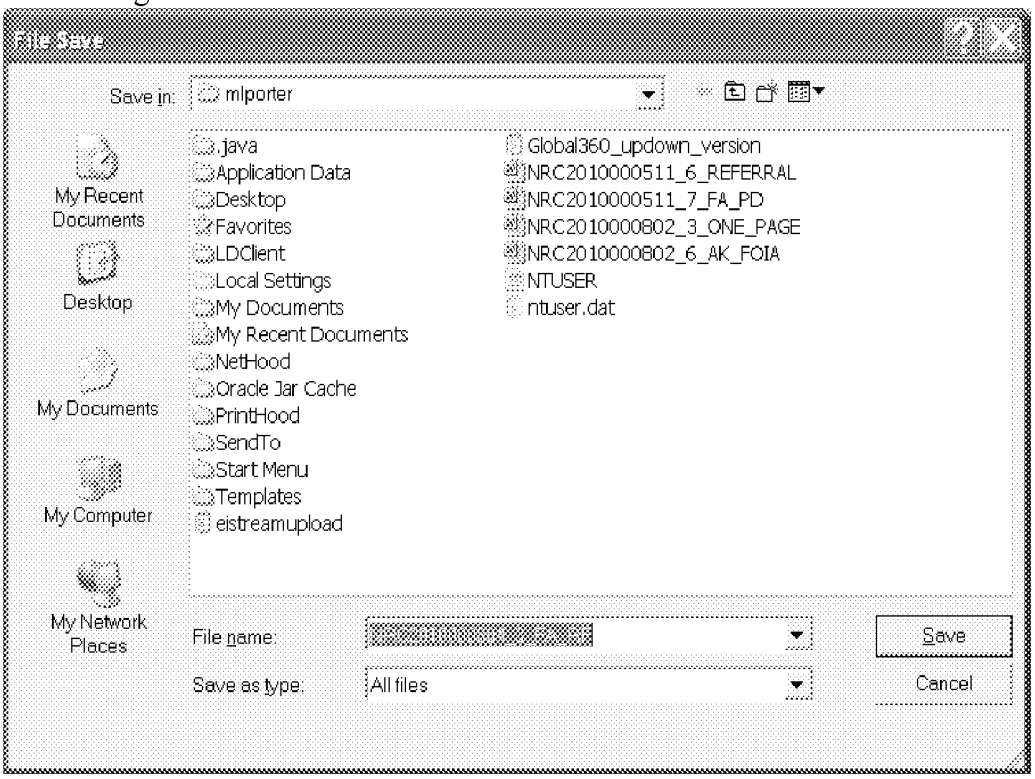


FIPS then generates the two Word documents.



You will have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.

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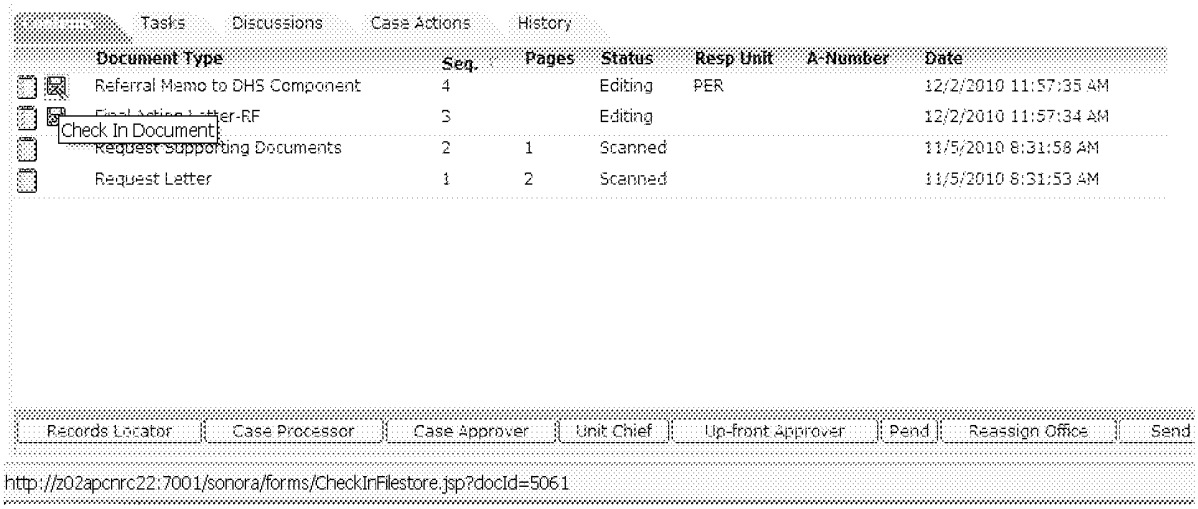
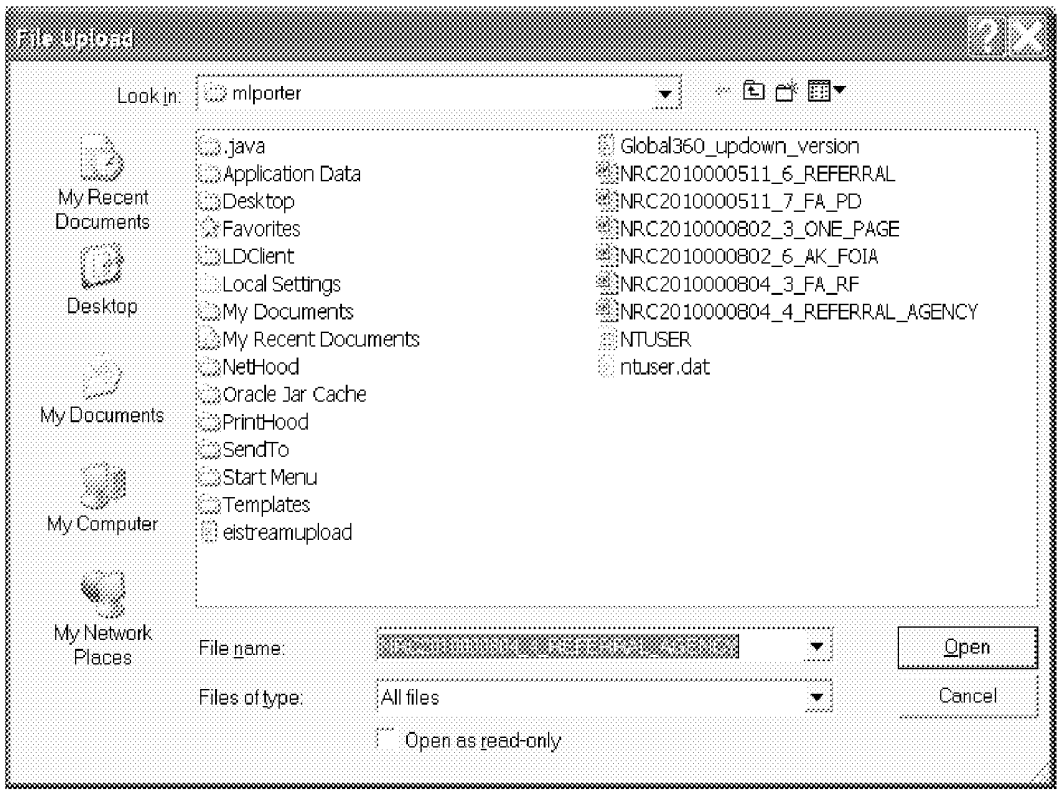


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection (RD)

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter."

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The following are examples of requests we would redirect to State Department if we find no matching records:

A. B1/B2 Visa information
B. Visitor Visa
C. U – Visa
D. US Citizens born abroad
E. 6 Million A-Numbers that are not in CIS - Note:. We only RD to DOS when they specifically ask for the above information. We do not RD to DOS just because you find a Visa control number in PCQS.

The following are reasons to RD to NVC if we do not find matching records:

A. If they supply an NVC receipt number on the request such as a CDJ number
B. If NFTS shows the receipt at the NVC
C. If you call the hotline and it has, or ever has ever been at the NVC. Even if the hotline says the receipt was returned to us.
D. If you staff for the receipt file and the staffing sheet says it is at the NVC

Note: If the request contains an NVC prefix, there is no need to call the NVC. You may find a listing of all NVC valid consulate prefix codes at Appendix C of this guide. That prefix such as CDJ means it is, or was there. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You will have to edit the one letter to add needed information.

Requests may also be redirected to other agencies based on the information being requested. It is just necessary to select the proper agency from the Redirect drop down menu. Always make sure we have no matching records before redirecting to another agency.

Redirecting the Case to another Agency or Unit

A. Create the case
B. Under the "Tasks" tab, select Final Action Letter. Select "RD: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are redirecting the request and click "Submit."
C. FIPS will automatically create a document: a final action RD letter to the requester.
D. FIPS then generates the Word document.
E. You will need to edit the RD letter/document to add needed information. After you exit from the Word document, it will appear under the "Contents" tab.

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F. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
G. After you have done this for the document, enter a case Discussion with your RD findings and send the case to Up-front Approver.

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the Word document is the same as for referrals. You may have to edit the letter to add needed information.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS, PCQS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You will need to modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP. For instructions on Referrals (RF) see Section 9.1.

Entry exit / Departure information
Copy of an I-877
Any reports or incidents at the airport.
Copy of I-94 card
Arrests at the border
Voluntary departures
Border stops

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Note: If the request is for all records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you do not find any record, you will then refer to ICE or CBP as needed.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints. For instructions on Referrals (RF) see Section 9.1 and Section 9.3

Exception to this rule; if the requester provides an A-Number or you locate an A-Number through a search of the systems, please request the A-file.

9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See section 9.3 above. For instructions on Referrals (RF) see Section 9.1.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. Create a Discussion explaining that you staffed based on best information available. The Discussion will alert the Case Processor.

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11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

12. REQUESTING THE RESPONSIVE RECORDS

If the requester provided adequate VOI, reasonable description of records, and consent if necessary, your next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

The Staffing Sheet Guide, the RPC Reference for Staffing and the FOIA FCO List are available on the FOIA Operations ECN intranet page to help you request the file. The web address is as follows:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

If you are unsure about the proper way to create a file request, it is much better to ask a person in MSB for guidance than to create a staffing based on a best guess.

If the requester is seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You must also mention those specific documents in your acknowledgment letter to the requester, using language as close as practical to the requester's words.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the Staffing Sheet Guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If you are unable to find a record, please refer to section 7.3 of this guide.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

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If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. If the staffing request is overdue you will need to review the due date and re-pend. See section 33, Re-pend Cases in Records Locator Queue.

12.1 Staffing by Alien Number

12.1.1 One A-Number provided on the request (with example staffing)

If an A-Number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, place of birth, name, mailing address and signature under perjury or notarized) to complete the case create. If any of the required elements are missing, we will close the case FC under normal circumstances. Please refer to section 16, **FC (failure to comply) CASE CLOSINGS** of this guide. The section that follows is a systematic example of staffing by A-Number when the requester has provided one.

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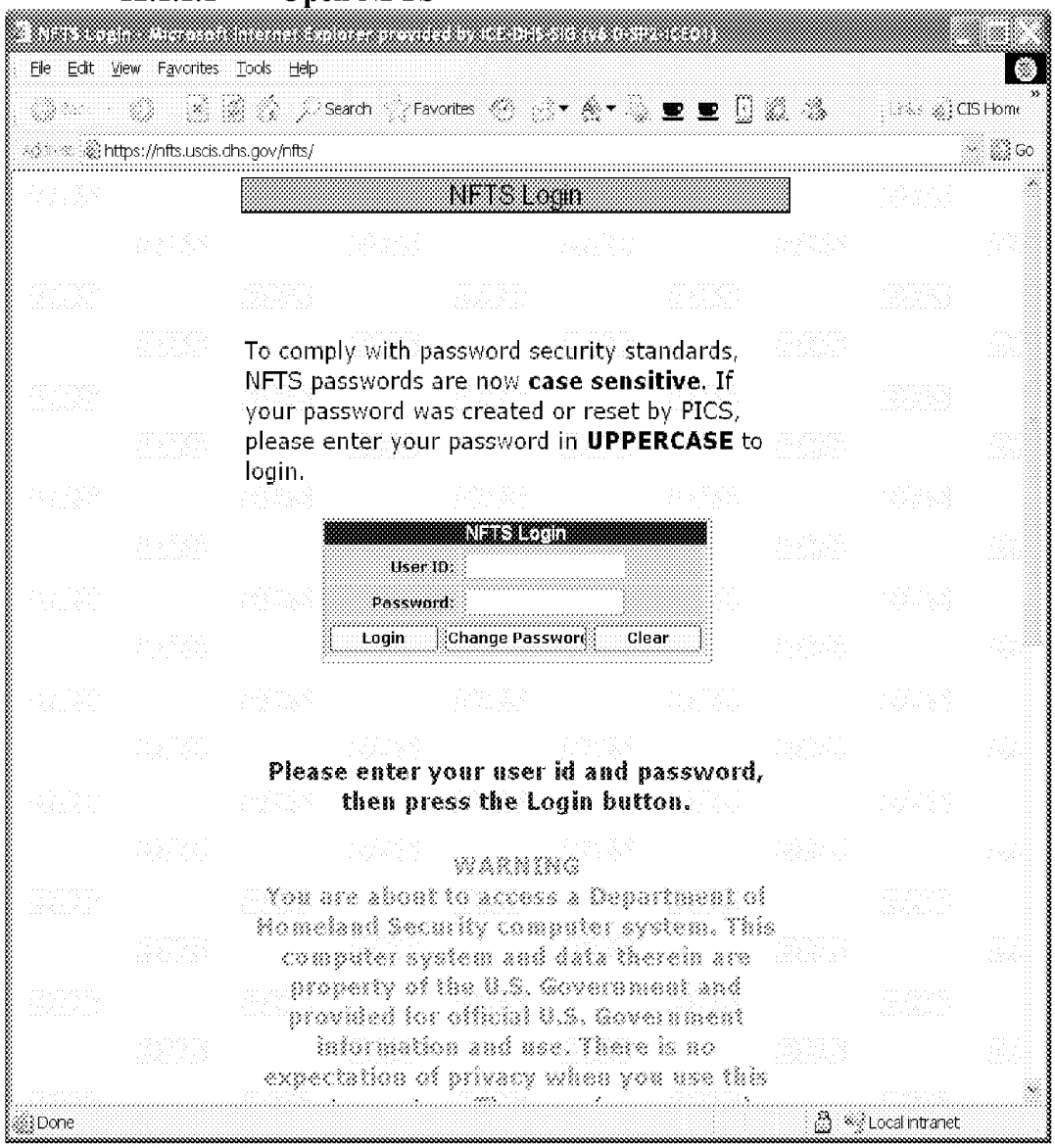
12.1.1.1 Open NFTS



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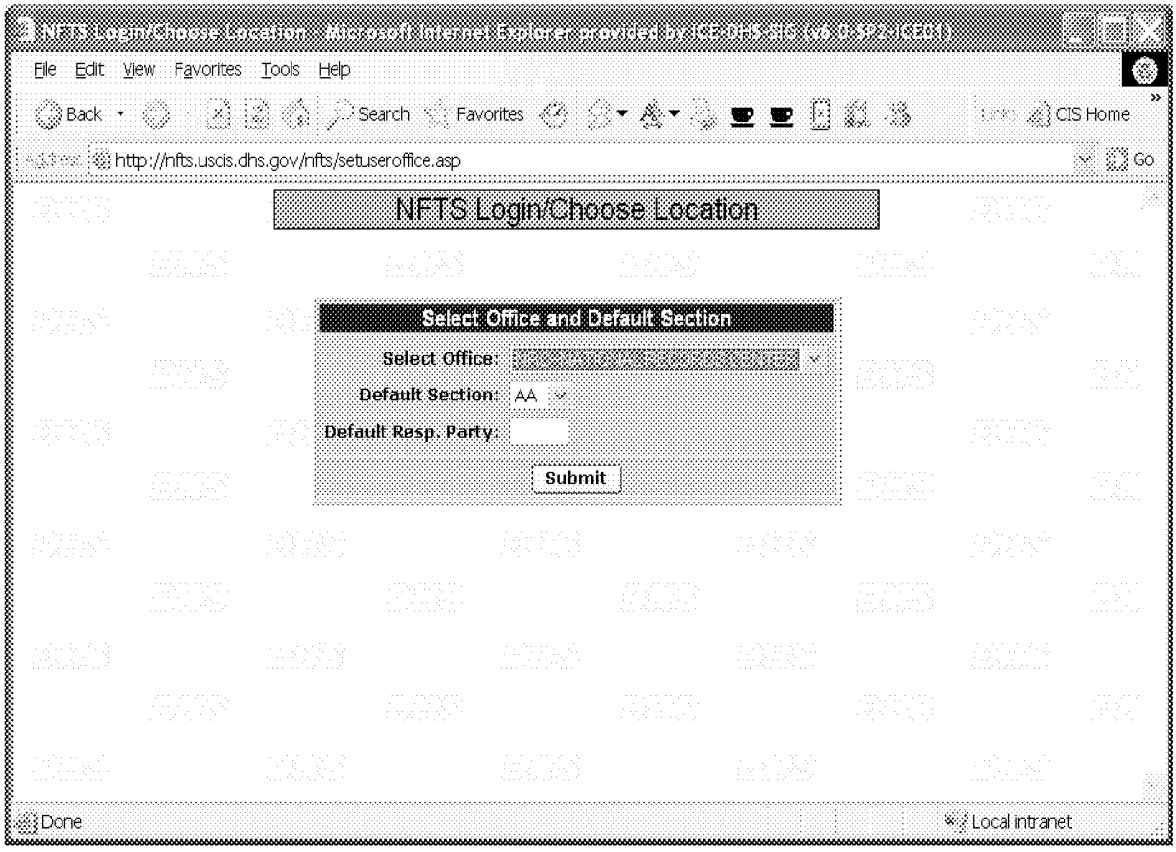
12.1.1.2 Submit your location



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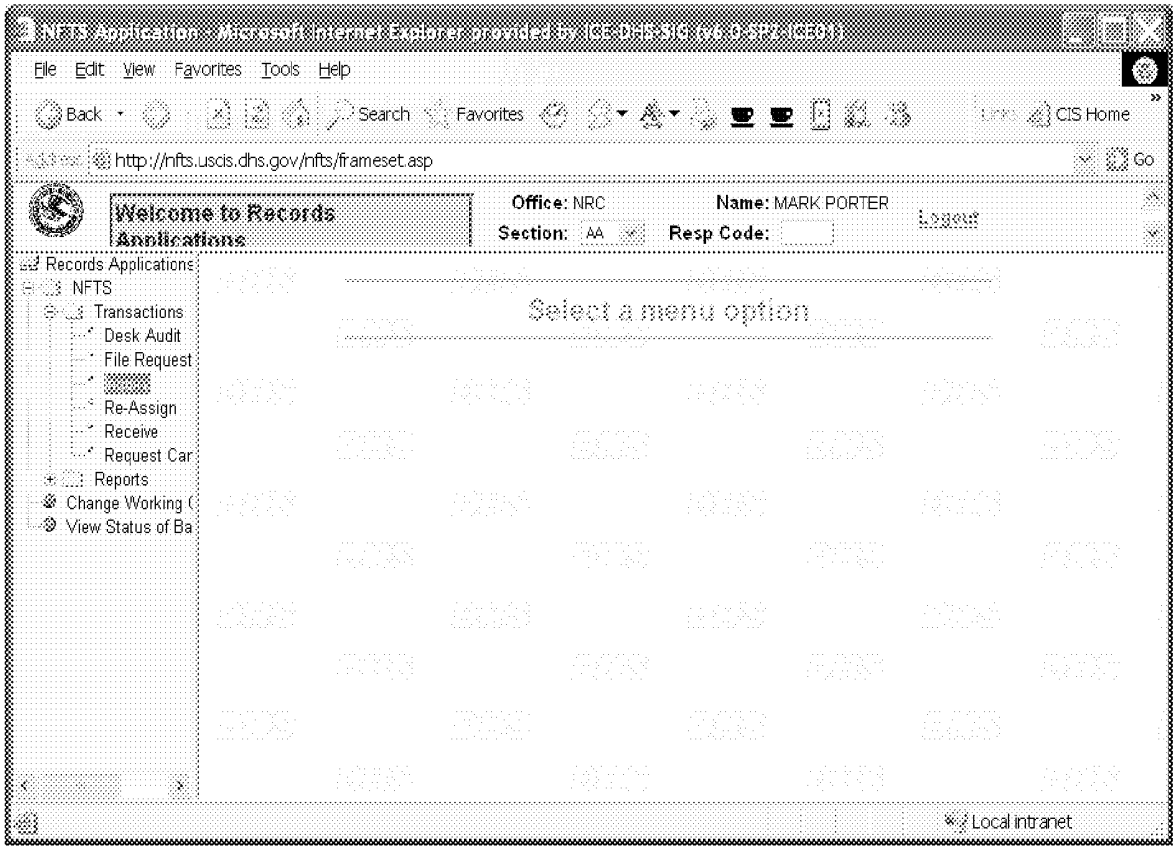
12.1.1.3 Select "Inquiry"



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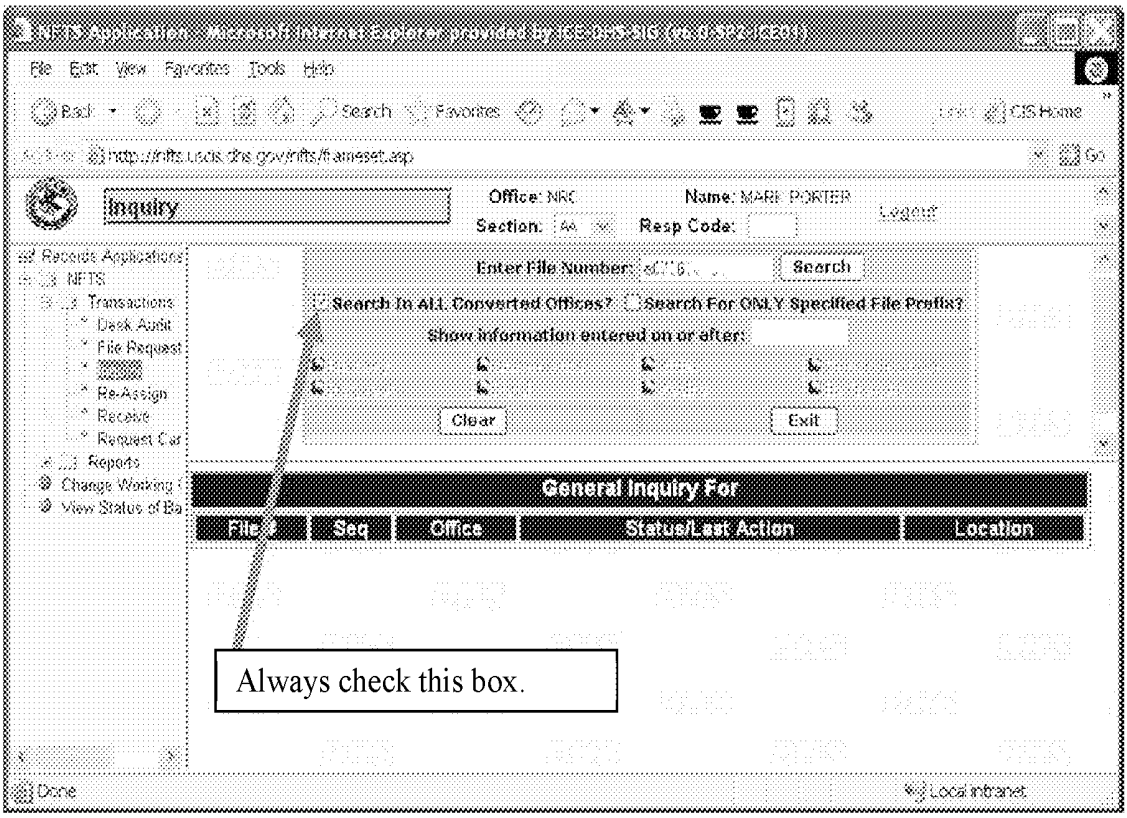
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-Number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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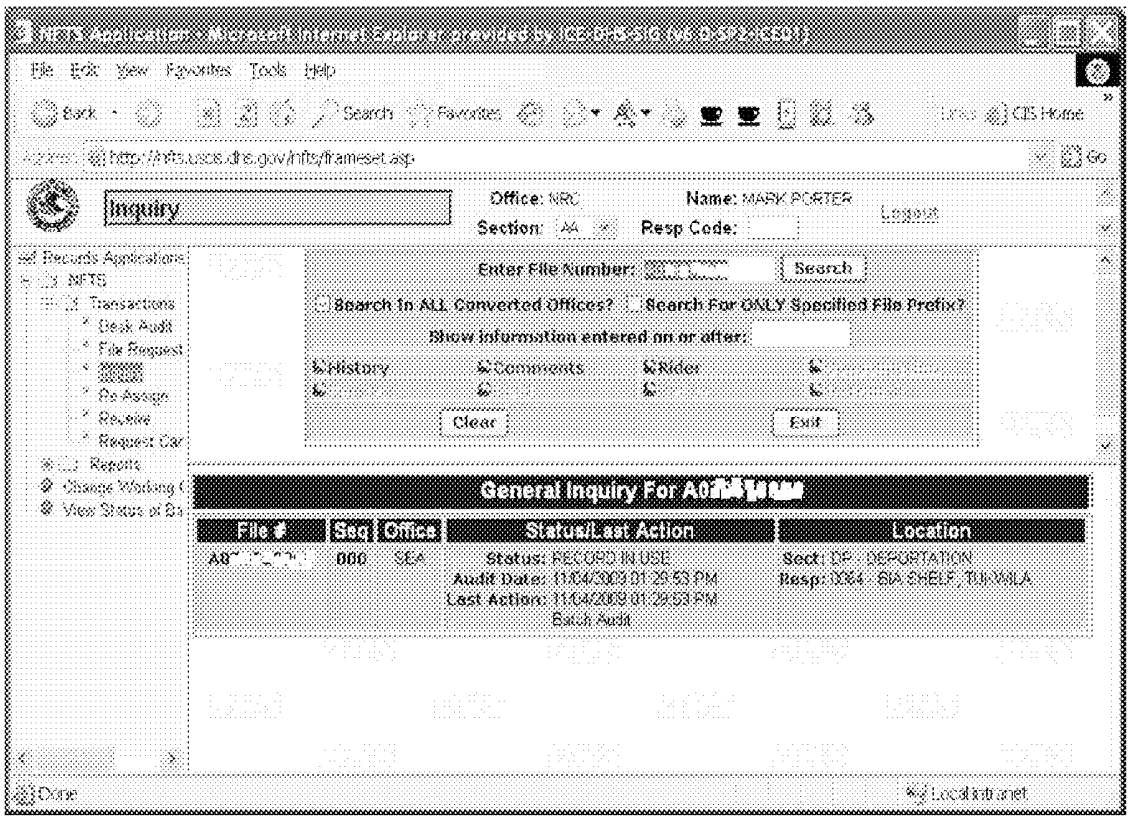
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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12.1.1.6 "Blued in" information

A. If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than Kansas City, staff to Non-FOIA for the FCO.
B. If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
C. If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
D. "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
E. If "Request" is blued in, it does not change how we staff for the file. In this situation, we have to create a staffing for where the file is.
F. Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

12.1.1.7 The FOIA Operations Division Intranet Page

An RPC beginning with "DP" should be easy because NFTS usually shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. A file could be available in records at NRC on shelf DP – and that is not an ICE staffing. Sometimes it is not clear. If that's the situation, we need to look at the FCO List, the Staffing Sheet Guide and the RPC Reference Guide. Those are available at the following address:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

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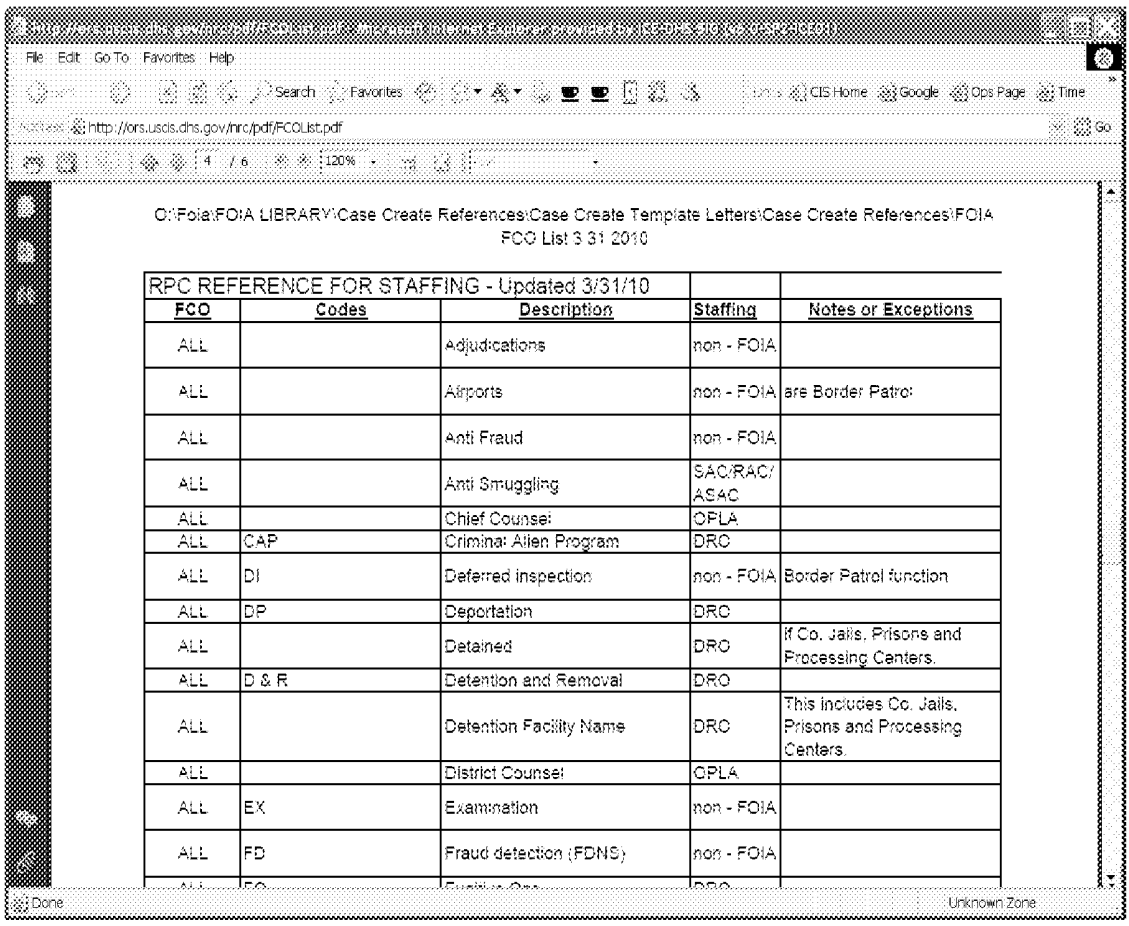
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. That is ordinarily true, and NFTS will usually say DP-Deportation, so you will have no doubt. Ordinarily, DP means Deportation, and the Staffing column says to staff to DRO. SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing. When you staff for a file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE and click Save.



File Edit Go To Favorites Help

Search Favorites CIS Home Google Ops Page Time

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

Done Unknown Zone

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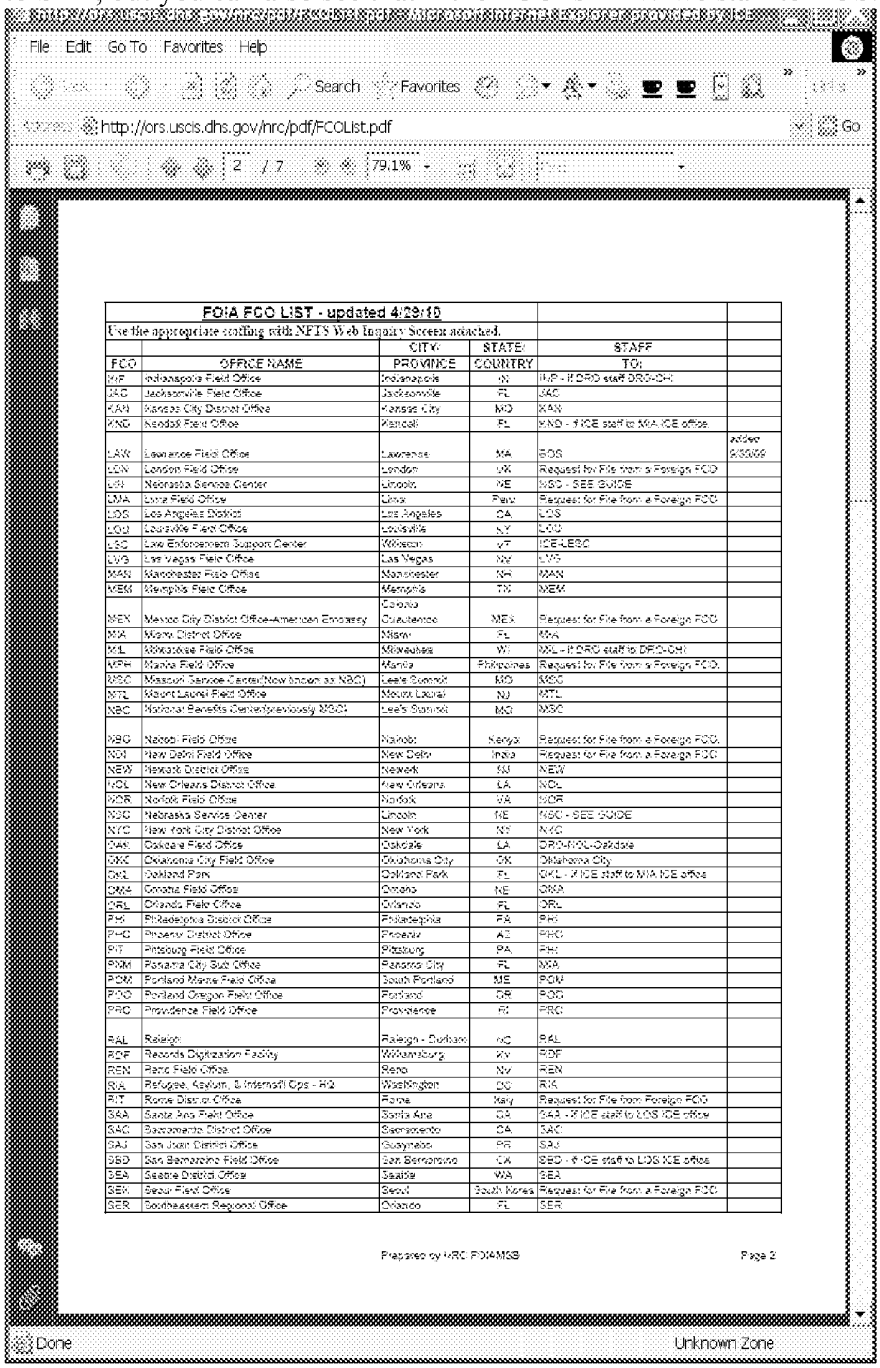
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

Go

2 / 7 79.1%

FOIA FCO LIST - updated 4/29/10

Use the appropriate coding with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
IMF	Indianapolis Field Office	Indianapolis	IN	IMP - If DRO staff DRO-DHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 6/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LIM	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MIL	Milwaukee Field Office	Milwaukee	WI	MIL - If DRO staff to DRO-DHI	
MNH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO.	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO.	
NDH	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Oakdale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PHI	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internatl Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEK	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/MSB Page 2

Done Unknown Zone

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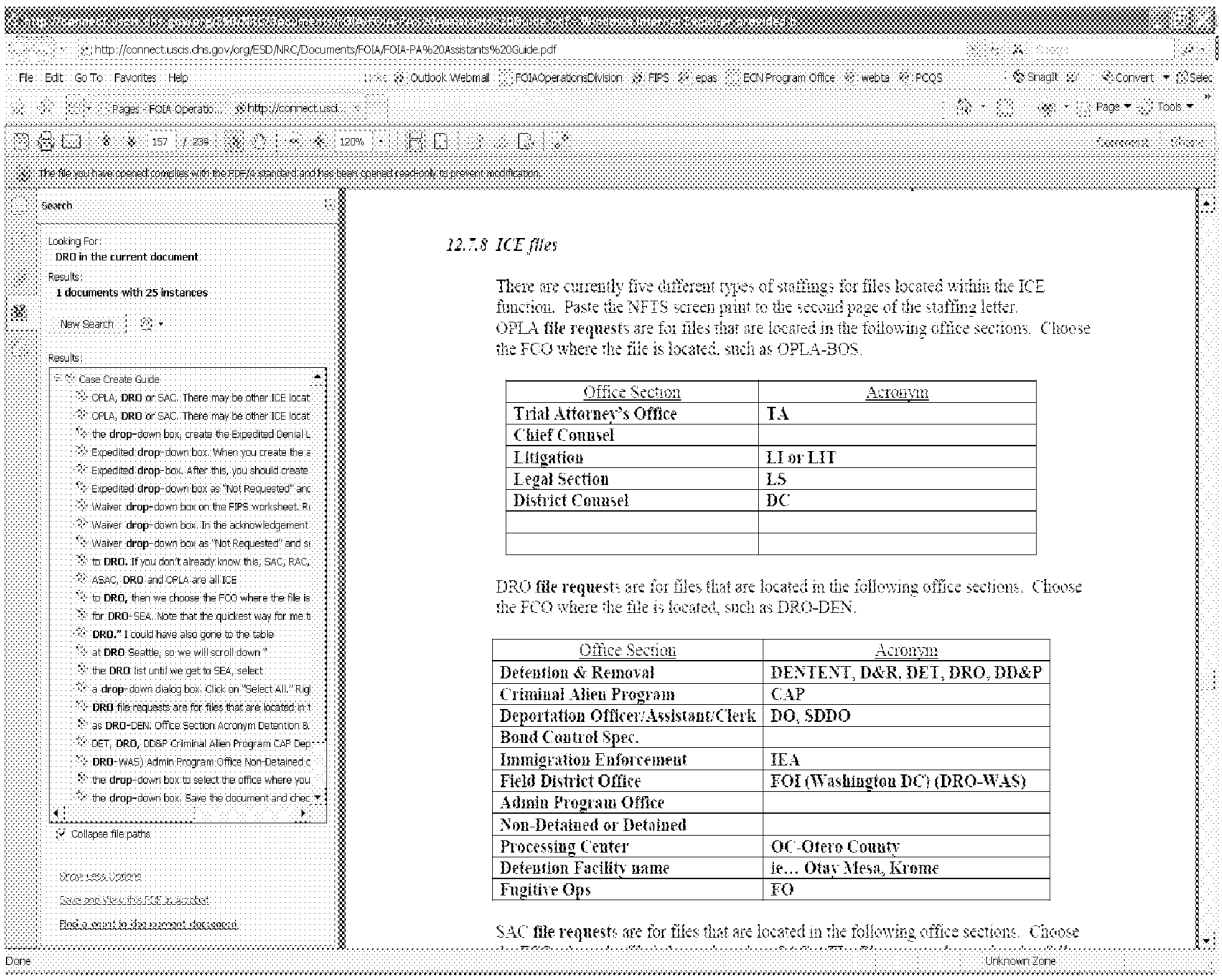
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter. OPLA **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

DRO **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie... Otay Mesa, Krome
Fugitive Ops	FO

SAC **file requests** are for files that are located in the following office sections. Choose

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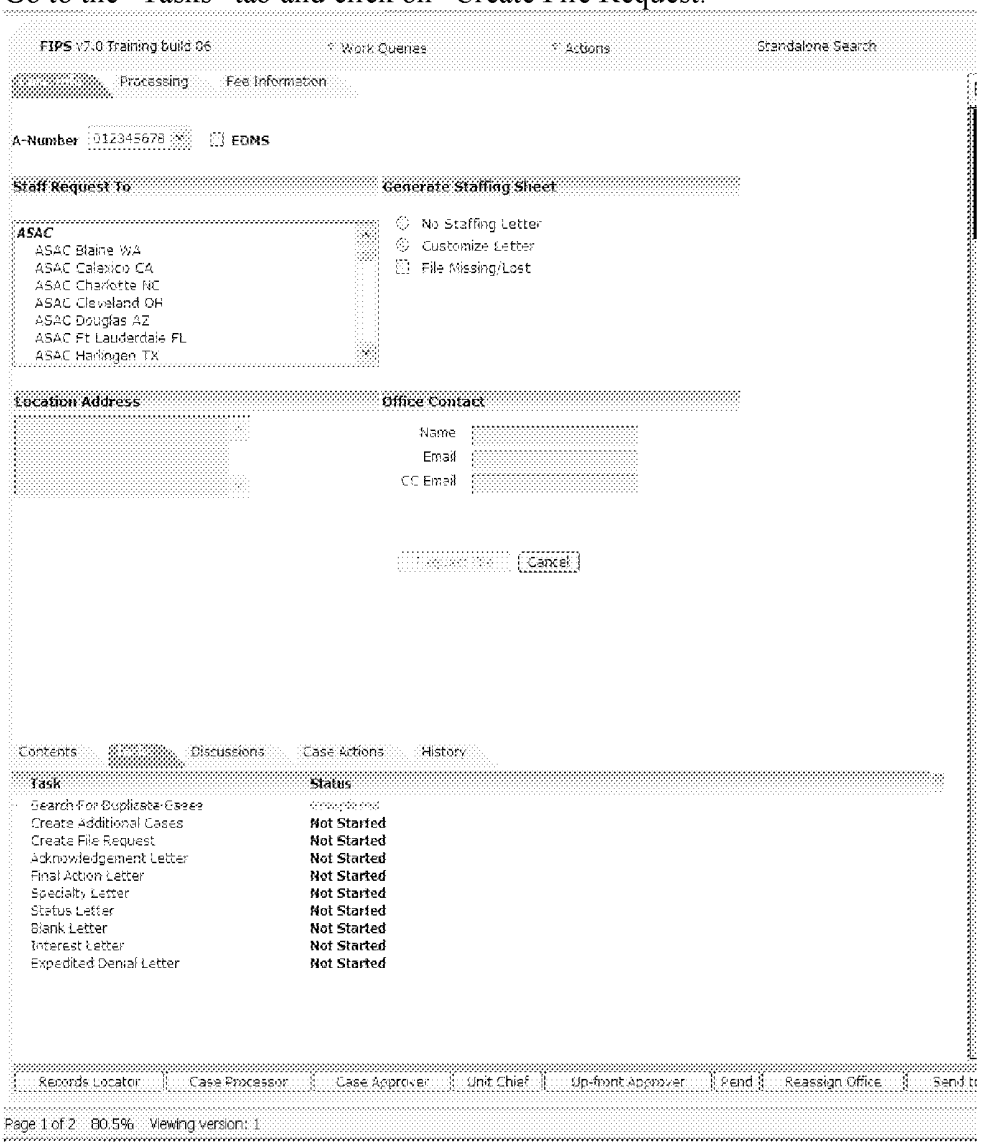
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it. You may save time by knowing what to type. Typing "DRO" will take us to the DRO list. If you had typed "SEA," it would have taken you to Non-FOIA Office, Seattle. If you had typed "SEAT," it would have taken you to Seattle OPLA. The "Request File" button may stay "grayed out" after you click on the office you want (see the example above). If that ever happens, click on an office you do not want, then click back on the office you do want, and "Request File" will not be grayed out anymore (see the example below).

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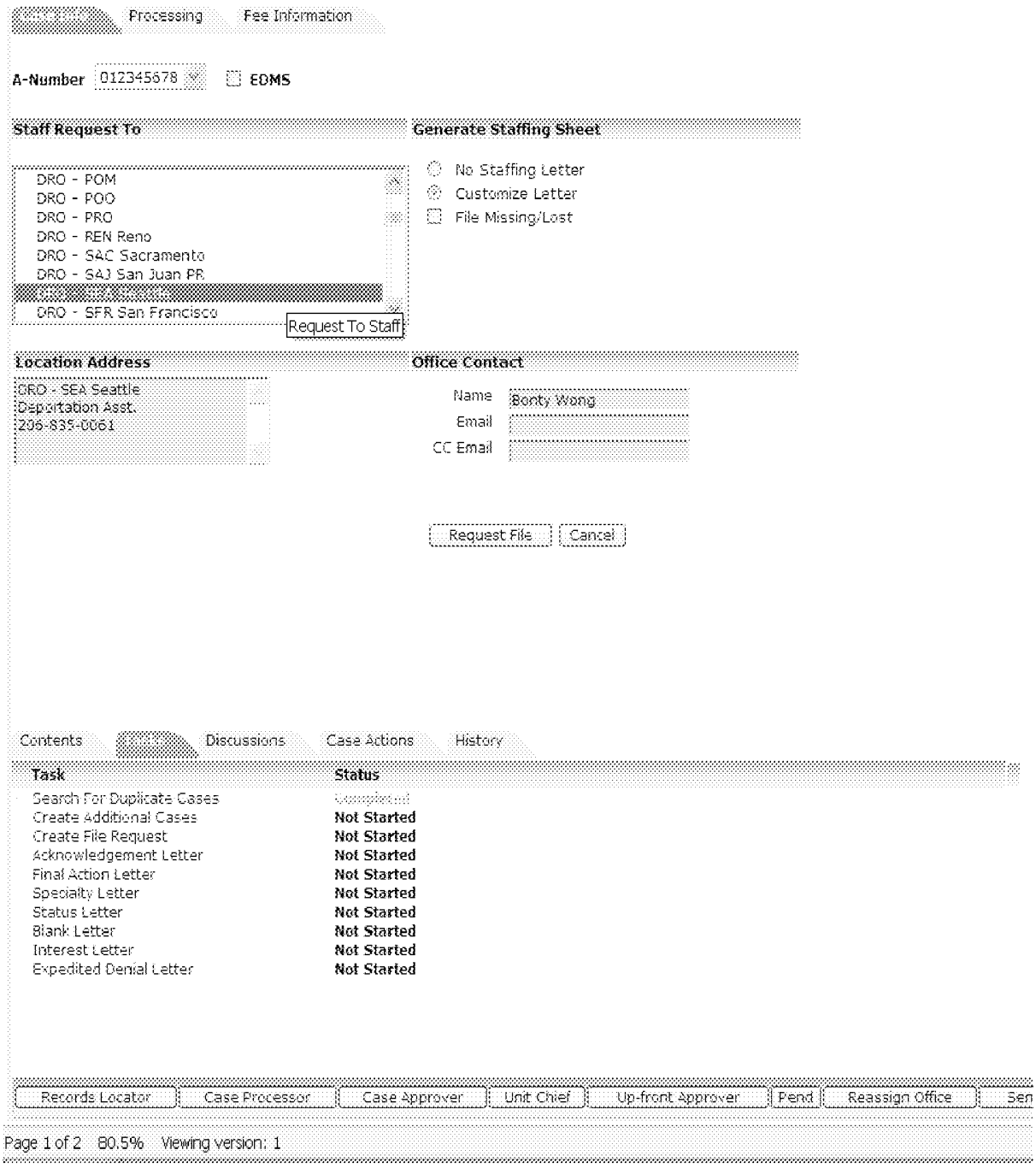
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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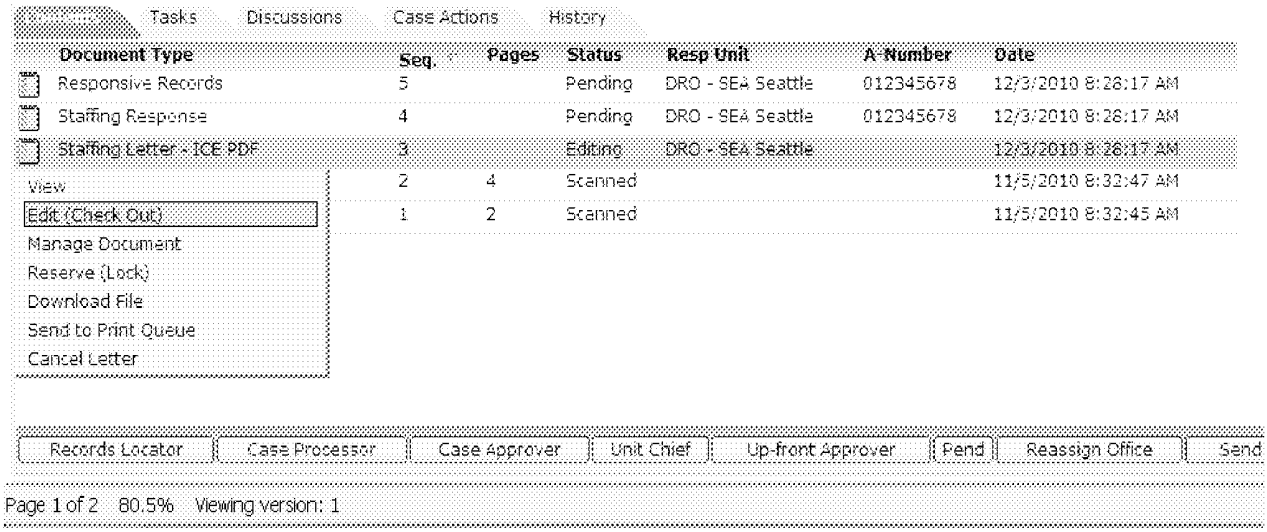
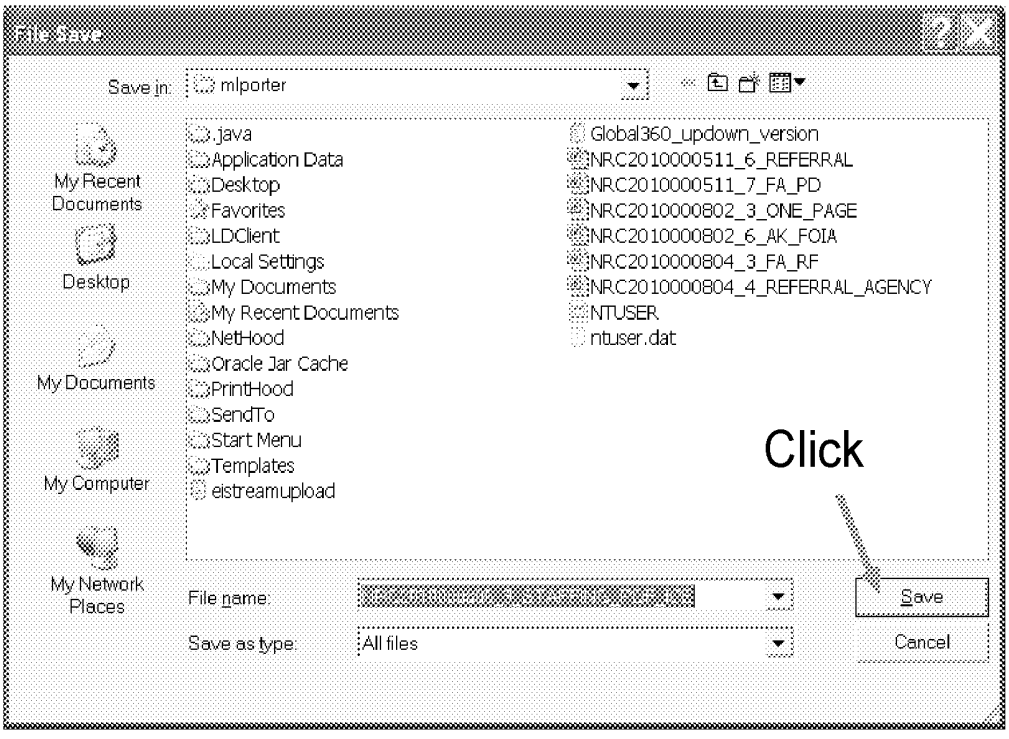
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." The File Save screen will appear and you click the Save button and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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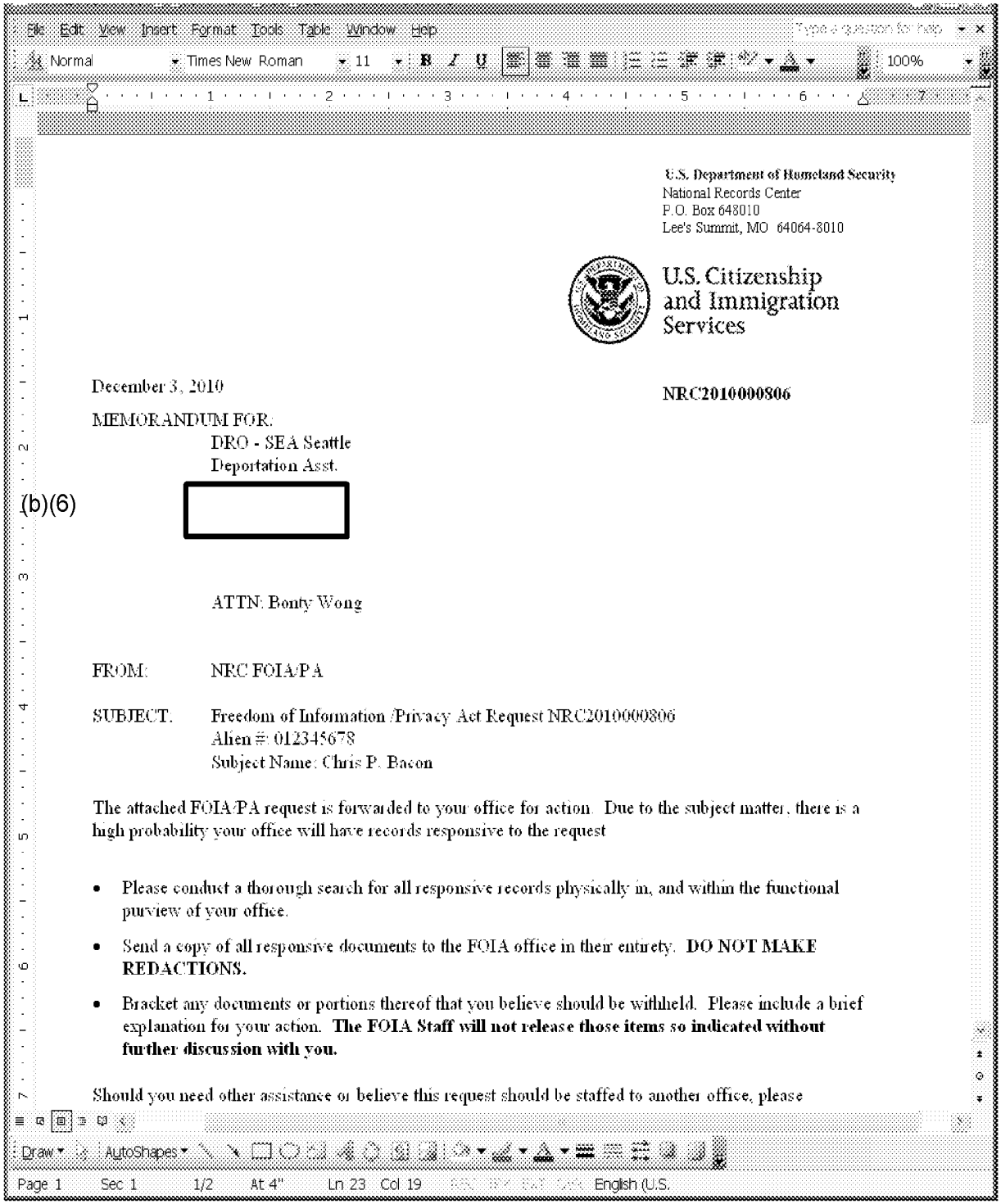
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6)

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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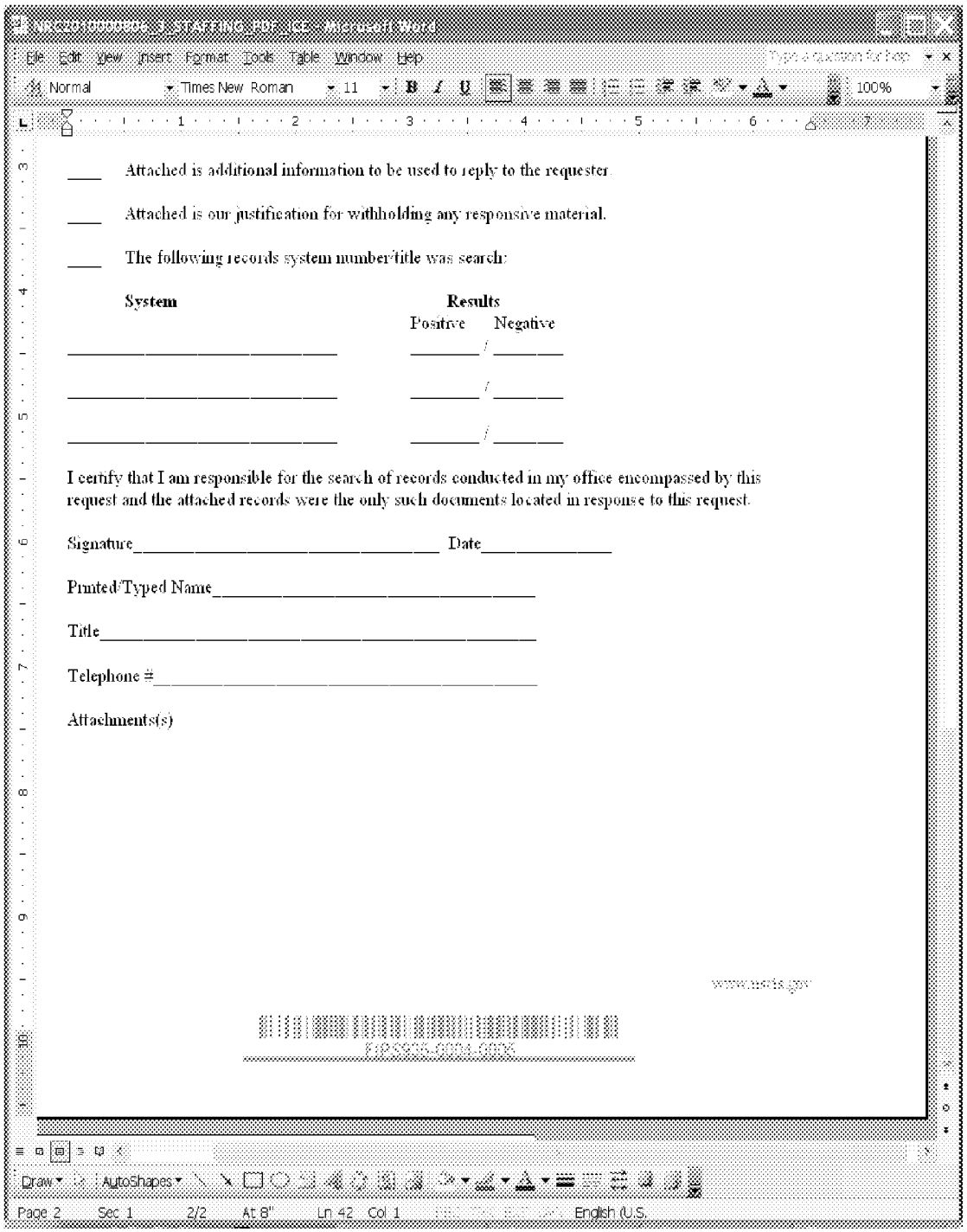
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

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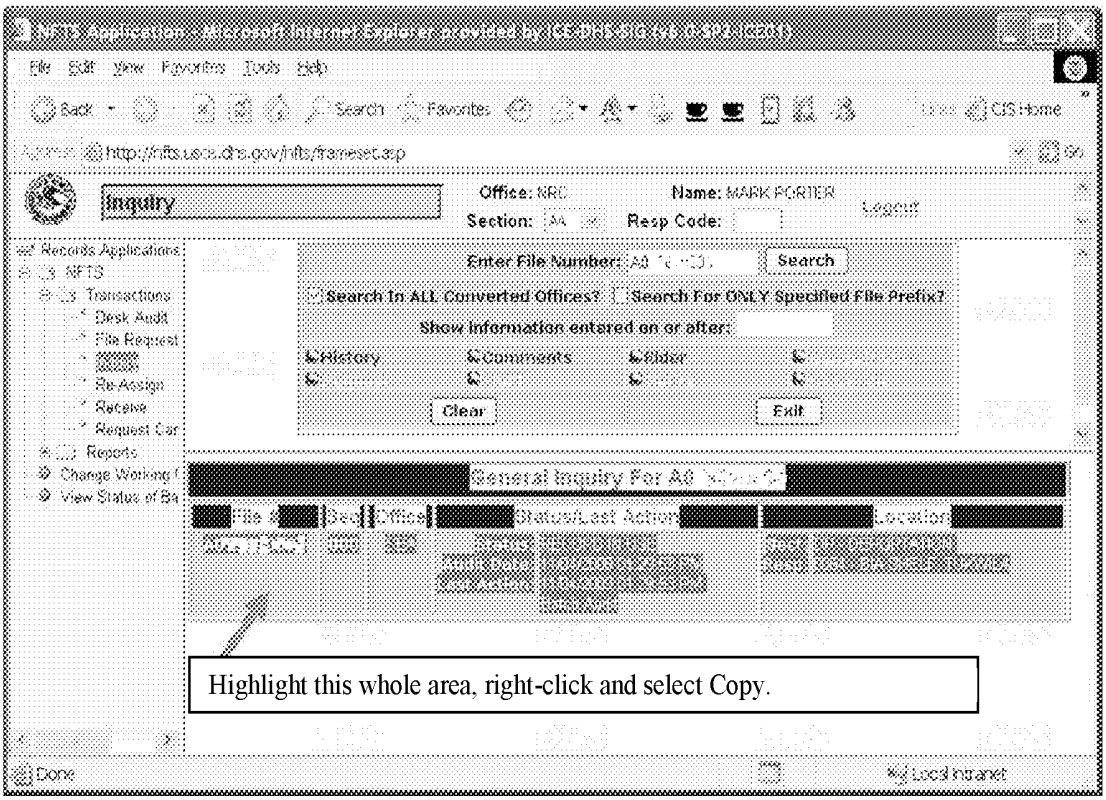
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Highlight the whole area, then right-click and select "Copy." Now we will paste the information into the staffing letter.



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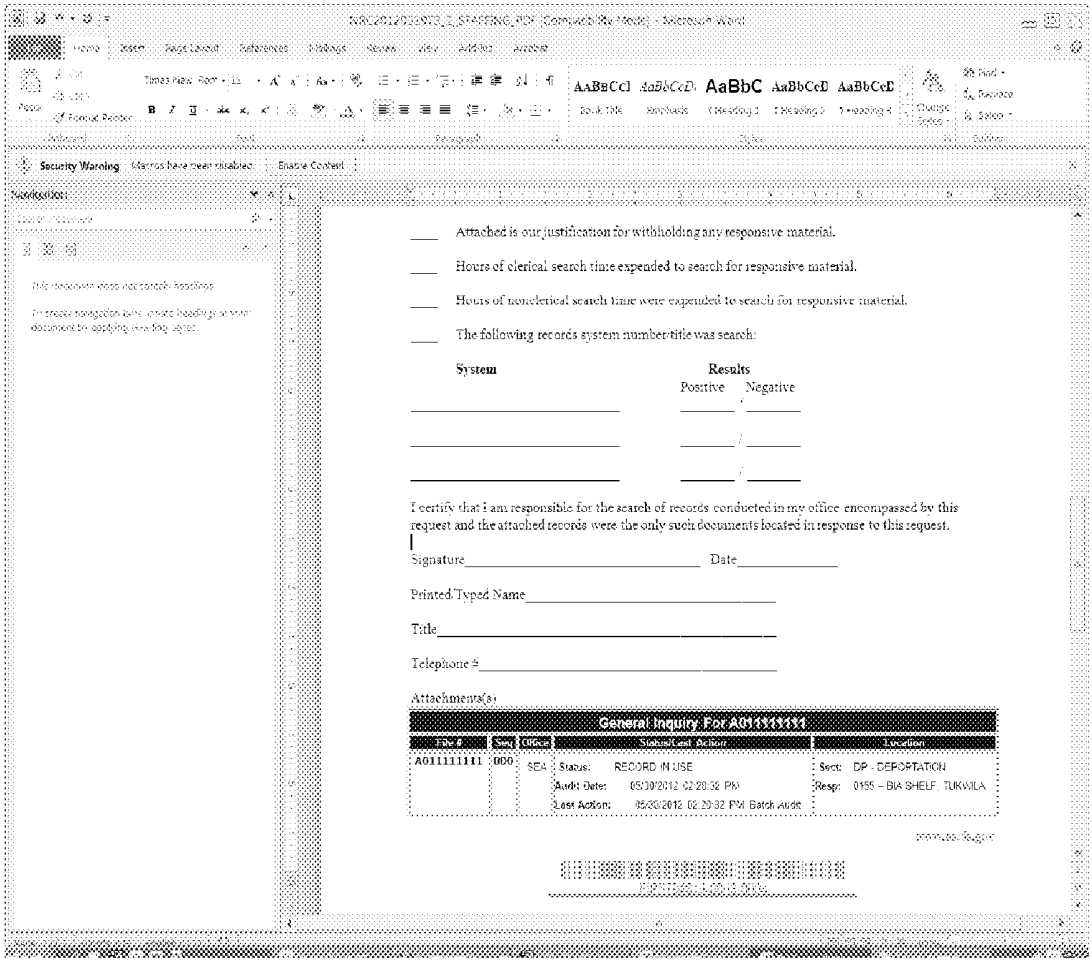
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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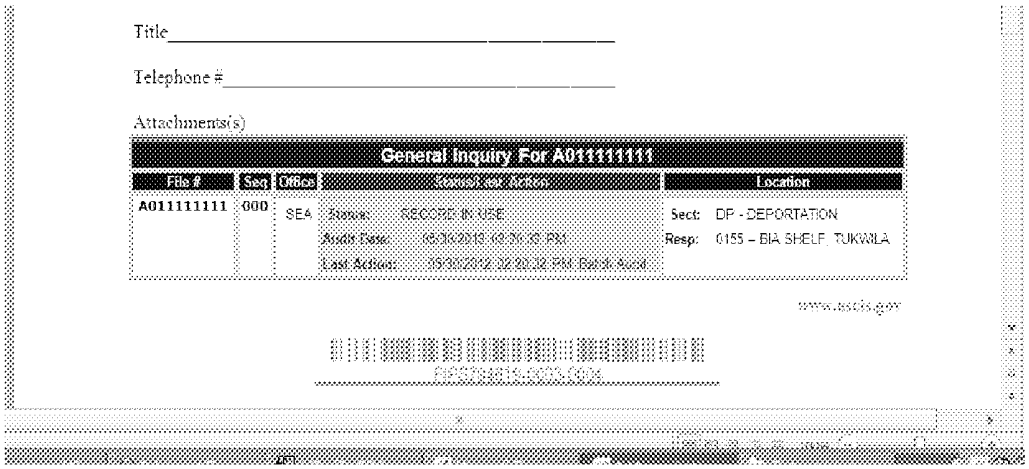
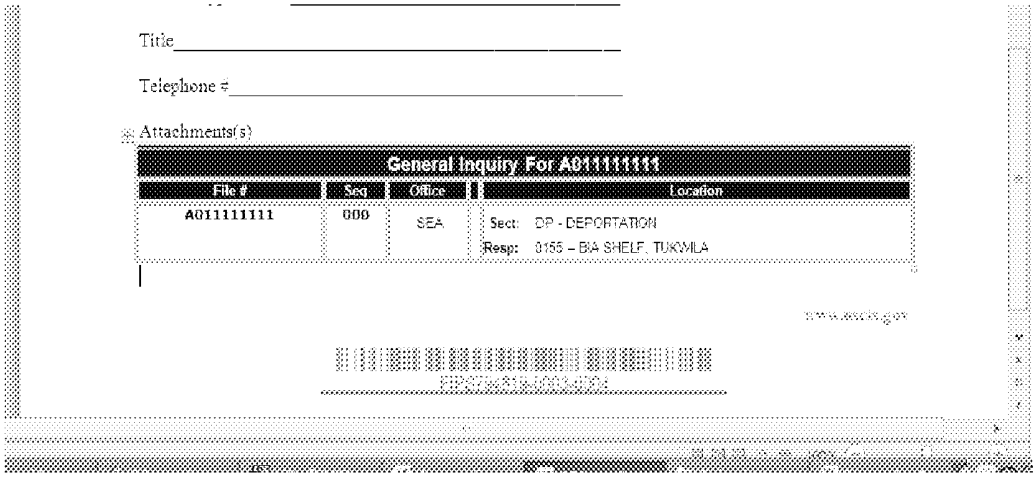
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.





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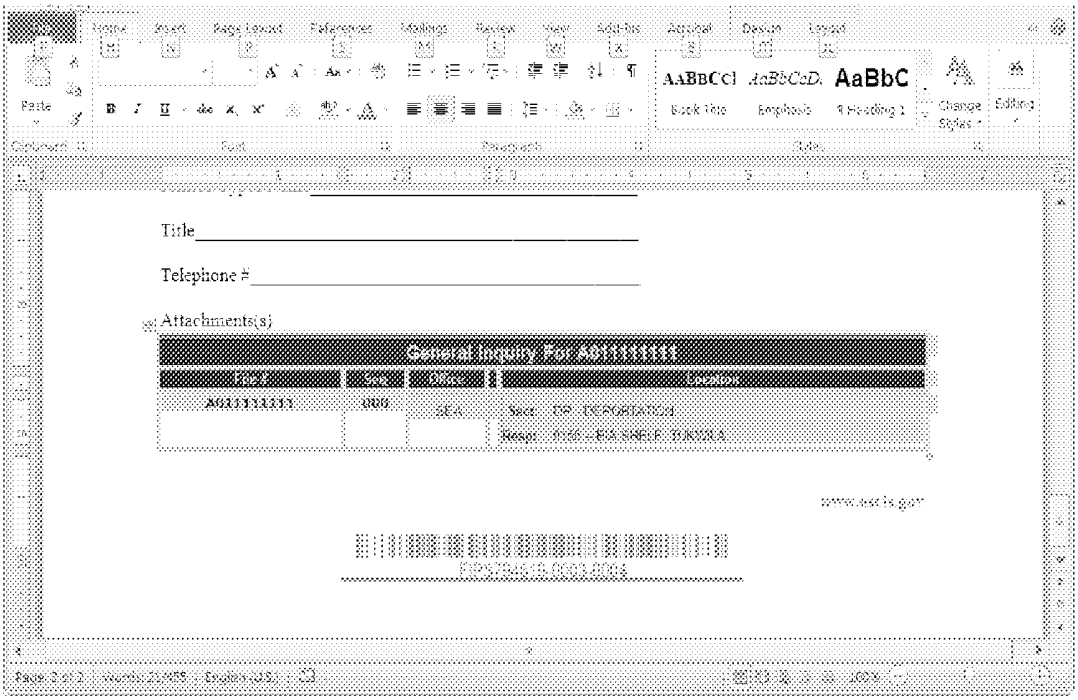
Next, highlight the whole area and change the font size to 12.



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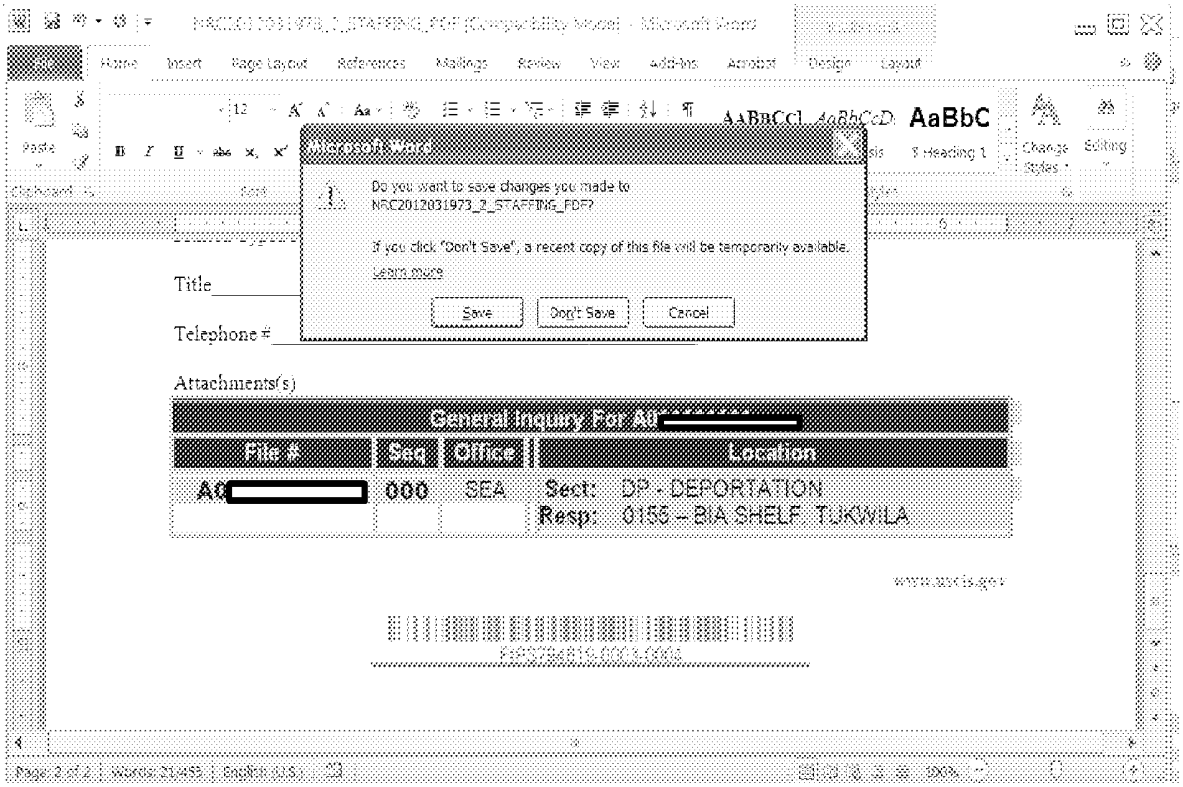
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

(b)(6)



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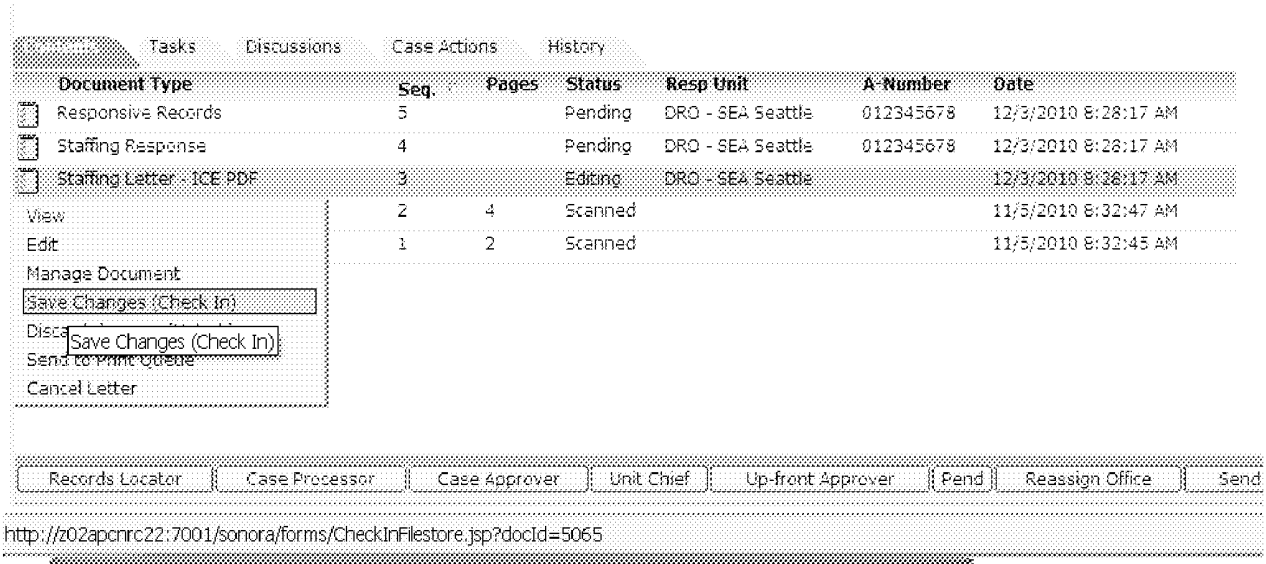
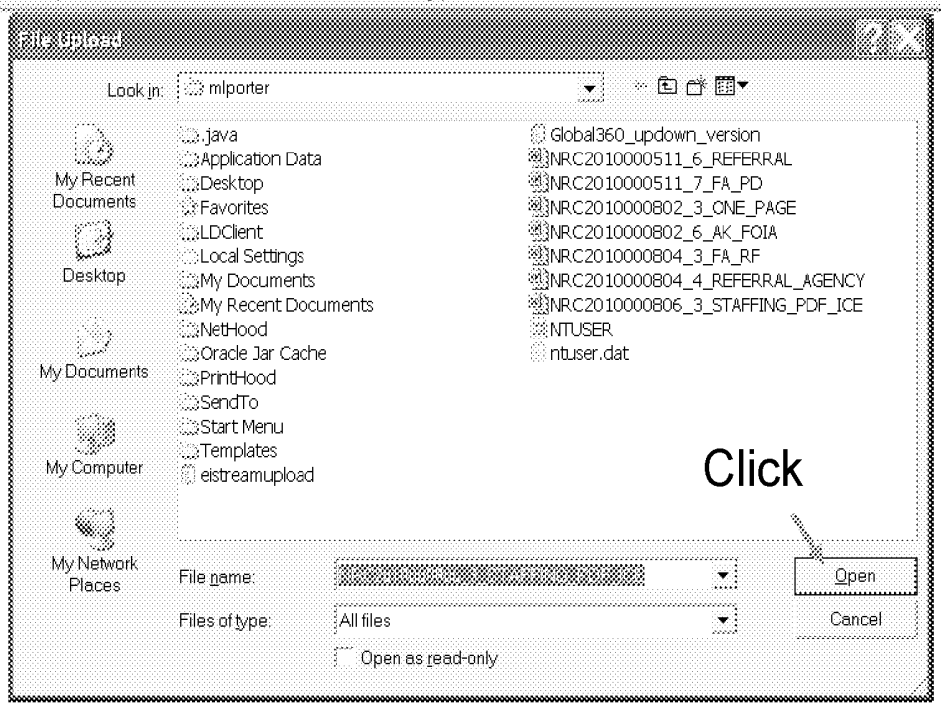
12.1.1.15 Save changes and check it back in

Click on Staffing Letter to Edit Before Saving Changes You will normally see a box icon that looks like a 3.5 inch disk to the right of the notepad icon. A single click on that will check your document in. If you do not see the box icon, click the contents tab again to refresh, and it will appear. Otherwise, it would take longer. This screen shot shows the person clicked on the notepad and waited for the drop-down box. In this example, when the drop-down box appeared, the creator clicked on Save Changes (Check In). That is the slowest option.





After this, send the case to "Pend."

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12.1.2 Two or more A-Numbers

Multiple unconsolidated A-Numbers - If the requester has provided more than one A-Number, you must research CIS for each A-Number to determine if they relate to the subject. If the subject has multiple A-Numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-Numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-Numbers

If the alien has a consolidated A-Number, then please enter only the lead (or surviving) A-Number on the worksheet in FIPS and request that file. Consolidated A-Numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-Number listed first is the primary A-Number; the other A-Numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-Numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS, PCQS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; if you have access to PCQS, search PCQS and print any data found, otherwise, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Choose the track according to what the requester asked for.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the requester is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections 12.7.12 and 12.7.13 for additional information. If the receipt has been destroyed, follow instructions in 12.7.14.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS or PCQS and verify the information.

If the requester provides only a receipt number, and that receipt number is from a service center, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work authorizations, but we cannot request those.

For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

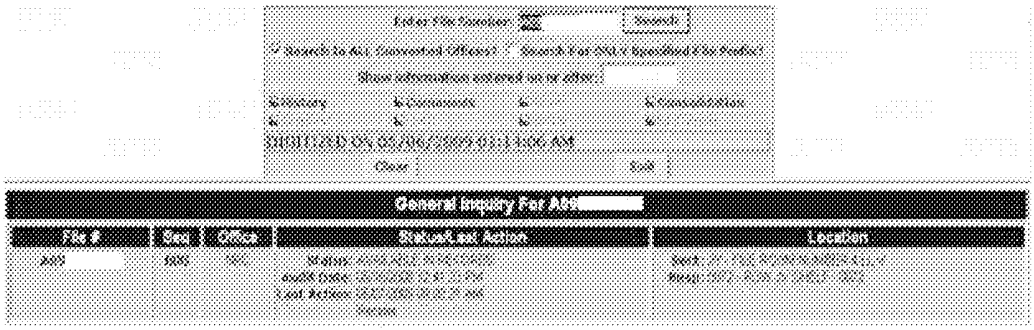
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen. Also, retired files at HBG are digitized.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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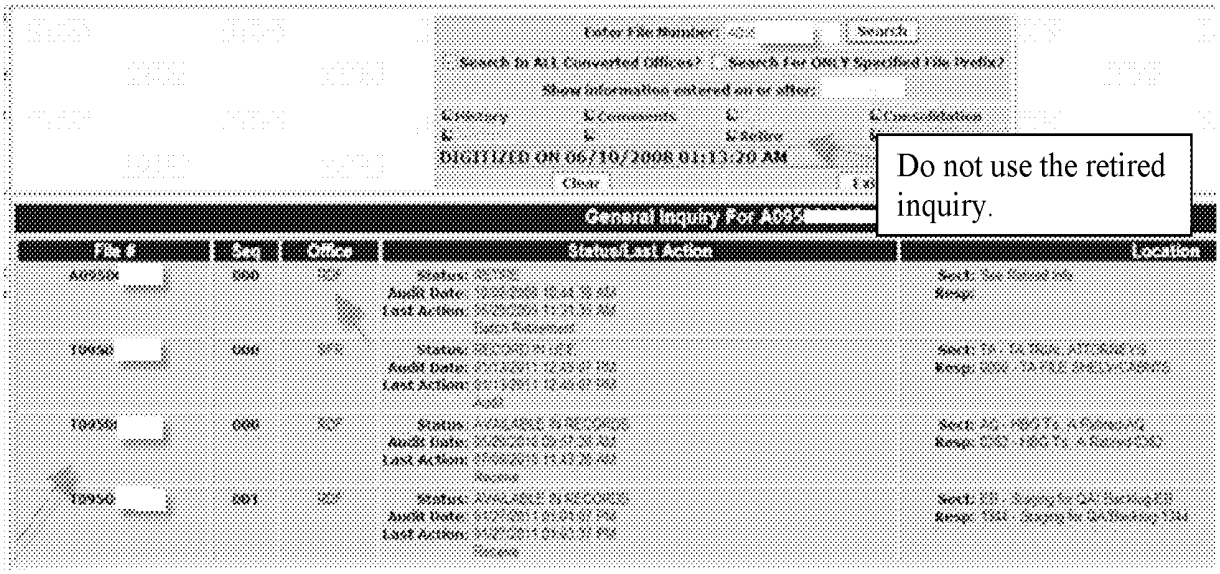

In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS (Flowchart at Appendix H)

12.7.2.1 Verify that the A-file is lost less than nine months in NFTS and CIS-9504. A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "File located IND." Print the 9504 Screen print.

12.7.2.2 Search and staff for any additional non-consolidated T-files or receipt files. If you find no related T-files or receipt files, input the lost A-Number into PCQS. Open a RAFACS staffing slot and have the screen prints added as responsive records along with a CIS-9101 screen print.

12.7.2.3 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the lost A-file. Print the screen prints and attach as a CSD.

12.7.2.4 Complete the lost file worksheet. Be sure to fill out as much information as you can. Attach the lost file worksheet, the CIS 9101 screen prints, and the 9504 screen print as a CSD.

12.7.2.5 Click "In Circular Search" and save. Staff using the Lost File at FCO;_____ File request (include the FCO that shows the file is lost). Under "Create File Request" mark the box "File Missing/Lost". Select Lost file at FCO:____. Click request file. Modify the letter by attaching a copy of the 9504 screen.

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12.7.2.6 To determine a numerical value for days the file shows Not Found, refer to the Julian Calendar in Appendix H of this guide. From NFTS General Inquiry, use the date of "Last Action." Calculate the number of days remaining until the case reaches lost for 9 months and manually repend the lost A-file. Use 270 days to equal nine months. If the number of lost days is more than 270, go to paragraph 12.7.3. For example: A-file shows Not Found in CIS for 95 days, 270 days – 95 days = 175 days remaining. You would set the new number of days to pend to 175.

12.7.2.7 Generate the acknowledgment letter. Click add lost file paragraph. FIPS will insert the lost file paragraph right after the CD paragraph.

12.7.2.8 Verify "In Circular Search" is still clicked. Include Discussion to note all systems searched and date the file was lost. You are done.

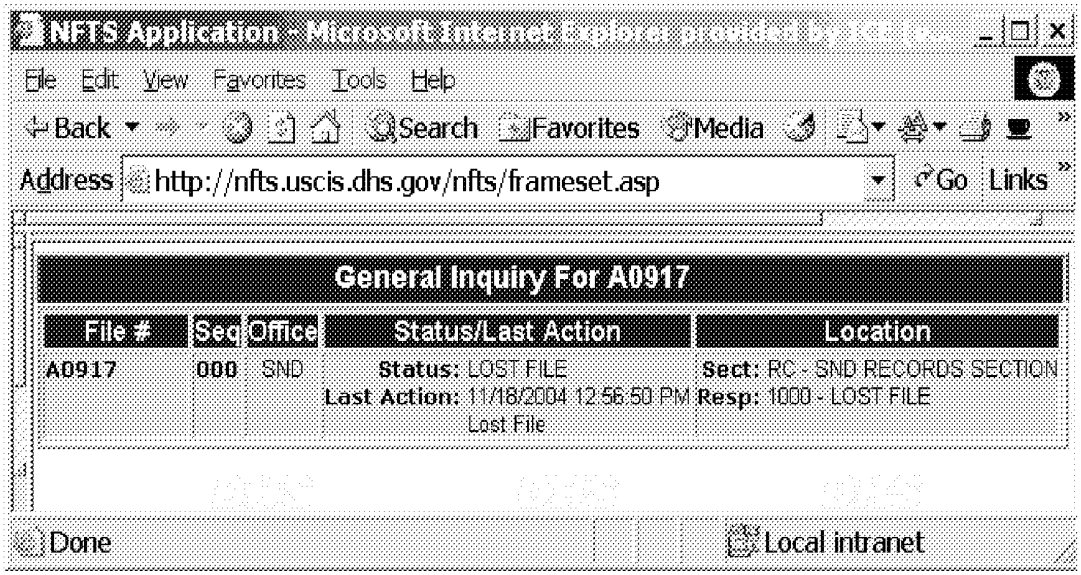
Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References

- Enterprise Collaboration, ECN Network /Case Create Library
  http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

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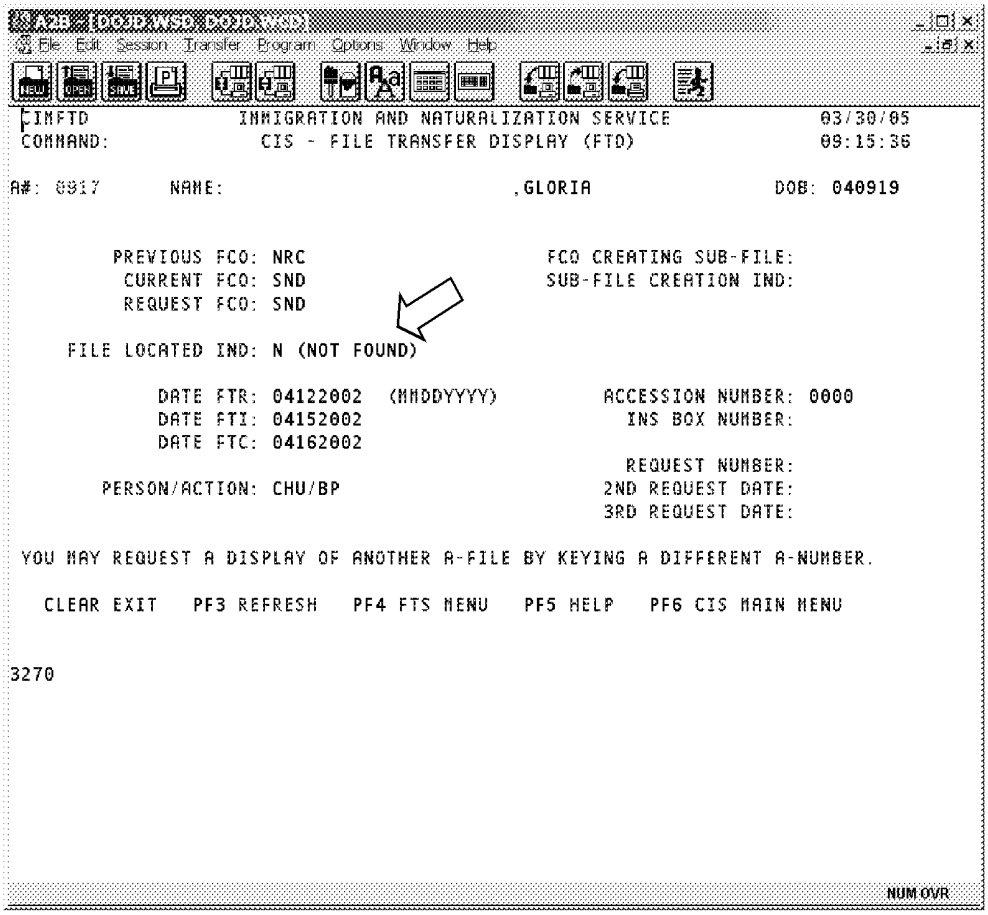
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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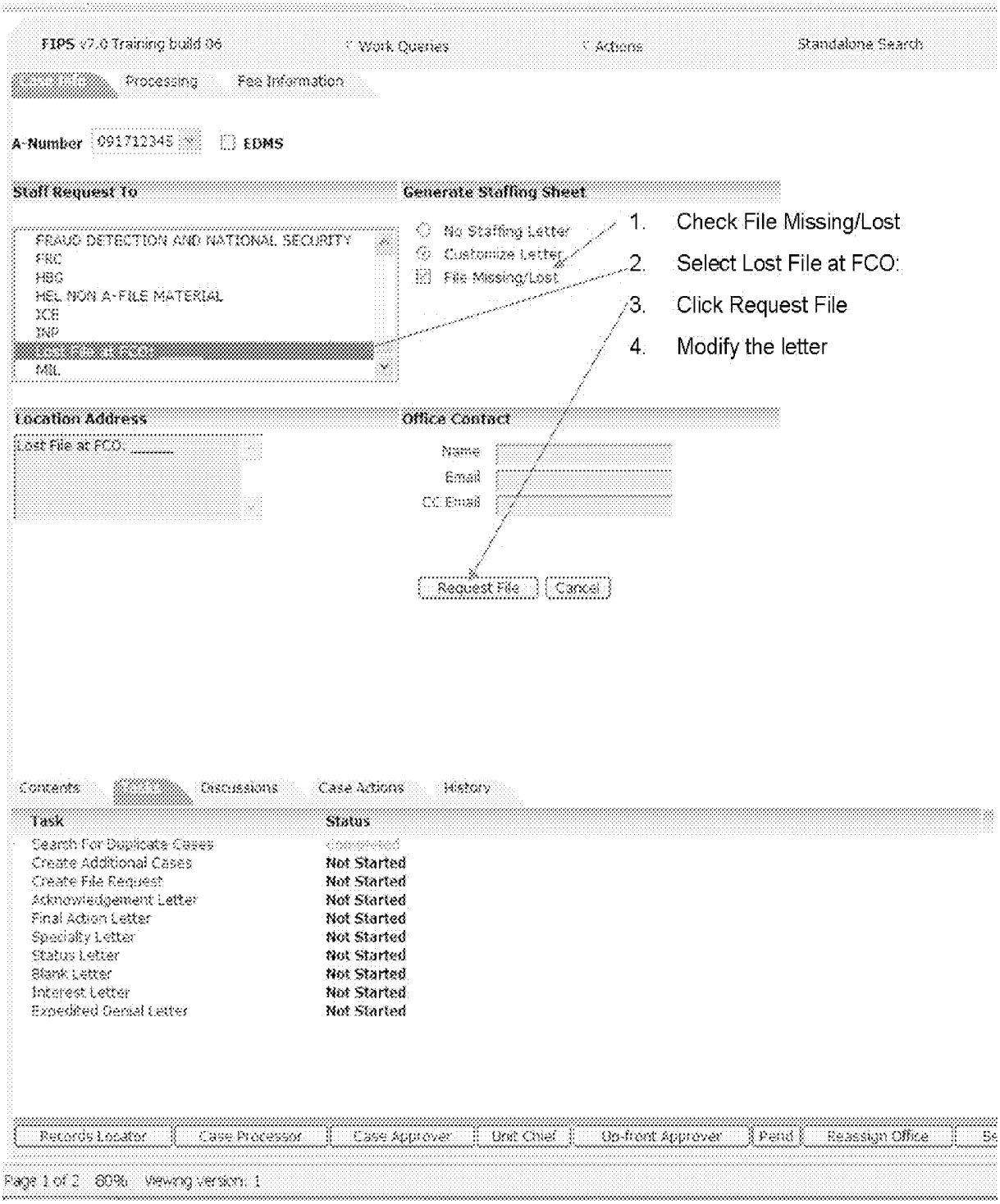

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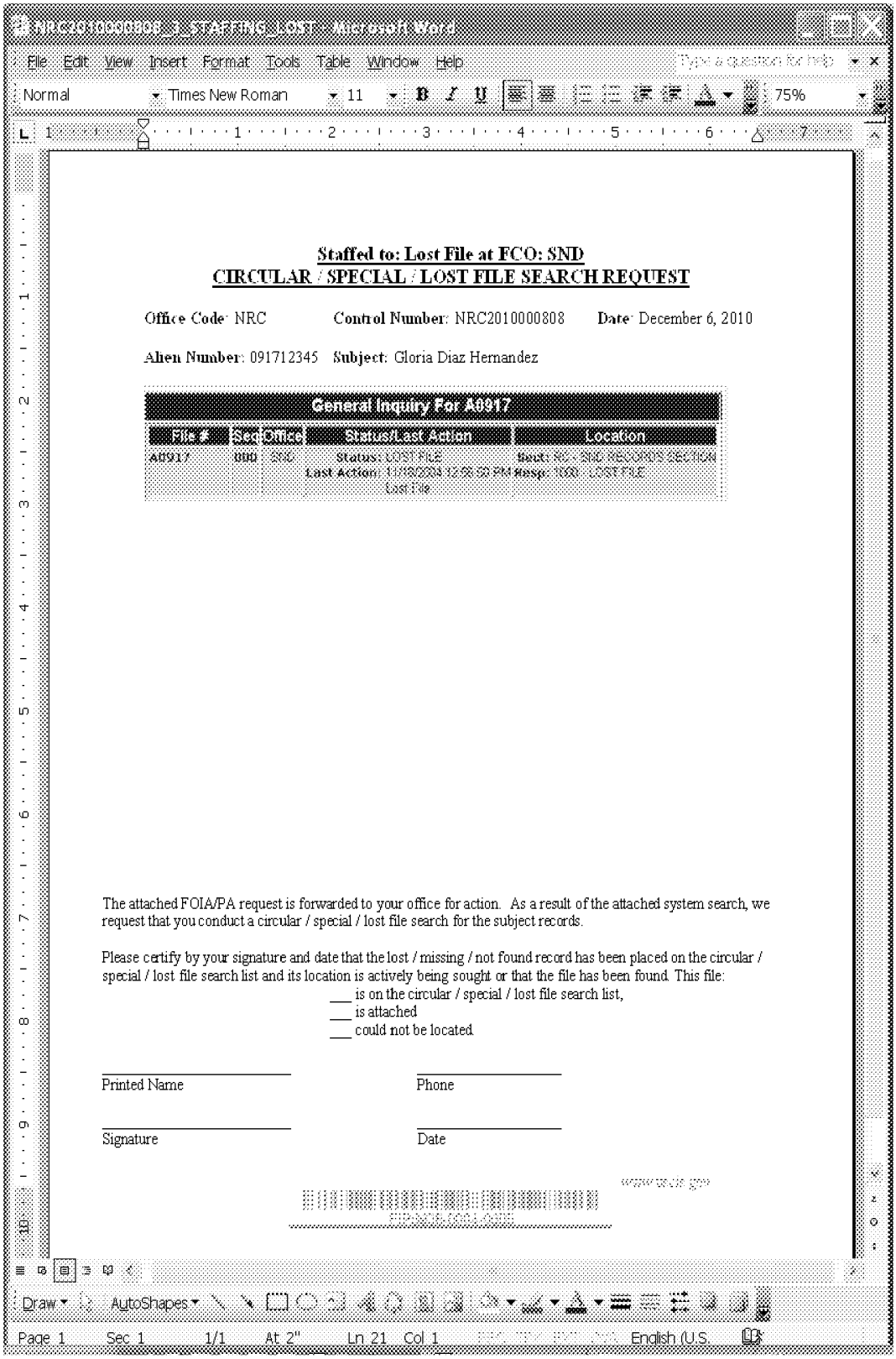

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	BIO	SND	Status: LOST FILE Last Action: 11/30/2004 12:00:00 PM Resp: 1000 LOST FILE Lost File	Next: RC - SND RECORDS SECTION

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

_____ _____
Printed Name Phone

_____ _____
Signature Date

Generate the acknowledgement letter.

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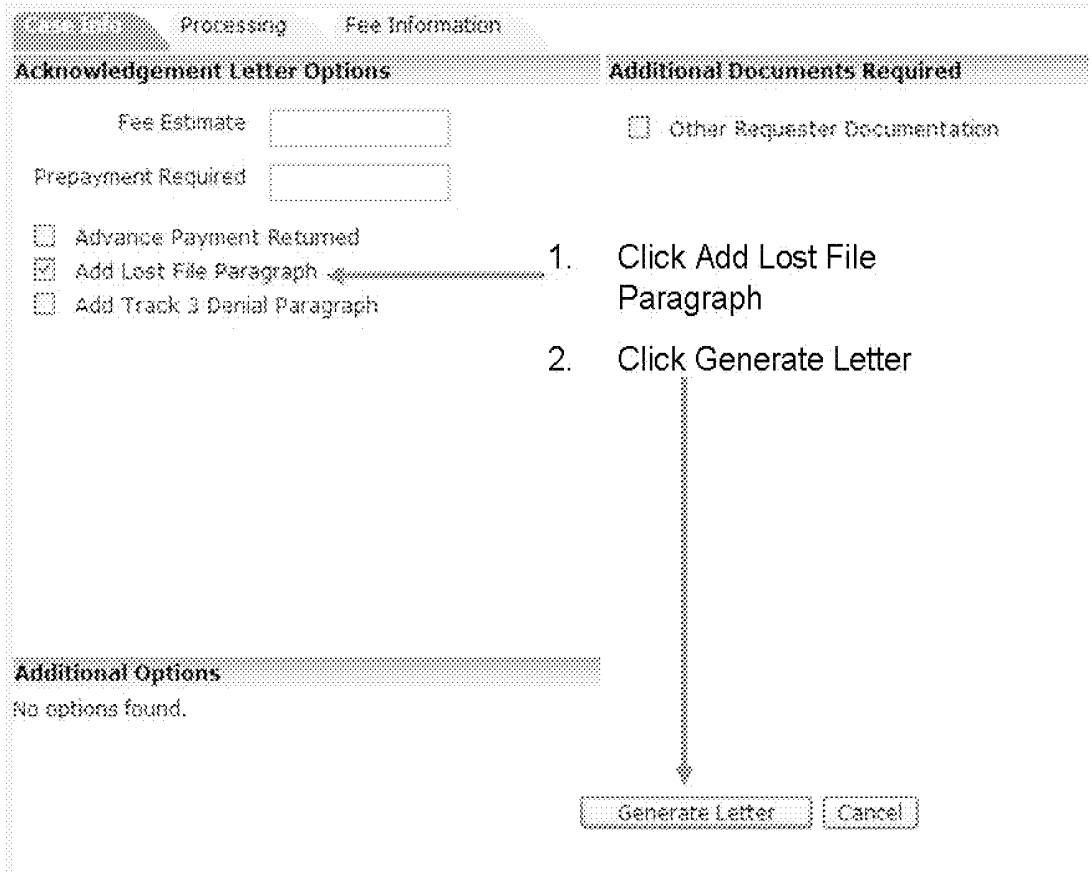

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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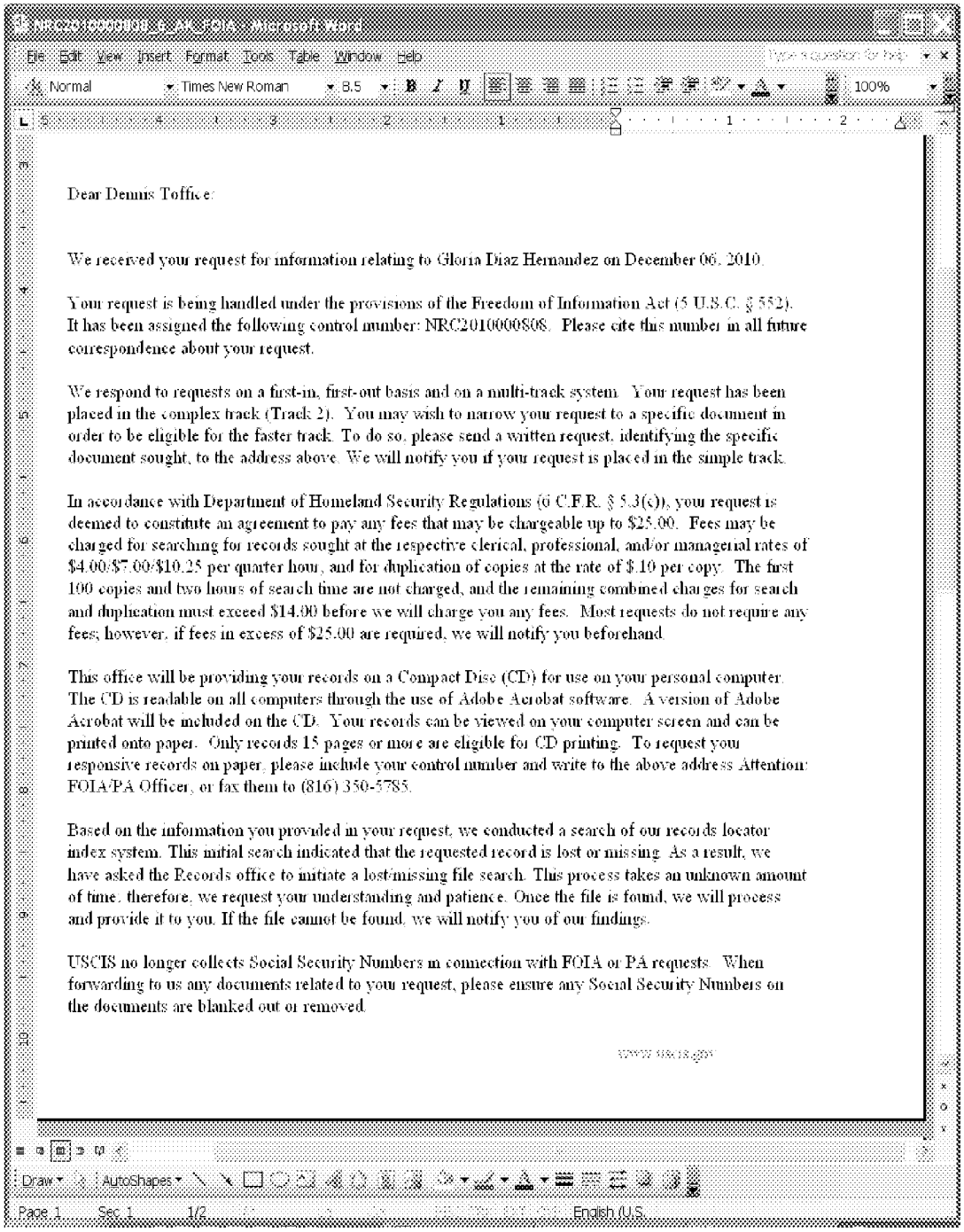

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time, therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

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12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS (Flowchart at Appendix H)

12.7.3.1 Verify that the A file is lost in both NFTS and CIS 9504. If either CIS 9504 or NFTS has a lost date less than 9 months, you must use the less than 9 month process. DO NOT staff for the A file.

12.7.3.2 Search for any non-consolidated T-files and receipt files. If you find something, insert the following case note. "A-file number XXXXX is currently showing as lost. Staffed for the following files: XXXXXX. Once received, please review. Please also verify that the original a-file is still lost. Please process as a PD and advise the requester that the original a-file is lost." Pend case for responsive records. You are done.

12.7.3.3 If you do not locate any additional A-files, T-files or receipt files, input the lost A-Number into PCQS, open a RAFACS slot, print all available screen prints and scan into case as responsive records.

12.7.3.4 Complete the lost file worksheet. Be sure to fill out as much information as you can. This along with the screen prints helps prove that we conducted a duly diligent search, which becomes important if the requester appeals.

12.7.3.5 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the Lost A-file. If you find any A-Files that may be related, insert the following case note and send to Unit Chief. "A-Number has the same last name as the subject. Possible related A-File. Sending to Unit Chief for further investigation." A supervisor will review the case and send back with further instructions.

12.7.3.6 If you do not find any related A-Files, print the CIS 9101 screen prints, CIS 9504 Screen print, the 2 up and 2 down screen prints and the lost file worksheet. Have them scanned as CSD.

12.7.3.7 Generate the Acknowledgement letter. Be sure to Click Add lost File button so the lost file paragraph will be inserted into the ack letter.

12.7.3.8 Include note to Case Processor: "A-file has been lost for more than 9 months. Unable to locate any additional A-files, T-files or receipt files and provided a copy of their electronic record. Please advise the requester that the original a-file is lost, but we have provided them an electronic copy of their record."

12.7.3.9 Pend the case for responsive records.

12.7.3.10 Include in your Discussion all systems you checked and specify the date the file was lost in CIS and NFTS.

Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References
- Enterprise Collaboration, ECN Network /Case Create Library
  http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

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LOST FILE WORKSHEET

NRC_____

A-Number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second A-Number and/or consolidation
    a. Second A-Number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically an NFTS screen. If the receipt is archived in CLAIMS and not found elsewhere, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-Number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the requester/subject will provide an A-Number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, date and place of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS, PCQS and/or CLAIMS for a record. If you find no record, please refer to section 12.7.6. It is important that you provide as much as possible on the Records Indexing file request. The name of the subject, year of birth and information as

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possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create References. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

Records Remarks:

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TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.

When conducting "no record" research, do the queries and provide screen prints of all CIS and PCQS or CLAIMS searches as directed. There should be no less than two pages and may be lengthier if subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

In CIS you are only required to print the 9103 screen if subject is not found.

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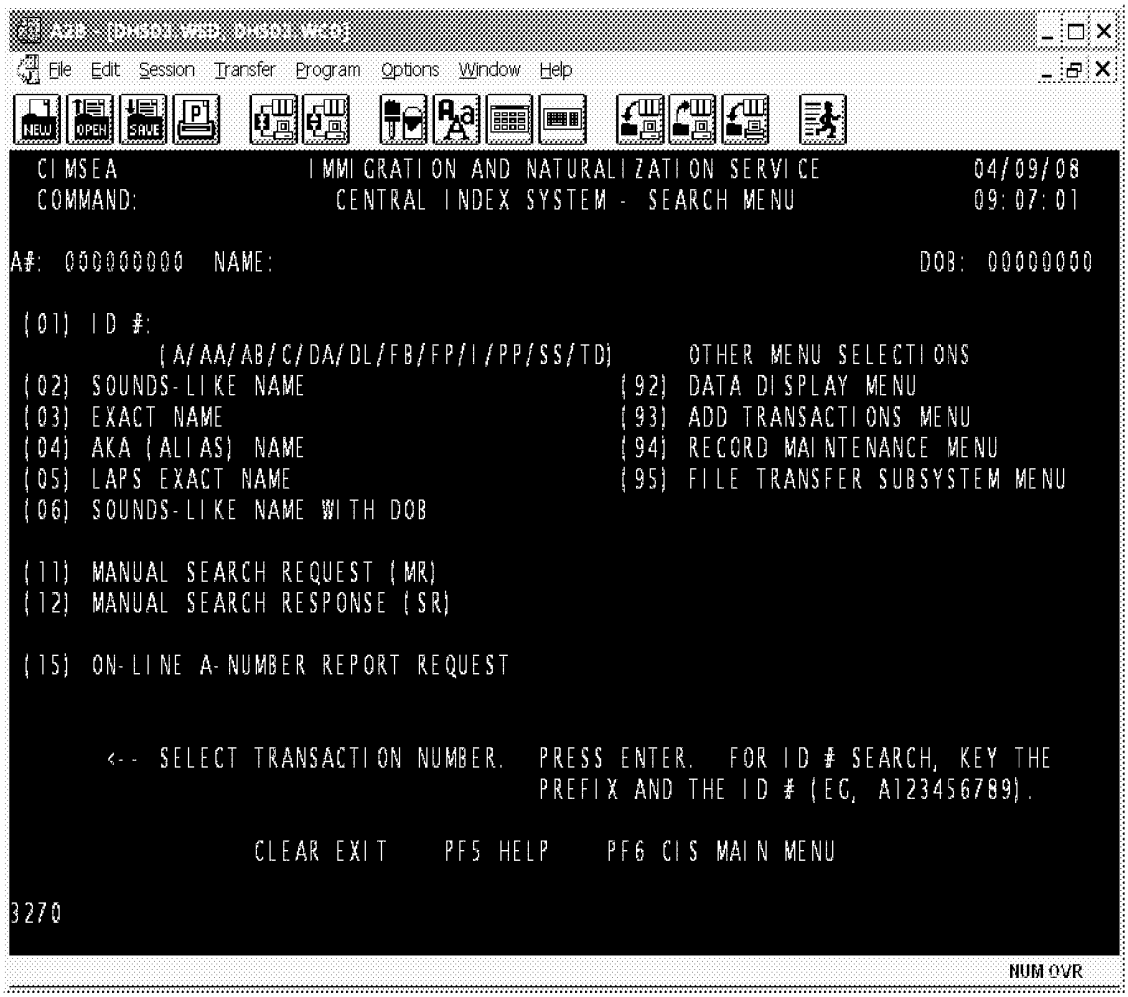

If you do not have PCQS, perform following searches in CLAIMS. Otherwise, go to PCQS and search using last name with an asterisk and first name with an asterisk. Select <> 90 days in relation to the DOB unless this provides too many responses. If you get too many responses select <> 30 days or exact date. If subject has two last names search each one with an asterisk. If no records are found print screen prints

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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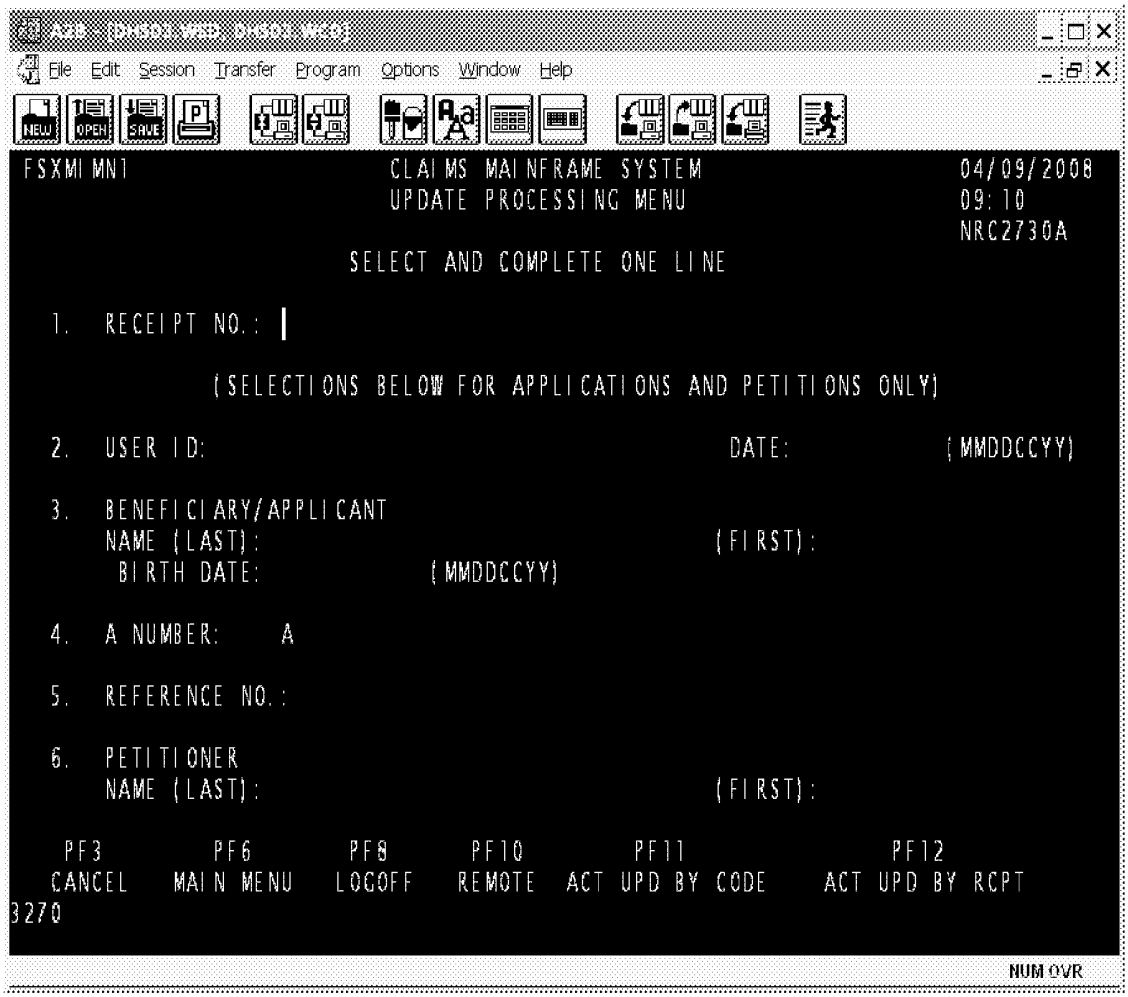

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-Number in CIS but not in NFTS

If there is an A-Number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

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12.7.8 ICE files

When you staff for a file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE.

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.
OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.
Refer to the latest versions of RPC Reference for Staffing and FOIA Staffing List in O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\FOIA FCO List and O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\RPC Reference for Staffing.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX, ZG, XY or ZY.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file.

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MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

(b)(6)

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). District offices may issue wortFor example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. You may also check the status of a petition or application on USCIS.gov, and you may use that information justify referring the case to Department of State, or you may add that information to RAFACS responsive records (as described in this paragraph). Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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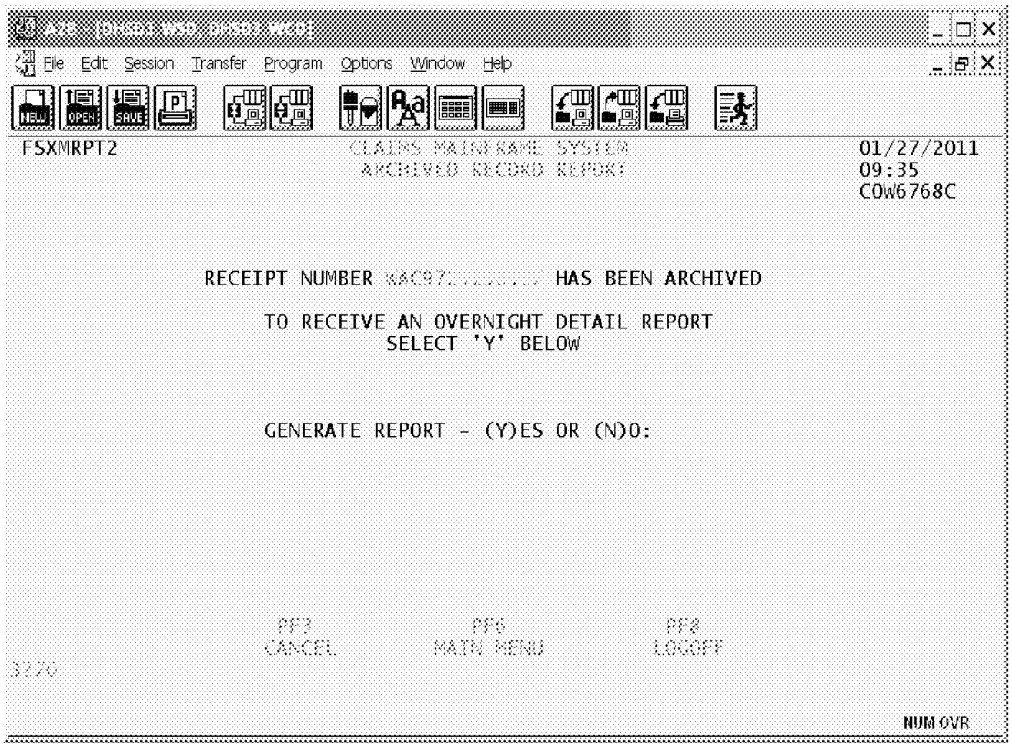
12.7.12.4 If the requester specifies a receipt file, verify the receipt number belongs to the subject, search NFTS and staff for that receipt file. Or if the receipt has been consolidated into an alien file, verify the alien number belongs to the subject and staff for that alien file. If the subject of the request is the petitioner on a petition you will need to create the case in the name of the beneficiary. If there is consent from the beneficiary, search NFTS and staff for that receipt file. If there is no consent from the beneficiary you will close the request as FC. Refer to 16. "FC (failure to comply) CASE CLOSINGS."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

A. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
B. On the USCIS website (http://www.uscis.gov/portal/site/uscis) enter the receipt number in the "Check Case Status." Checking the receipt number on the website

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may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

C. You may call the NVC help line at **603-334-0828** specify that you need to know if NVC has a receipt or not. You will need the receipt number and the name and date of birth of the beneficiary. If they are very busy, you may have to leave the information on an answering machine and they will call you later in the day. If that happens, add a discussion and send the case to Unit Chief. If the receipt file has been forwarded to the NVC, you would redirect the request to NVC.
D. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
E. If there is no evidence in PCQS, add a note on the staffing sheet "Receipt is archived." A designated clerk will receive the staffing request and have the archived report created and have it scanned in as Responsive Records.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in Appendix C of this guide, redirect the request to NVC.

If there is evidence that the NVC has the receipt file, redirect the request to the national Visa Center(NVC). To redirect a request to NVC, see section 9.2 Redirection.

12.7.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following language; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE" or if the receipt was rejected, the case creator will need to follow the steps outlined below.

Create a file request to RAFACS (*not RAFACS/CIS)*. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS or PCQS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a "Scan As" cover sheet to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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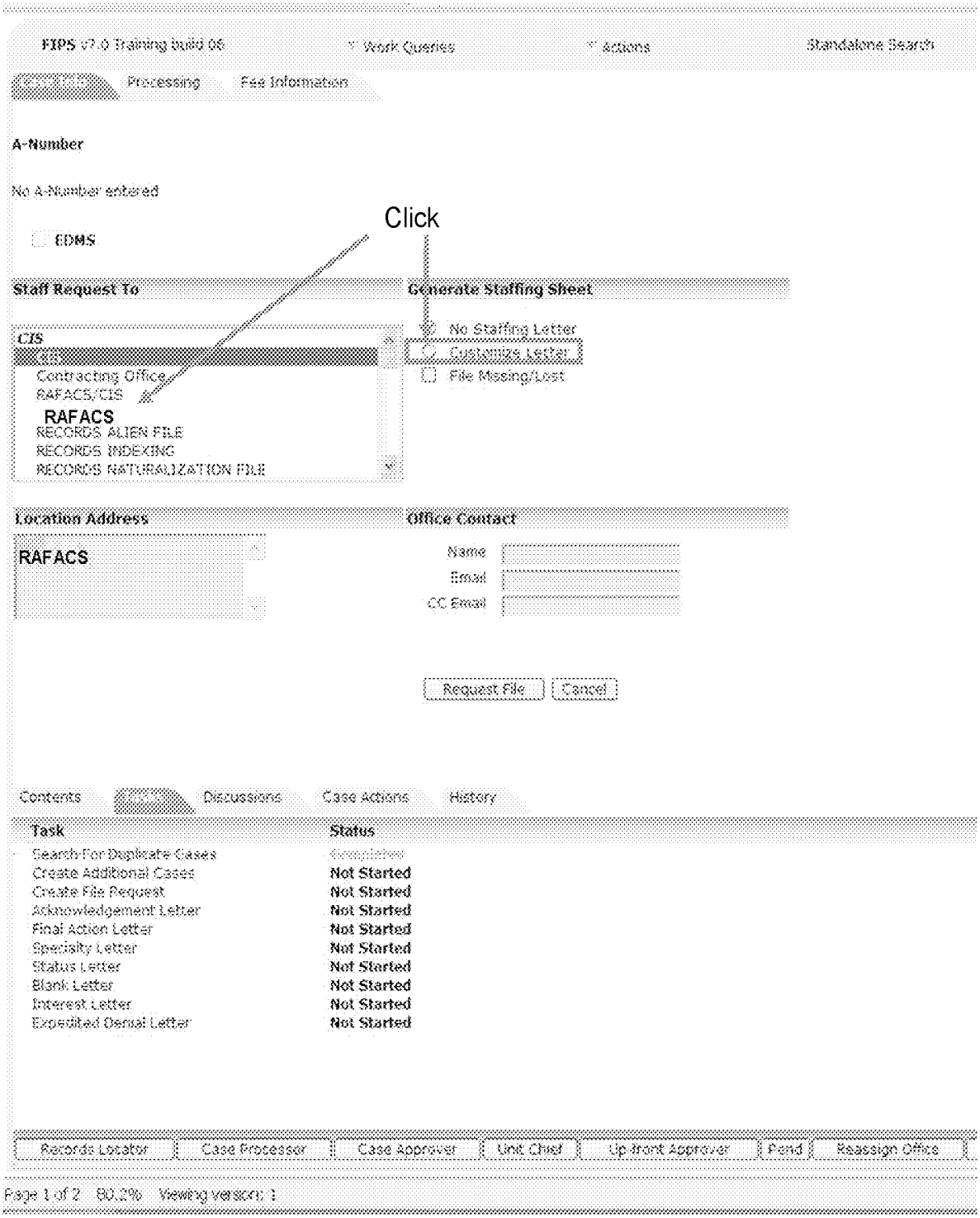

This is only if there is no A-Number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012393 **Date:** June 5, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	0001	04/20/1992	Filing Rec	WSC	RAFACS CONVERSION	
WAC93	0000	04/20/1992	Filing Rec	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I (we) have conducted a thorough search for the above listed A file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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13. REASSIGN OFFICE

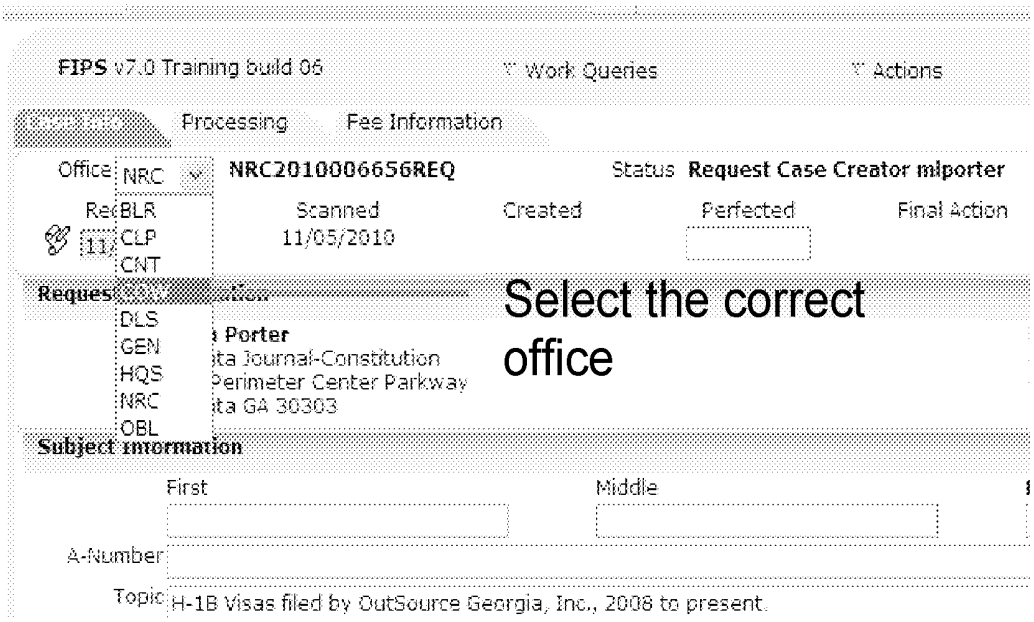
A case creator may sometimes have to move a case that was scanned in the NRC queue to another queue for processing. Before you create a case, you can click the drop-down box and select a different office. You will be able to do this even if you do not have that queue assigned to you.

Accidentally reassigning the office: When you click Save after you have filled in the case information, FIPS' focus will go to the Office drop-down box. If you have inadvertently touched the mouse wheel while it is saving, you may inadvertently "reassign the office." That is to say, when you create the case, it could have a BLR number, for example, instead of an NRC number. It is always a good idea to re-check that NRC is selected before you create the case.

There are times you intentionally reassign the office prior to creating the case:
Reassign the office to CNT if the request is for a contract.
Reassign the office to HQS if the request is for CIS Personnel Information.
Reassign any SIG case to COW.

After you have reassigned an office, you must click Save again before you create the case.
If you are not sure about reassigning an office, it is a good idea to discuss it with a supervisor first.

First you must select the correct office. In this example, we have a request from a newspaper, which makes it a SIG case, so we want to reassign the office to COW. Use the drop-down box to select the office where you want the case to go, click Save.



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Next, search for duplicate cases and then create the case. The case will have a COW number. You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you reassigned the office. If you spoke with somebody in SIG before reassigning the office, mention that in the discussion as well.

As soon as you click on "Reassign Office," the case will go away and you will be ready for your next case:

14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

A. Create the case if you have not done so already.
B. Select the "Final Action Letter" from the Tasks tab, select "NA" from the final action codes list. You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director.
C. FIPS will generate two letters; you will need to blank out the NRC Director Referral letter and type "Do not send."
D. Make the appropriate edits in the Final Action Letter, depending upon the situation.
E. Create a Discussion explaining why you closed the case as final action NA.
F. Send the case to Up-front Approver. The supervisor will review and close the case.

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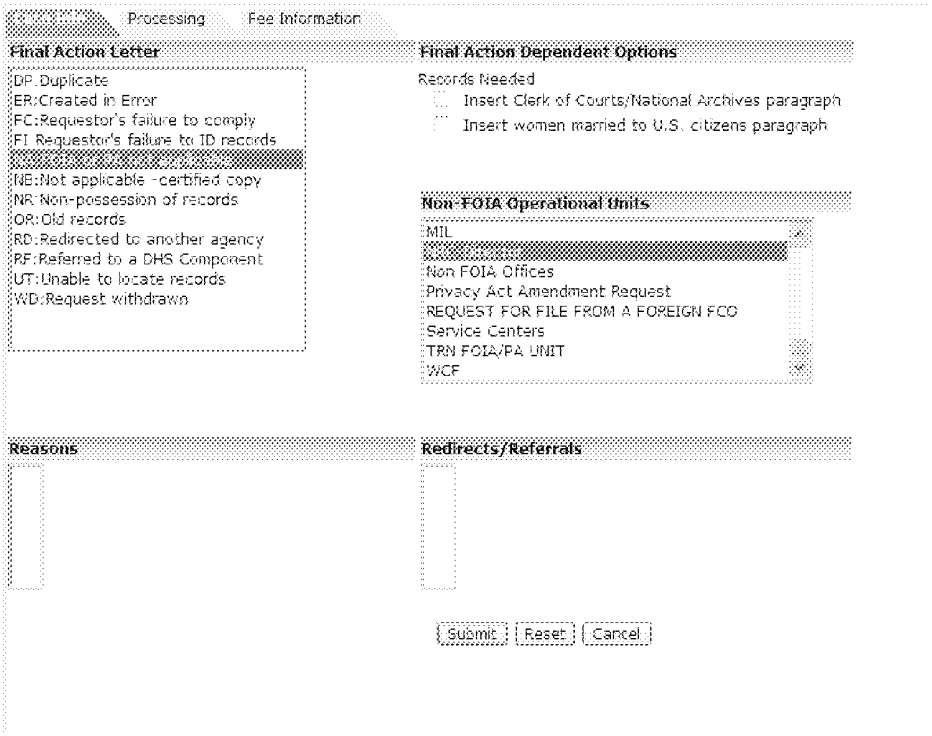

15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Code using the "ER" option for cases when the following situations arise:

- When a G-884 Return of Original Documents is scanned in FIPS.
- When a routine use/child support request has been scanned in FIPS.
- When subpoenas/court orders have been scanned in FIPS.
- When a Bond Obligor request has been scanned in FIPS.
- Requests from Foreign Consulates (no letter required)

Procedure:

A. Create the case if you have not done so alread.
B. Select "Final Action Letter" from the Tasks tab.
C. Select ER from the list of options click "Submit."
D. FIPS will not create a letter. Prepare a detailed Discussion.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

A. Create the case if you have not done so already.

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B. Select the "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list.
C. Paste in the body of the appropriate "Unperfected Request Letter" onto the FIPS FC final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
D. Select the "Unperfected Letter for Older G-639 version" for all requests submitted on a G-639 date prior to the revision dated 01/29/12 or
E. select the "Unperfected Letter" for all new requests and requests submitted on the newly revised G-639 revision date 01/29/2012.
F. Review the letter to ensure the pasted content is in the correct format
G. Create a Discussion to the Up-front Approver with your findings and reasons for closing as a FC case.

Replace the contents of the letter using
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter
Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter for Older G_639 version if an older version of the G-639 was submitted.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address request and any cases going to FOIASIG. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

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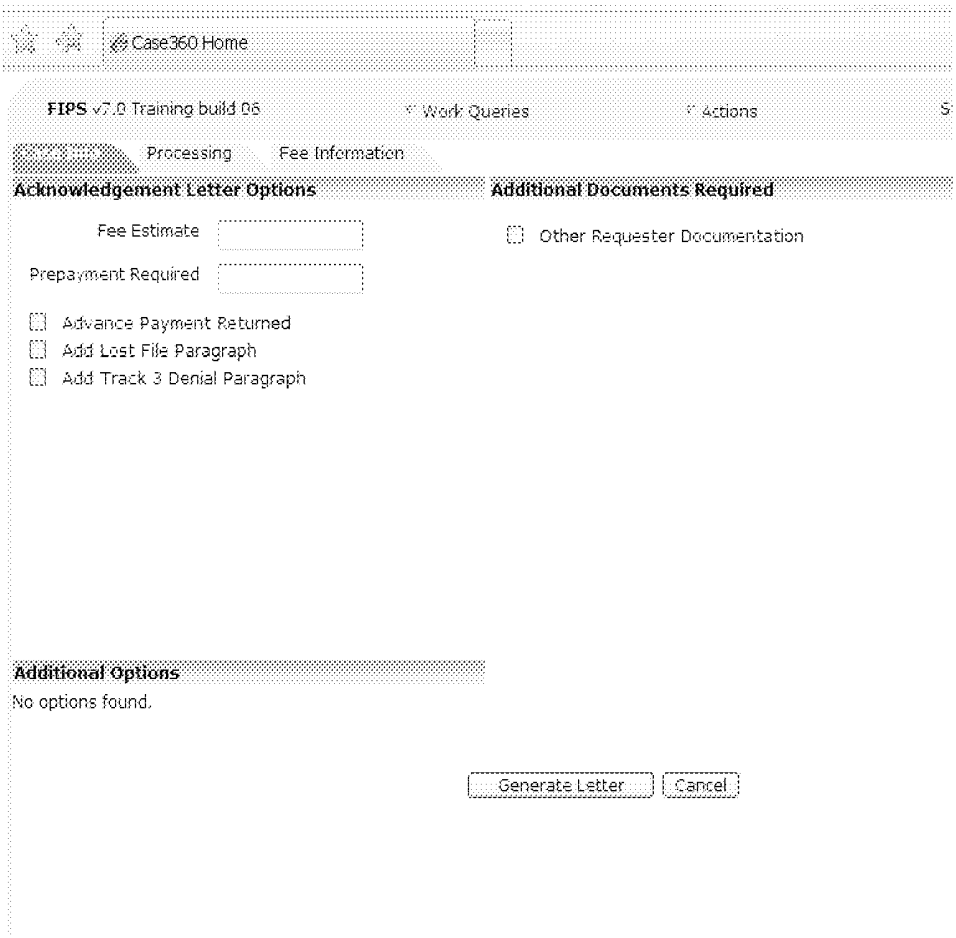
Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:



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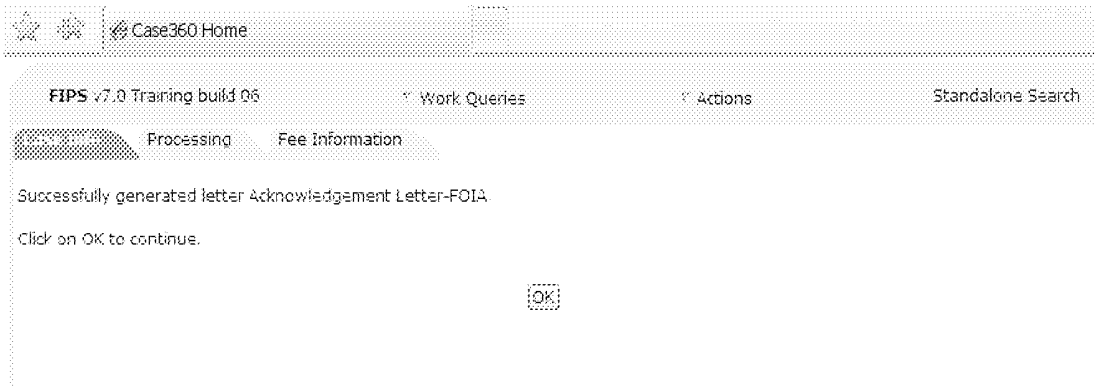
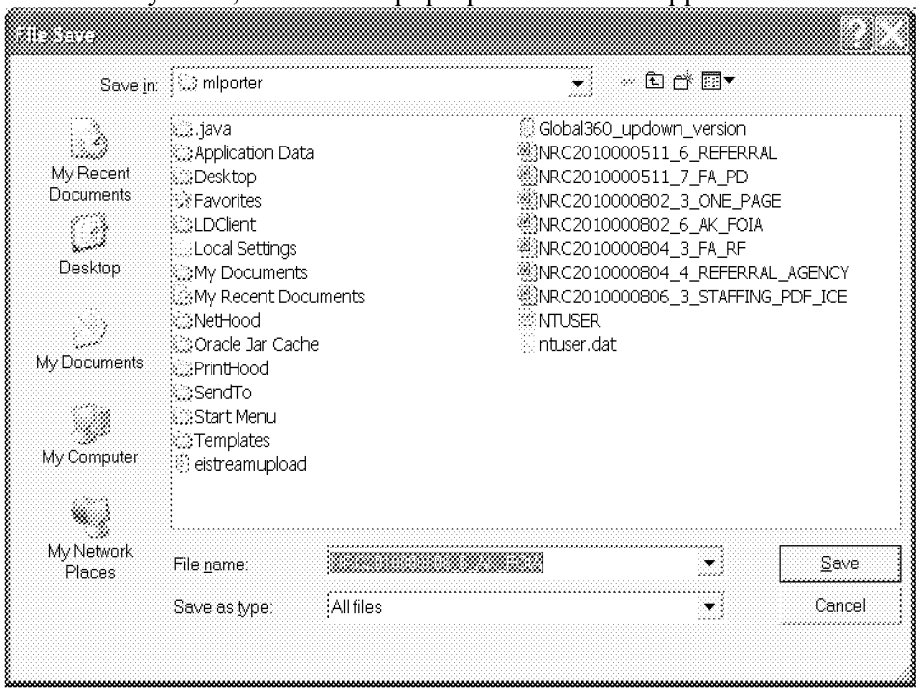
Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."



The acknowledgment letter will pop up:

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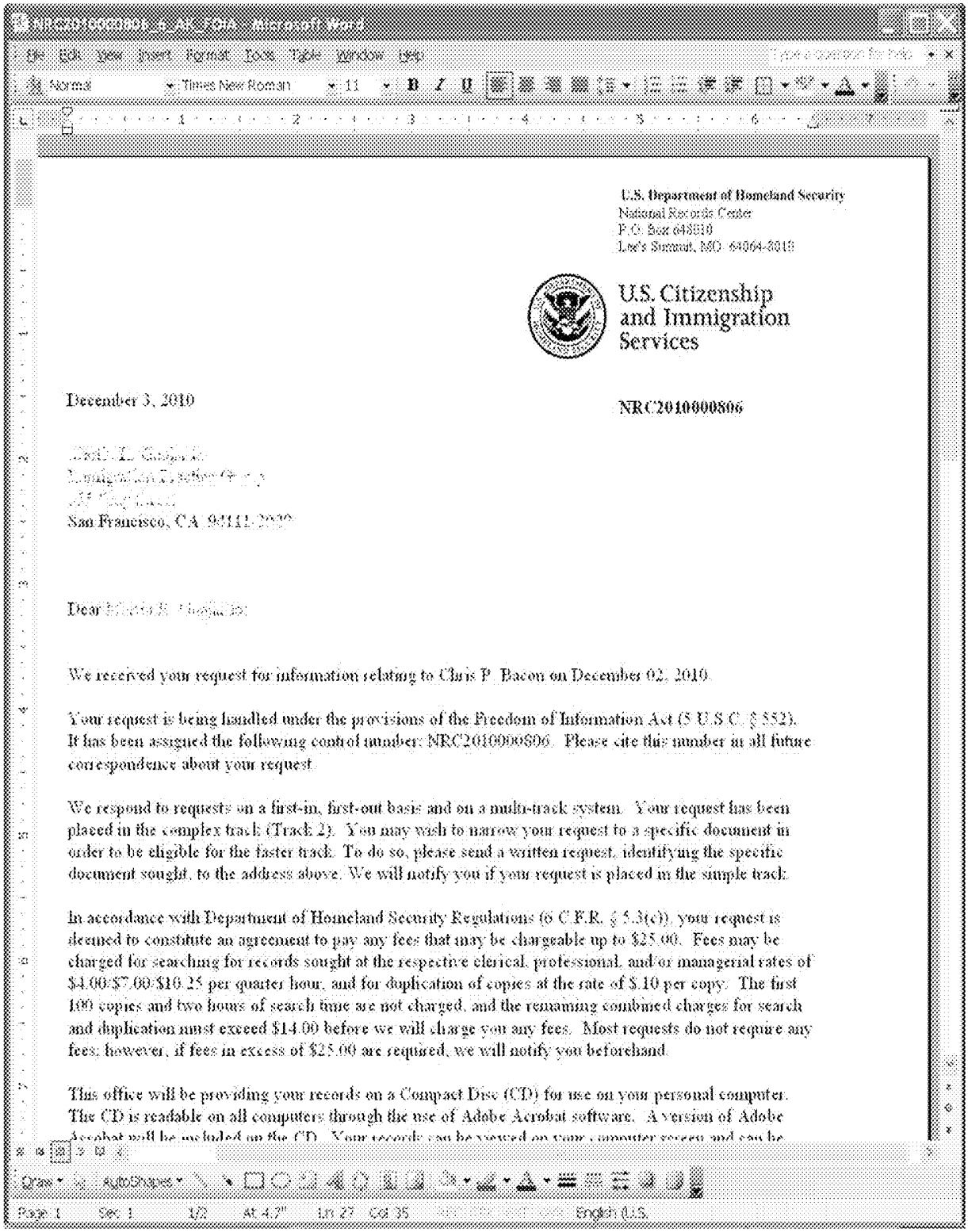

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 94112-2020

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe

You may have some modifications to make to the letter. If you have selected Track 1, please delete the words "Specific Doc Information" and specify what they are requesting. Word it as closely to their description as possible while maintaining proper grammar and punctuation.

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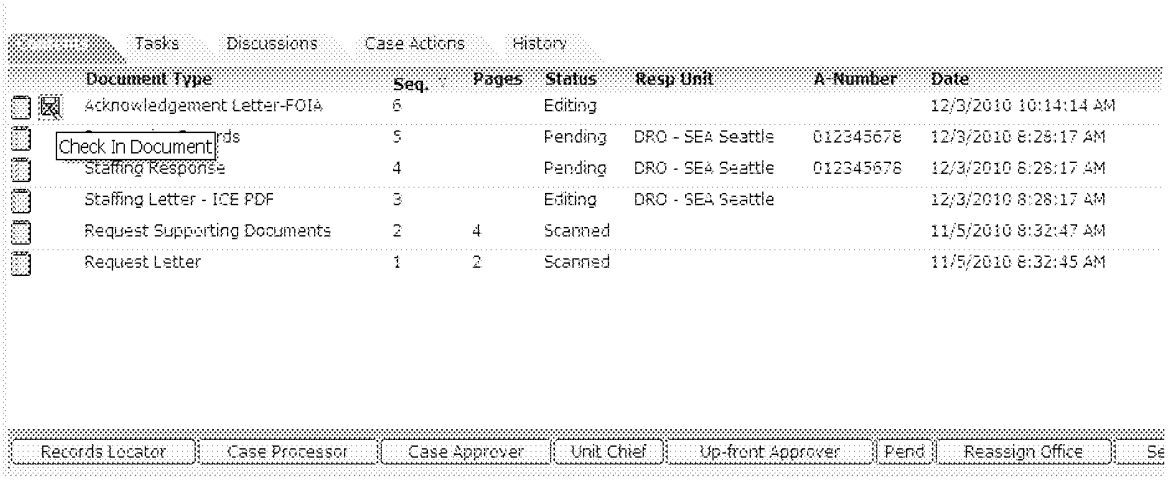
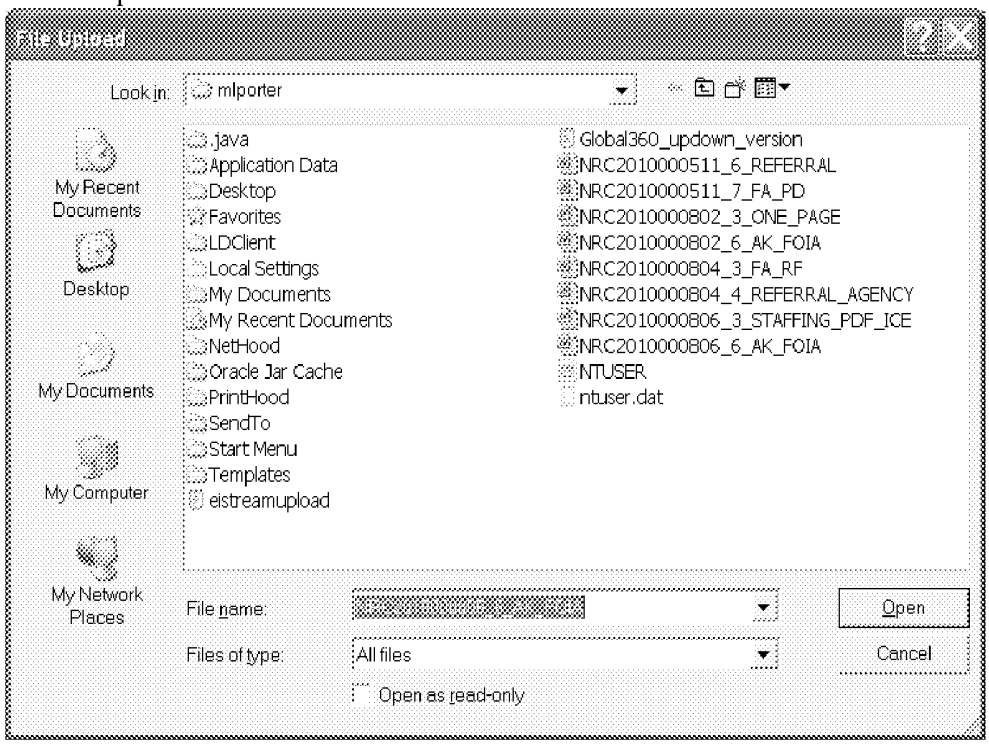
After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.



Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later

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reference. FIPS creates entries in the Case Actions tab for all activities and creates a display on the Case Info screen when a duplicate is attached, but does not explain why.

FOIA/PA Assistants or Public Information Specialists *must* create Discussions:

- for any Up-front Approver case,
- anytime they are moving a case to Unit Chief,
- anytime they are reassigning the office,
- anytime they are staffing based on best available information, and
- anytime there is a need to explain something unusual.

Because Discussions become a permanent part of the case in FIPS, you should not use Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant or Public Information Specialist should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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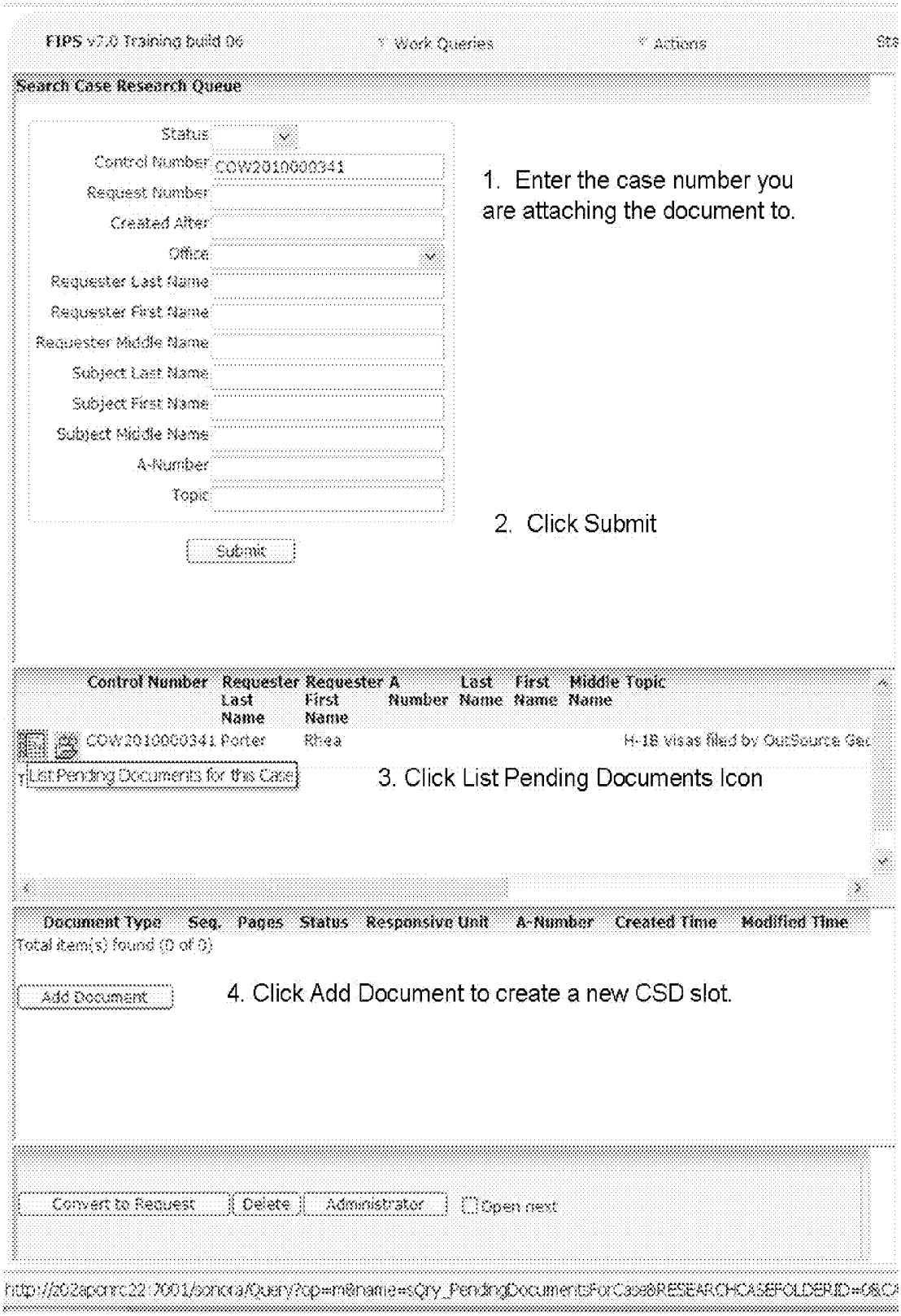

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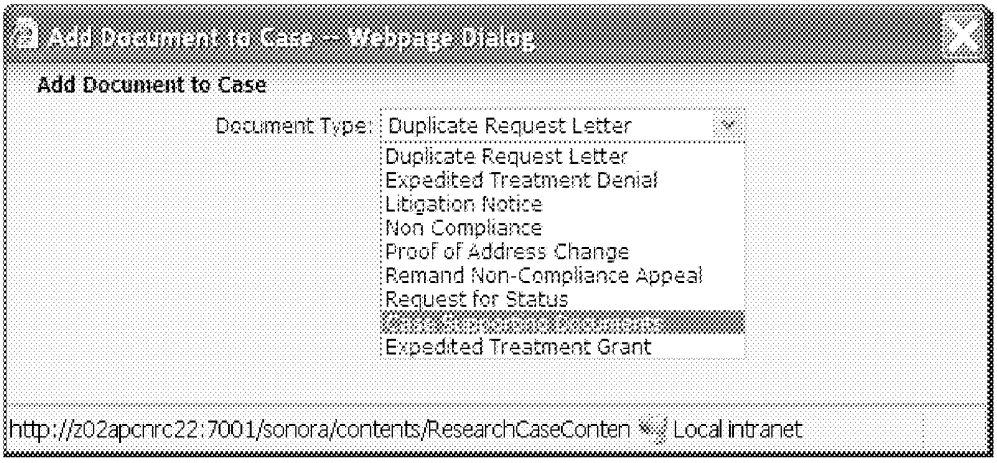

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned If the fax needs to be scanned in before reviewing, the OA Room clerks can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

23.1 THE OA ROOM **(NRC, FOIAOA)**

When you review all the scanned in CSDs and request documents which have been scanned into the case, you may find issues needing attention. Send e-mails to the OA Room when:

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A. The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

B. The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

C. The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

D. The first or second page of the new request is missing. Ask them if they can check to see if the page was missed by the scanning department. Include the REQ#, and the data handwritten on the first page of the request. If the first page is missing, include the REQ# and the date the case was scanned. Send the case to Unit Chief until the OA Room sends a response. Then have the case returned to you and create as usual.

Note: sometimes we find documents that do not belong in the case we are working on and belong in another case or need to be created as a new case. Attach a coversheet and deliver it to the CSD bin in the OA Room when the request letter and supporting docs need to be printed and scanned into another case. Include instructions to the OA Room or the case creator, if necessary. You will need to attach a coversheet as a CSD when documents need scanned into create a new request attaché a NEW REQ (new request) coversheet and deliver to the New Requests bin in the OA Room. Do not send an email.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when you encounter an appeal in case create that was not previously addressed. See section 8.16

All e-mails to the MSB mailbox should contain the control number, the A-Number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

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Send e-mails to the FIPS Problem mailbox:

A. If you are receiving FIPS errors, including if FIPS spontaneously closes
B. If responsive records need to be copied from one case to another
C. If records are incorrectly scanned in a case and need to be removed
D. If FIPS is running unusually slow.

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: NRC, FOIA PROGRAM, your supervisor, the current Assistant Director/FOIA PA and Supervisory Management Program Analyst.

Include the following in the subject line of your e-mail:

- If you are at a Work Stoppage and cannot do any work in FIPS, please title your subject line: **WORK STOPPAGE**, control number and issue.
- If the case you are working on has a problem that is preventing you from completing it, please title your subject line, **CASE NEEDS CORRECTION**, control number and issue
- If the message deals with a problem you can work around, please title your subject line: **FYI ONLY**, control number and issue.

In all cases, in the body of your message, please follow the same format listed below. Attach sanitized screen prints if applicable.

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

- What is your cube number?
- What is you work extension number?
- If there are errors in FIPS or FIPS is running slowly, include the following information in the e-mail:
    - What were you doing when the problem began?
    - Did you get an error message? If so, include the message or a screenshot of the message.
    - Is it slow or not responding at all?
    - What other Internet sites do you have open?
- If you are viewing or editing Responsive Records:
    - How many pages of responsive records are there?
    - Do you have thumbnails on?
    - Were you checking in a document, image file or letter?
- If you were doing a search:
    - If you were using a wild card, which field(s) and what criteria?
    - If you were searching on one field or more, which fields (e.g. first and last name)?

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24. E-MAIL TO CUSTOMERS

If necessary, send a message to the NRC, NRCFOIAMSB outlining what we need to say. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click "Save" to update FIPS.

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2. Correct the acknowledgement letter and resend letter.
3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

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25.1.4 CDs

A. CDs Returned for postage.

Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

Title of Discussion: CD Returned for Additional Postage
Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

   Shred the CD.

2. If another address is found in the CSD's:

   a. Make a copy of the CD and returned envelope.

   b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

   c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see section 25.2.3).
- Status Request (see section 25.2.4).

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- Withdrawal of Request (see section 25.2.5).

- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested (see section 34).

- Correspondence about delinquent payments, including checks (see section 25.2.2)

- Responses to Track 3 denial or Expedited Treatment denial (see section 25.2.1)

- Responses to requests for additional information (see section 25.2.2)

- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. The OA Room Clerk assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the FOIA/PA supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

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If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the FOIA-PA supervisor, who will make the determination.

If a FOIA/PA Assistant or Public Information Specialist working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; that person should insert a Discussion. If it is regarding a Track 3 request, approve or deny the request. If it is regarding an expedited request, send the case to Admin or Unit Chief and send an e-mail to the supervisor handling the expedited requests and include the control number of the case. See section 6.3.1 for Track 3 and 6.3.6 for and Expedited processes.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS 9103 and PCQS or CLAIMS to locate any responsive records, or receipt files. If the subject of record entered before 1975 and may possibly have had no business with INS or USCIS after 1975, you may have to staff to Records Indexing (see section 12.7.5, *Records Indexing/Manual Requests*). If you cannot locate any records relating to your person, you may have to close the case as NR (see section 12.7.6, *No Record*). Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend.

See section 7.3, Reasonable Description of Records being Sought, and follow the steps in section 7.3.4, Requesting Additional Information with the Acknowledgement Letter
See Section 16, FC (Failure to Comply) Case Closings and if needed NR, No Record section 12.7.6

25.2.3 Request for change of address

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If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

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If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the Calculate Queue Position button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from the Tasks tab in FIPS.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most

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FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requester, mark "self" in the source block, create the acknowledgment letter. If we receive a congressional request on behalf of a constituent, we must respond to both the requester and the congressional office. Prepare the case as you normally would, then open the acknowledgment letter (or the final action letter if you are closing it) and replace the requester's address with the address of the congressional office. Print that letter and take it to the OA room to be mailed separately. Create a Discussion saying you did that. E-mail your supervisor. The subject of the E-mail should be "CONGRESSIONAL REQUEST FOR CONSTITUENT." The body should have the case number, whatever the disposition of the case is, and the fact that you printed a separate letter to be mailed to the congressional office. If you are not sure what to do at any point, please contact your supervisor.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

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6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended (please refer to section 33)
- Additional PII or consent is needed (please refer to section 32.7)
- Requester docs have been received (please refer to section 32.8)
- The wrong records were scanned into the case (please refer to section 32.9)
- We need to send an interim interest letter to an incarcerated individual (please refer to section 32.10)
- The file is lost or we got a response of not found or consolidated from a service center (please refer to section 32.11)
- Requester writes to request the record on paper (please refer to section 32.12)
- Requester wants to change the track of their case (please refer to section 34).

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32.1 Start by reading Discussions. It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.2 Always check the alien number(s) in CIS to verify its accuracy before proceeding.

32.3 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.4 Read and follow directions in any Discussion found in the case regardless of the age of the case or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.5 Any time you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.6 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel the pending T-file staffing, because the T-files no longer exist. Send the case to the processor.

32.7 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create another Acknowledgement Letter and check the other documentation box. The Requester Documentation Attachment will automatically be added to the Acknowledgement Letter. Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained. Send the case to Unit Chief with a Discussion.

32.8 If we have received pending Requester Documentation: Review the information provided. If the requester/subject adequately provided the requested PII and/or consent, request the file.

> **32.8.1 The requester/subject may respond negatively to the request for PII.** For instance, we might have asked for A-Number and/or Petition/Receipt number, and they responded "none" or "unknown" to both. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. If you find a file, pend the case for responsive records based on best available information and create a Discussion saying you did so. If you are unable to find a file, close as FC. For the procedure, please see section 16, Failure to Comply.

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32.8.2 The requester/subject may not return the VOI or consent we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The two versions of the FC letter
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter for Older G-639 version

32.8.3 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get consent), do not request the file. Create a Discussion with your findings and close as FC, consent and Verification of Identity.

32.9 Wrong Records. Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.9.1 Did the Case Creator use the wrong alien number? If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem and ask that the wrong records be removed.

32.9.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff only if you have the beneficiary's PII and VOI. If not, close as FC. For Procedure, please see section 16.

32.9.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.9.3.1 Look for a pending case for the records that were scanned into your case.

32.9.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.9.3.3 If the responsive records are not scanned into the case, send an e-mail to NRC, FIPS Problem and ask them to move the responsive records

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from your case over to the correct case. Also ask them to remove the responsive records from your case and staffing response to "pending."

32.9.3.4 If the pending case already has records scanned in, review those records.

32.9.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.9.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.9.3.4.3 Send an e-mail to NRC, FIPS Problem asking them to remove the wrong records from the staffing response and responsive records slots and re-set their status to "pending."

32.10 Mailing address is a detention facility. If you open a case in Records Locator queue and there is a Discussion instructing you to create an interim response letter because the individual is incarcerated:

32.10.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.10.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. For the procedure, please refer to section 16. **Do not close out the case FC without the returned mail.**

32.10.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.11 If you open a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

32.11.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section 12.7.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

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32.12 Paper. If a requester in the United States asks for his or her records on paper, uncheck "Print to CD" box create a Discussion citing the reason. Next, go to the Tasks tab and create a Status letter. In the Status letter, write, "This letter serves to notify you that we will be providing your records on paper."

33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary. FIPS automatically sets a new due date at 60 days. If it is an RDF staffing, please change the new due date to 365 days.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

33.6 Not used.

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33.7 When repending a case in Records Locator, please follow these steps:

33.7.1 Search for any duplicates

33.7.1.1 If you find a duplicate, refer to section 6.4, Search for Duplicate Cases.

33.7.2 If you do not find a duplicate:

A. Under the Contents tab, on the Staffing Letter to which you want to repend.
B. Left-click on either the Staffing Response or Responsive Records and do not move the mouse to another location on the page until the drop-down menu appears.
C. Click on Manage Document from the drop-down menu.
D. On the right side of the pop up screen, you will see Days to Pend with a box showing 60. Leave the number of days 60 unless it is an RDF or a Lost File Staffing-please refer to sections 12.7.2 and 12.7.3 for Lost File Instructions.
E. If repending an overdue RDF staffing, type 365 in the Days to Pend box before you click on Update Due Date.

34. CHANGING THE TRACK OF A CASE

We do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 1 or 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

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35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

Sometimes the case has not come up for processing yet and you encounter this situation in Records Locator queue. If that happens, create a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to NRC, FIPSPROBLEM with the following information:

A. The NRC control number of the case,

B. The A number or Receipt Number of the records,

C. The staffing sequence they are scanned into, and

D. The number of pages scanned in.

Finally, send the case to Unit Chief/Admin so that the problem can be resolved.

36. Deleted

~~Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.~~

37. RE-STAFFING

There should be a discussion directing you to re-staff. If you are unsure about what to do, please contact a member of MSB. The two most common re-staffing scenarios are:

- The file moved to another office – and we have to cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**
- The current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing). In that scenario, we must cancel the pending slot and re-staff properly. If you are unsure, consult a member of MSB.

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38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
Freedom of Information Act Office
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

U.S. Department of State
Attn: Margaret Grafeld
Office of Information Programs and Services
A/GIS/IPS/RL, SA-2, Room 8100
Washington, DC 20522-8100

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error (see section 15).

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable (see section 14).

NR – The case was closed as no record. We have conducted a thorough search of all databases for any files relating to the subject and found no results. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. We know there is a record, but it is lost. We may close cases if the alien file is marked as lost and it has been more than one year, but we must be able to prove we conducted a thorough search of all systems.

FC – Case closed for failure to comply (see section 16).

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

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Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Privileges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFM	Adjudicators Field Manual
A-File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team

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BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer

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CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CP	Case Processor
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSD	Case Supporting Documents
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA

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DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
DP	Duplicate
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAD	Employment Authorization Document
EAP	Employee Assistance Program

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EARM	Enforce Alien Removal Module
ECN	Enterprise Collaborative Network
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ELIS	Electronic Immigration System
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ER	Created in Error
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FC	Failure to Comply
FCC	Federal Communications Commission

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FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center

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FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document

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I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.

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ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System

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ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention

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N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NARA	National Archives and Records Administration
NBC	National Benefits Center
NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NR	No Record (we are not able to find any record)
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification

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NTA	Notice to Appear
NVC	National Visa Center
NWIRP	Northwest Immigrant Rights Project
OA	Office Automation
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement

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ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PCQS	Person-Centric Query System
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POC	Point of Contact
POE	Port of Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System

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RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RD	Redirected to another agency outside DHS
RDF	Records Digitization Facility
RF	Referred to a DHS component other than USCIS
RL	Records Locator
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer

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SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)
SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SOR	Subject of Record
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices

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TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UC	Unit Chief
UFA	Up-front Approver
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL

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USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
UT	Unable to locate (we know a record exists, but it is lost)
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-Numbers for a person, we combine the two files. One of the A-Numbers becomes the "survivor" and the other becomes the "consolidated A-Number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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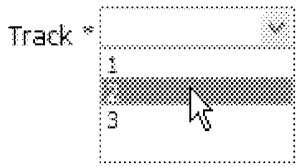
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

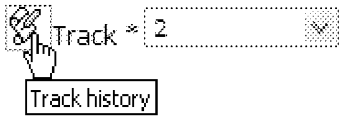
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one Two or three. specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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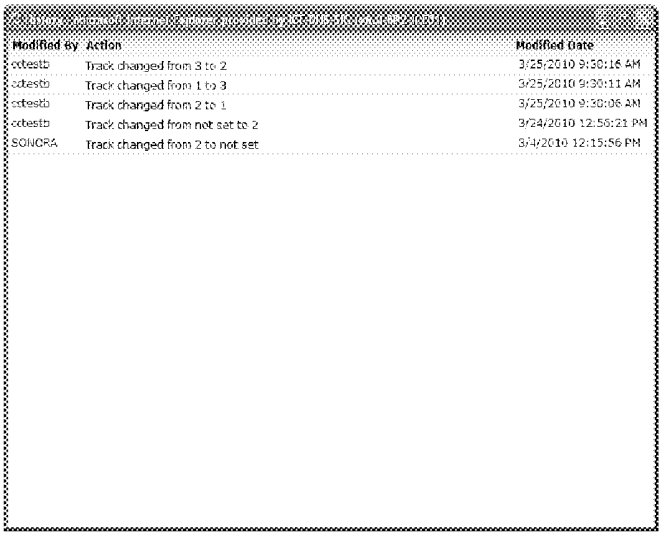
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SCNCRA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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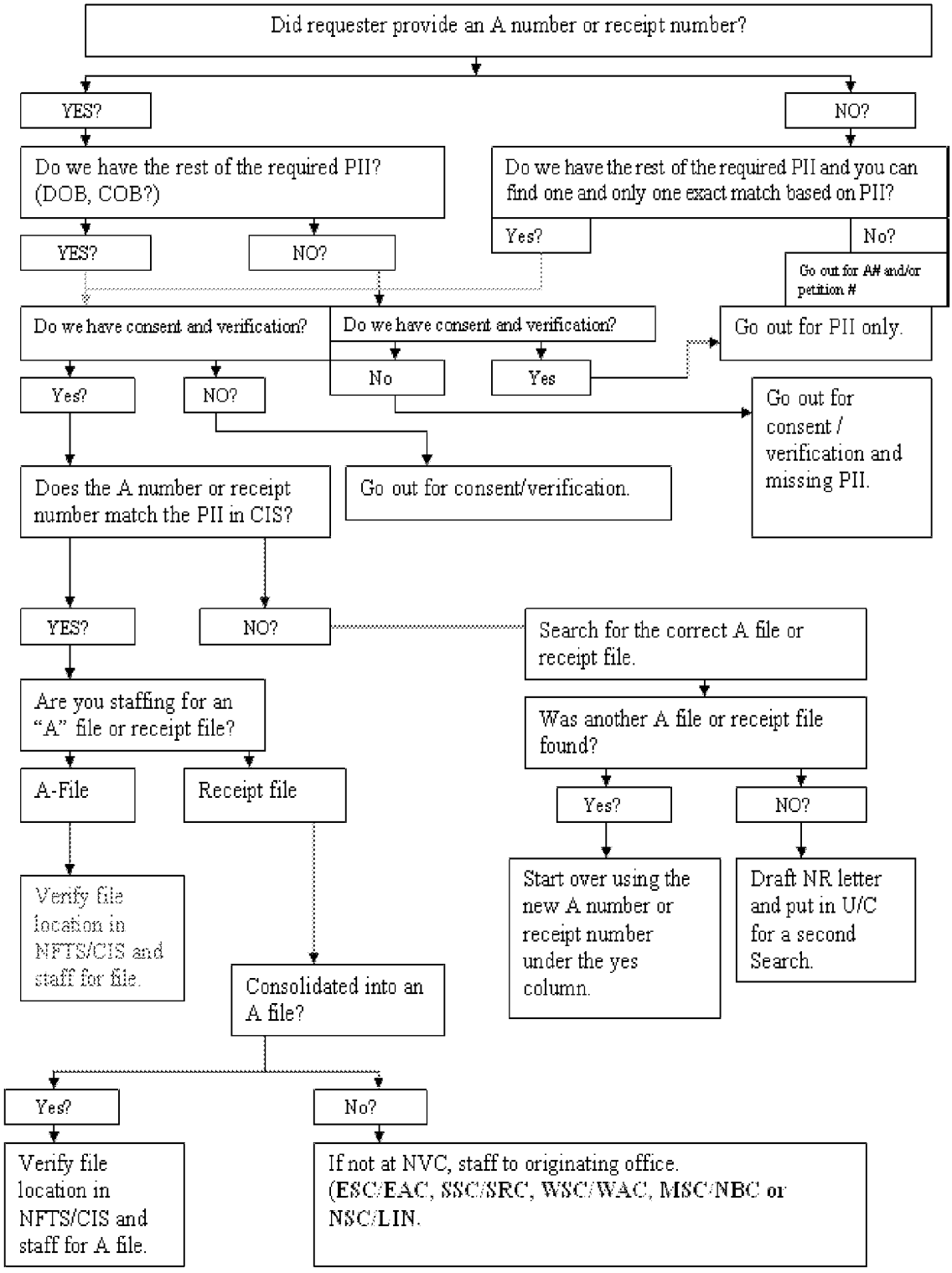
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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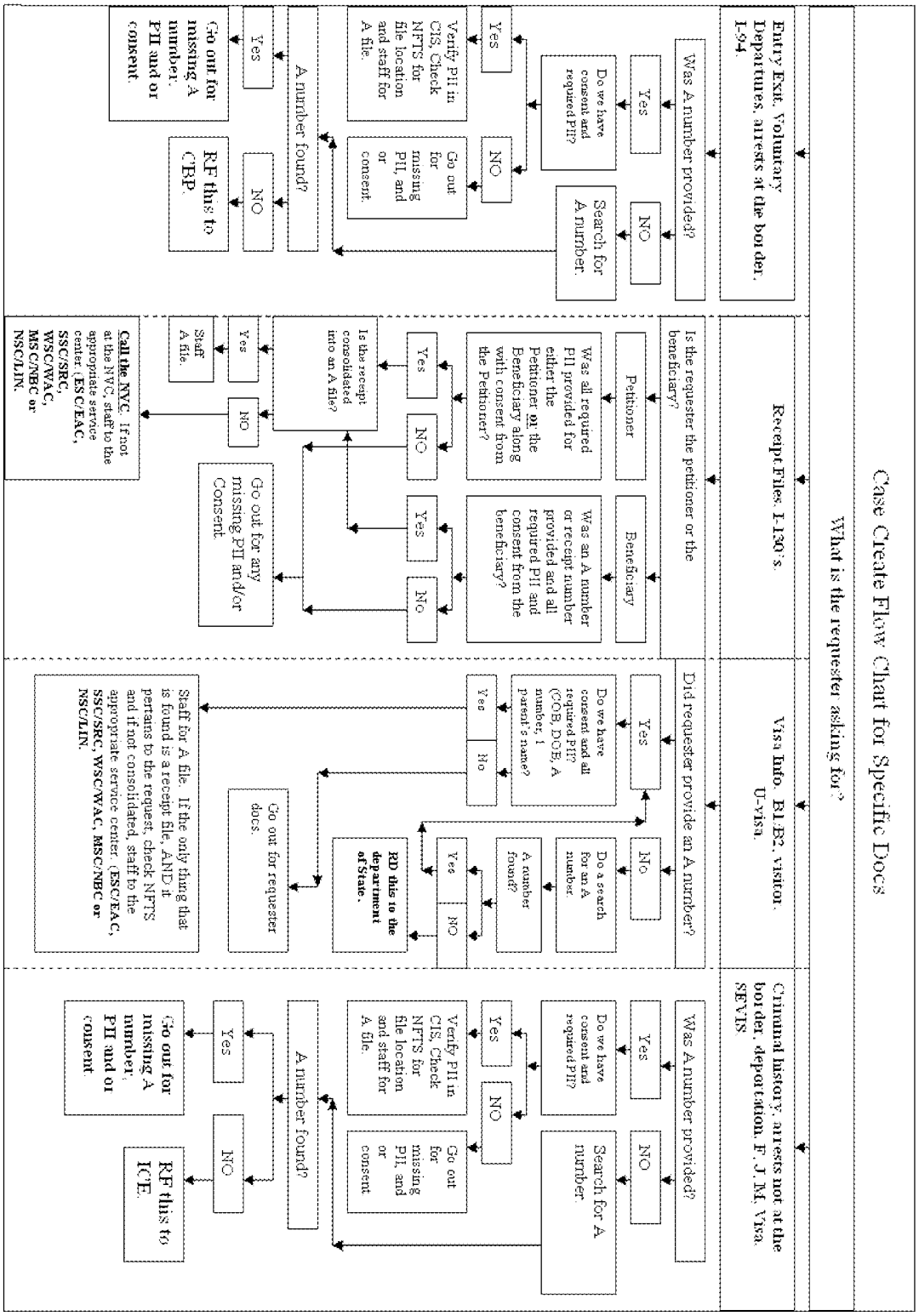

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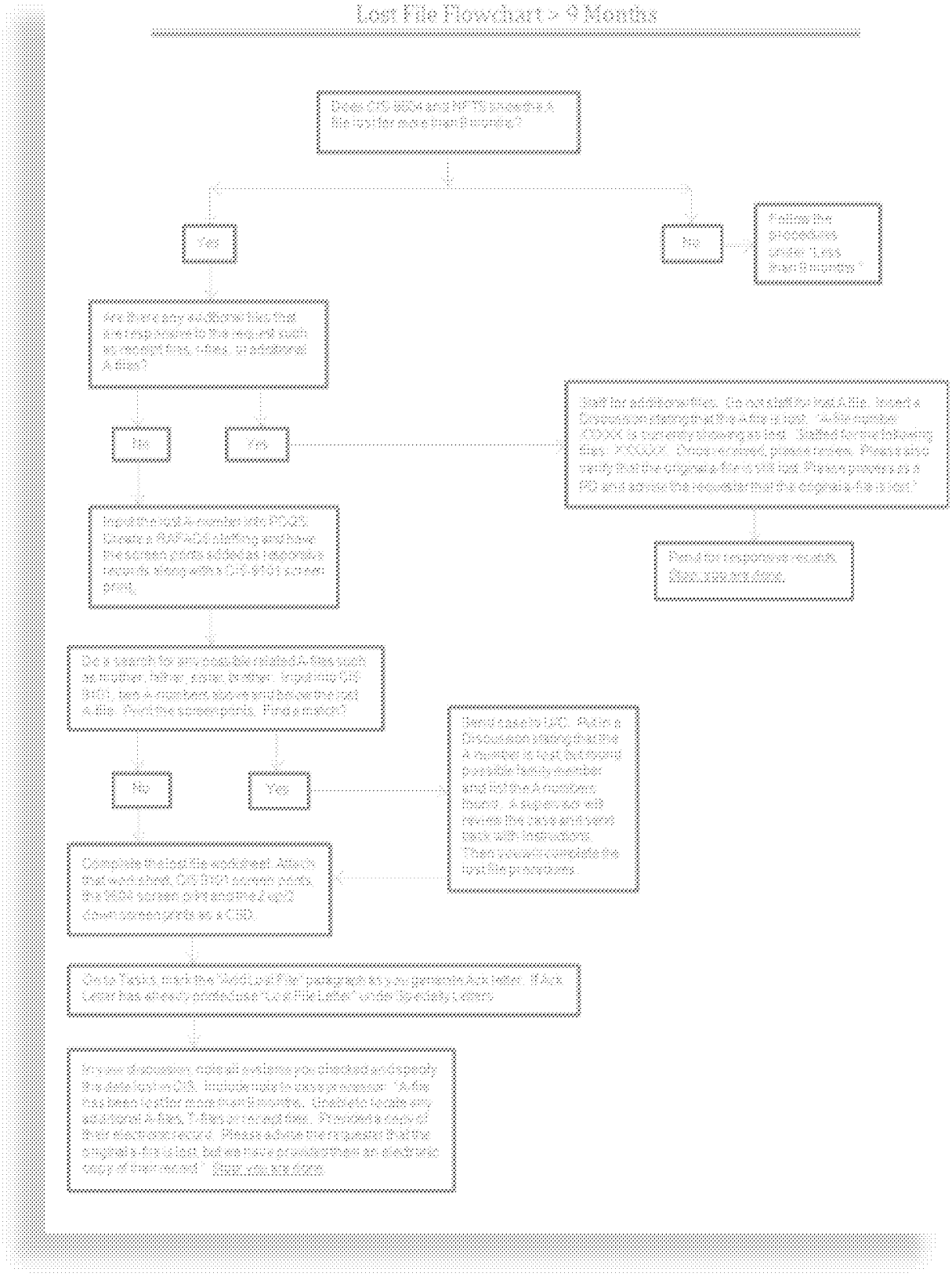

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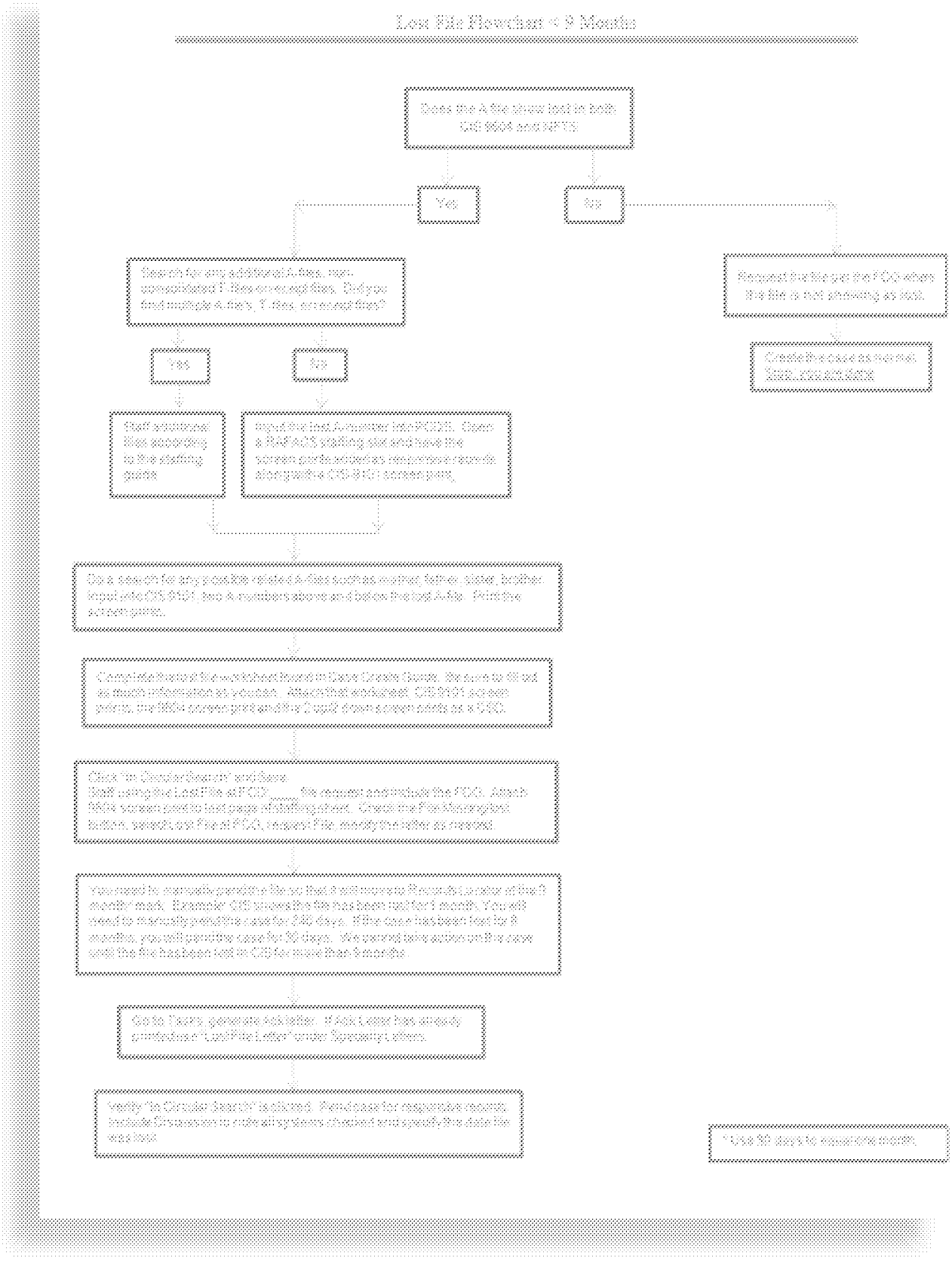

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JULIAN DATE CALENDAR

PERPETUAL

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	060	091	121	152	182	213	244	274	305	335	1
2	002	033	061	092	122	153	183	214	245	275	306	336	2
3	003	034	062	093	123	154	184	215	246	276	307	337	3
4	004	035	063	094	124	155	185	216	247	277	308	338	4
5	005	036	064	095	125	156	186	217	248	278	309	339	5
6	006	037	065	096	126	157	187	218	249	279	310	340	6
7	007	038	066	097	127	158	188	219	250	280	311	341	7
8	008	039	067	098	128	159	189	220	251	281	312	342	8
9	009	040	068	099	129	160	190	221	252	282	313	343	9
10	010	041	069	100	130	161	191	222	253	283	314	344	10
11	011	042	070	101	131	162	192	223	254	284	315	345	11
12	012	043	071	102	132	163	193	224	255	285	316	346	12
13	013	044	072	103	133	164	194	225	256	286	317	347	13
14	014	045	073	104	134	165	195	226	257	287	318	348	14
15	015	046	074	105	135	166	196	227	258	288	319	349	15
16	016	047	075	106	136	167	197	228	259	289	320	350	16
17	017	048	076	107	137	168	198	229	260	290	321	351	17
18	018	049	077	108	138	169	199	230	261	291	322	352	18
19	019	050	078	109	139	170	200	231	262	292	323	353	19
20	020	051	079	110	140	171	201	232	263	293	324	354	20
21	021	052	080	111	141	172	202	233	264	294	325	355	21
22	022	053	081	112	142	173	203	234	265	295	326	356	22
23	023	054	082	113	143	174	204	235	266	296	327	357	23
24	024	055	083	114	144	175	205	236	267	297	328	358	24
25	025	056	084	115	145	176	206	237	268	298	329	359	25
26	026	057	085	116	146	177	207	238	269	299	330	360	26
27	027	058	086	117	147	178	208	239	270	300	331	361	27
28	028	059	087	118	148	179	209	240	271	301	332	362	28
29	029		088	119	149	180	210	241	272	302	333	363	29
30	030		089	120	150	181	211	242	273	303	334	364	30
31	031		090		151		212	243		304		365	31

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Updated on 6/29/2012

JULIAN DATE CALENDAR

FOR LEAP YEARS ONLY

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	061	092	122	153	183	214	245	275	306	336	1
2	002	033	062	093	123	154	184	215	246	276	307	337	2
3	003	034	063	094	124	155	185	216	247	277	308	338	3
4	004	035	064	095	125	156	186	217	248	278	309	339	4
5	005	036	065	096	126	157	187	218	249	279	310	340	5
6	006	037	066	097	127	158	188	219	250	280	311	341	6
7	007	038	067	098	128	159	189	220	251	281	312	342	7
8	008	039	068	099	129	160	190	221	252	282	313	343	8
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10	010	041	070	101	131	162	192	223	254	284	315	345	10
11	011	042	071	102	132	163	193	224	255	285	316	346	11
12	012	043	072	103	133	164	194	225	256	286	317	347	12
13	013	044	073	104	134	165	195	226	257	287	318	348	13
14	014	045	074	105	135	166	196	227	258	288	319	349	14
15	015	046	075	106	136	167	197	228	259	289	320	350	15
16	016	047	076	107	137	168	198	229	260	290	321	351	16
17	017	048	077	108	138	169	199	230	261	291	322	352	17
18	018	049	078	109	139	170	200	231	262	292	323	353	18
19	019	050	079	110	140	171	201	232	263	293	324	354	19
20	020	051	080	111	141	172	202	233	264	294	325	355	20
21	021	052	081	112	142	173	203	234	265	295	326	356	21
22	022	053	082	113	143	174	204	235	266	296	327	357	22
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24	024	055	084	115	145	176	206	237	268	298	329	359	24
25	025	056	085	116	146	177	207	238	269	299	330	360	25
26	026	057	086	117	147	178	208	239	270	300	331	361	26
27	027	058	087	118	148	179	209	240	271	301	332	362	27
28	028	059	088	119	149	180	210	241	272	302	333	363	28
29	029	060	089	120	150	181	211	242	273	303	334	364	29
30	030		090	121	151	182	212	243	274	304	335	365	30
31	031		091		152		213	244		305		366	31

USE IN 2004, 2008, 2012, 2016, 2020, 2024, ETC.

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Updated on 6/29/2012

APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all requester documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, requester documents, or track changes) to the Research queue.

3. Make sure we have valid consent, and VOI (DOB and COB). If not, close as FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. If we have everything in rule 3, we do not send for requester documentation except in cases that do not meet Reasonable Description of Records Being Sought (section 7.3 of the guide). If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. If you do not immediately find a person, search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. If you do not find Juan Rodriguez Martinez, try reversing the last name to Juan Martinez Rodriguez. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. If you do not immediately find a person, always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing all of the request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

9. Use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the

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G-28, or other documents in the request, such as an envelope. If you find no other address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases. You must add the specific language on the request (or as close as possible to their language) to the track 1 acknowledgment letter.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. If there is no cover sheet, you must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as expedited, or fee waiver request. If there was an expedited or fee waiver request that was approved or denied, change it back to "Not Requested" and save it before you send the case to Up-Front Approver.

12. Do not staff for A-Files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart at Appendix H of the guide. A-Files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as T-Files and unconsolidated receipt files. Always unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. Every time you move a case from one place to the next, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If

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you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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APPENDIX K: RECORD OF REVISIONS

May 6, 2011

***Paragraph 7.1,* Consent of Parents or Guardians,** *of the **FOIA/PA Assistant's Guide** has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

***Paragraph* 12.7.11 T-files** *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

***Paragraph* 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS** *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both A-Numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or **NSC/LIN)**. For example, (b)(6) [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen

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prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requester, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information*." Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.
>
> ---

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If the date of the request is either the same as your request or within a very few days and:

A. The requester is the same, and
B. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information":

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- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

October 24, 2011

We have added a sentence to **Paragraph 8.21**, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

Paragraph 32.12 is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

> **32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

We have added a sentence to **Paragraph 34**, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

Paragraph 36 is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

[The following paragraph has been deleted in its entirety] Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** has been changed as follows (~~old version in strikethrough~~) (new version in red):

~~Just before you create the case,~~ Before you begin filling in the worksheet, you should look for duplicates.

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the *FOIA/PA Assistant's Guide*

December 14, 2011

Paragraph 7.4, **Third Party Requests** has been changed as follows (new information in red, deleted information in strikethrough)

Third party requesters are not entitled to any public documents that may be in the file they are seeking, as well as nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply. simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records. Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

(b)(6)

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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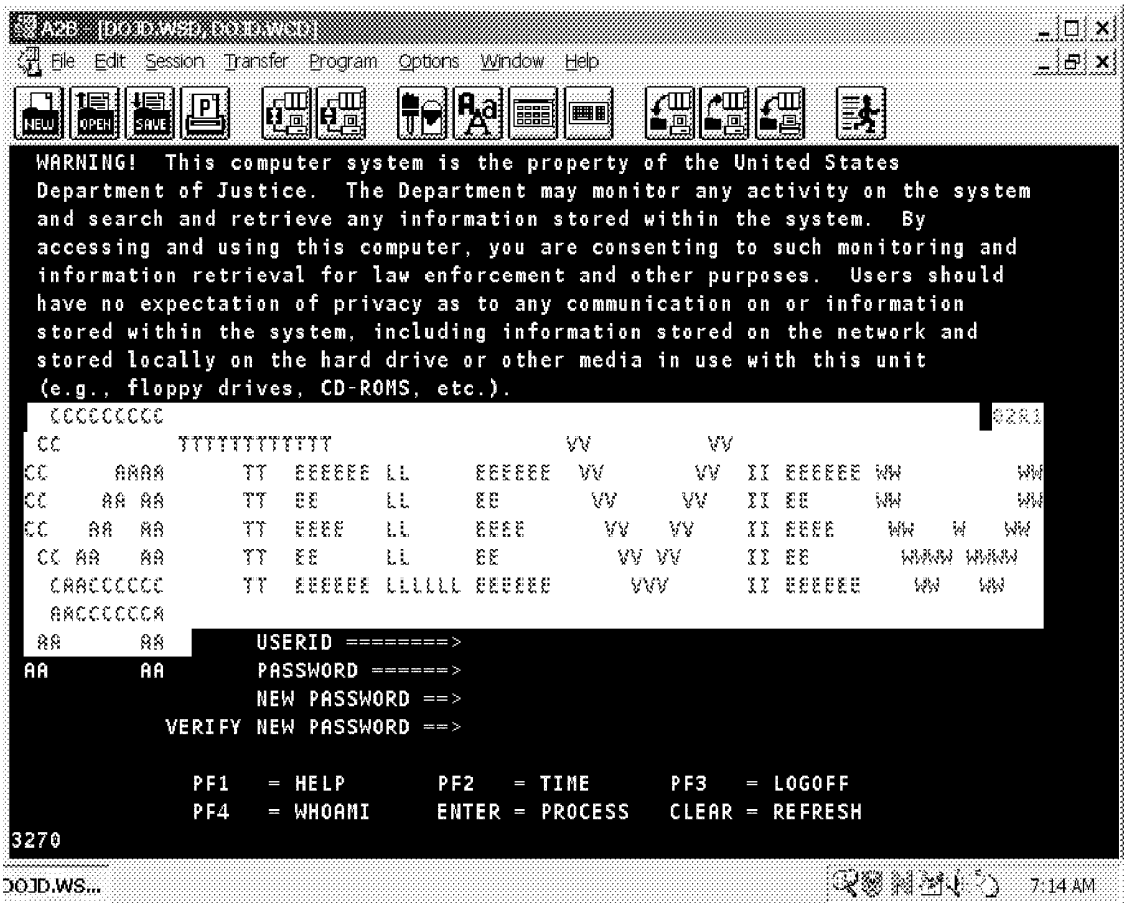
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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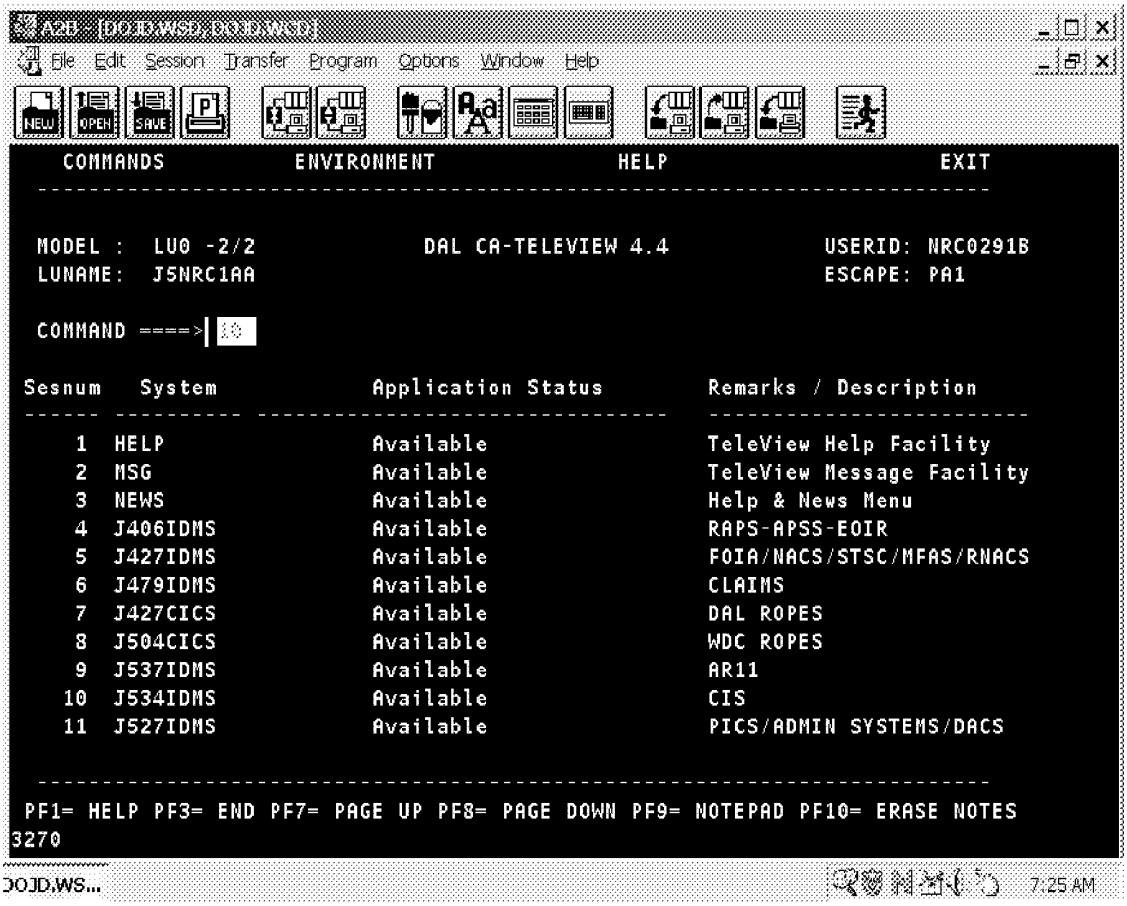
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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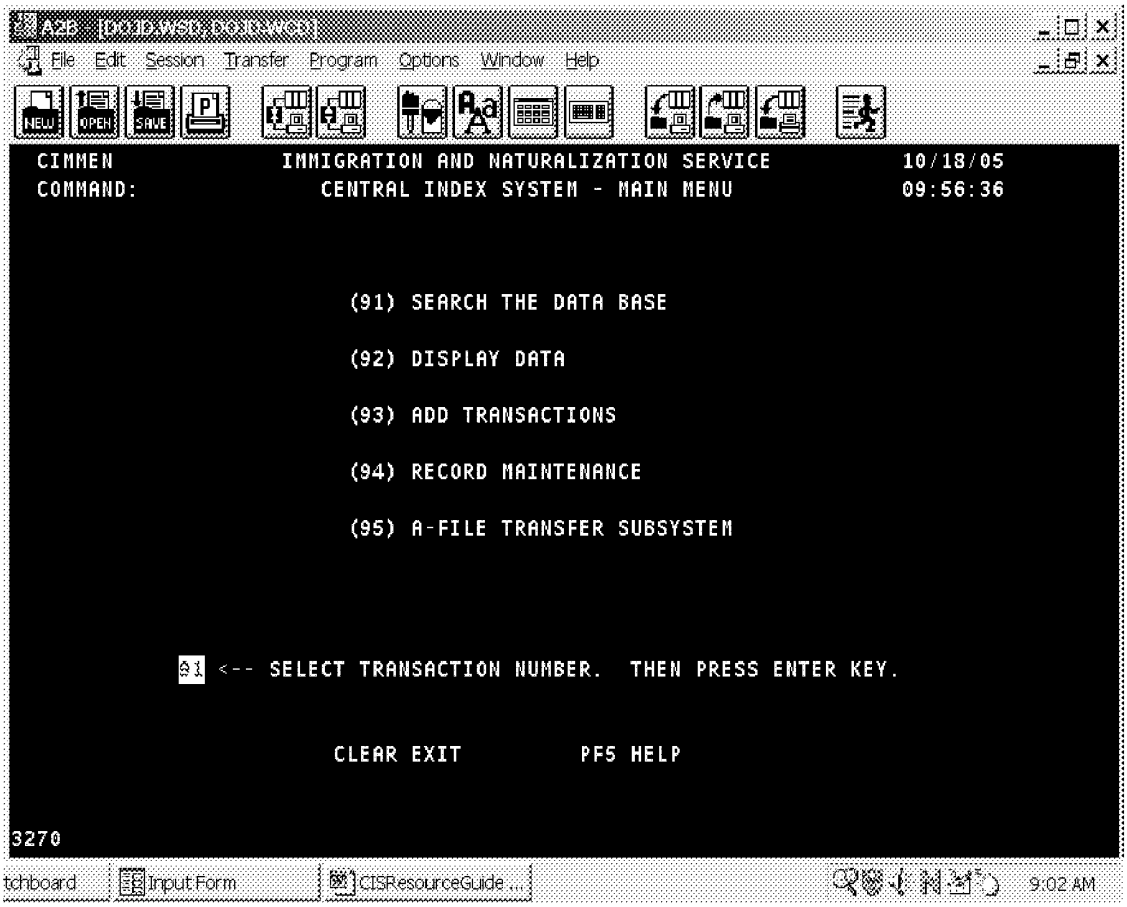
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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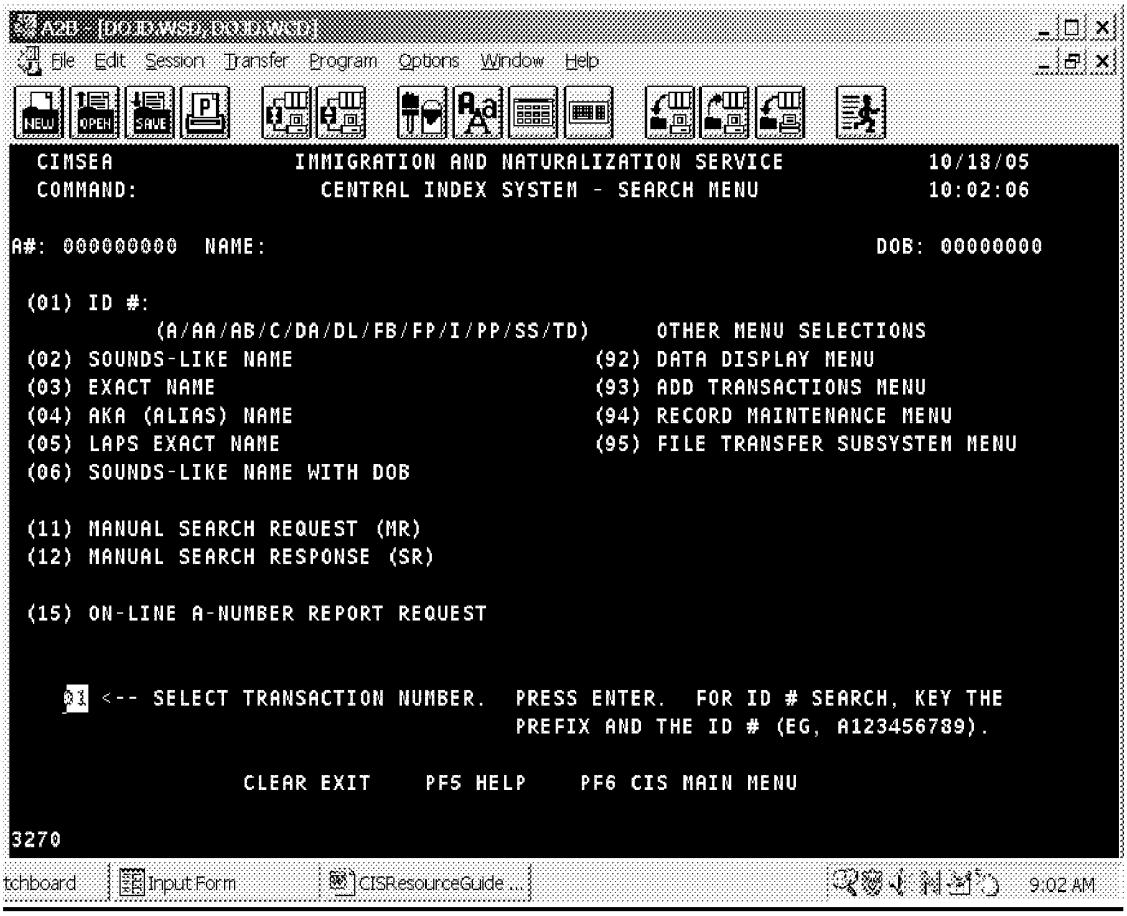
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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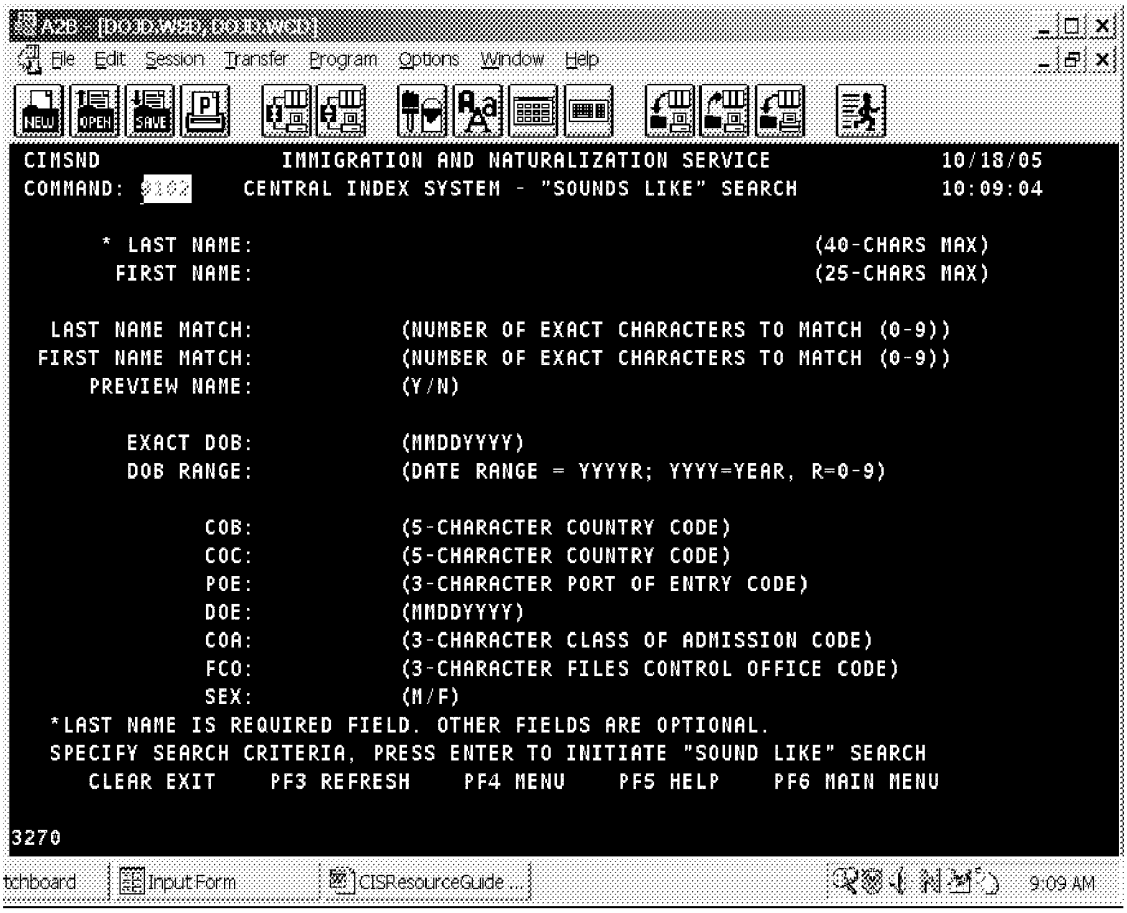

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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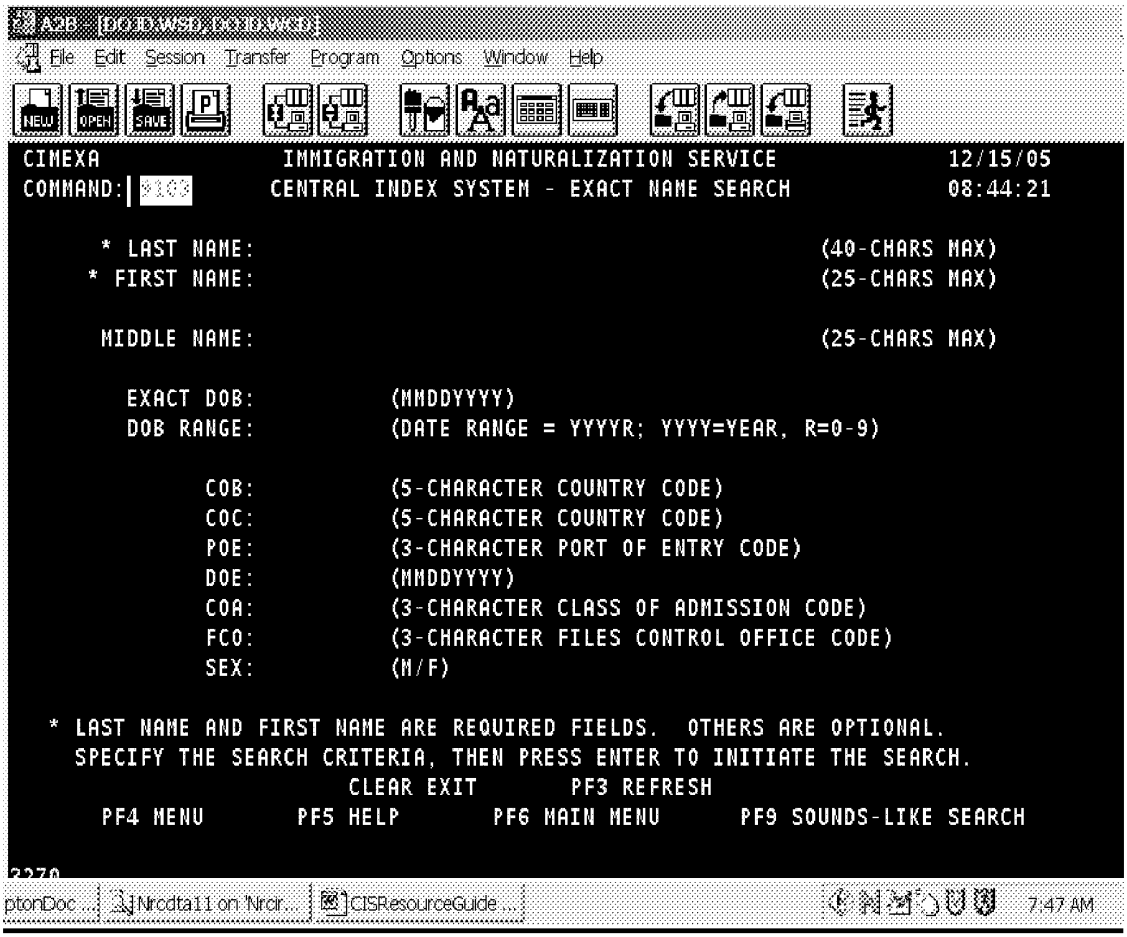
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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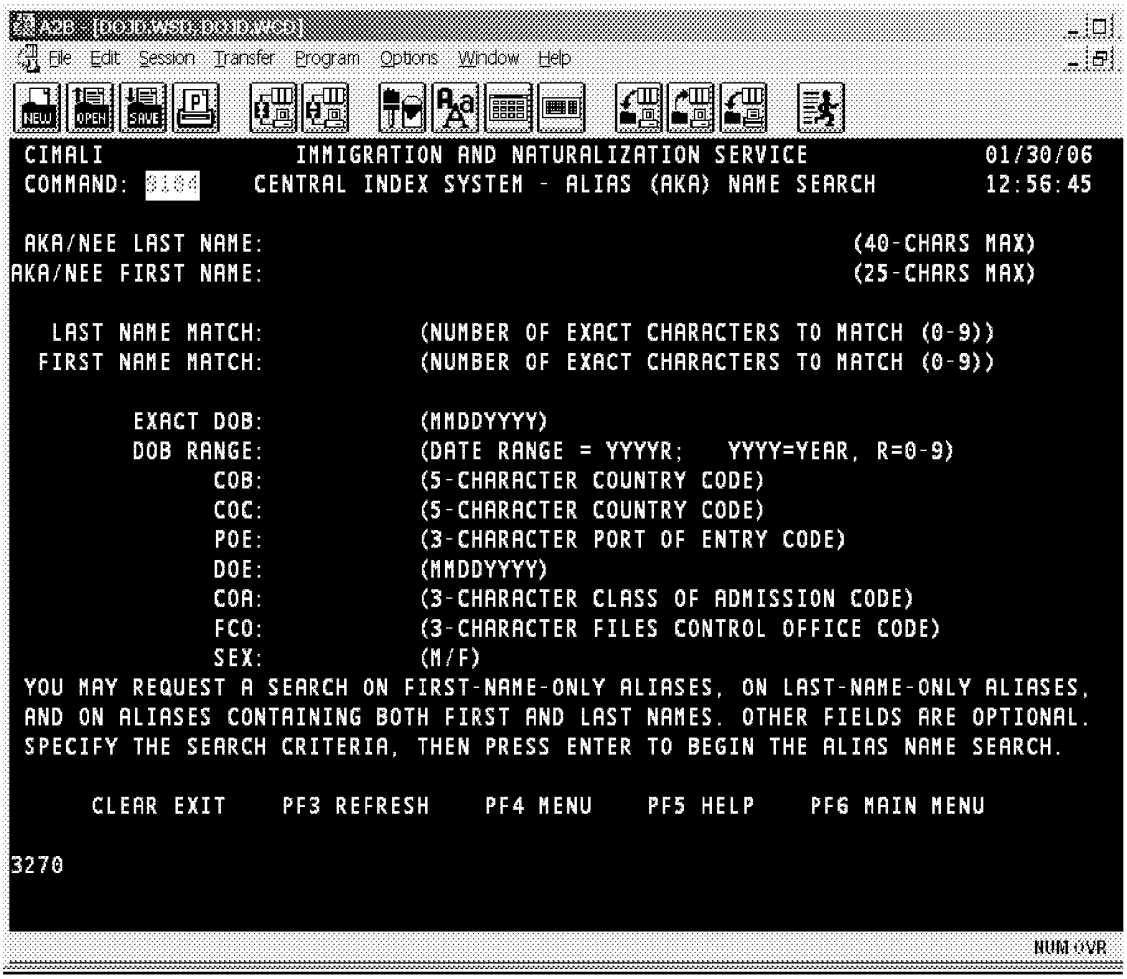
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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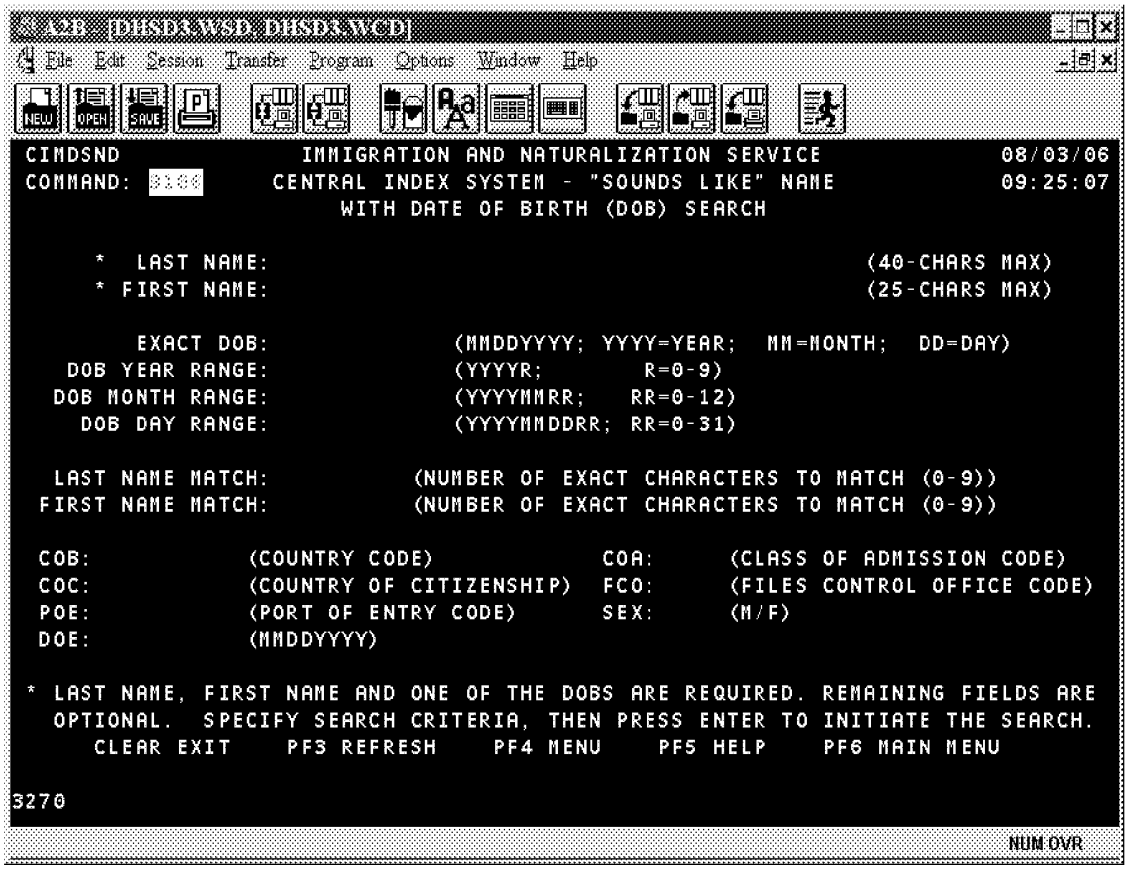
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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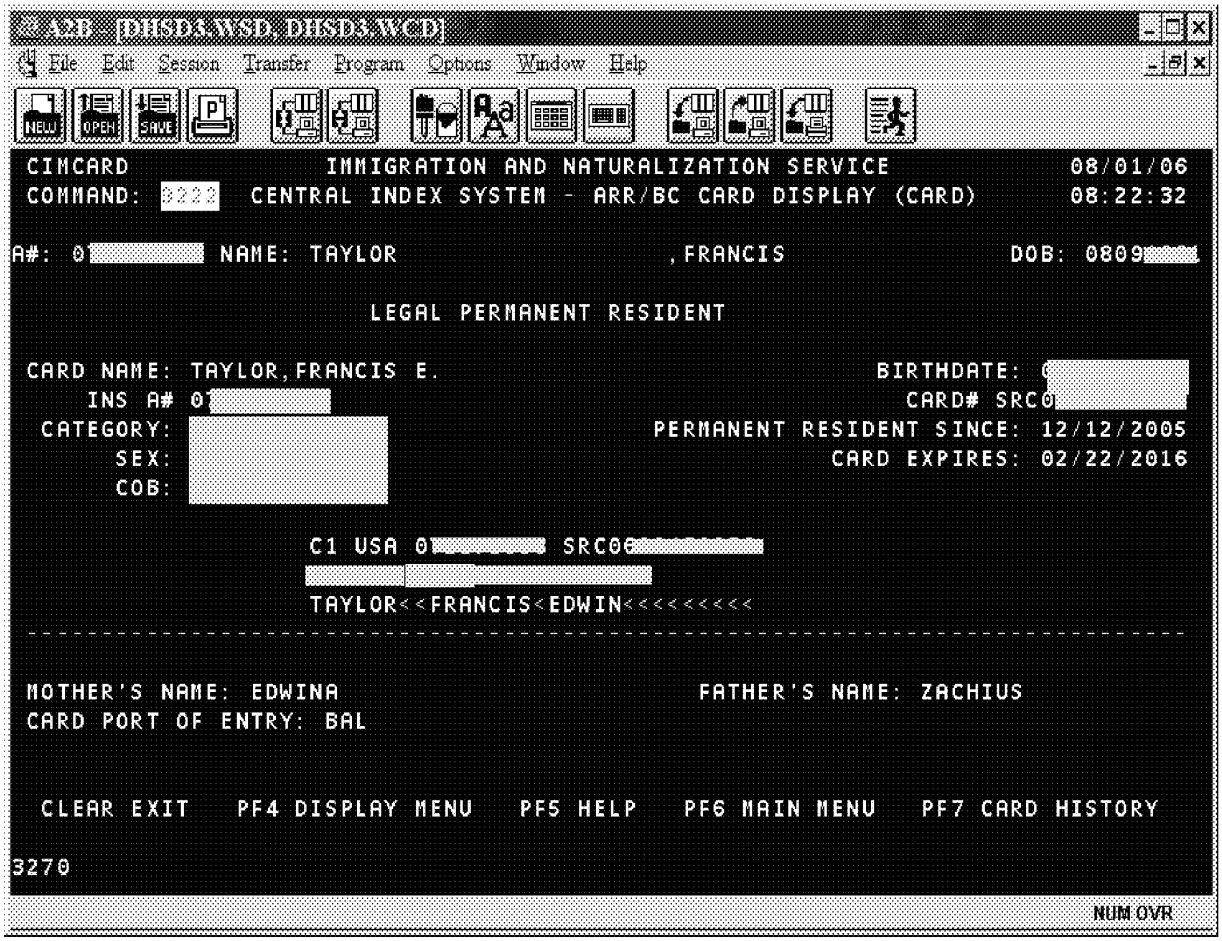
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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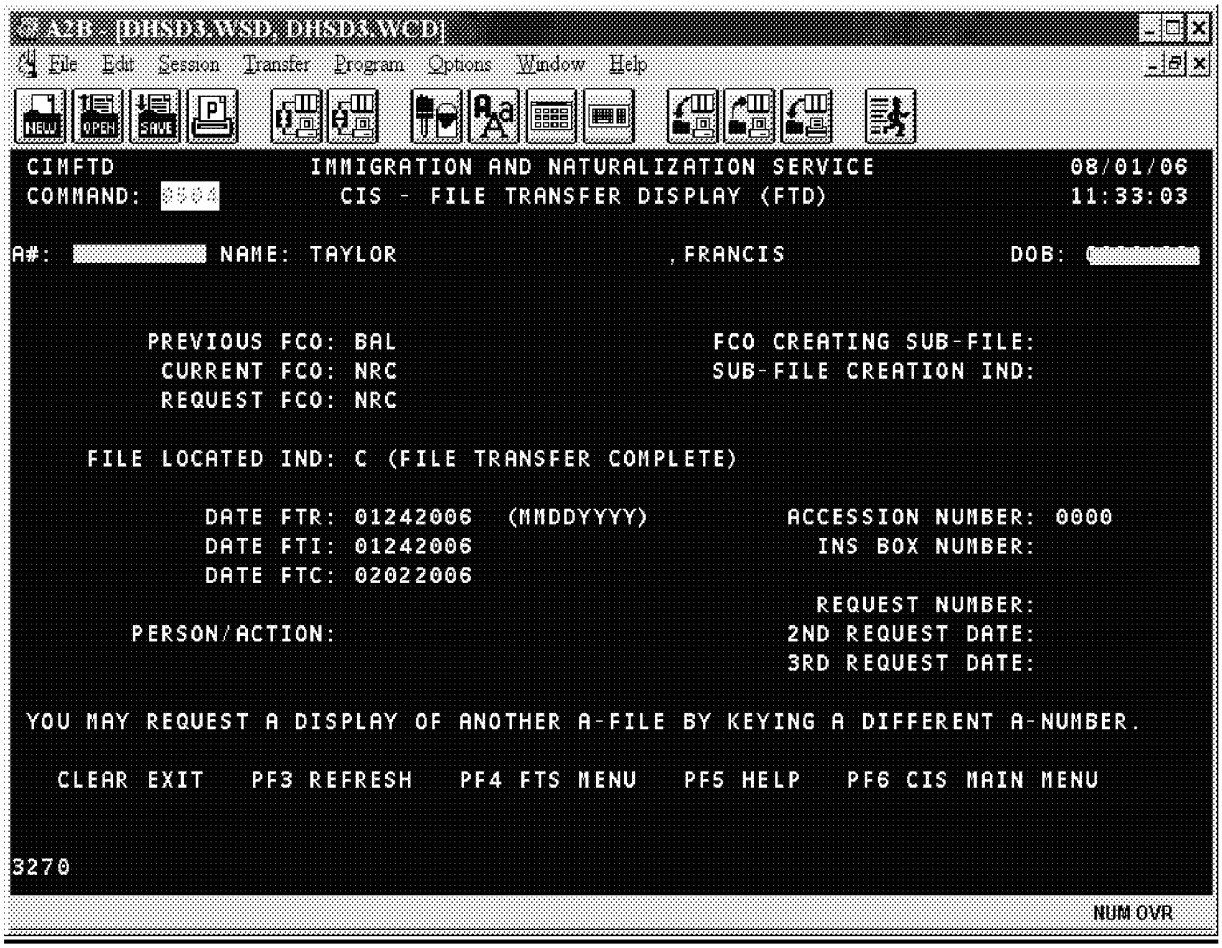
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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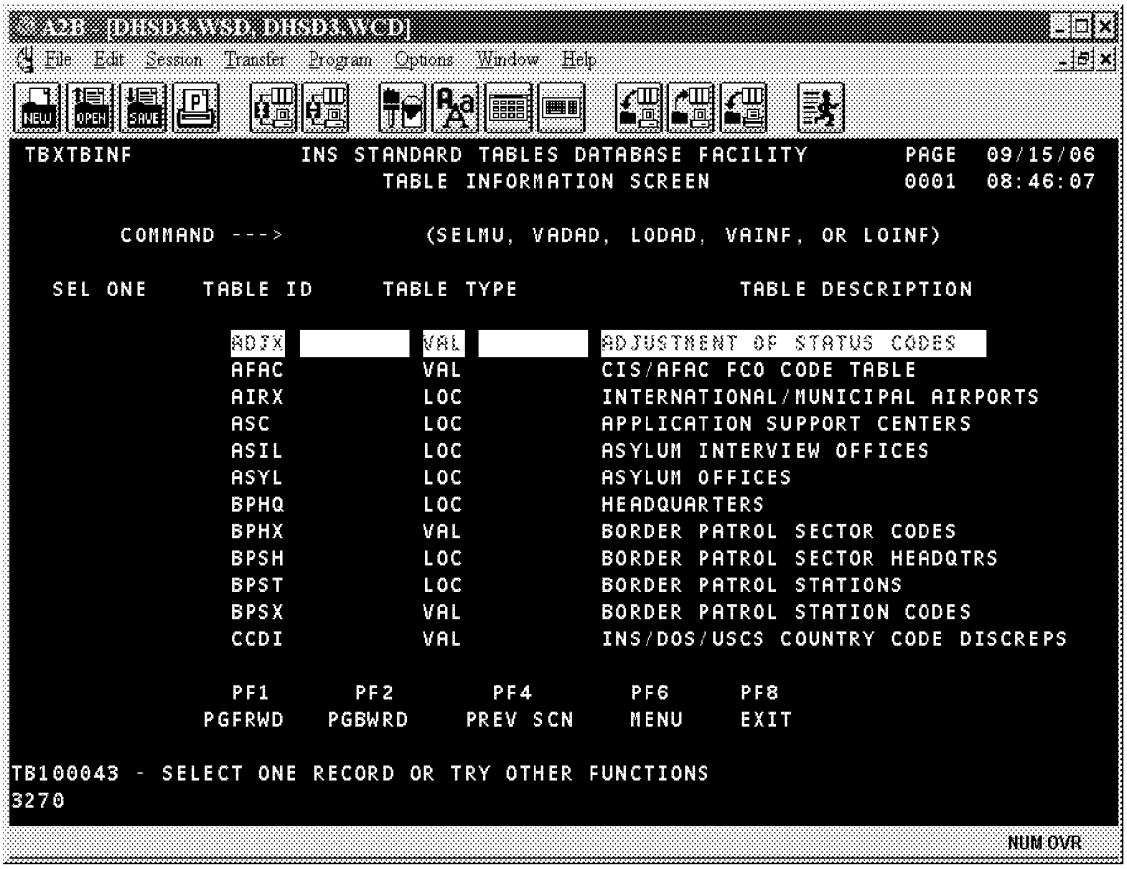
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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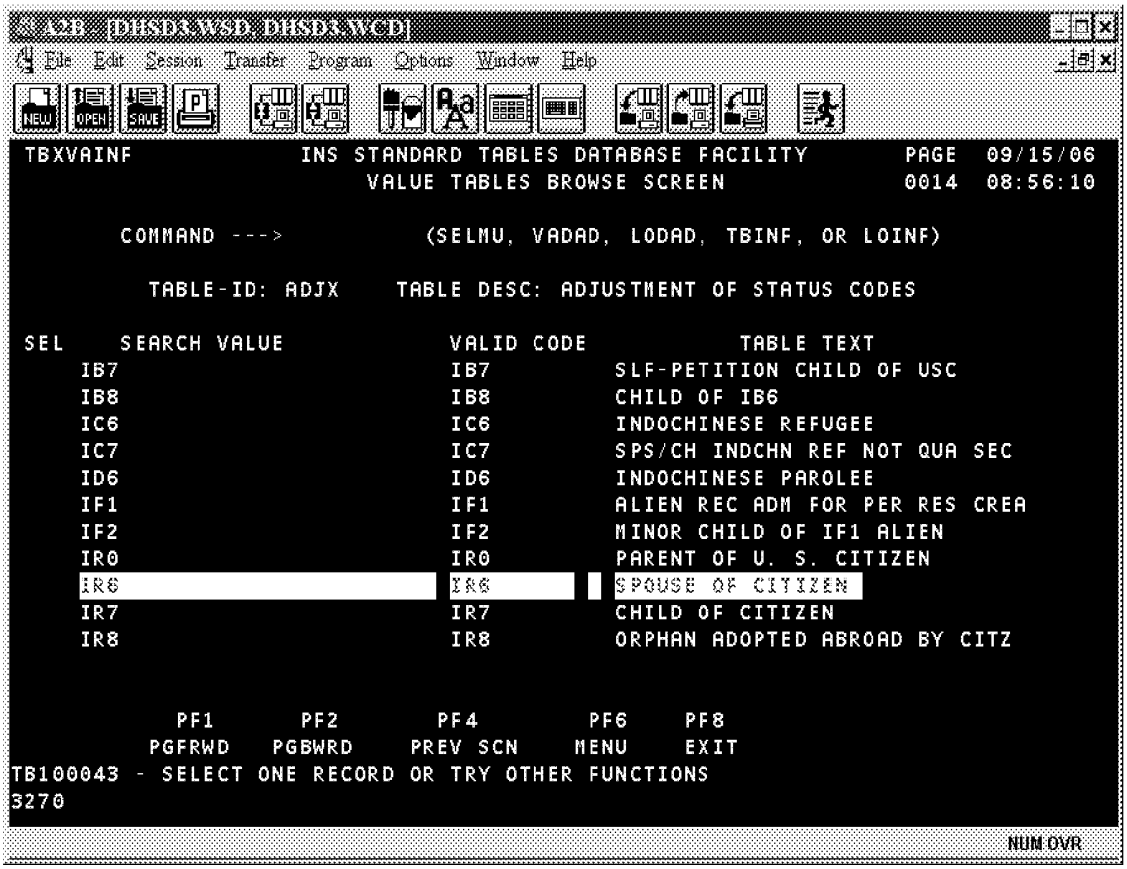
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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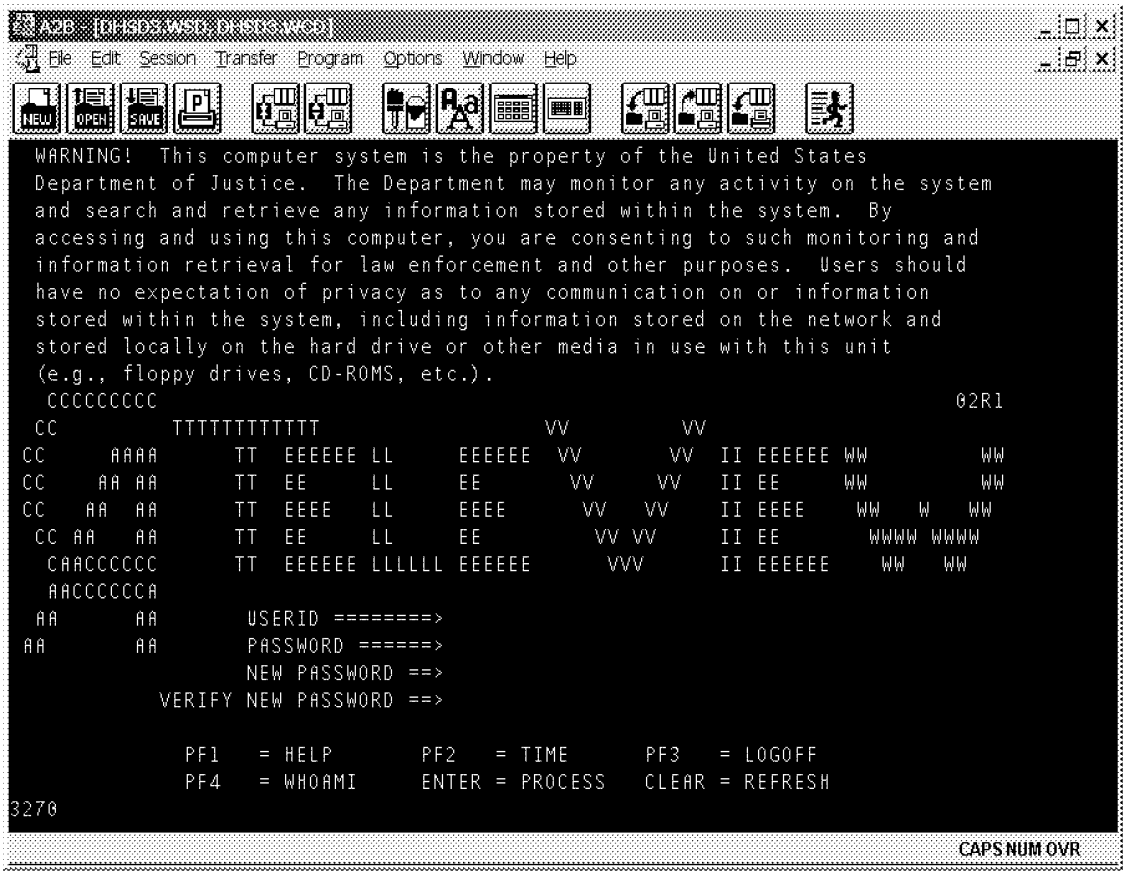
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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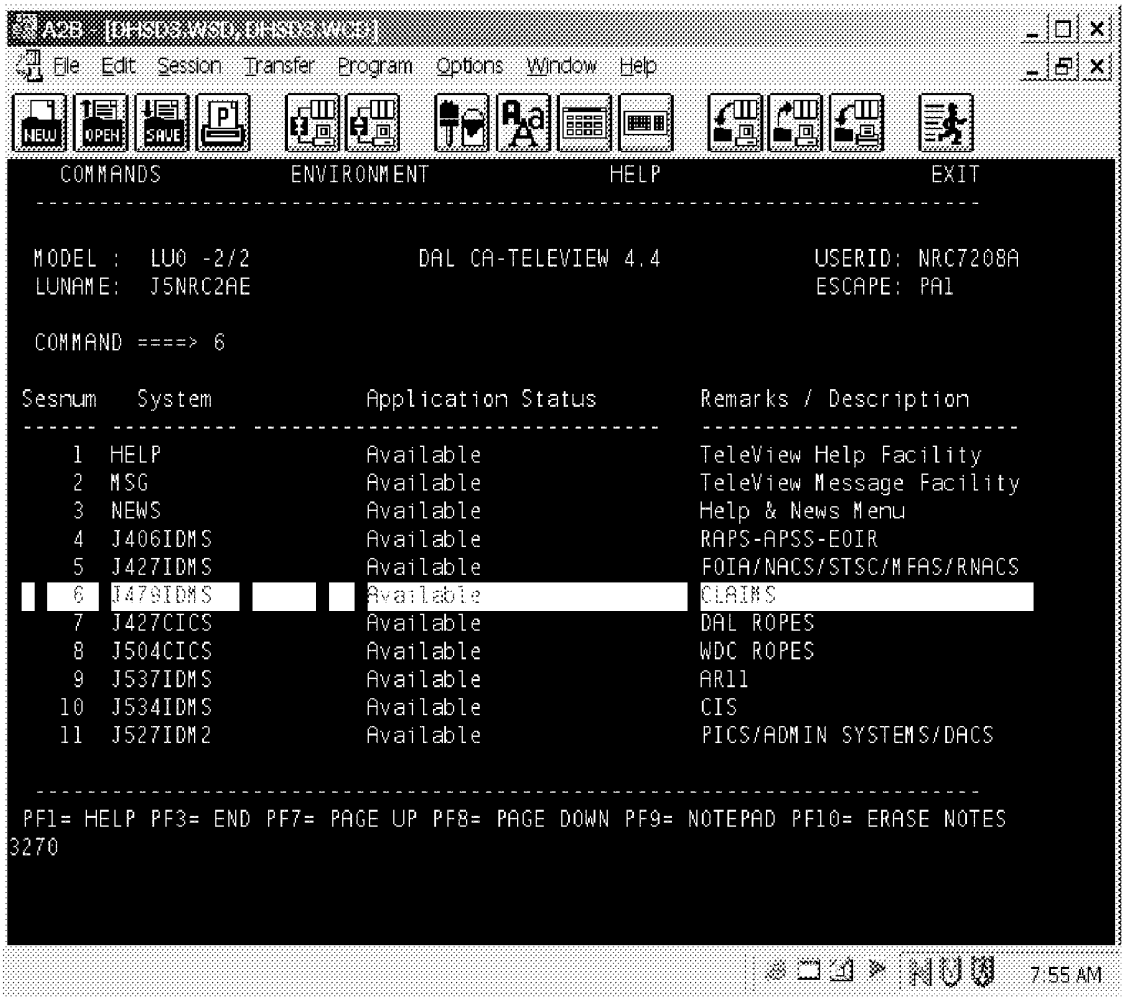
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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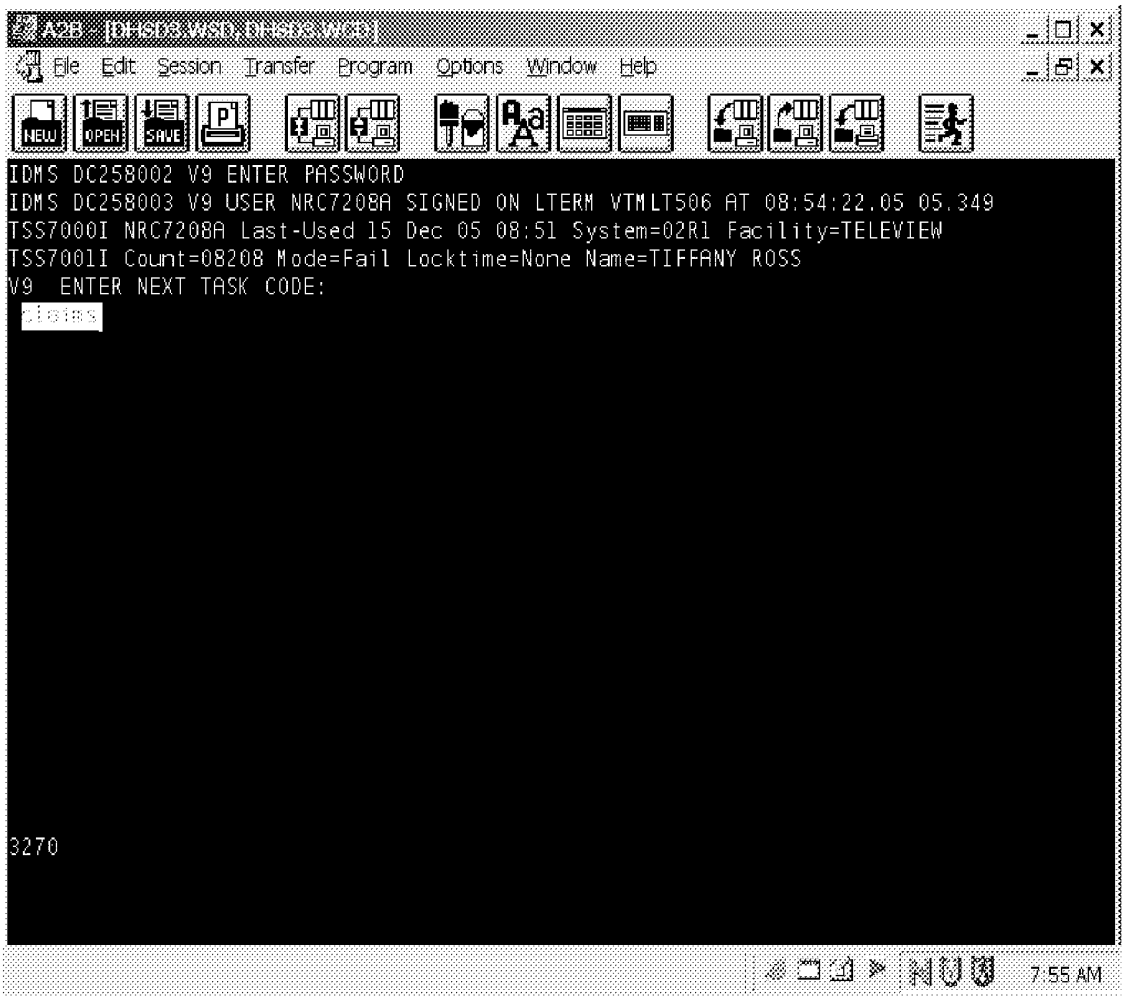
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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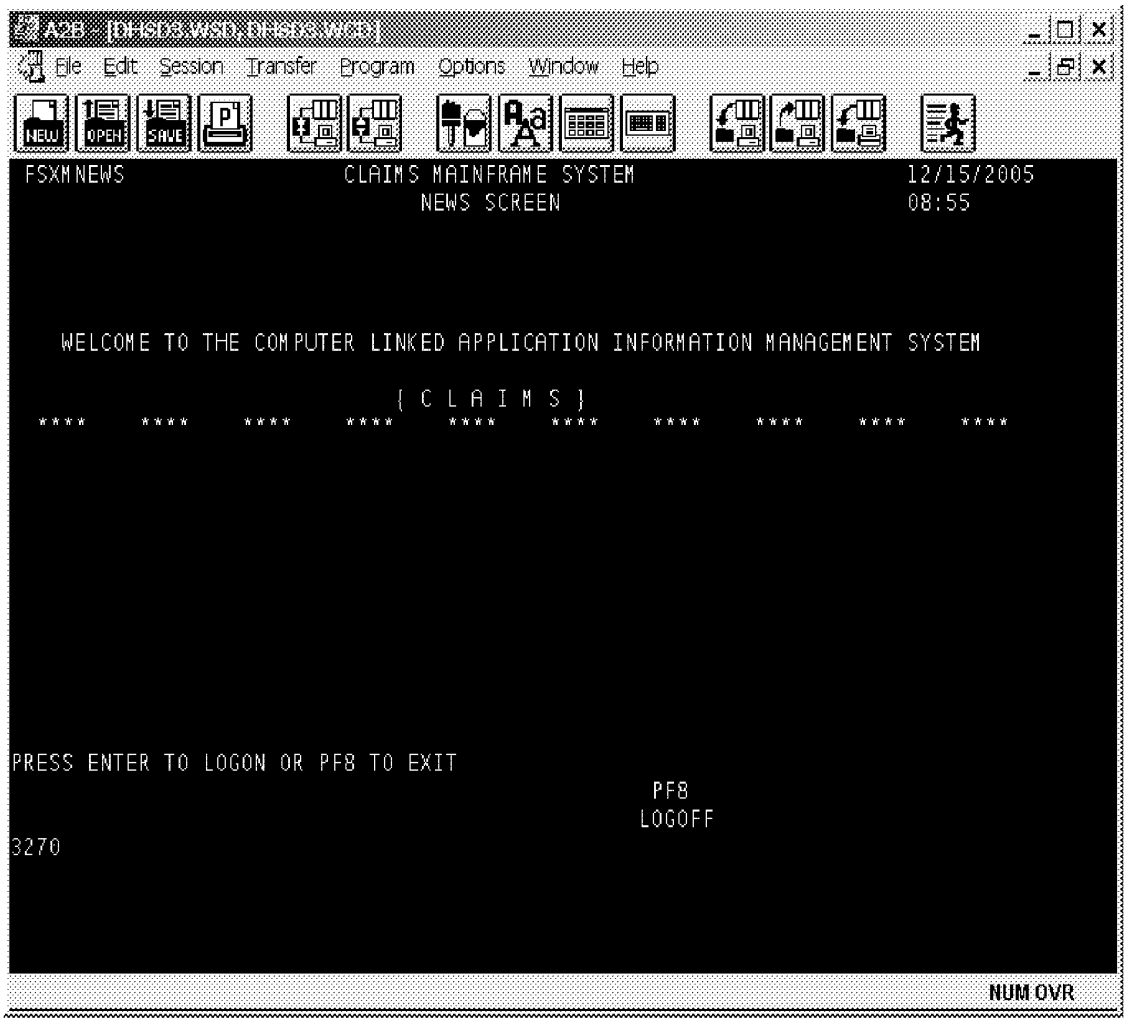
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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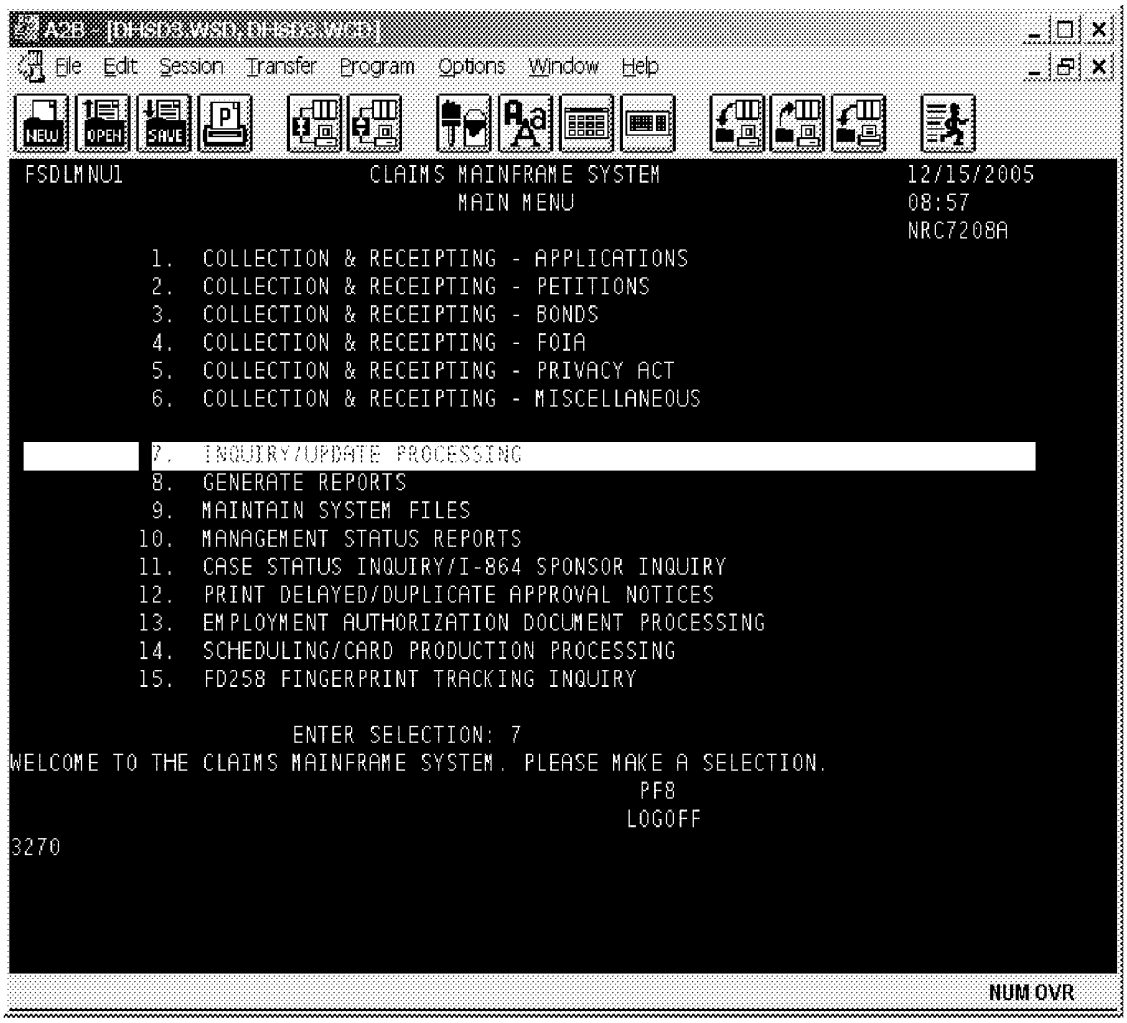
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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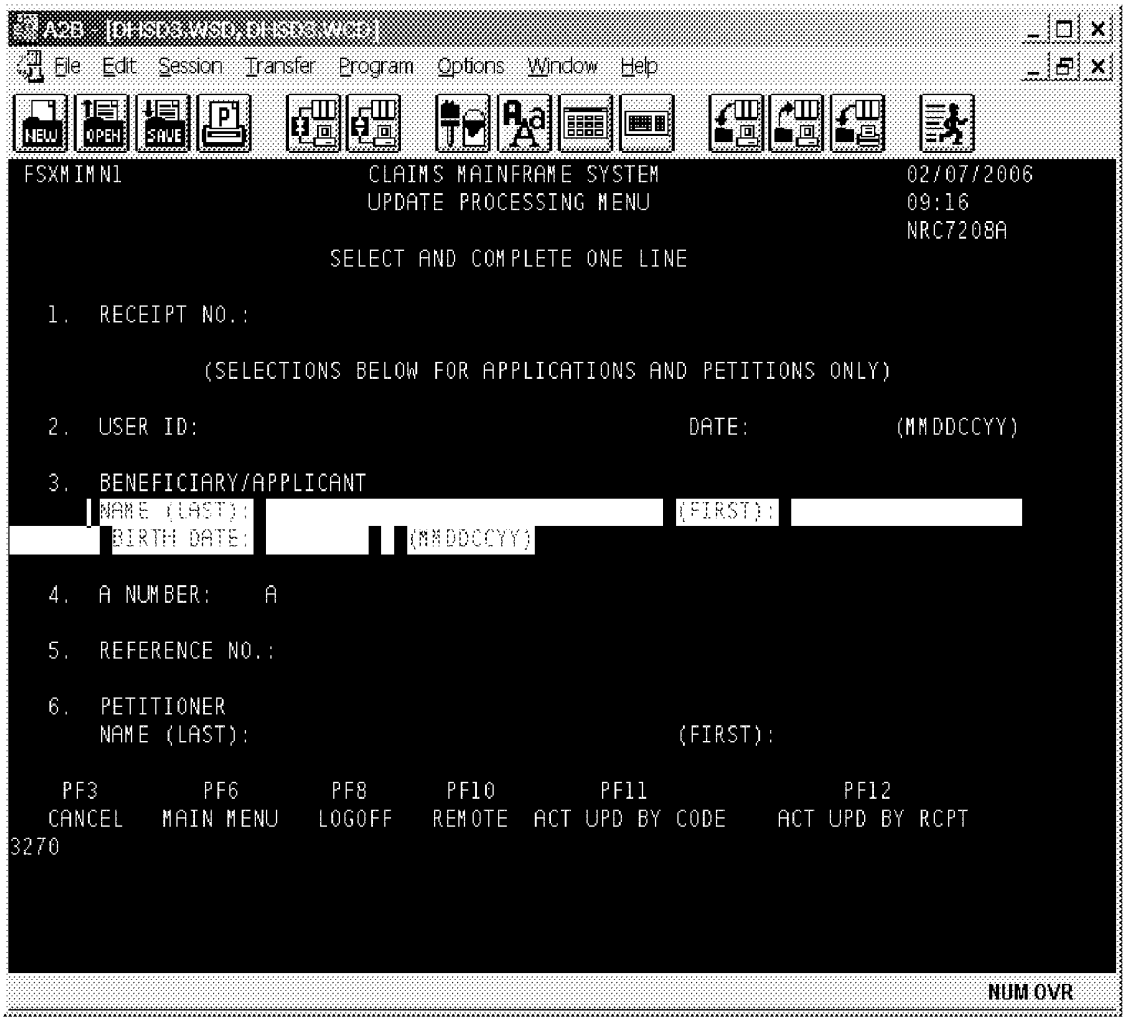
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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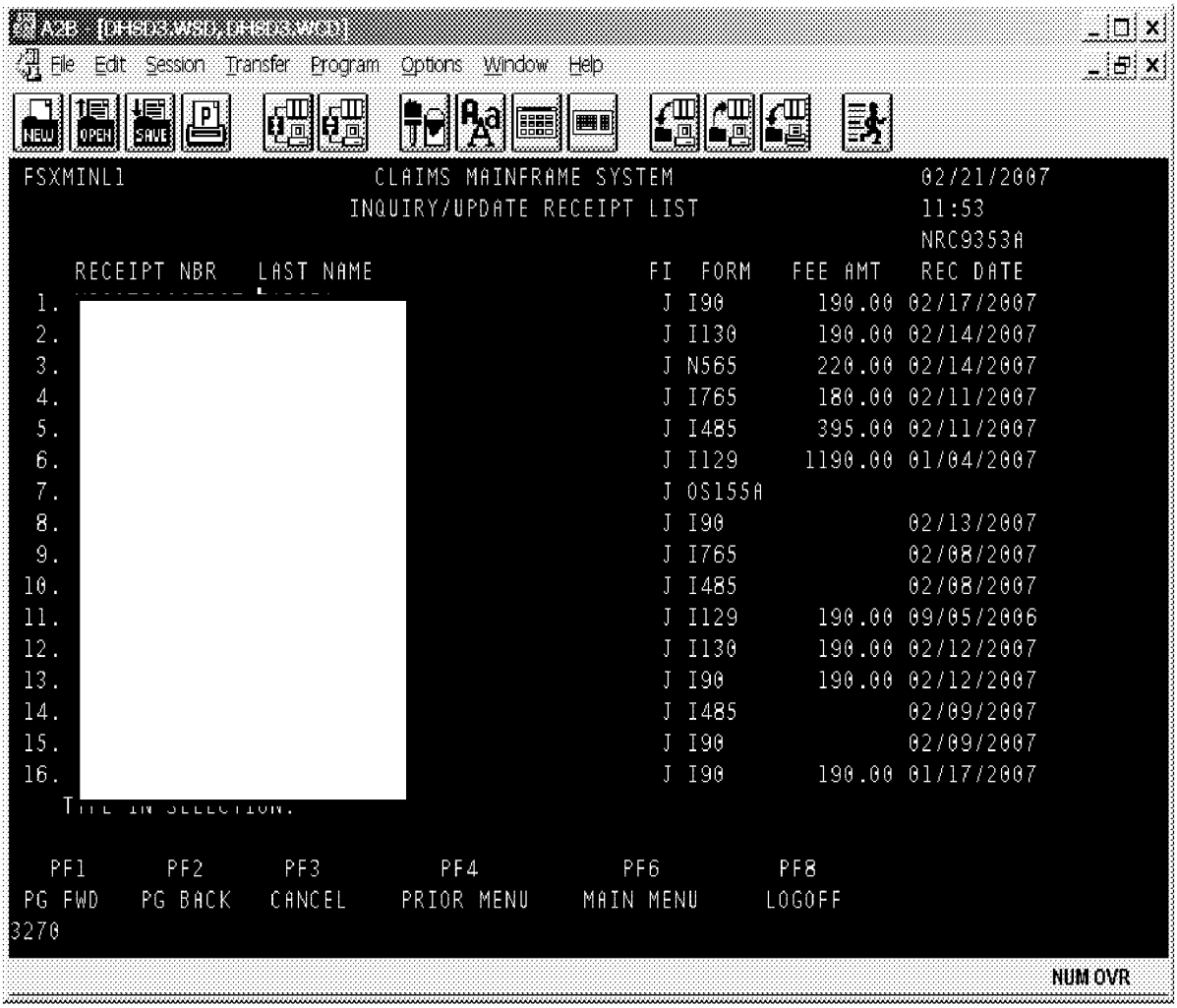
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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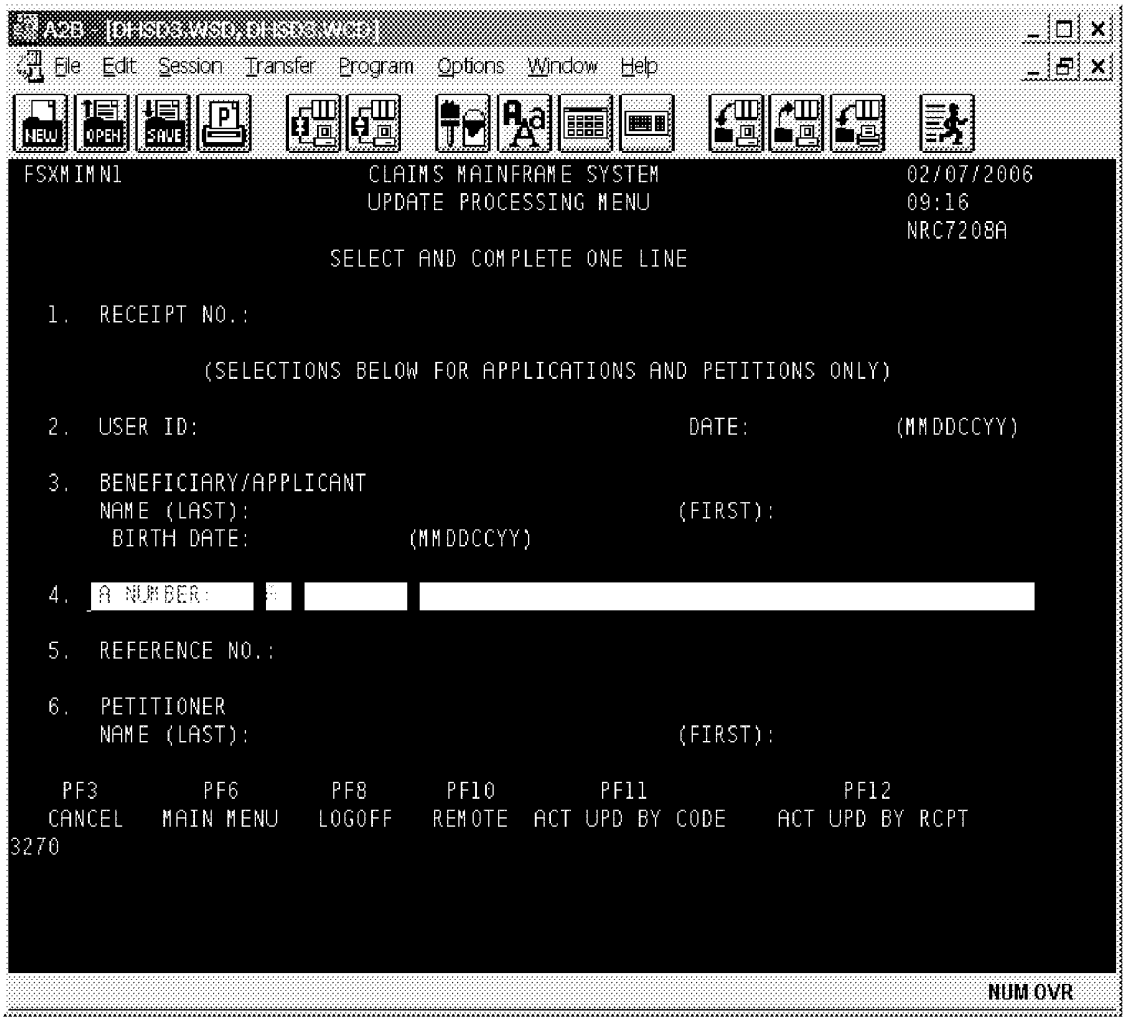
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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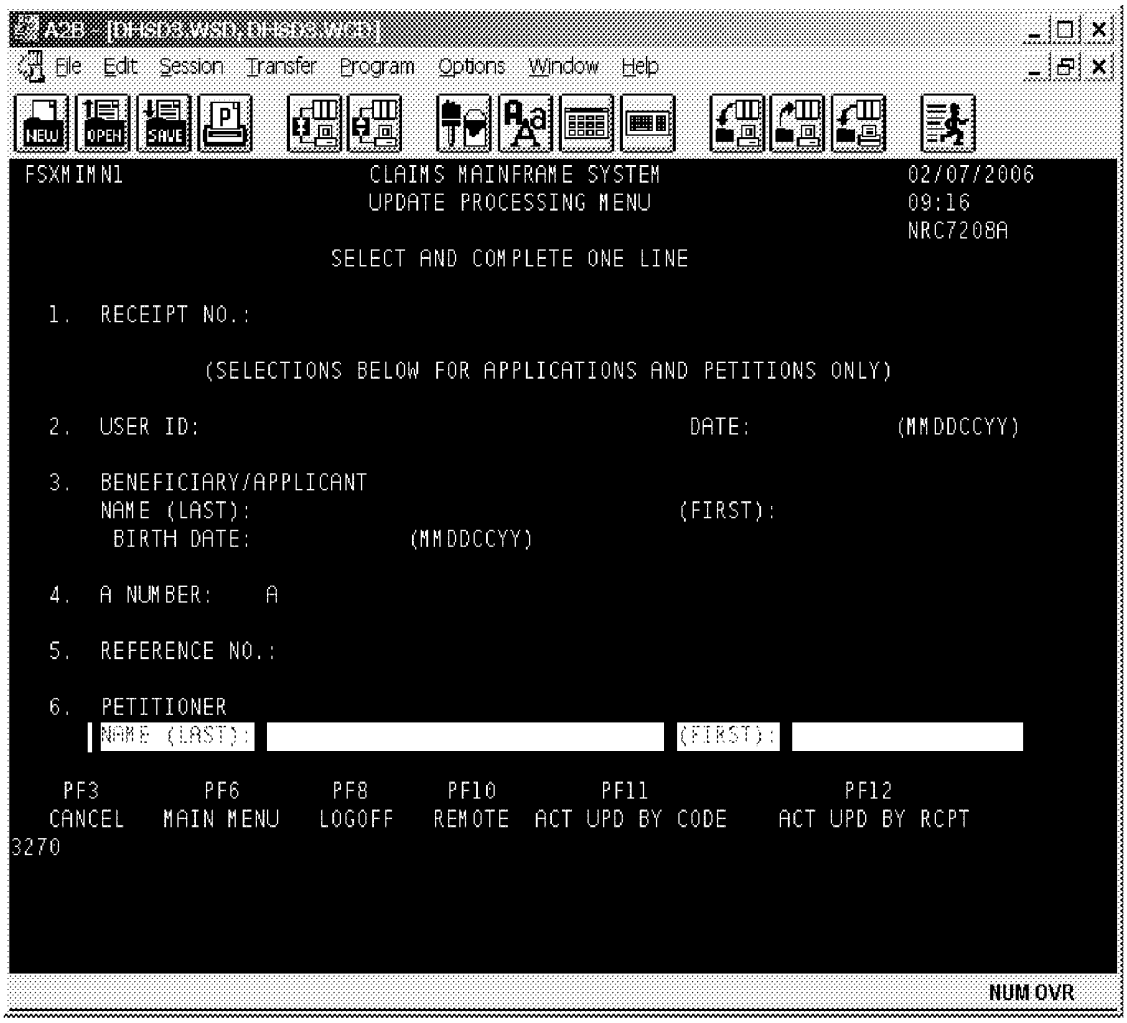
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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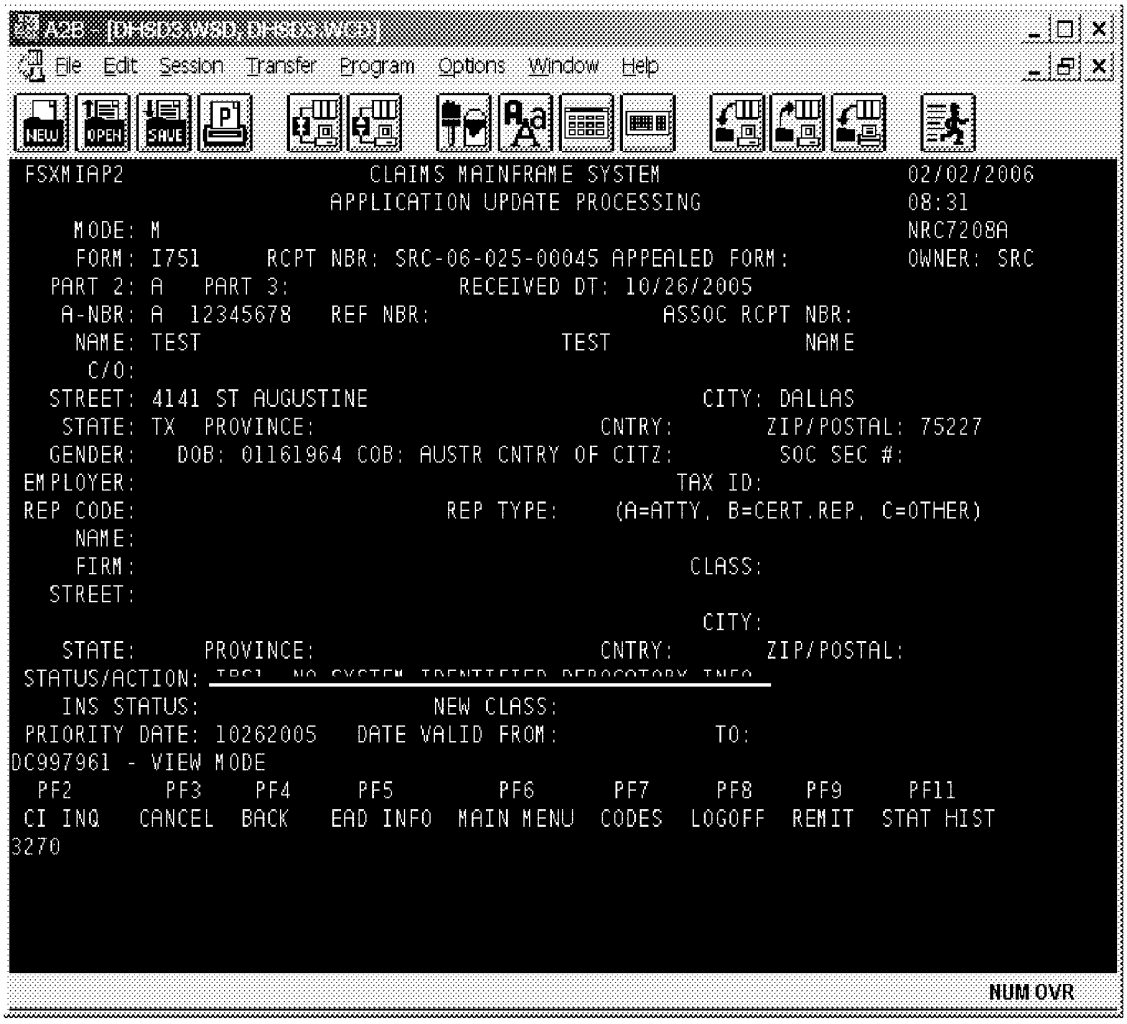
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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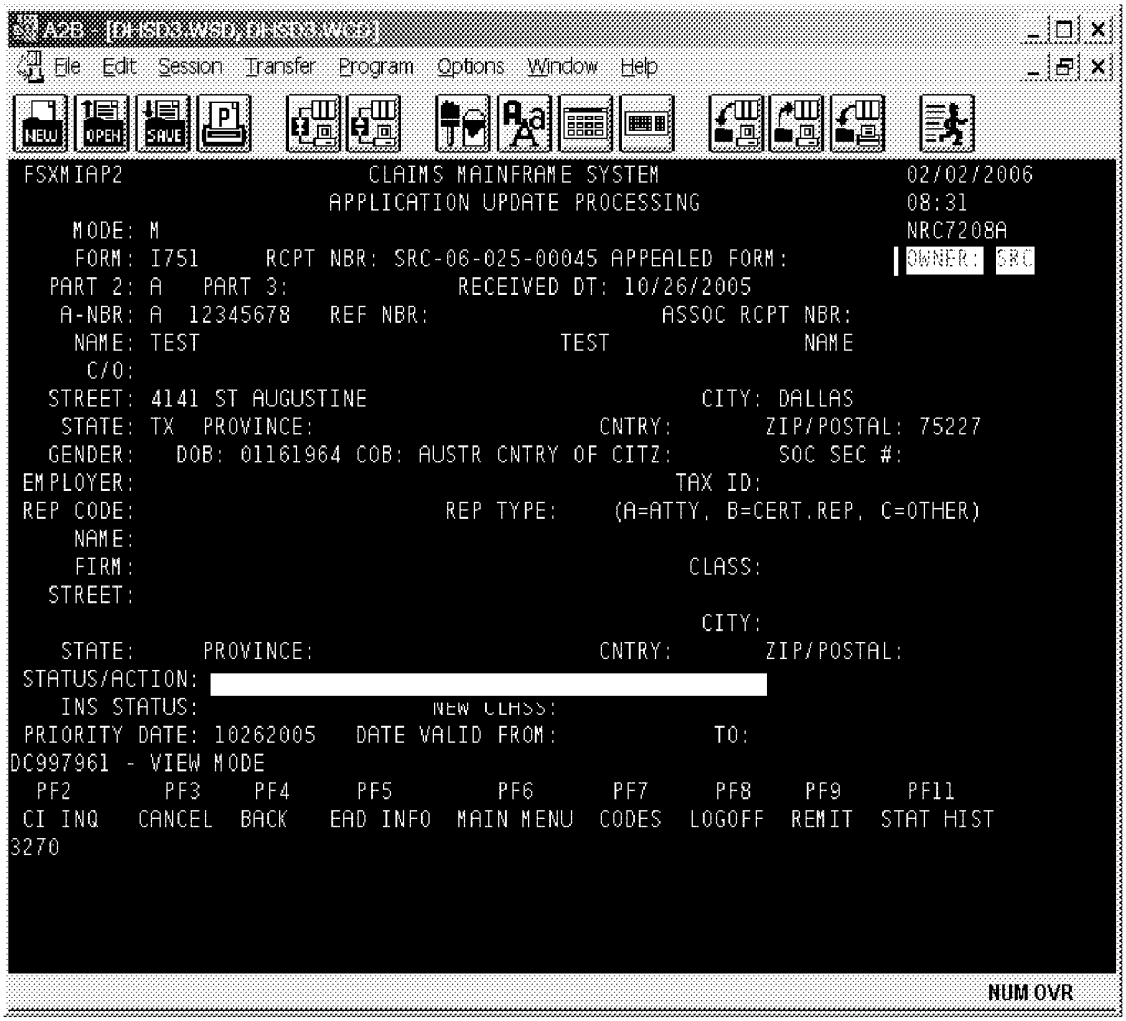

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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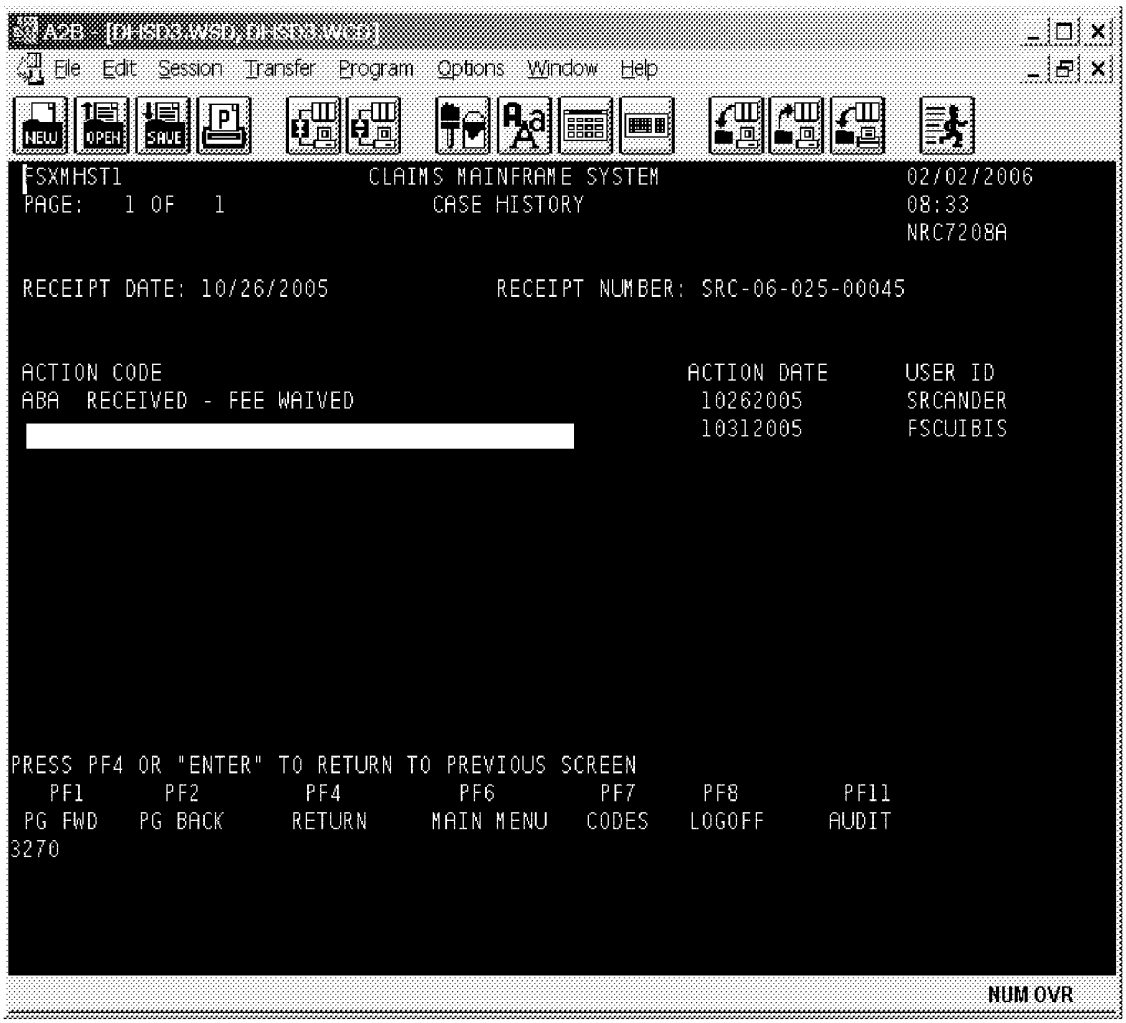
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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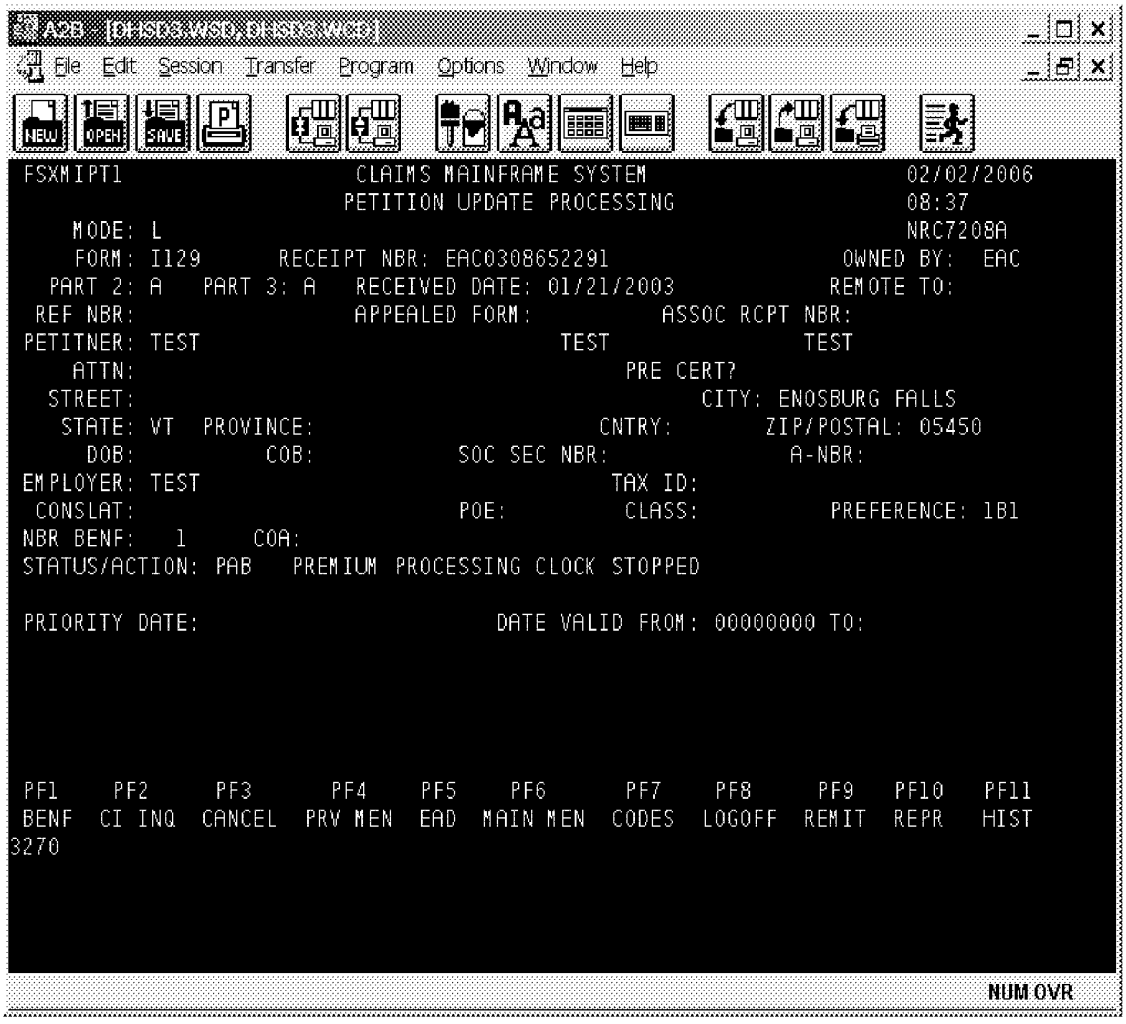
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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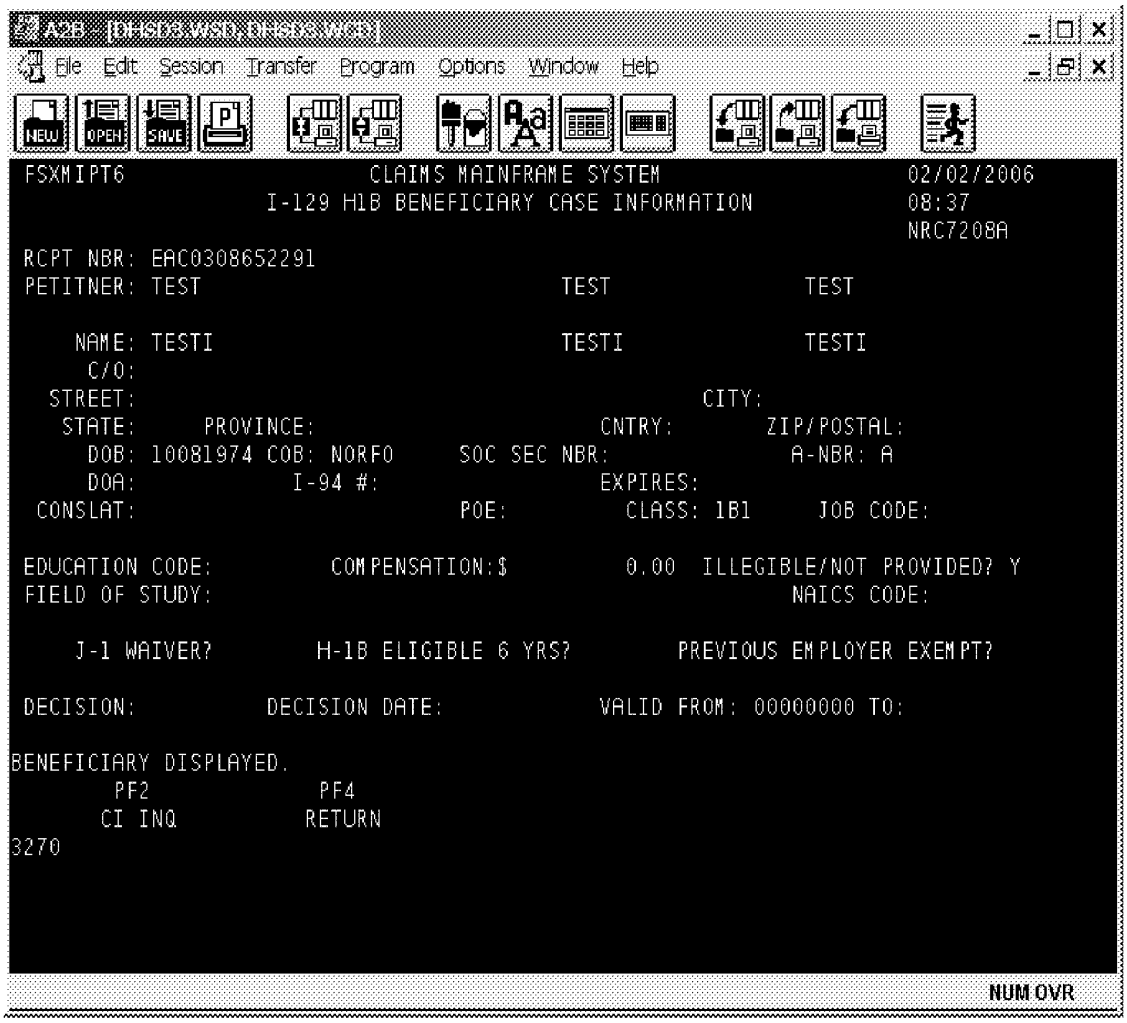
To see the beneficiary information press F1.



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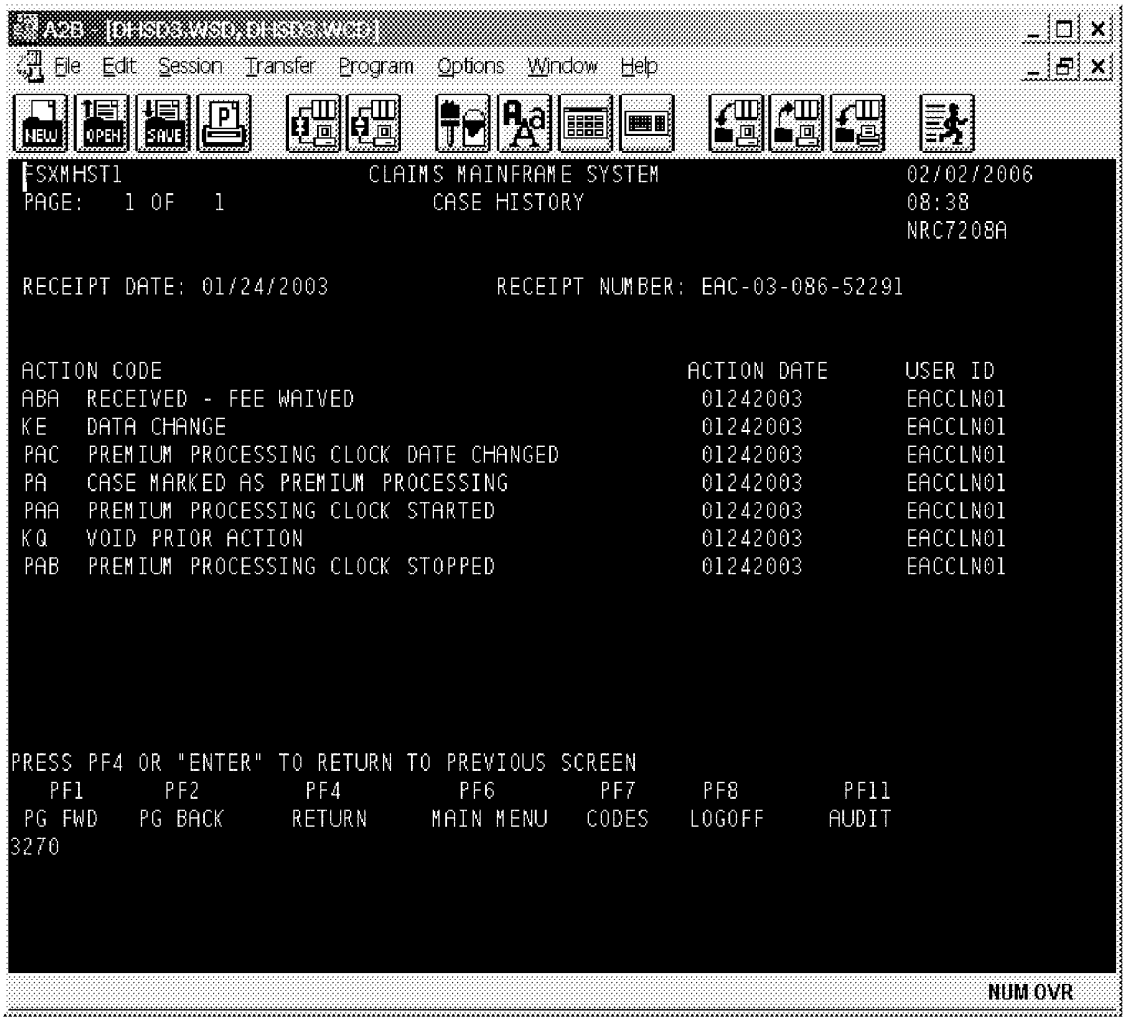
To view the history, press the F4 key to return to the previous screen, and enter F11.



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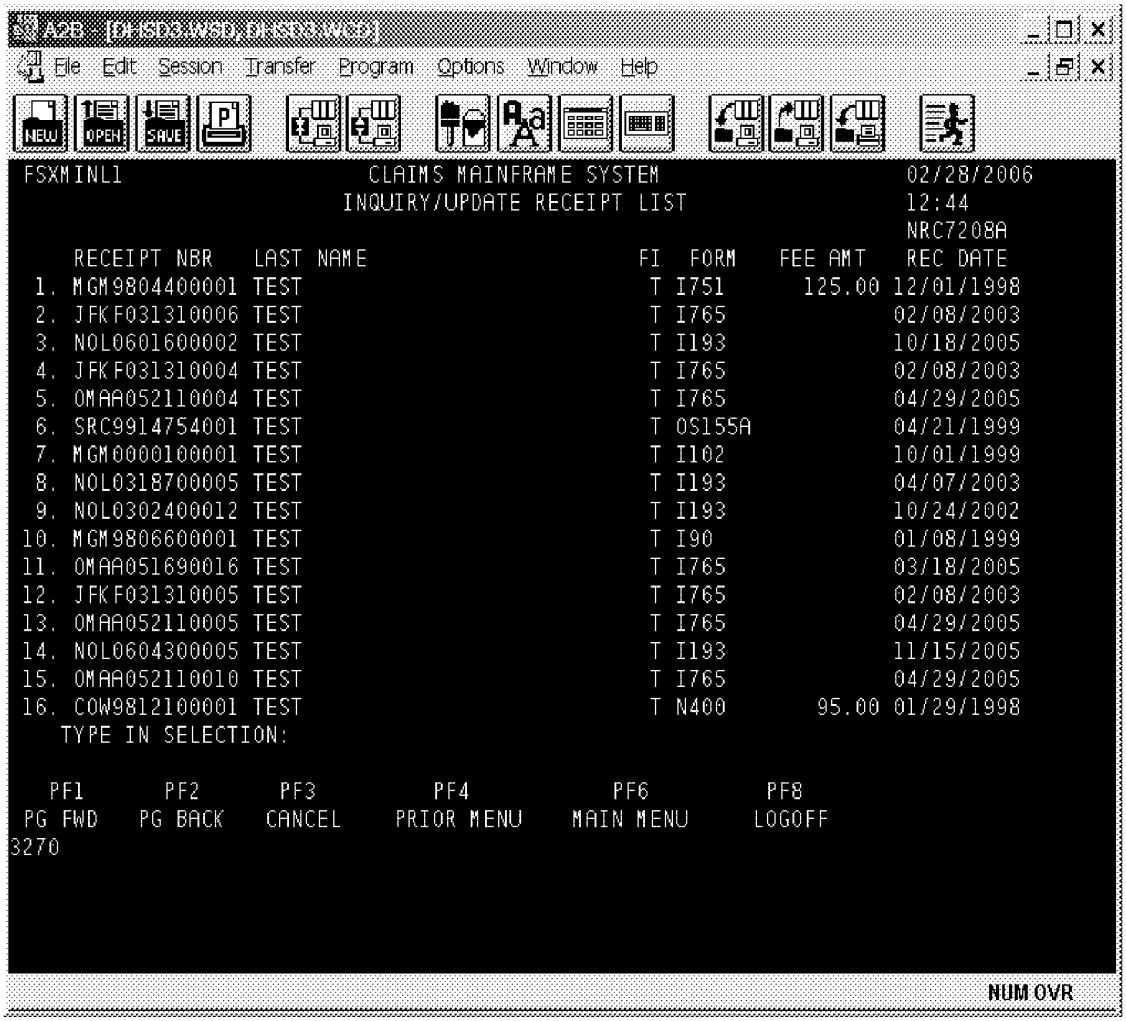

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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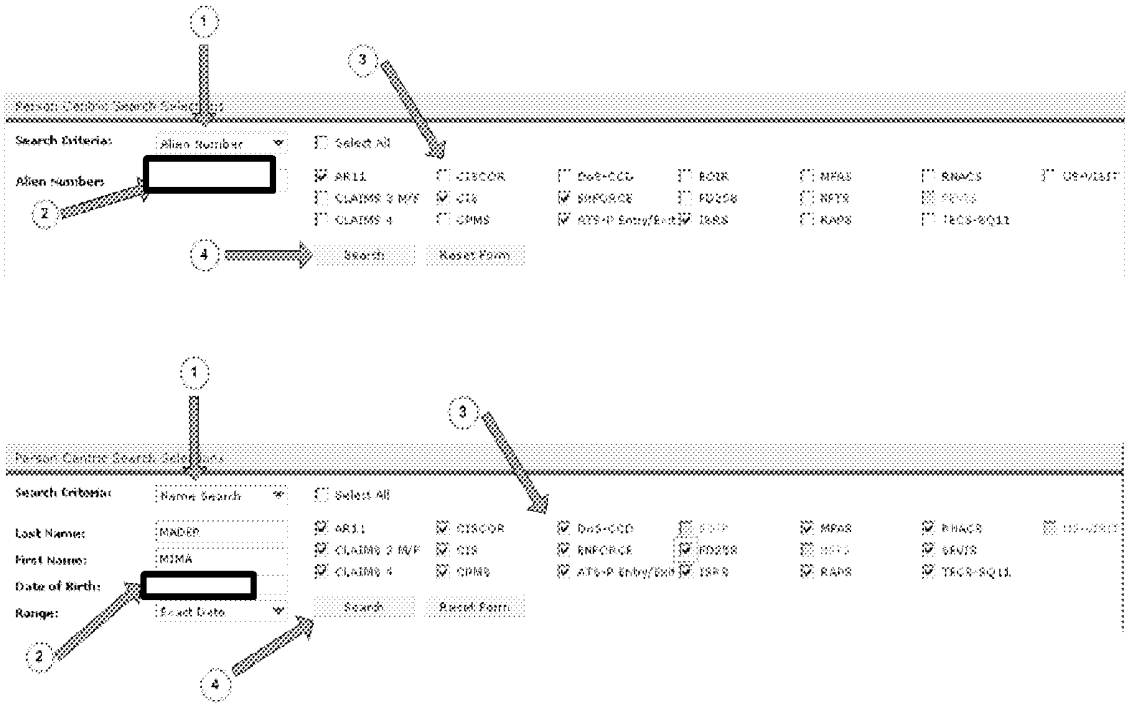
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)



5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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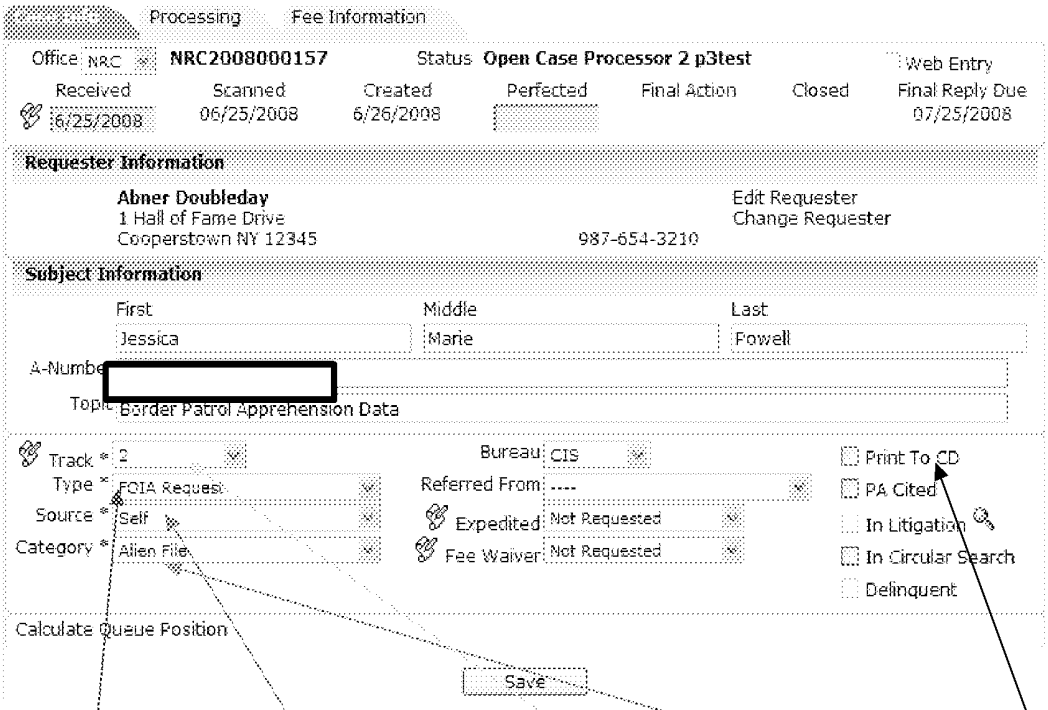

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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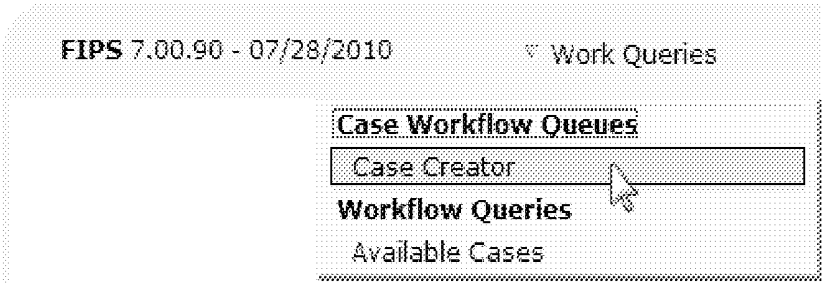
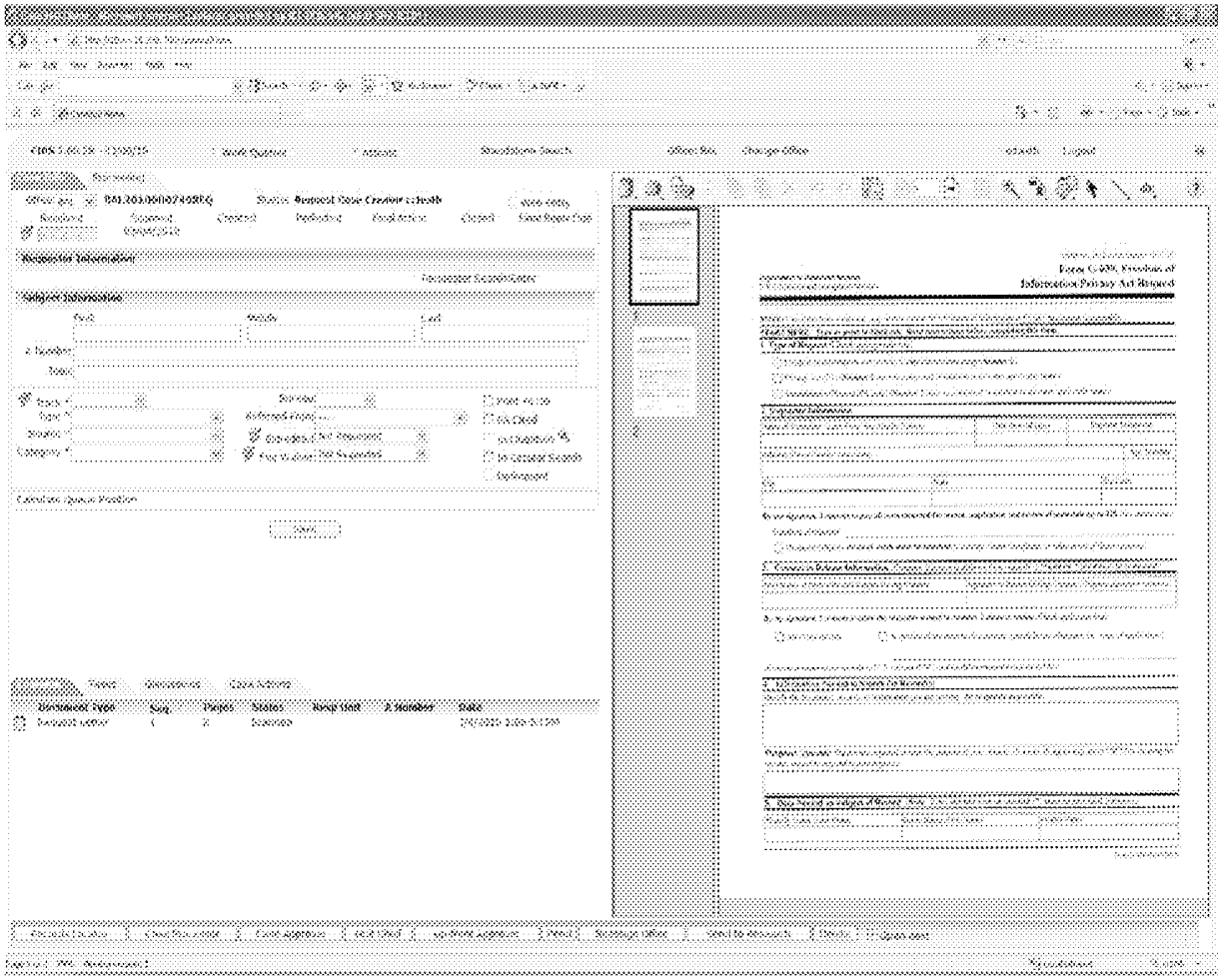
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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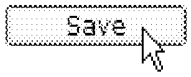
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope or letterhead.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines.

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The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

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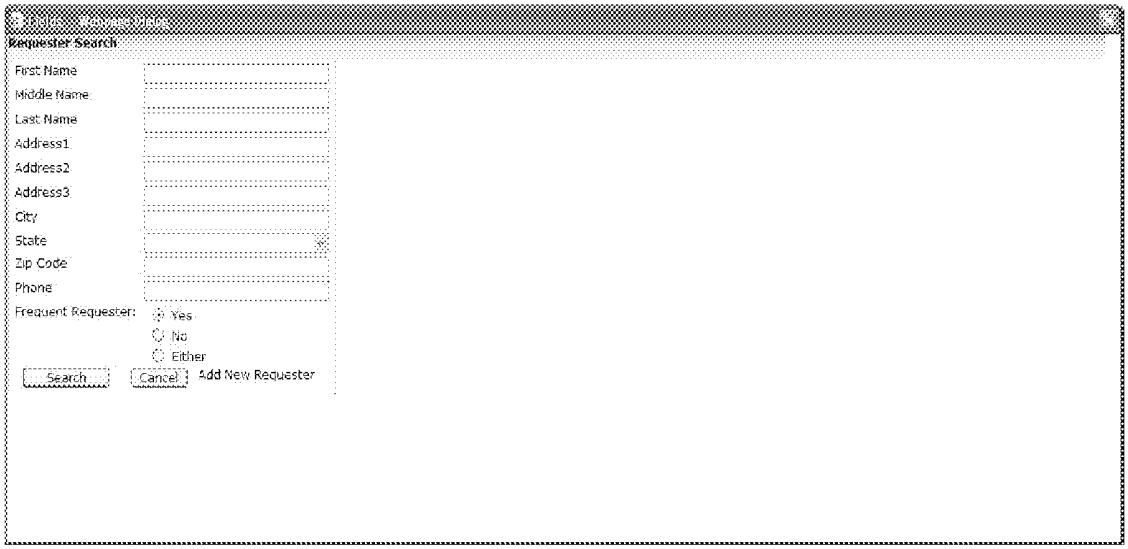
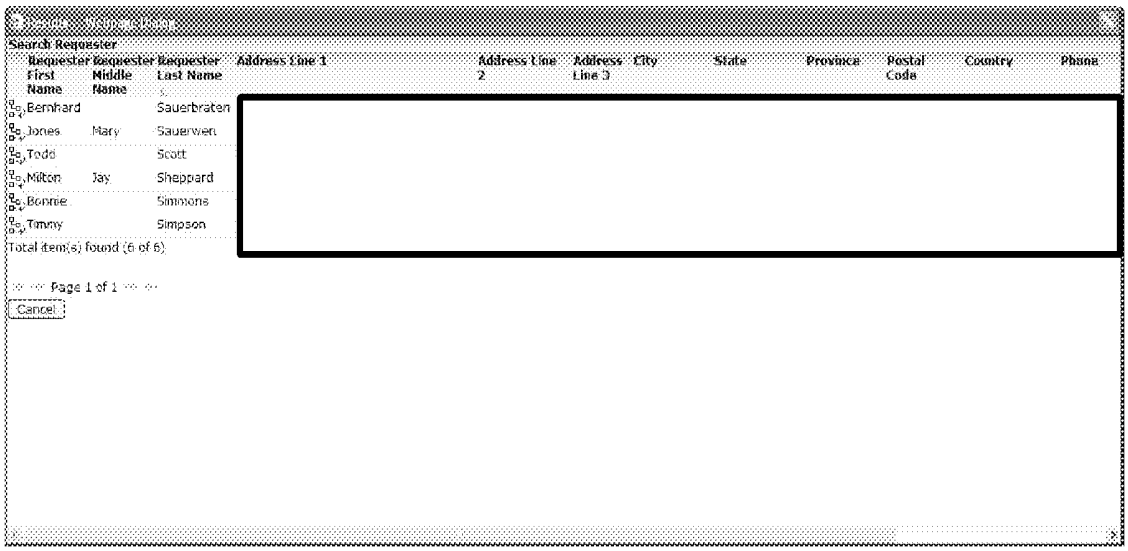
6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

(b)(6)



If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:

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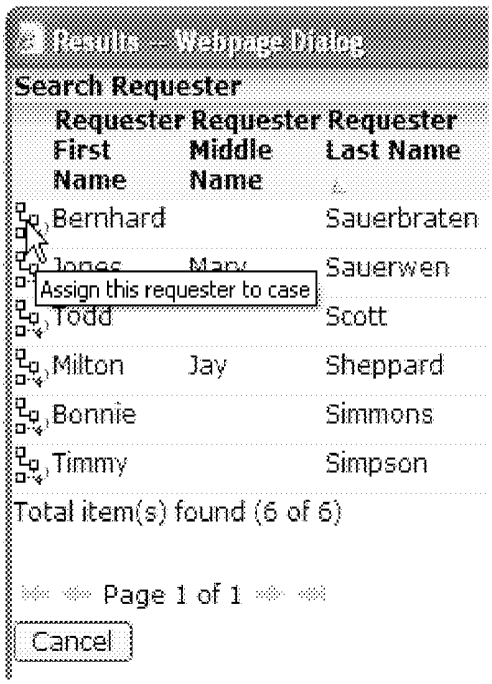

And it will populate the requester information like this:

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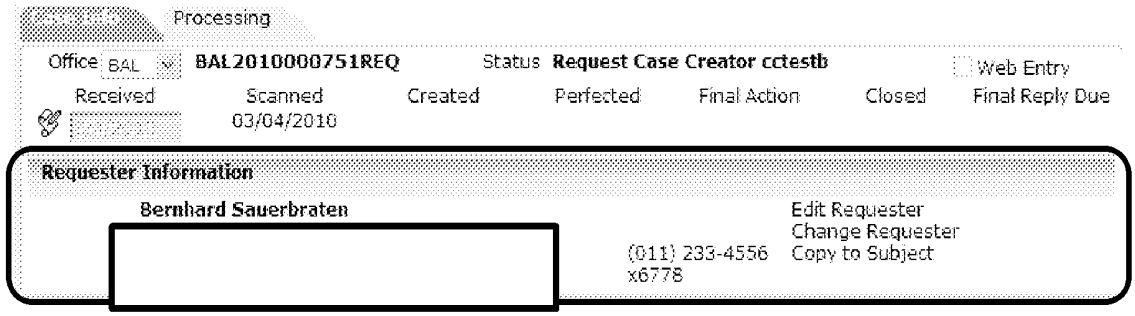

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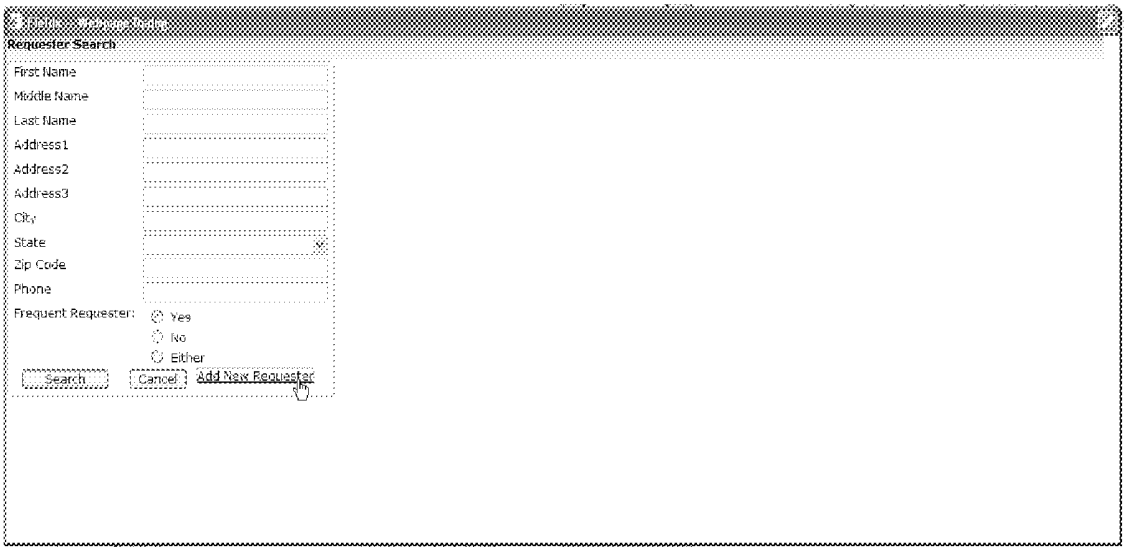
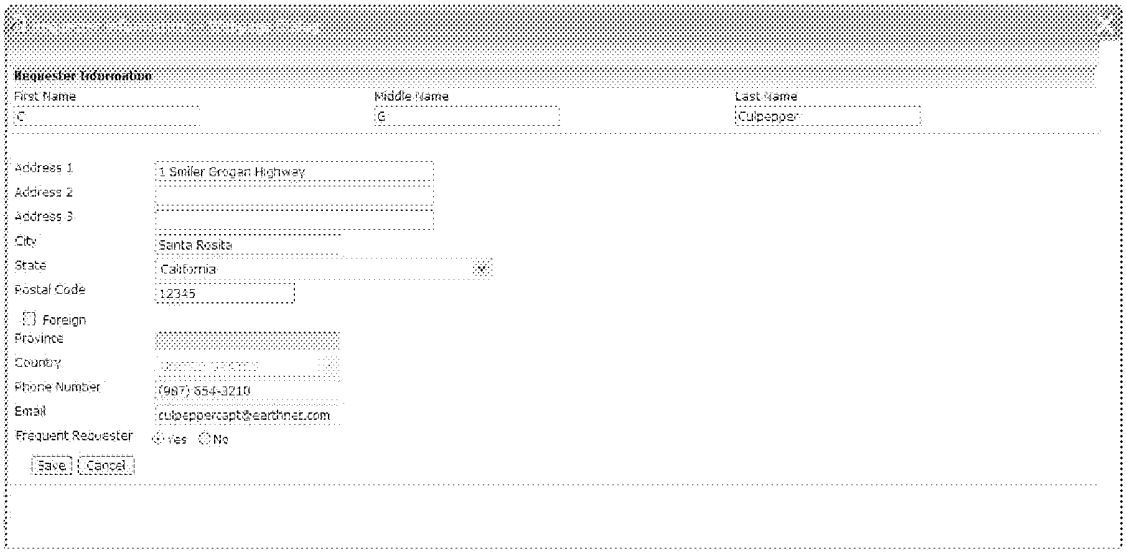
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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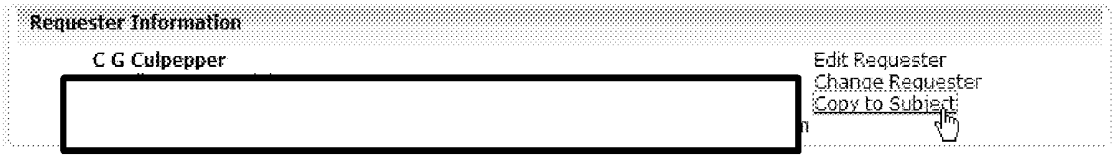

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

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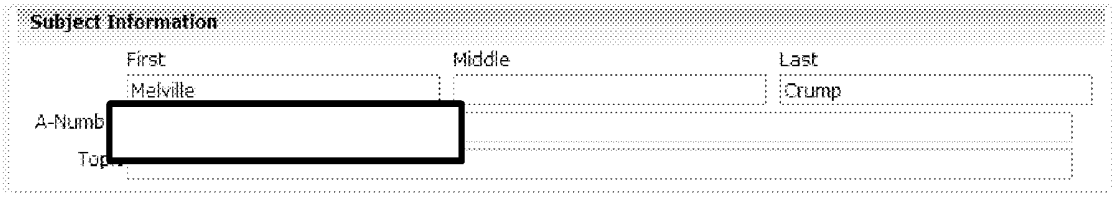

6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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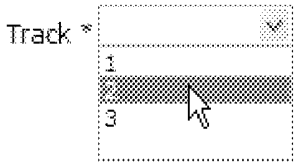
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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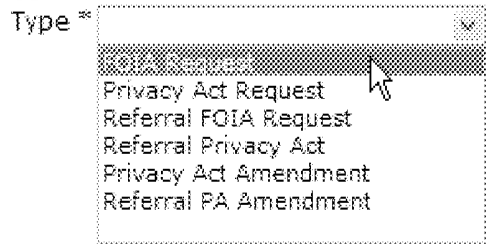
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

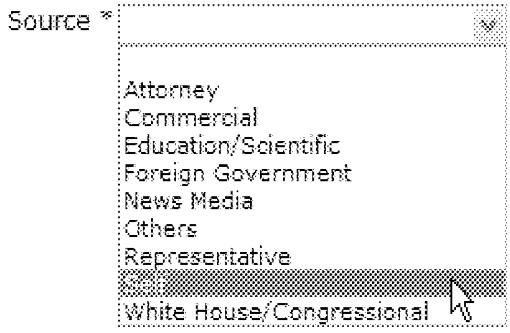
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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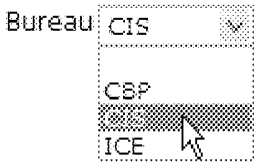
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



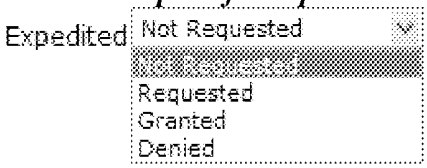
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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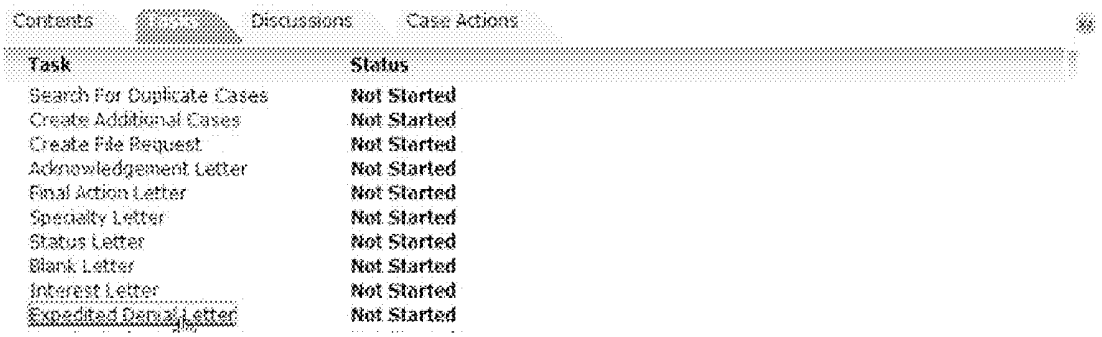
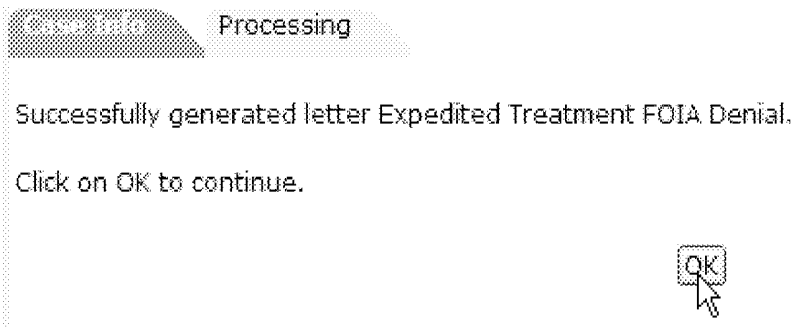
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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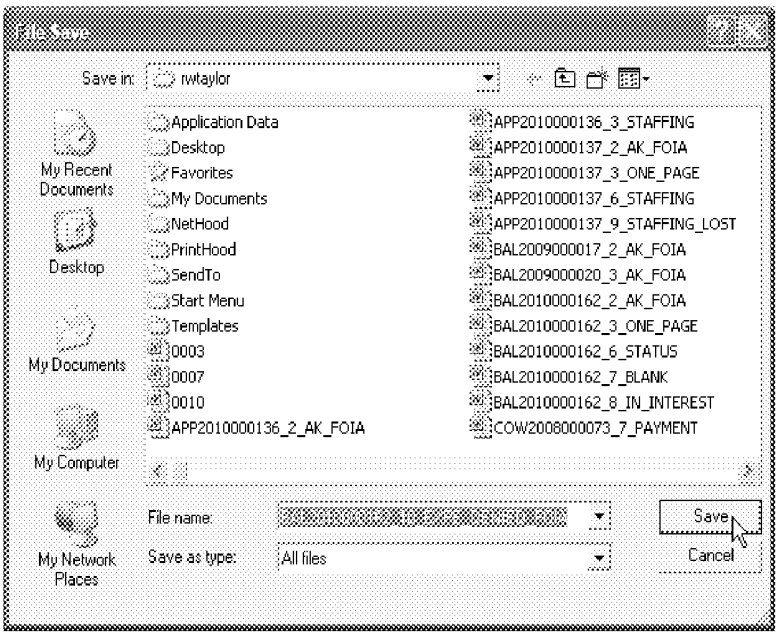

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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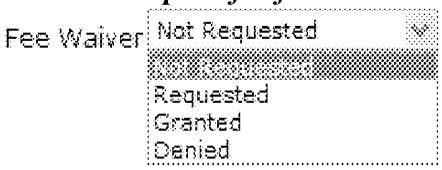
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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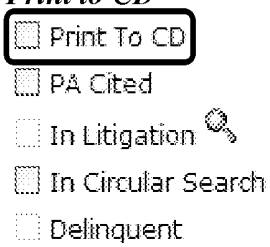
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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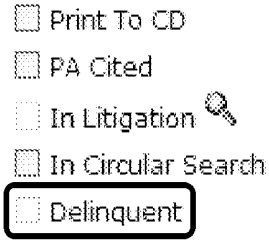
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

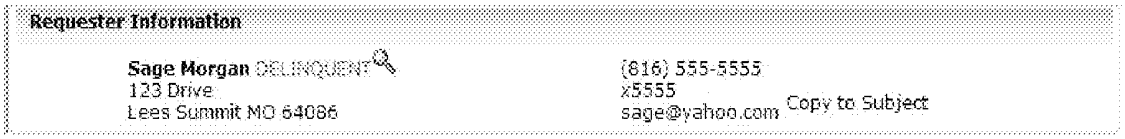
6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same requester, click the **Query** icon next to the delinquent notice.

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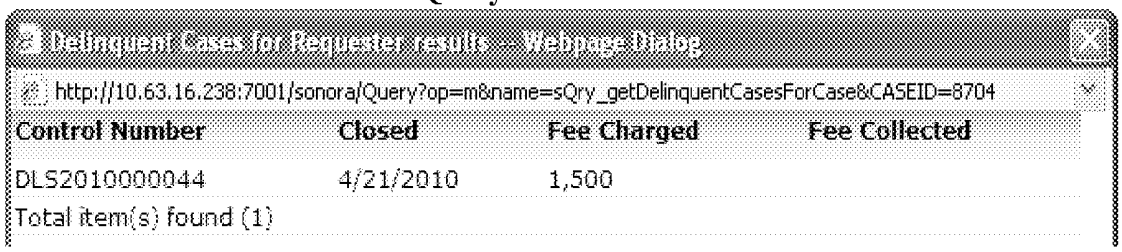
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

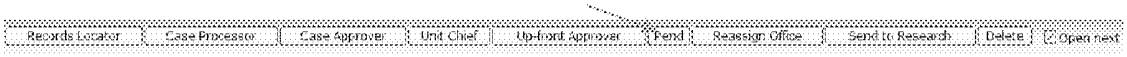
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).

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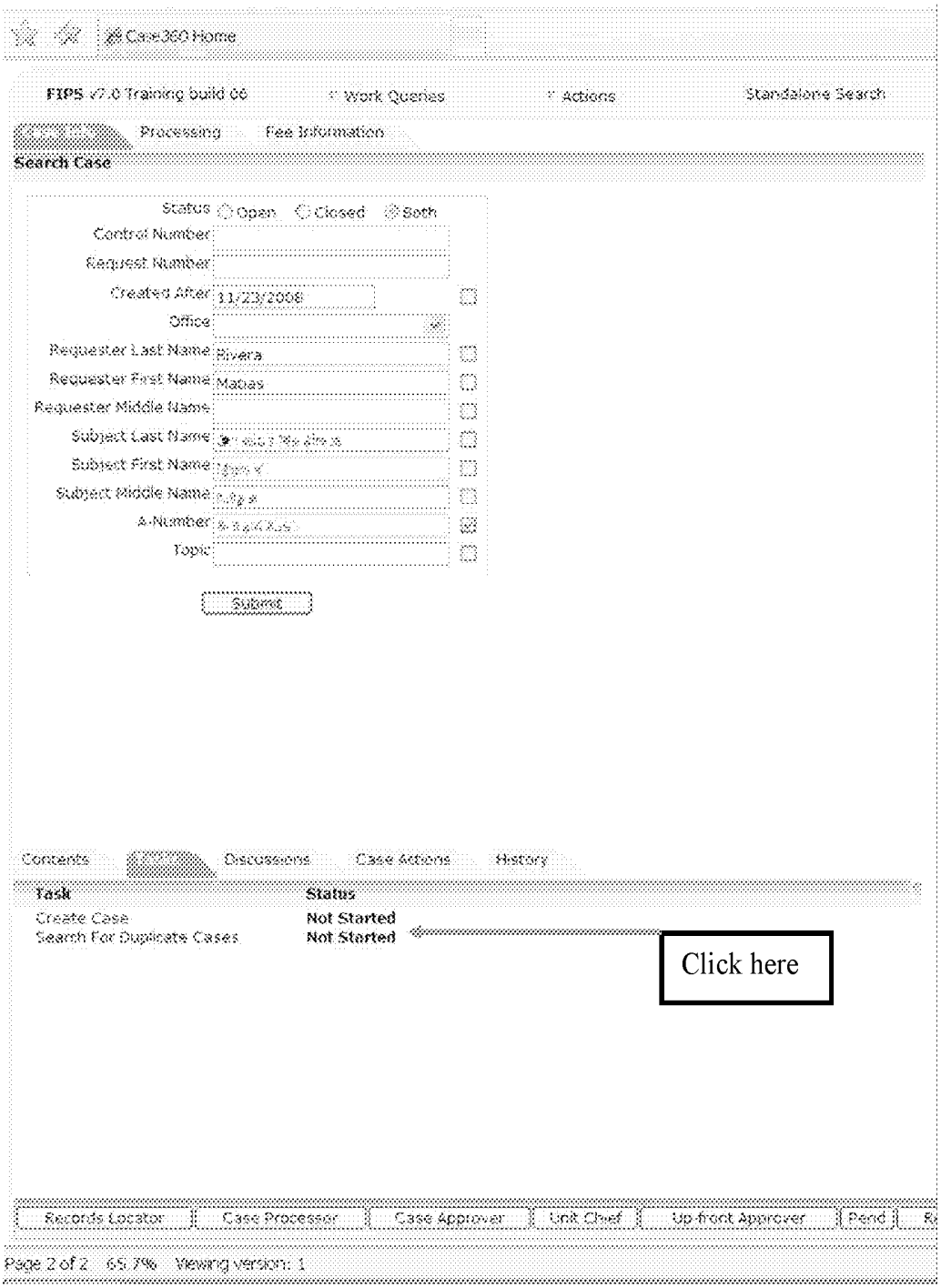

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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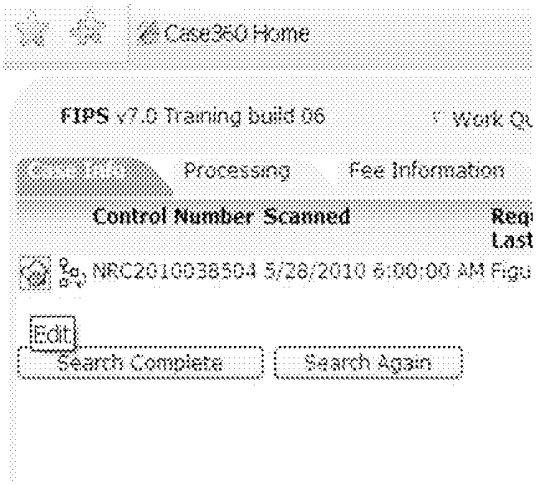
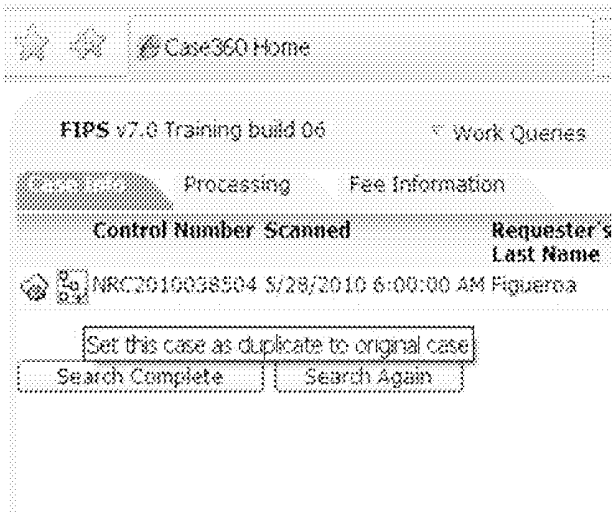


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. Instead, close this case as ER (created in error).

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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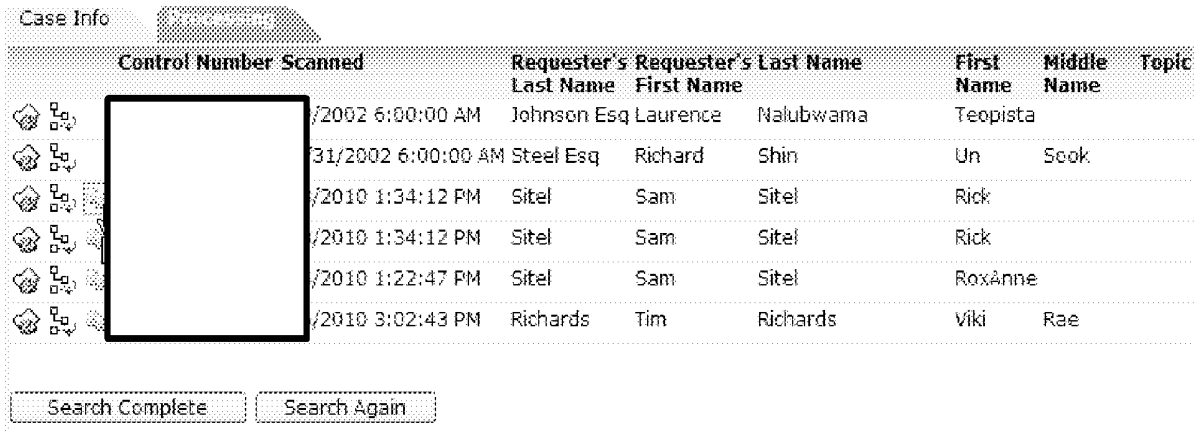
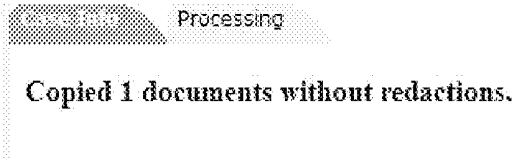
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

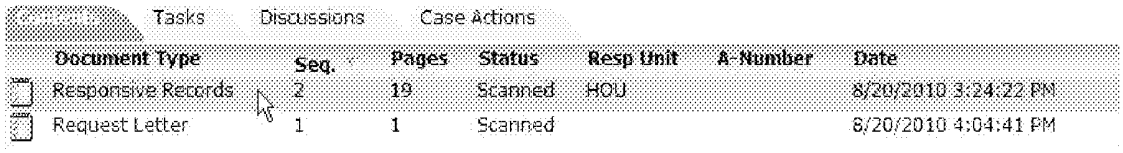
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

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required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment (4)*. Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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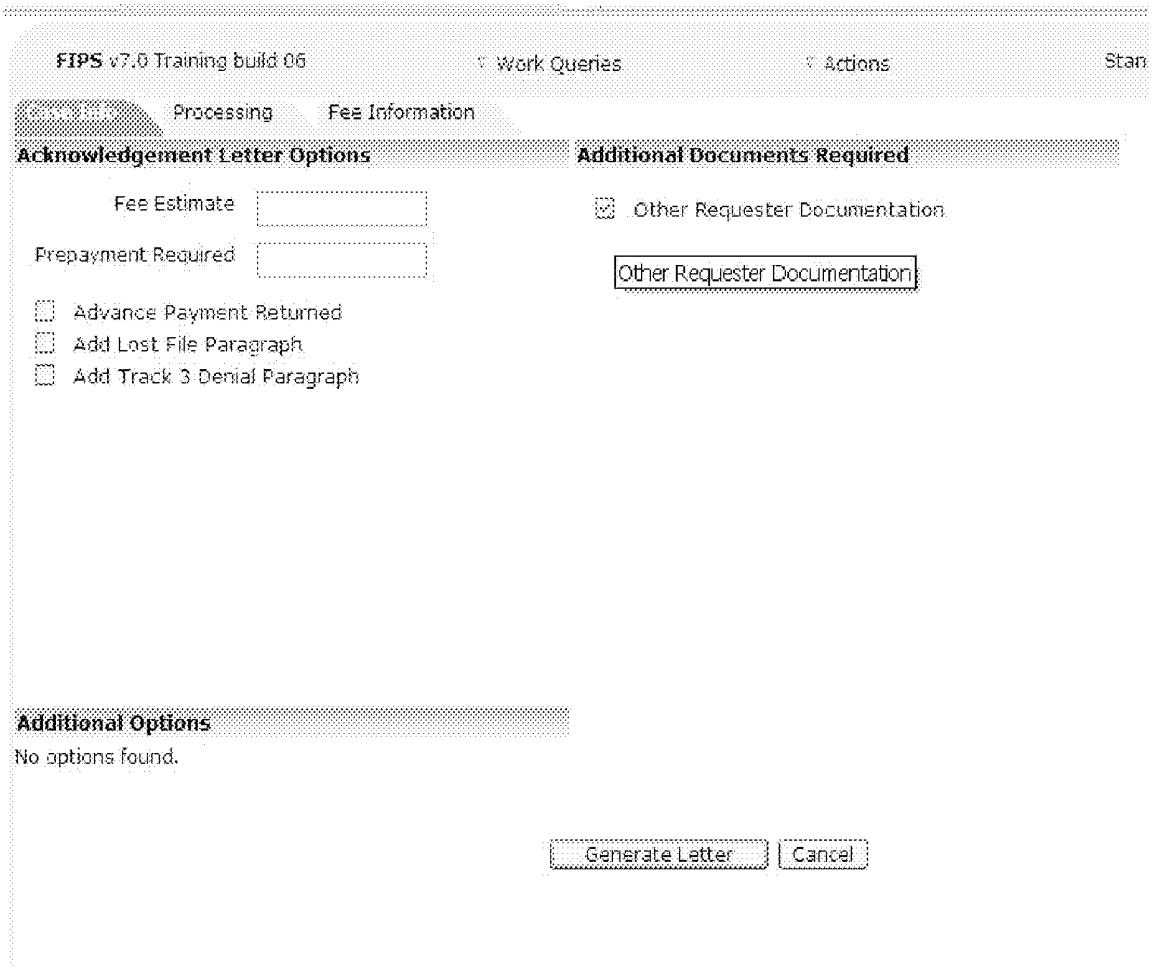
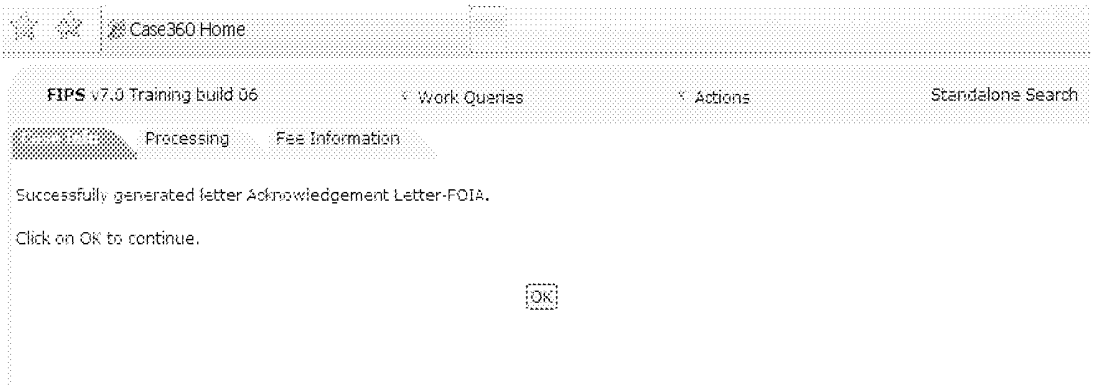


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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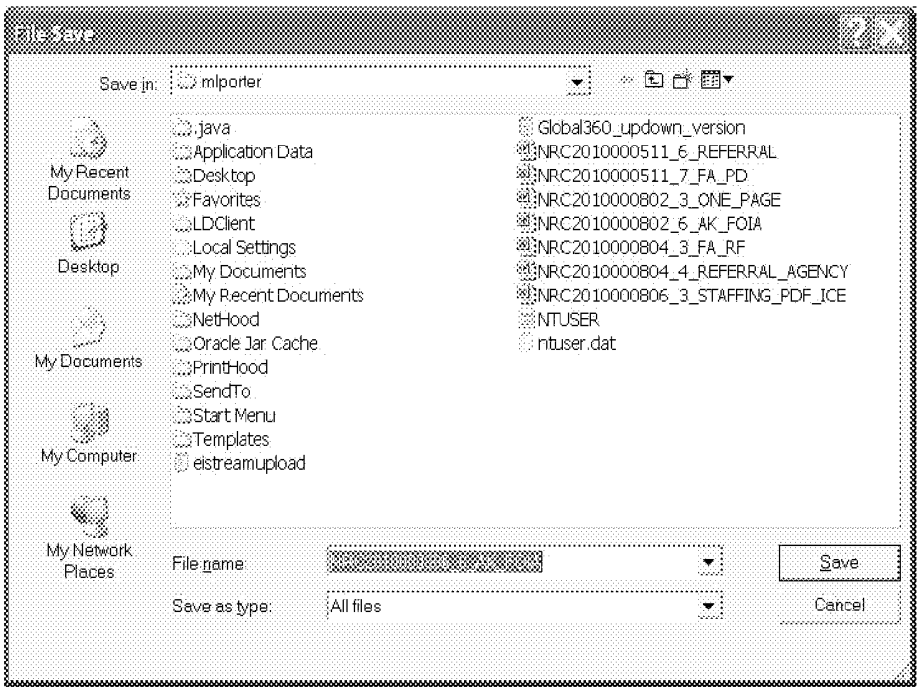

The acknowledgment letter will pop up:

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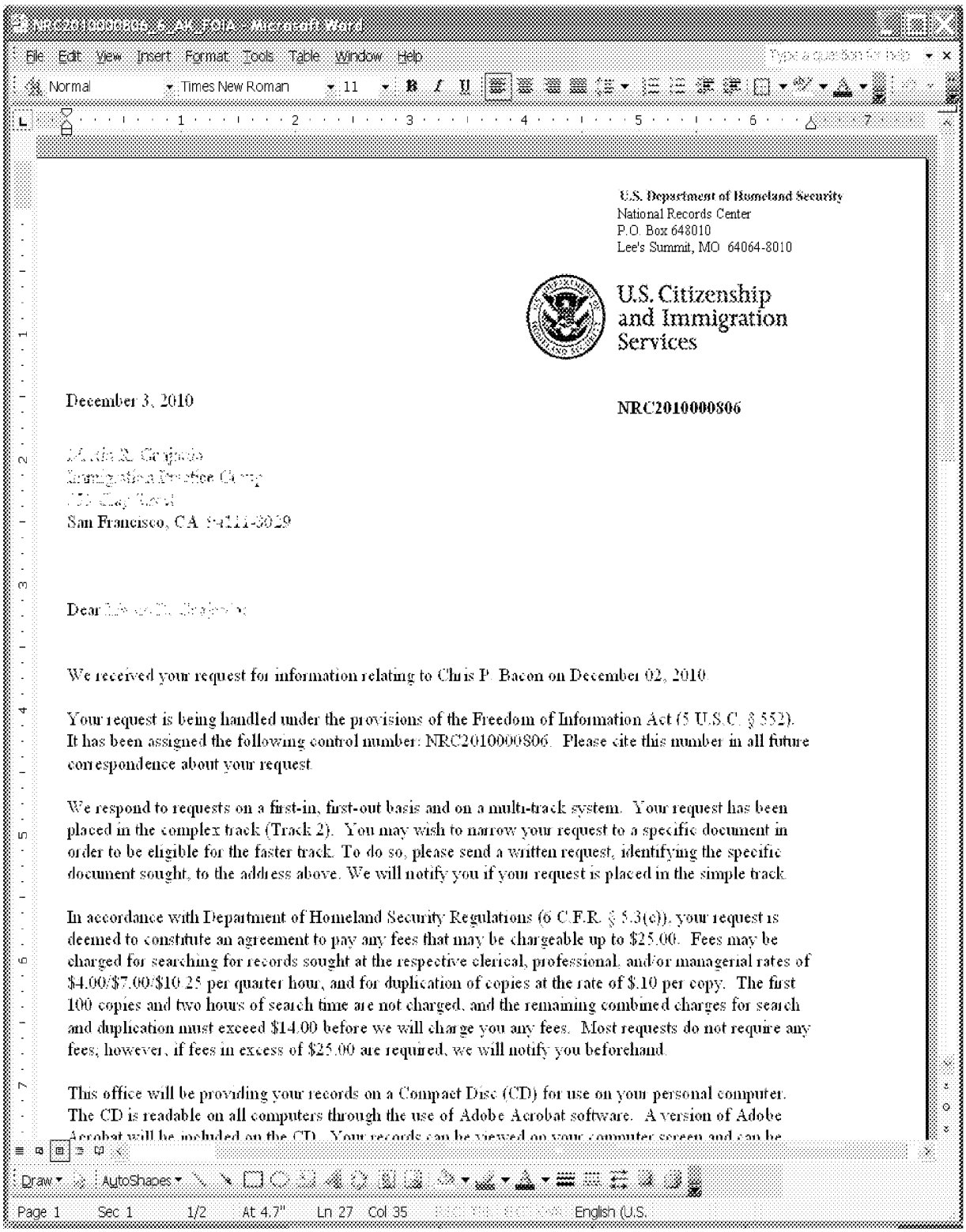

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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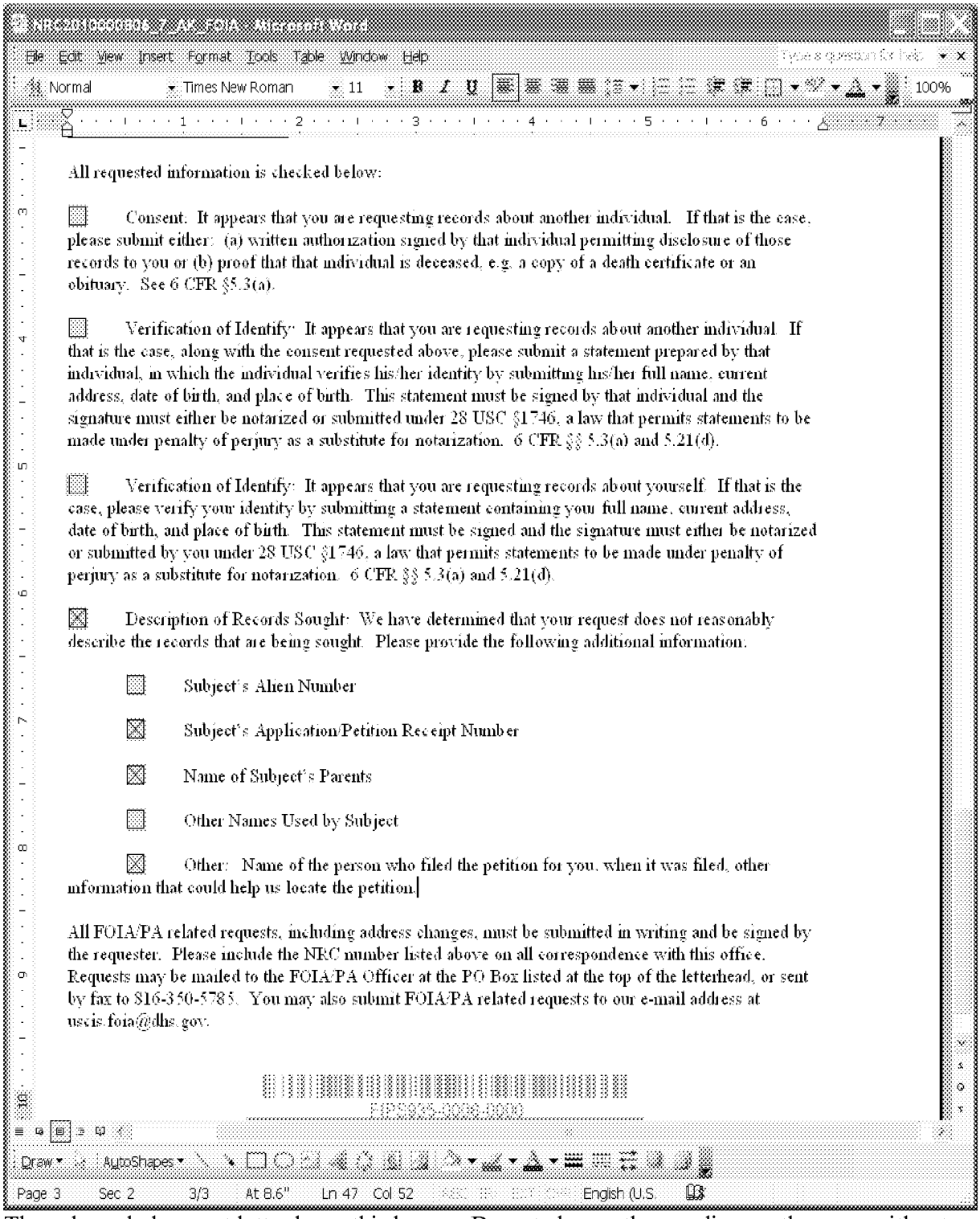

All requested information is checked below:

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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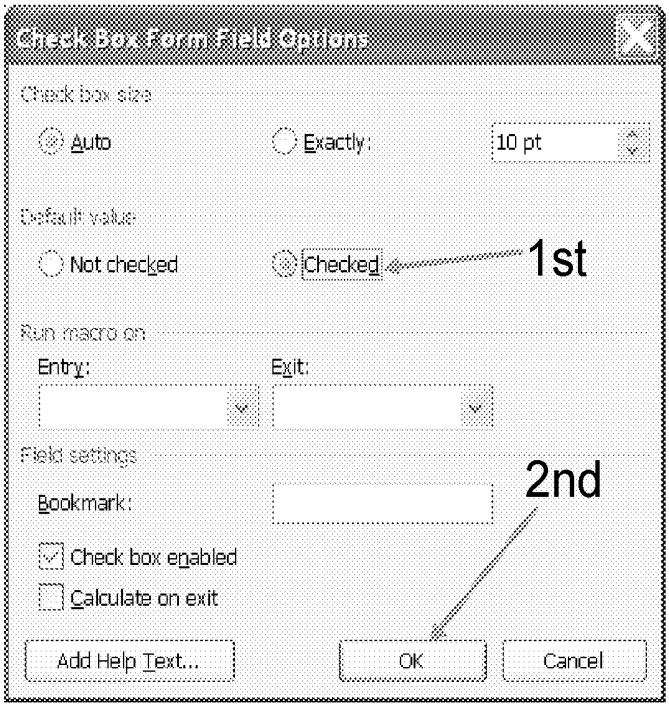
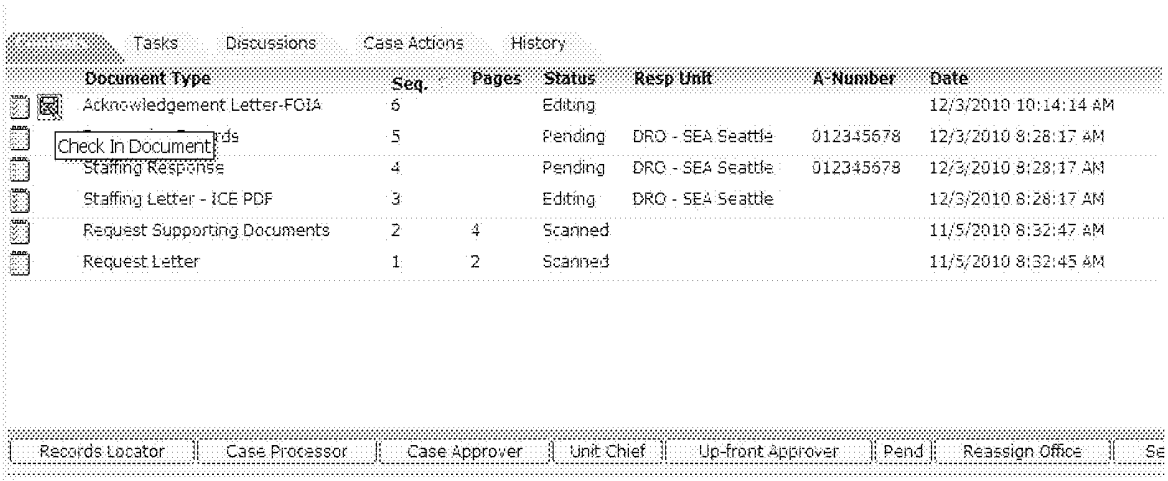


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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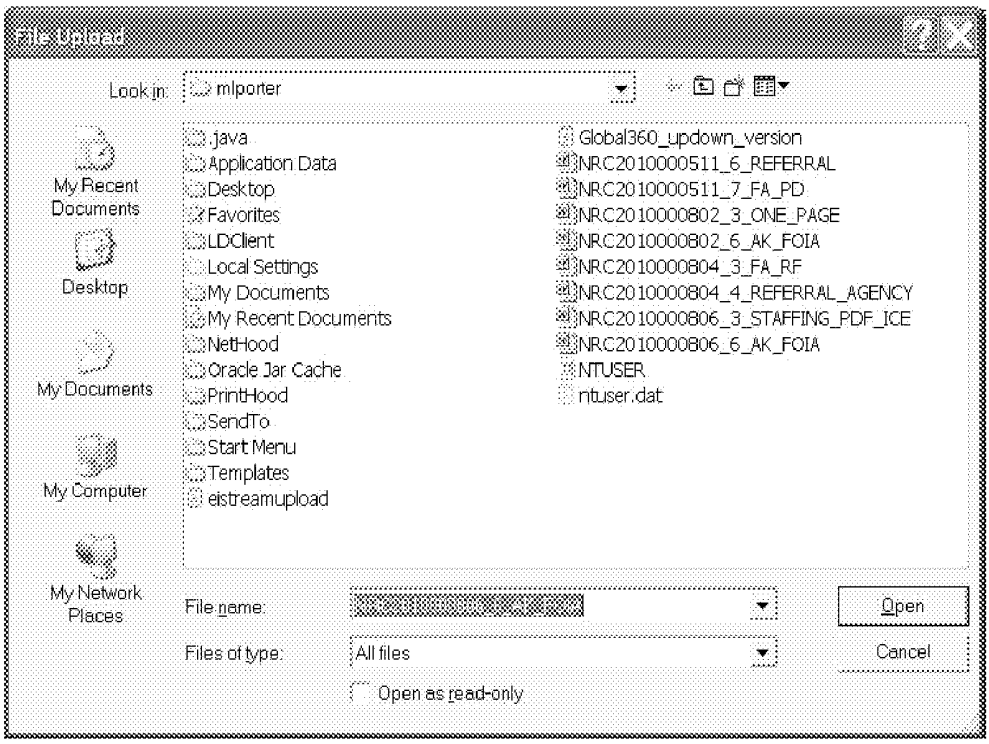
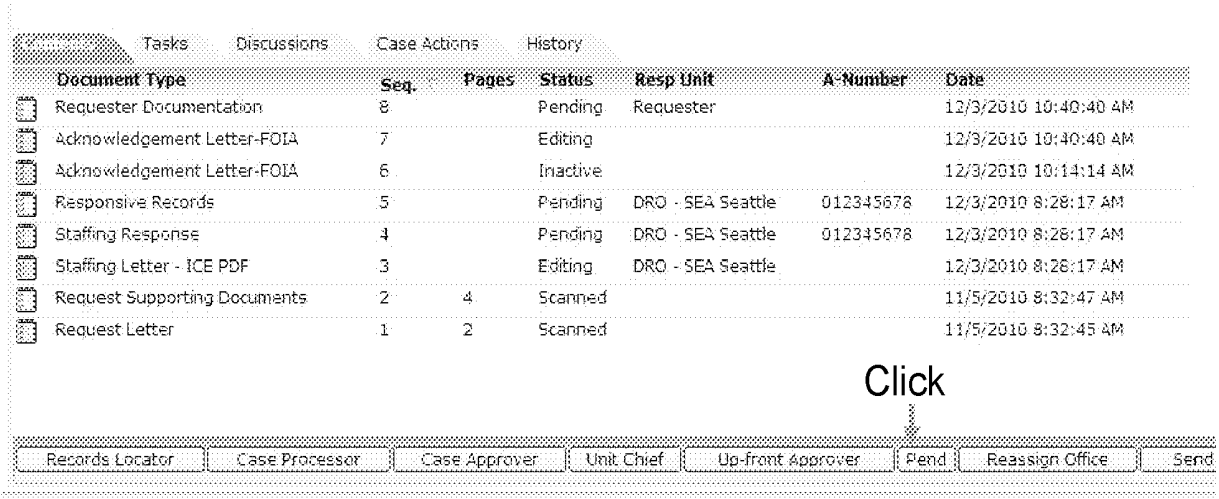


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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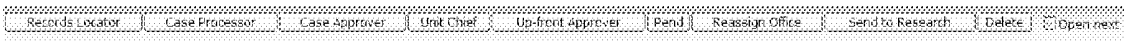
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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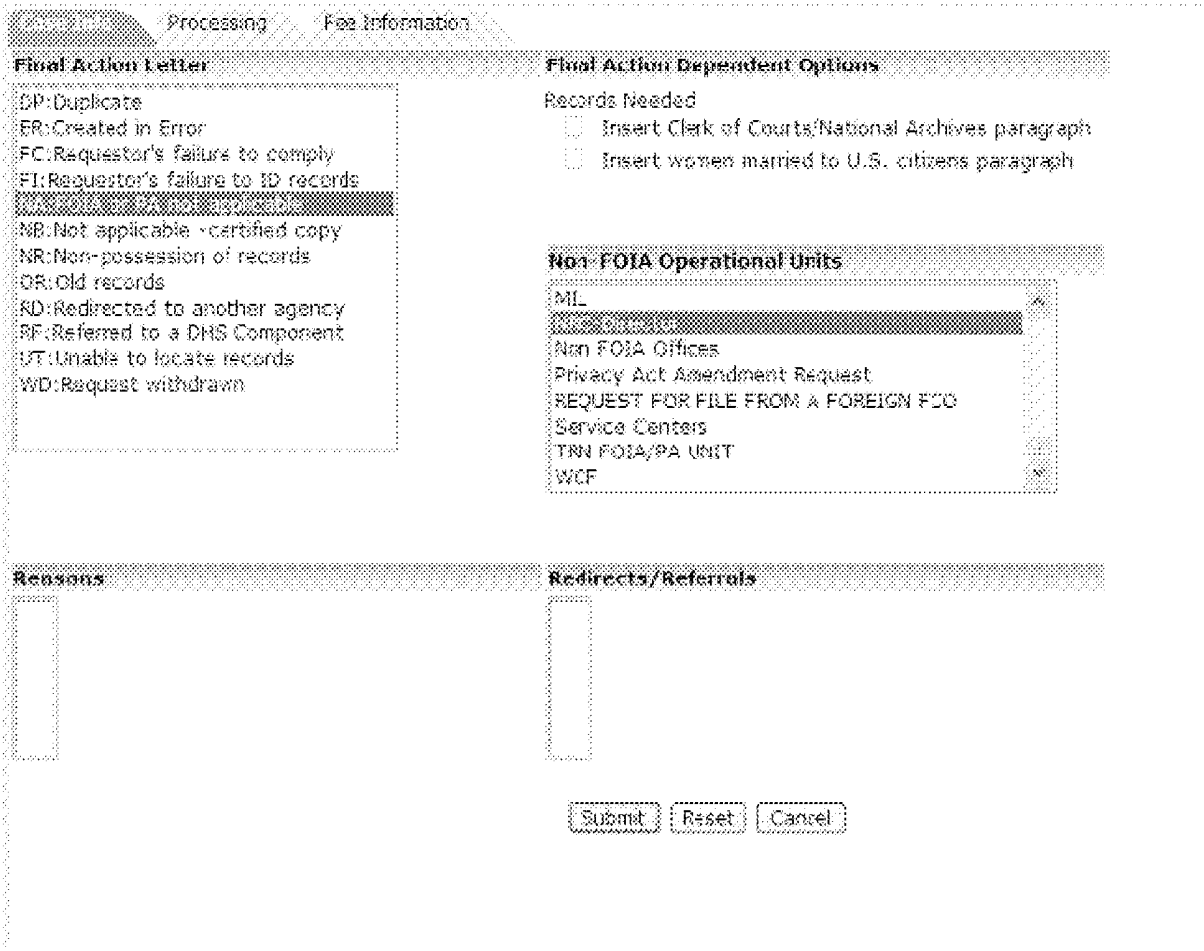

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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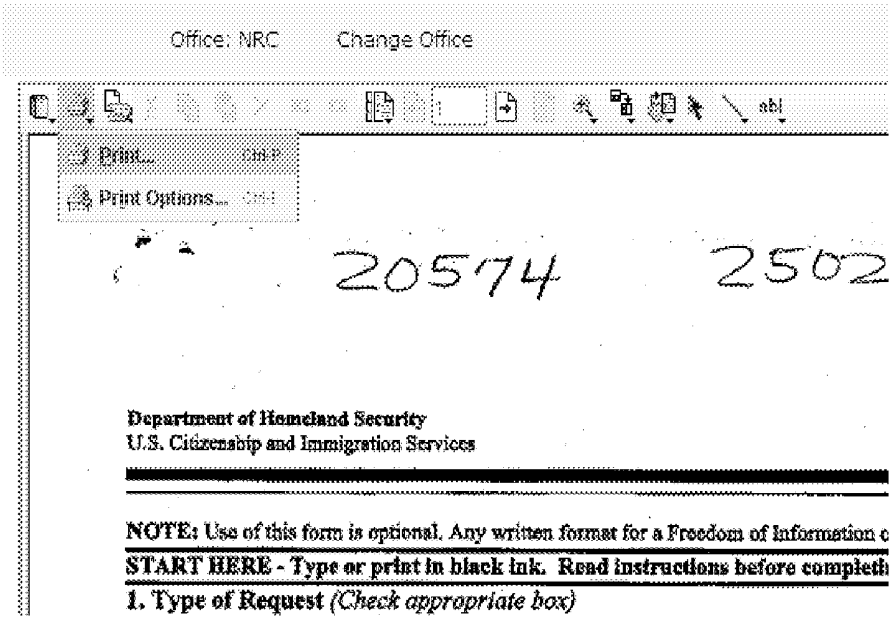
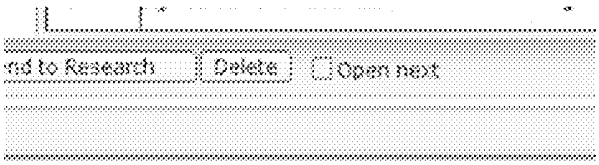


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

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9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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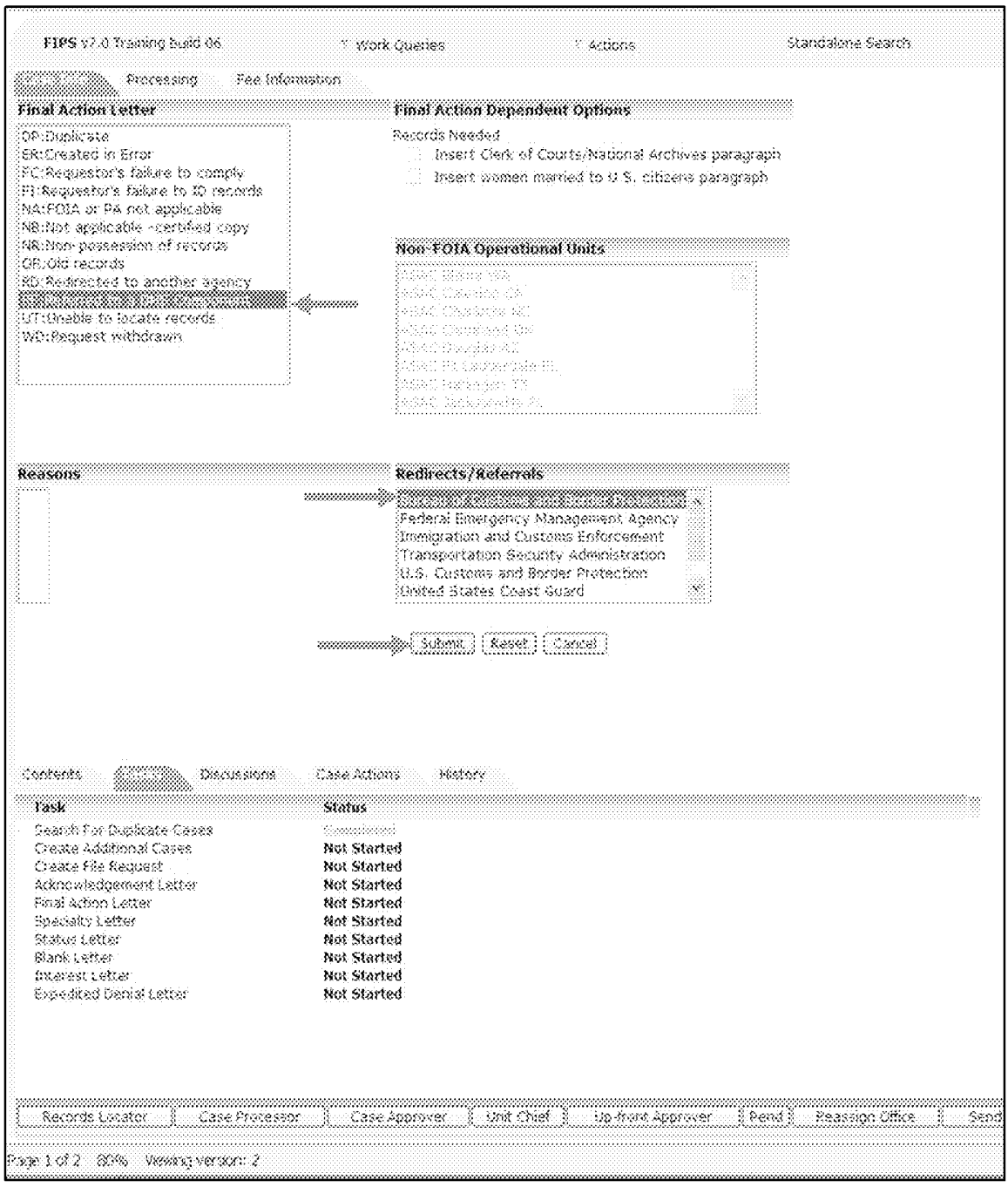

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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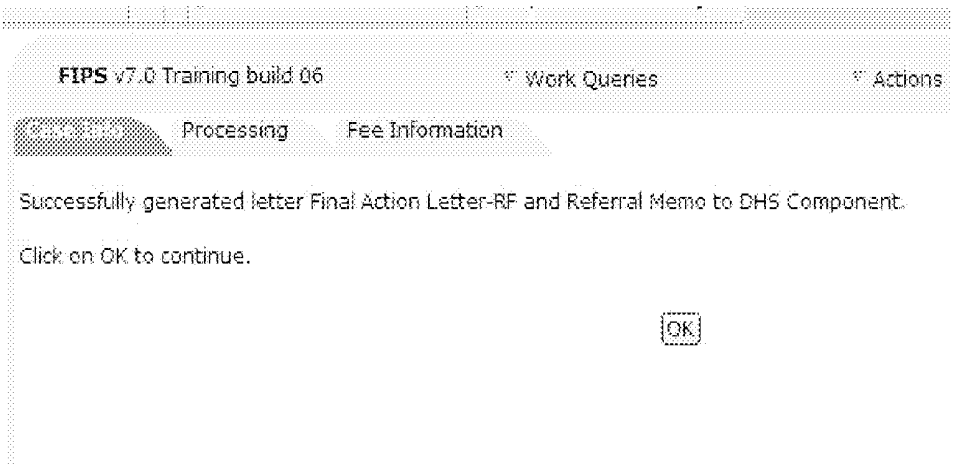
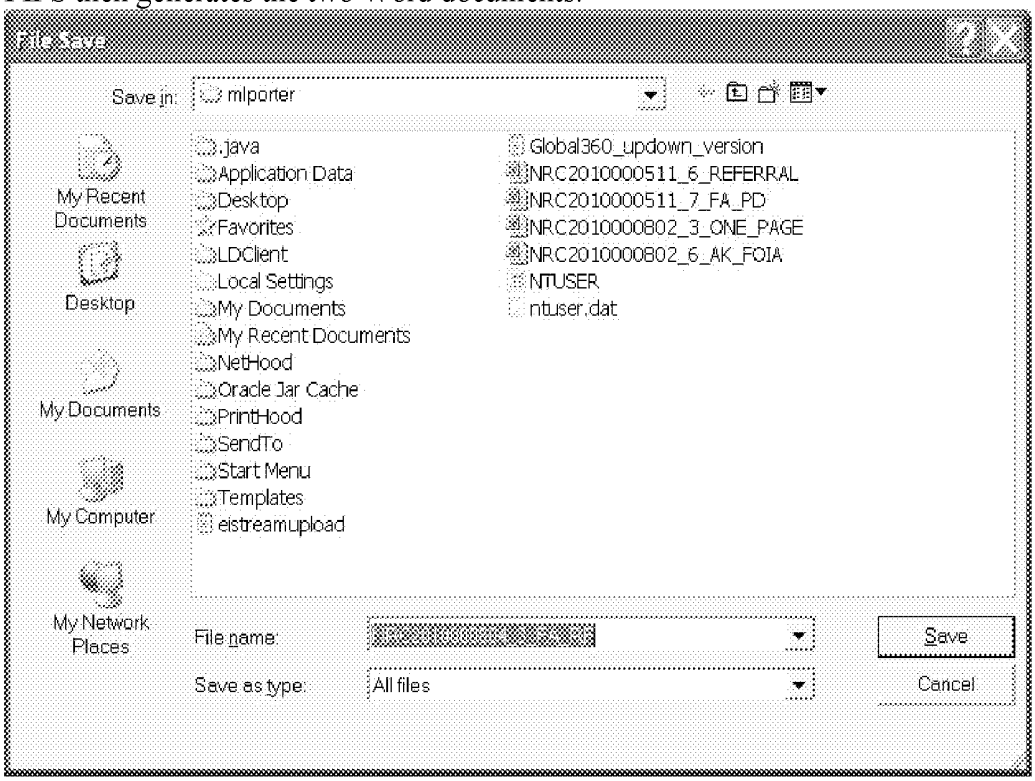


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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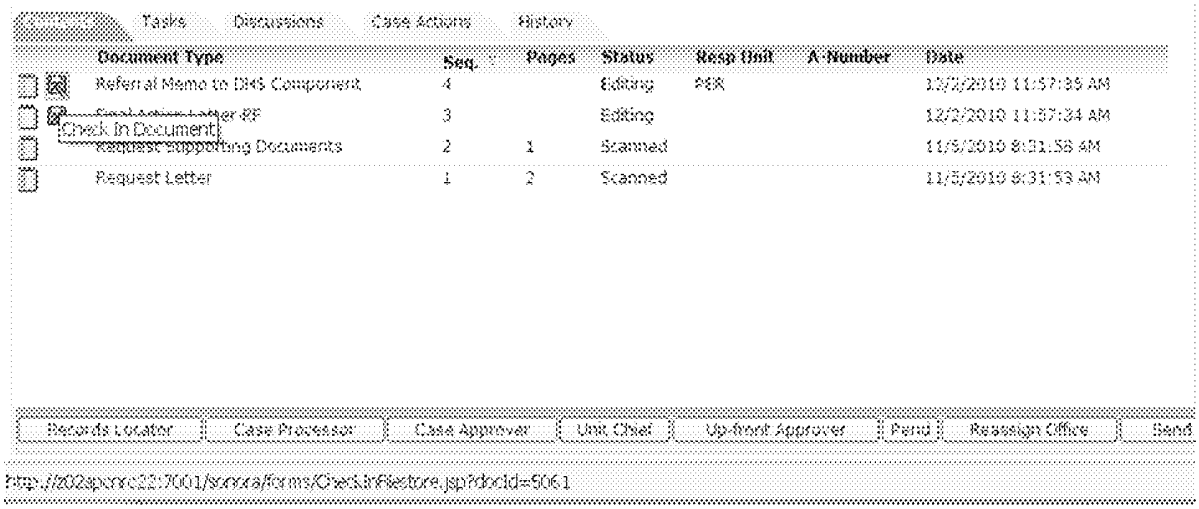
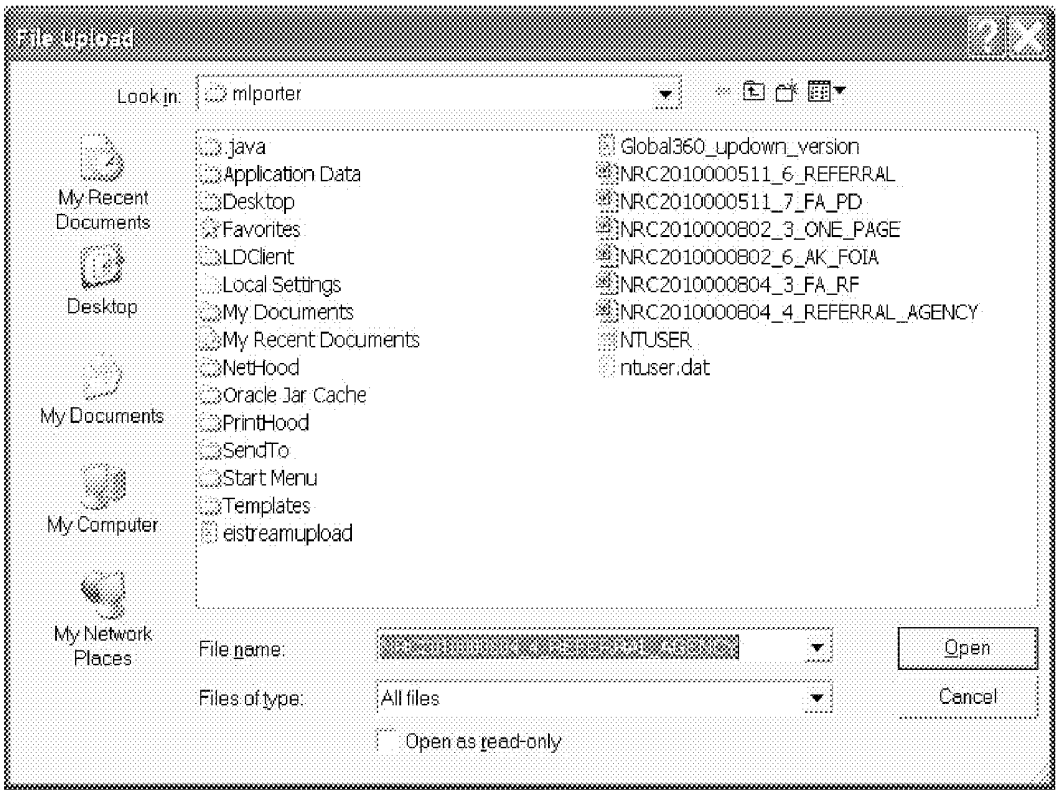


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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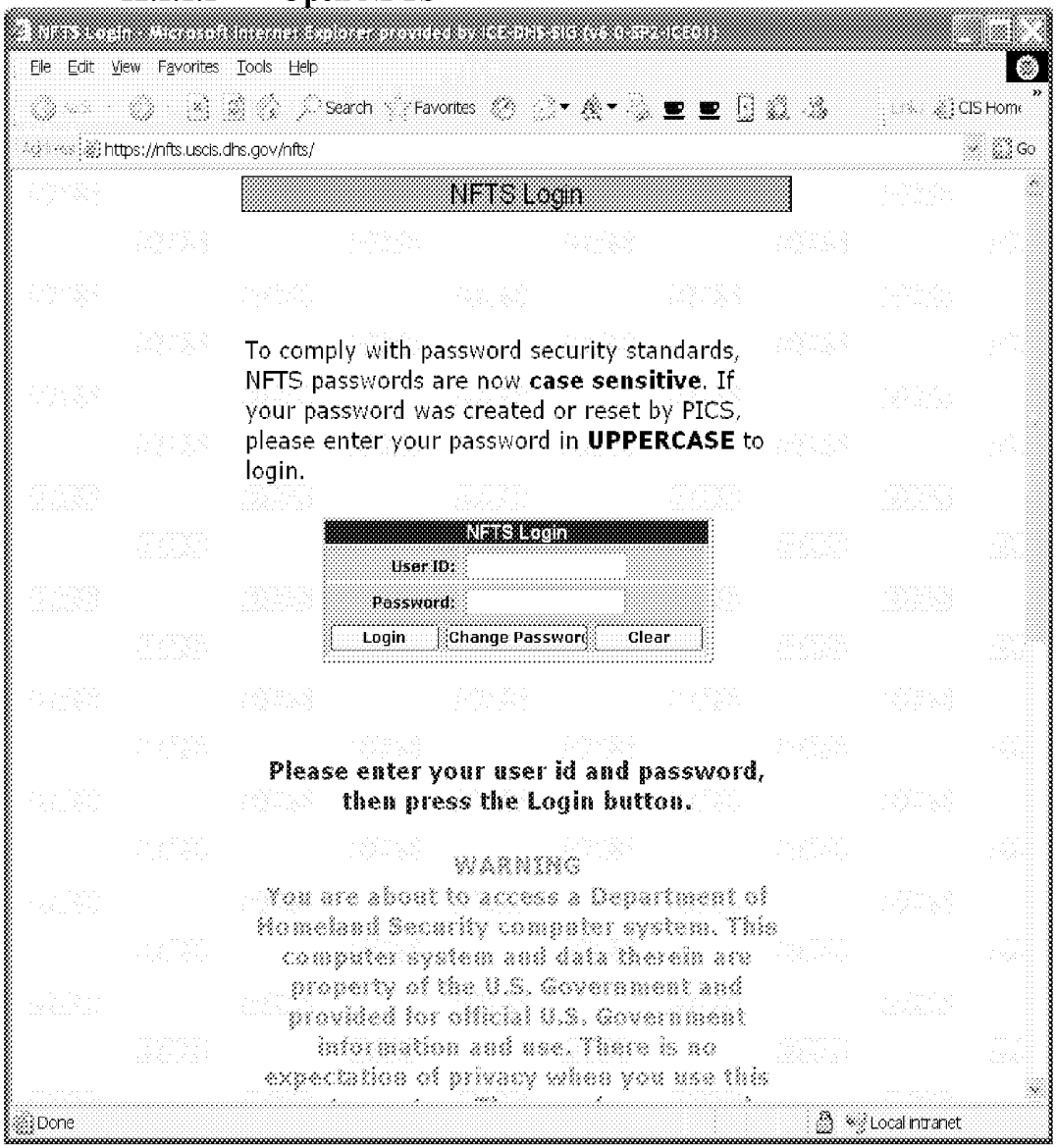
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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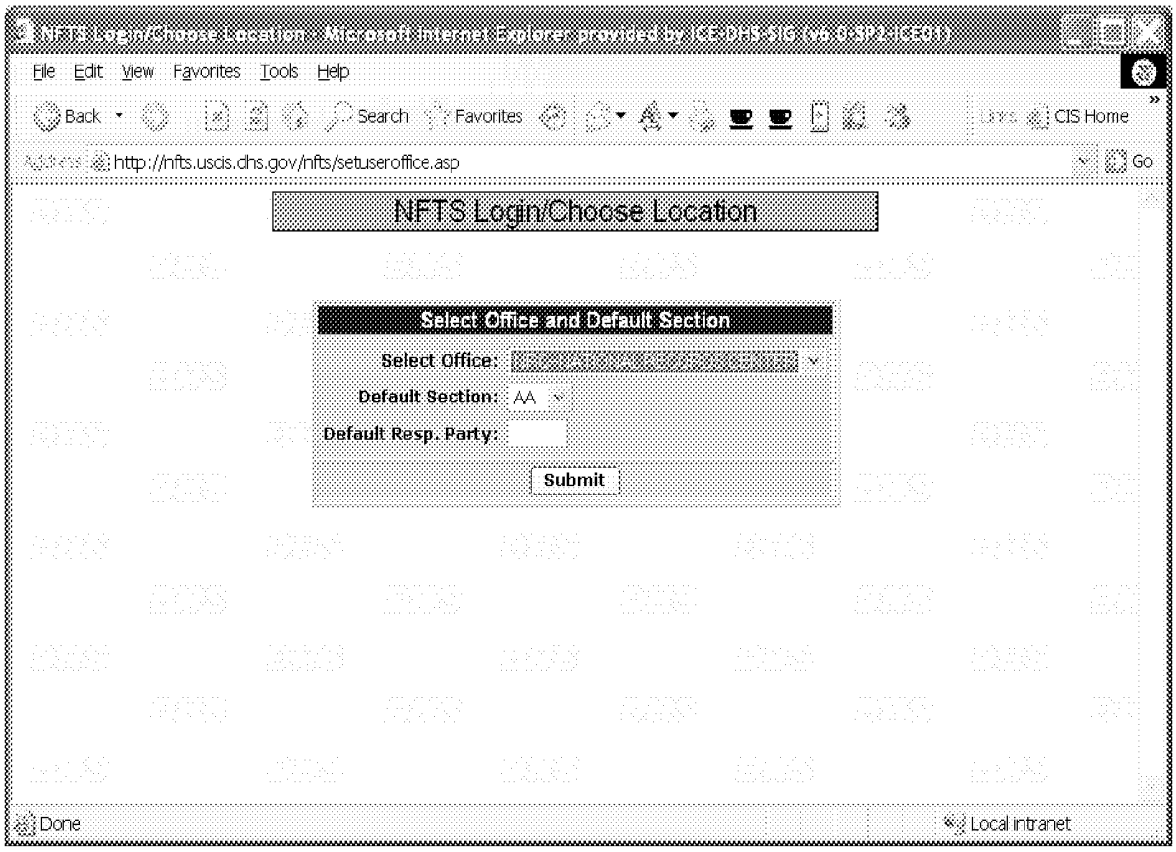
12.1.1.2 Submit your location



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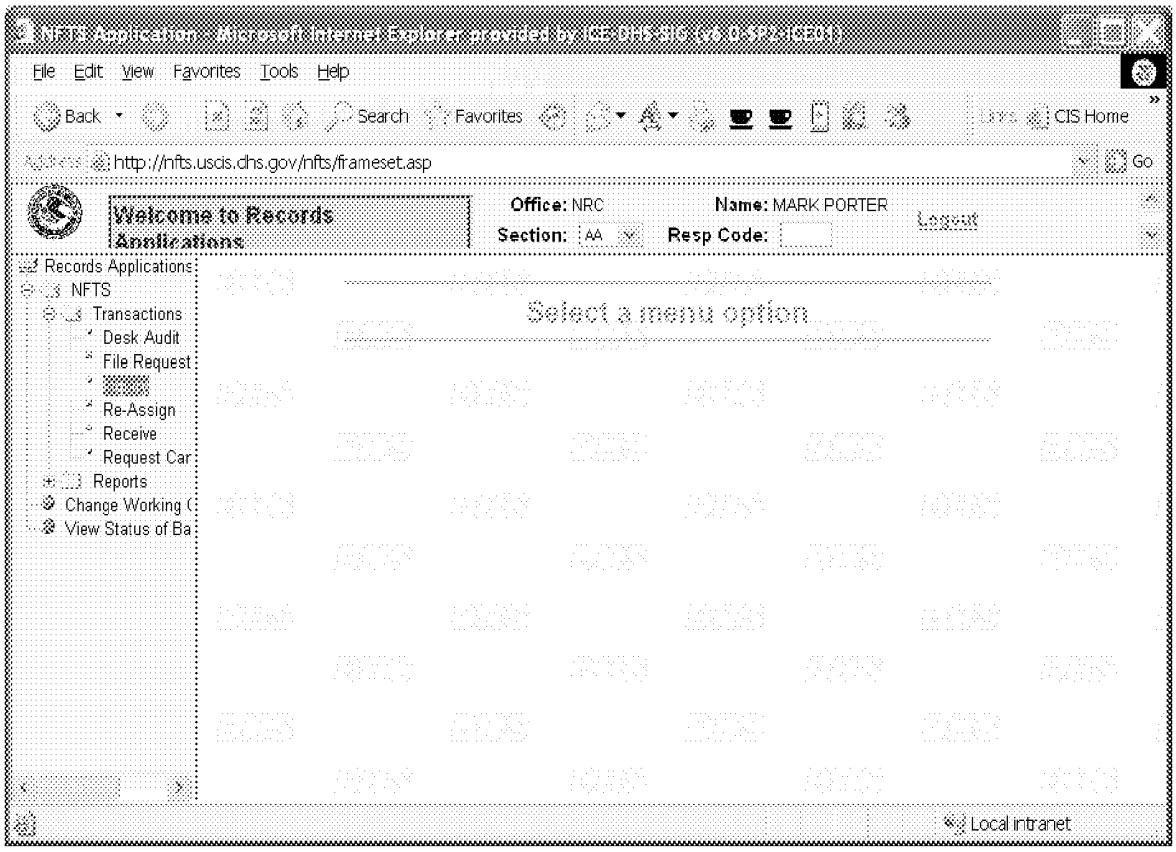
12.1.1.3 Select "Inquiry"



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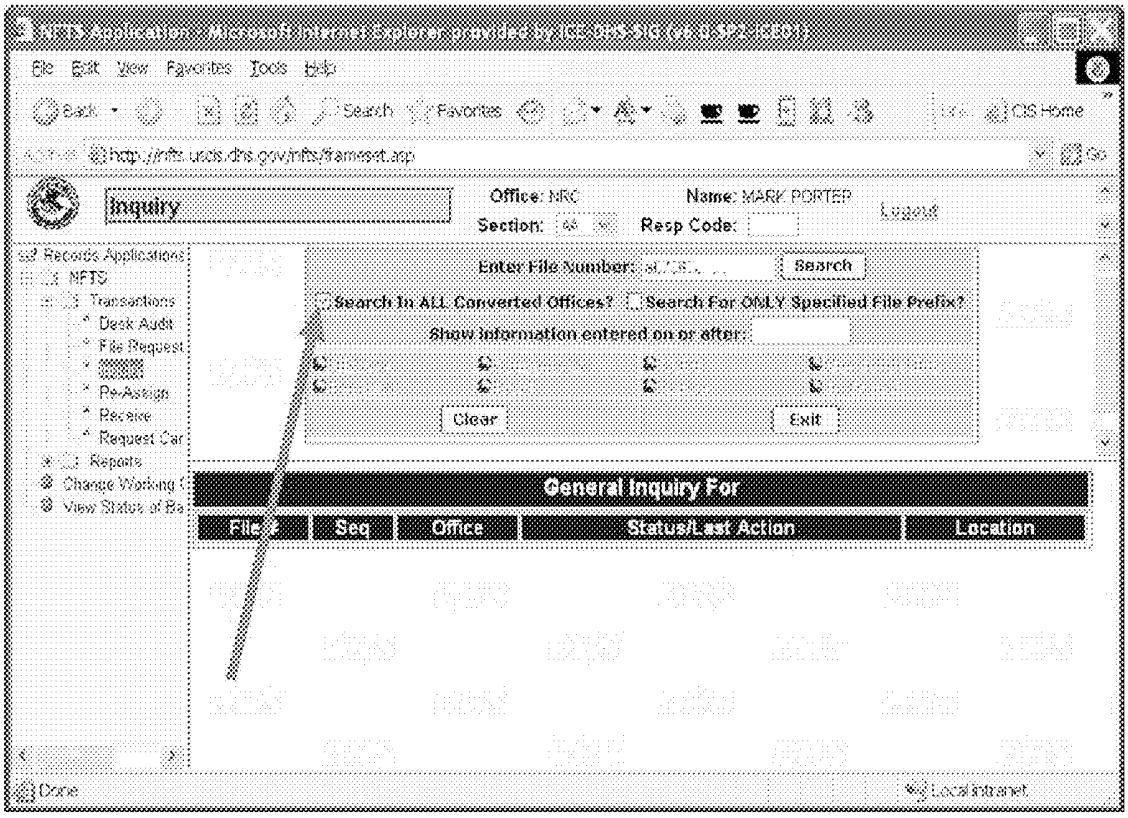
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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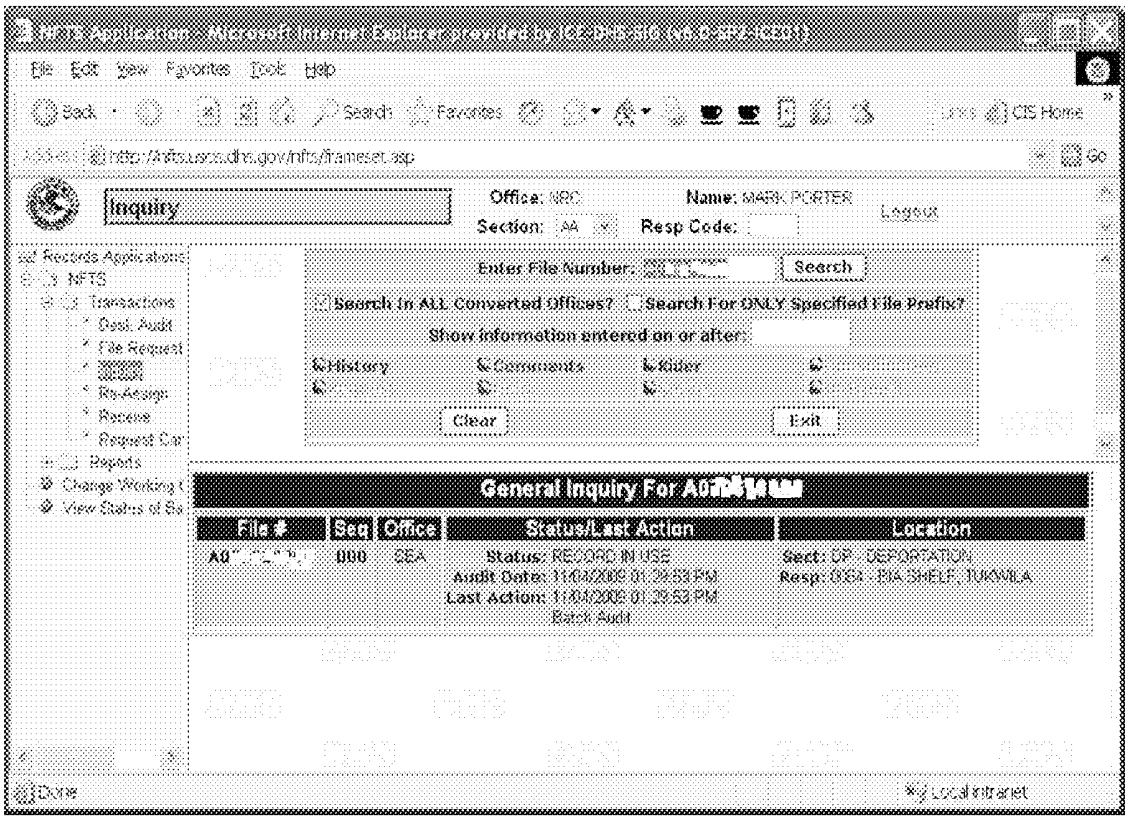
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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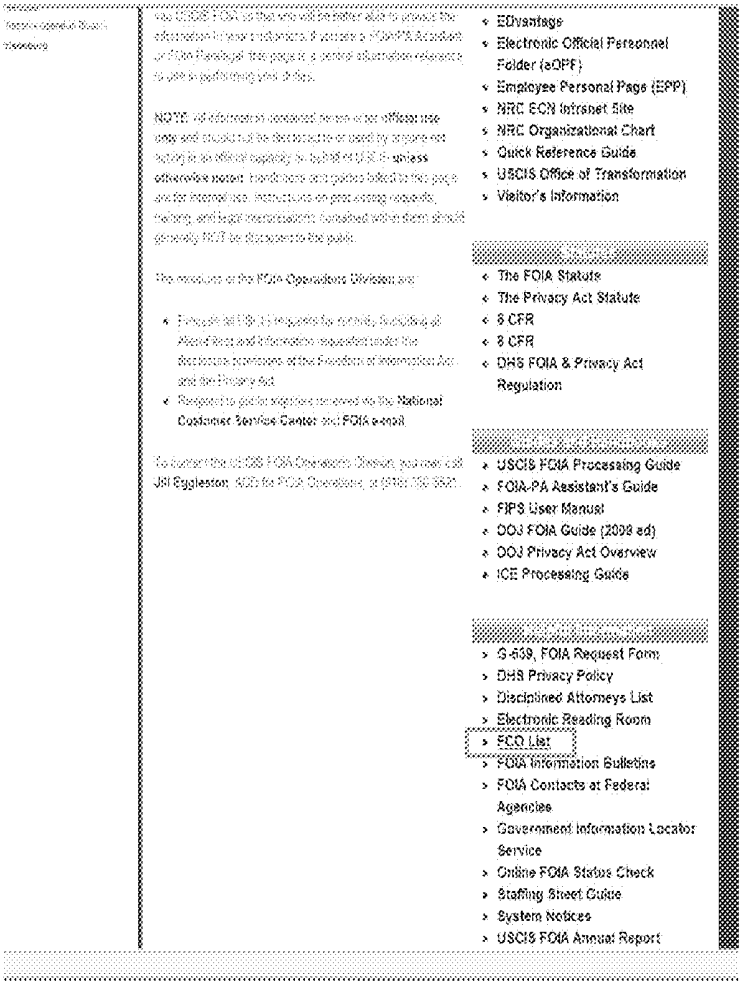
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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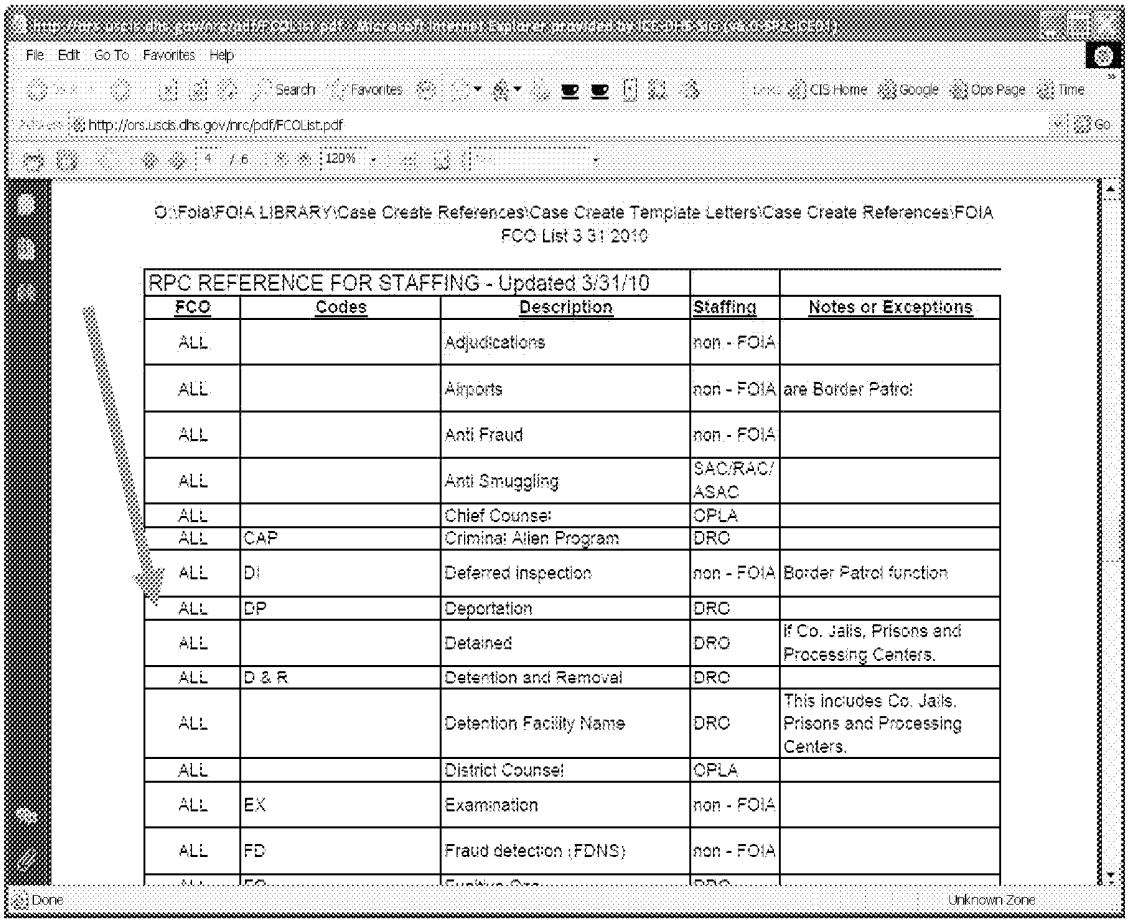
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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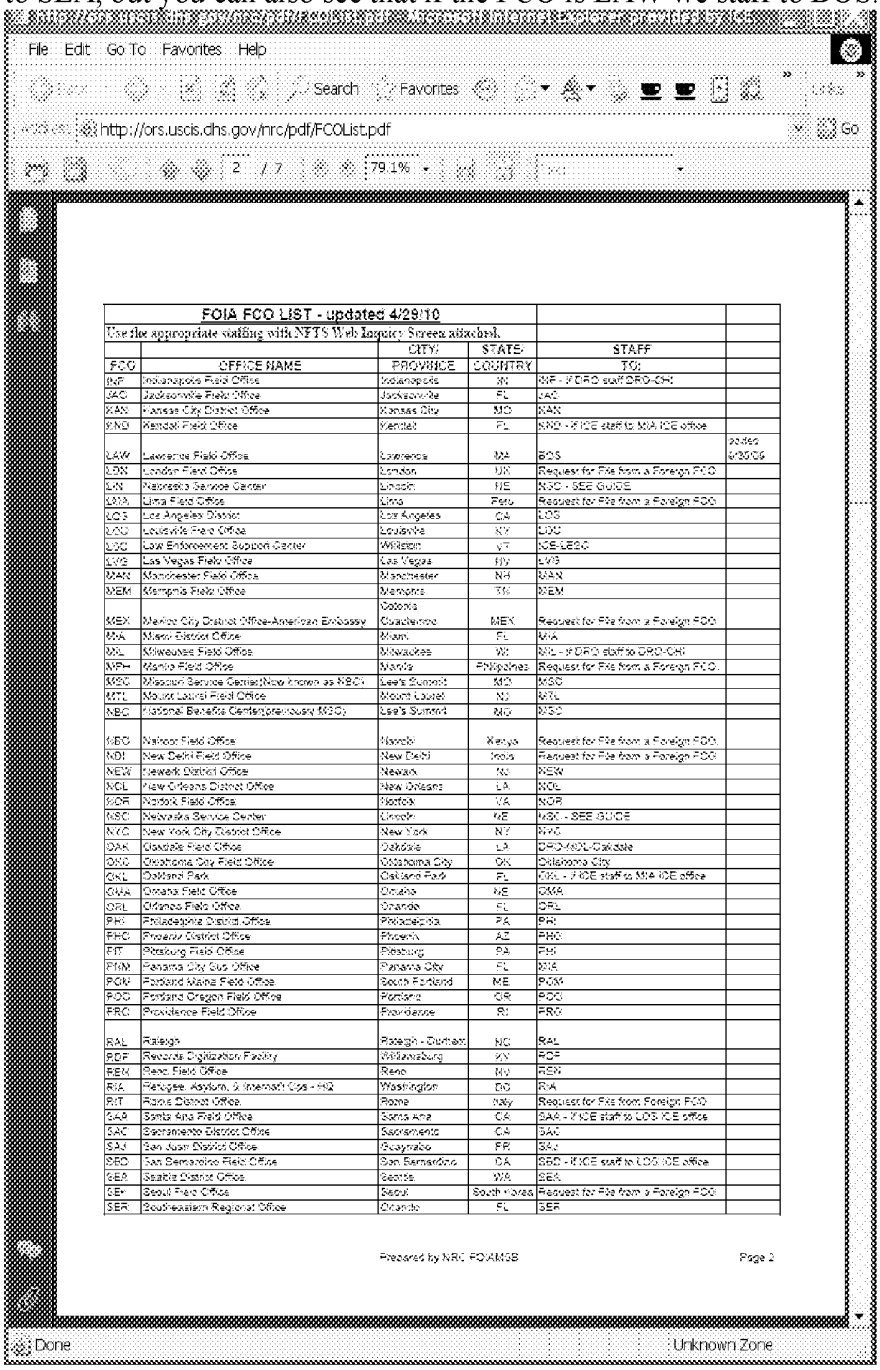
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKE	Milwaukee Field Office	Milwaukee	WI	MKE - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOIA/PS

Page 2

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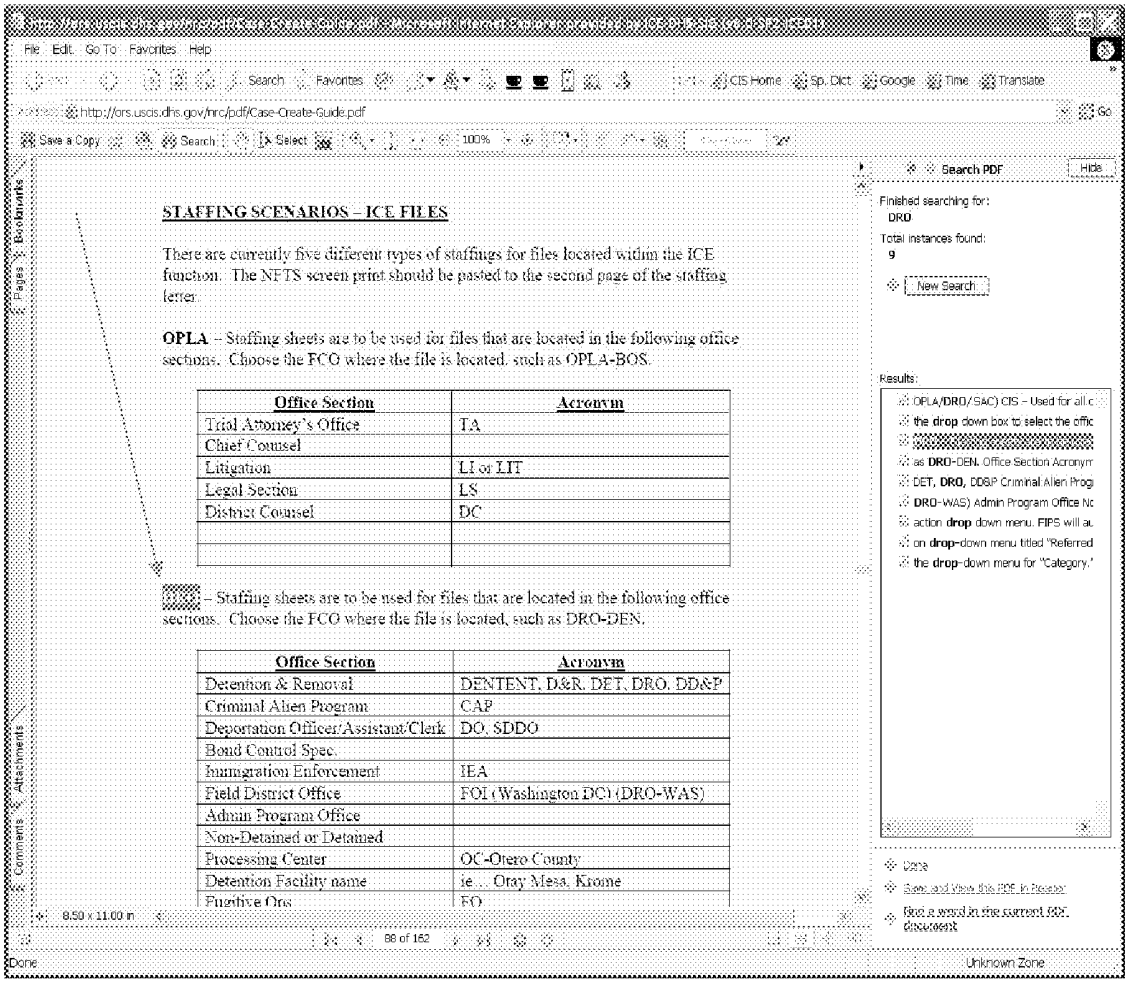
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OCC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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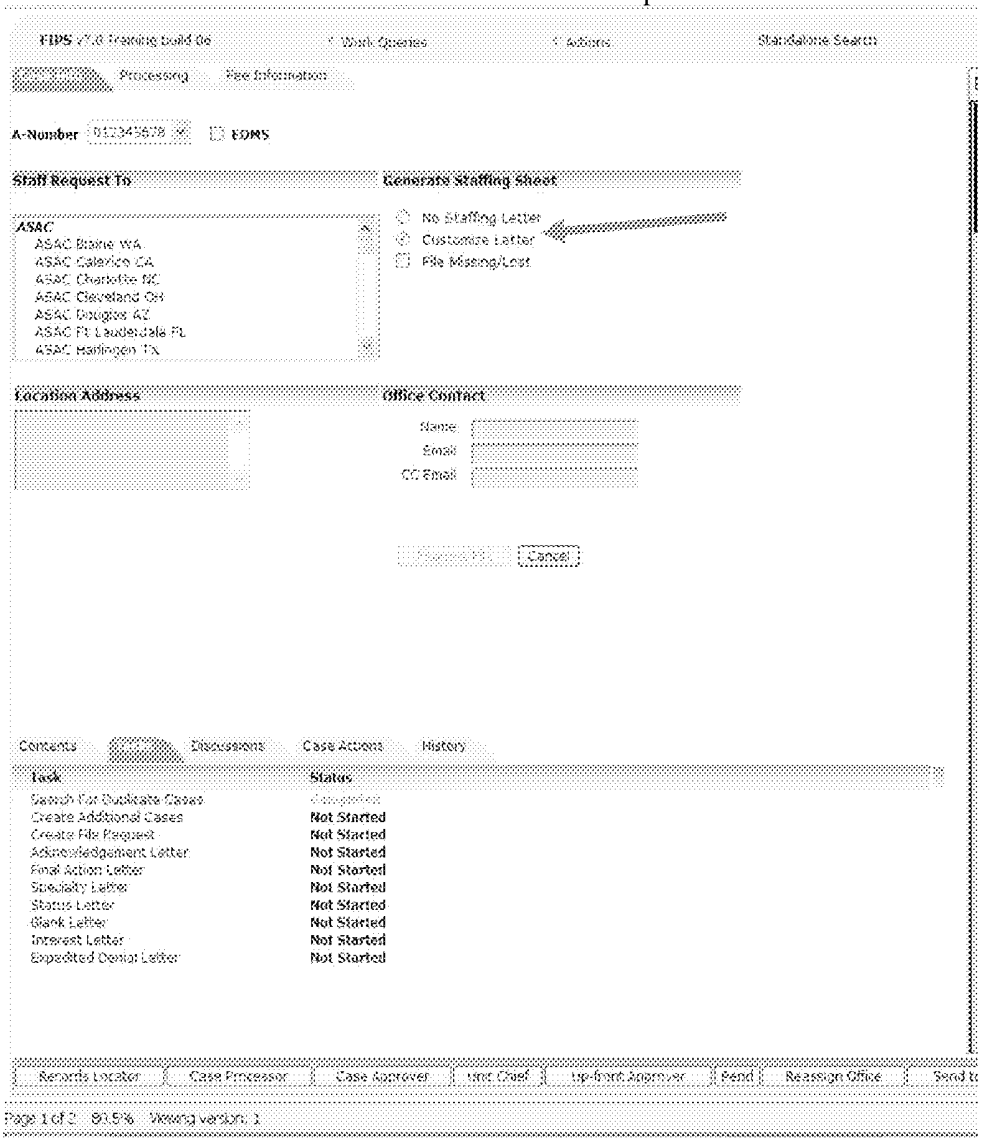
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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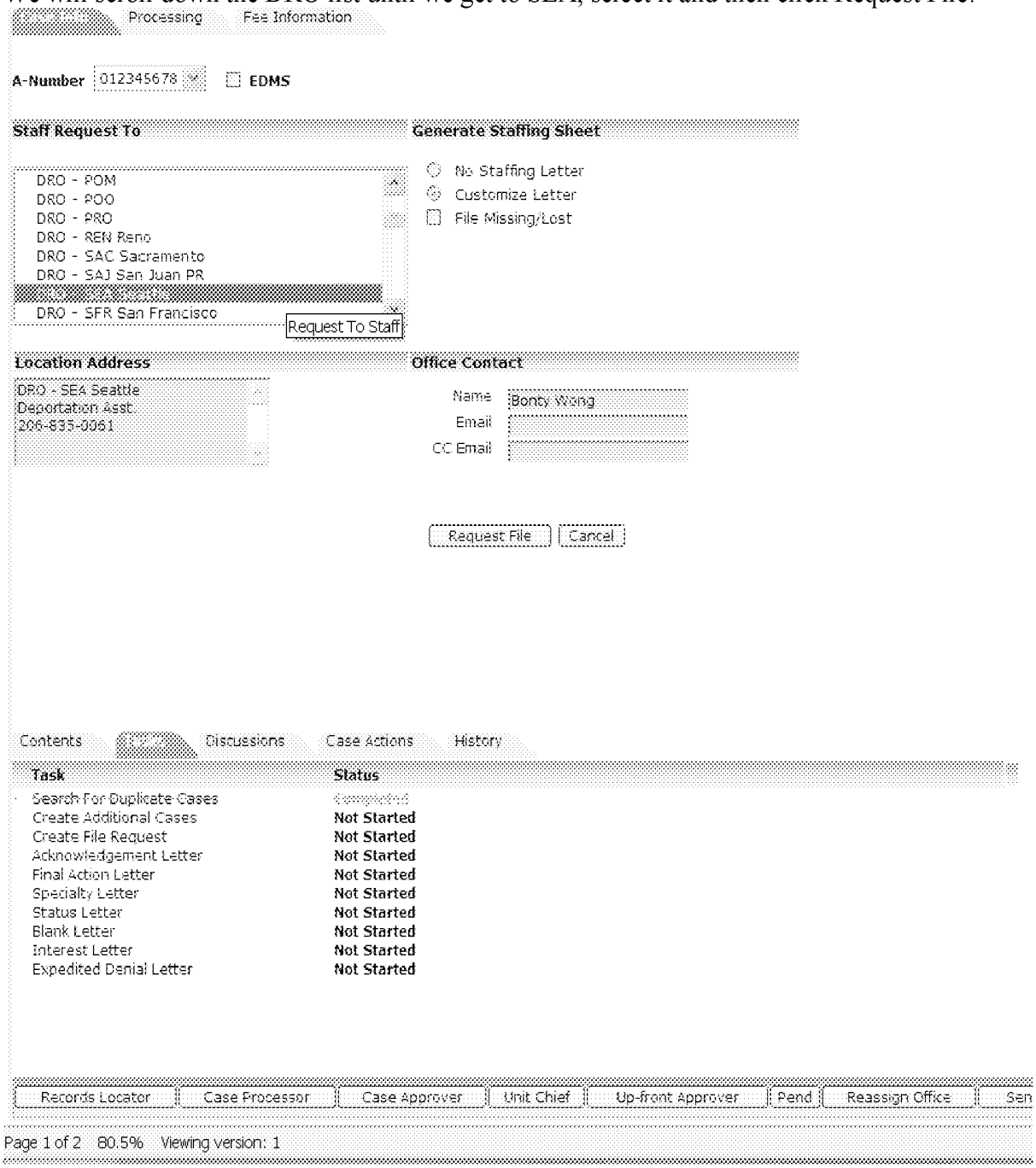
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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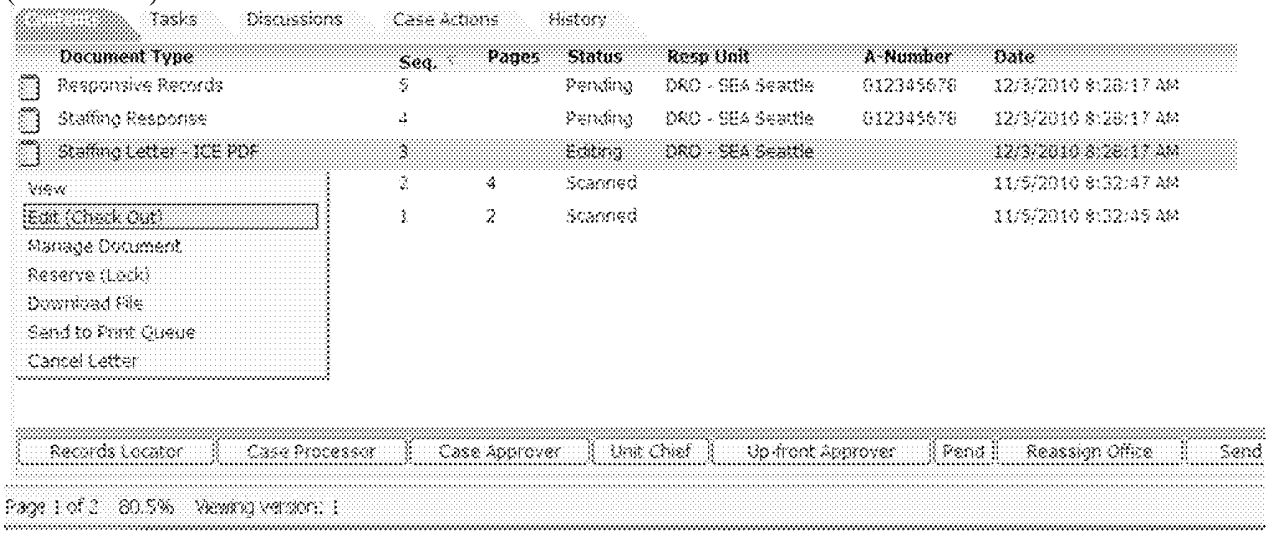
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."



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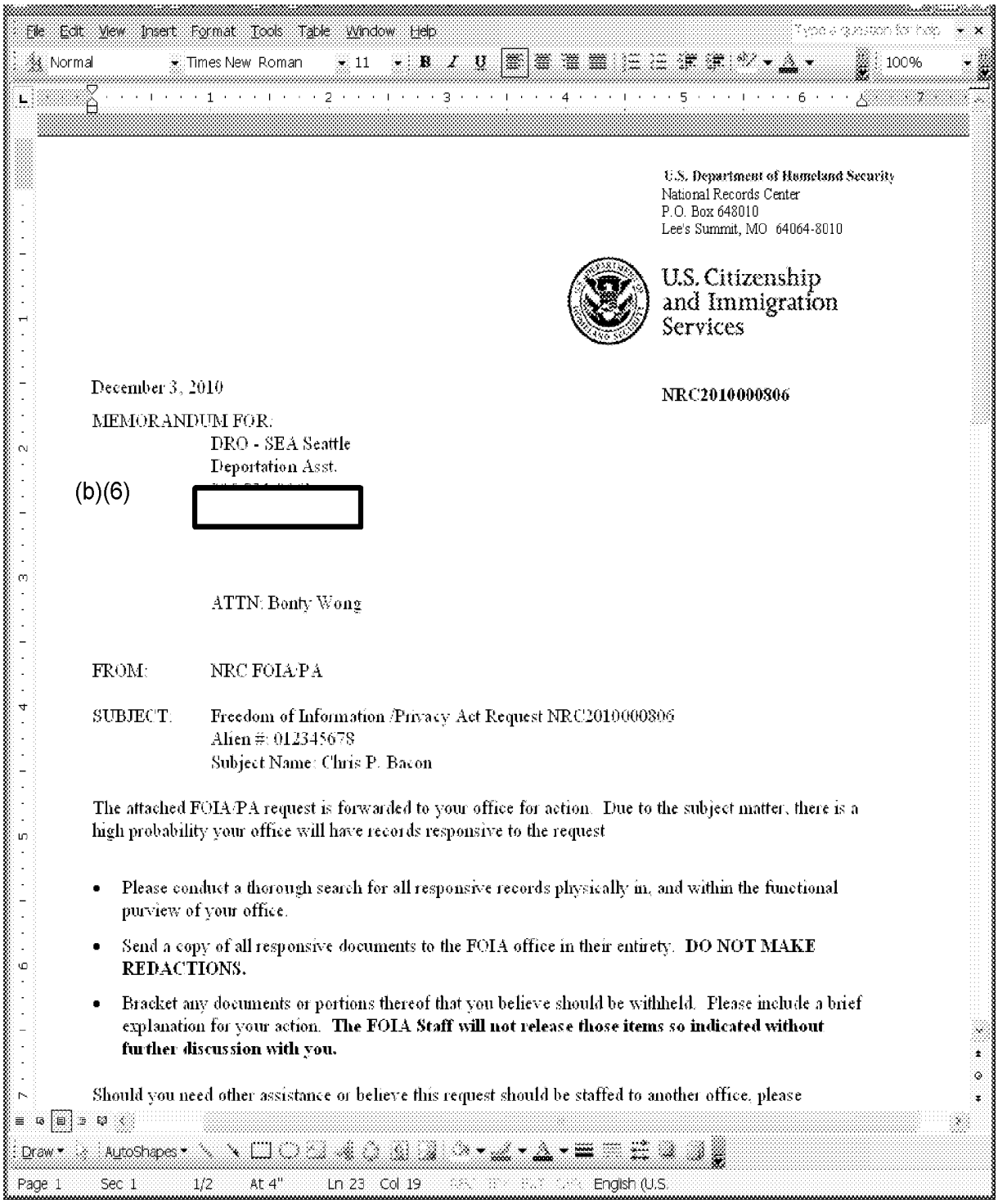
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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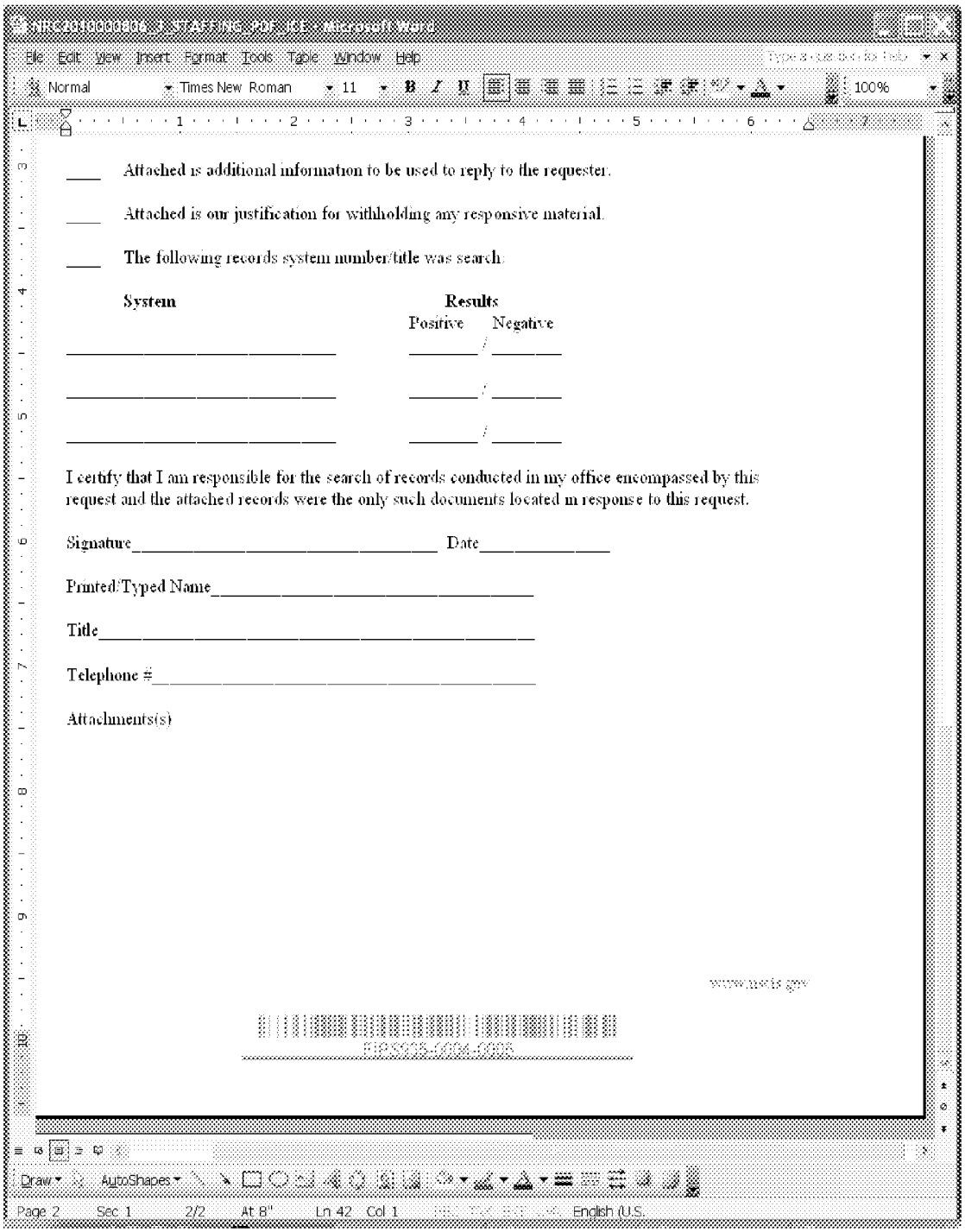
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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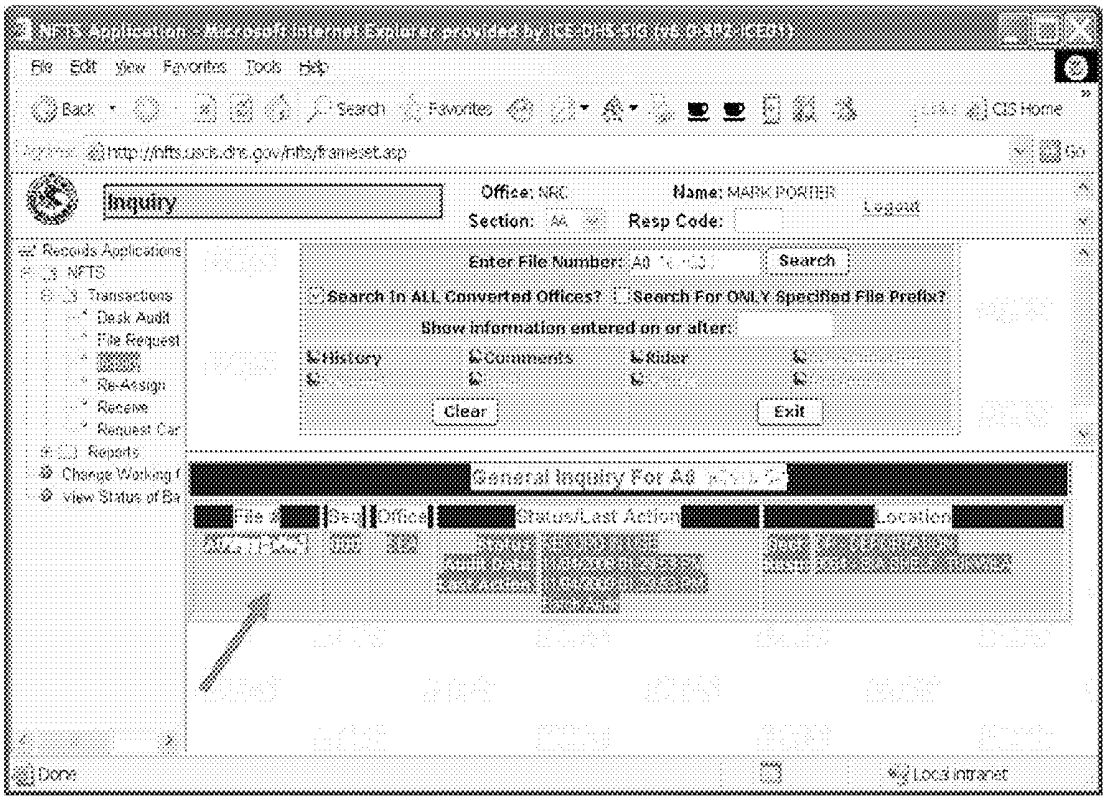
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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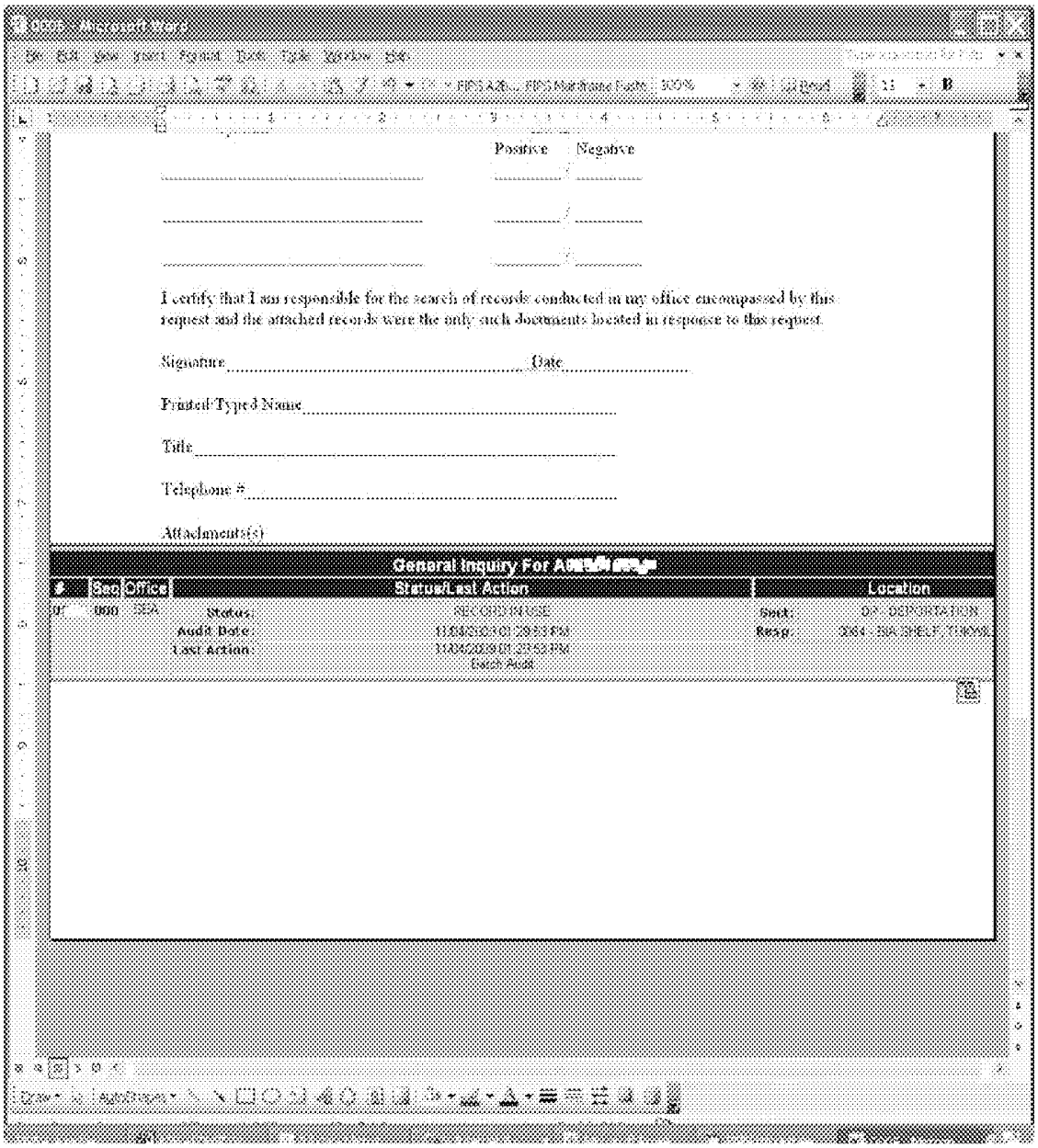
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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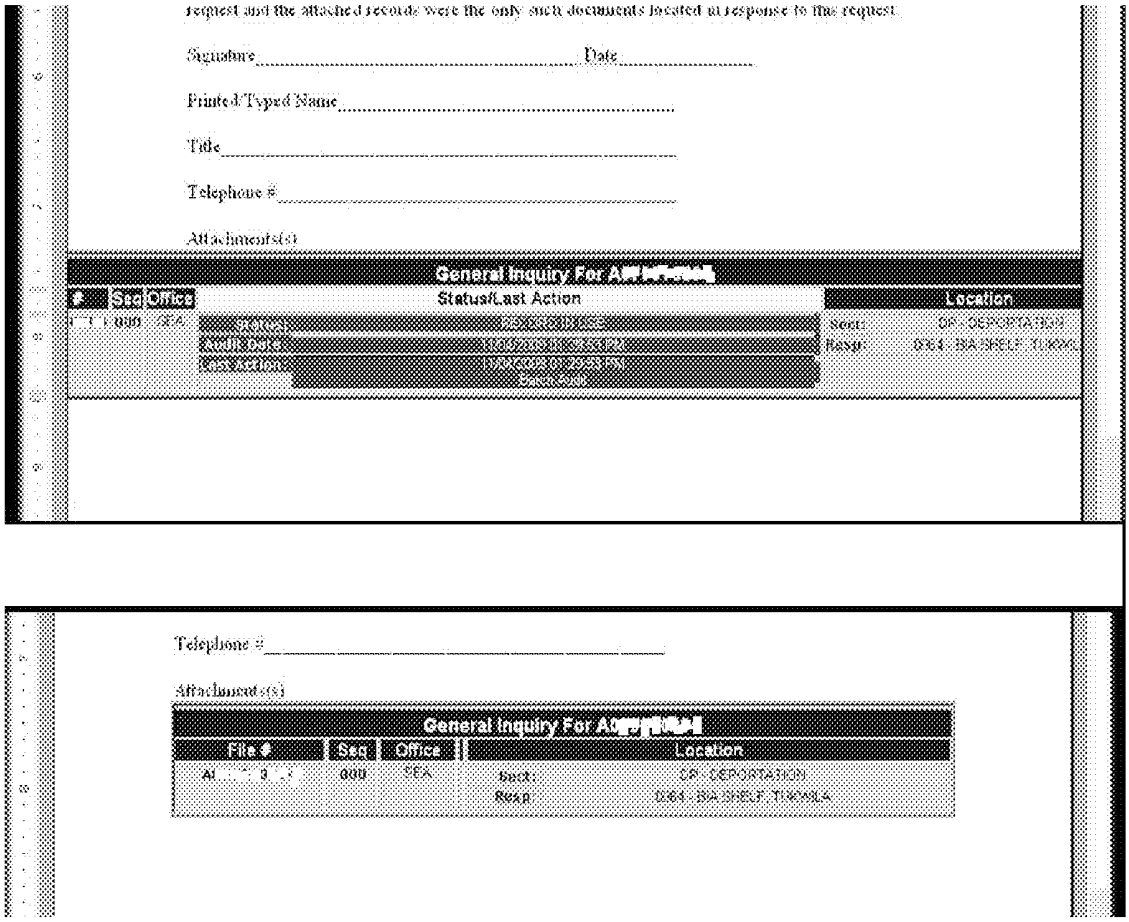
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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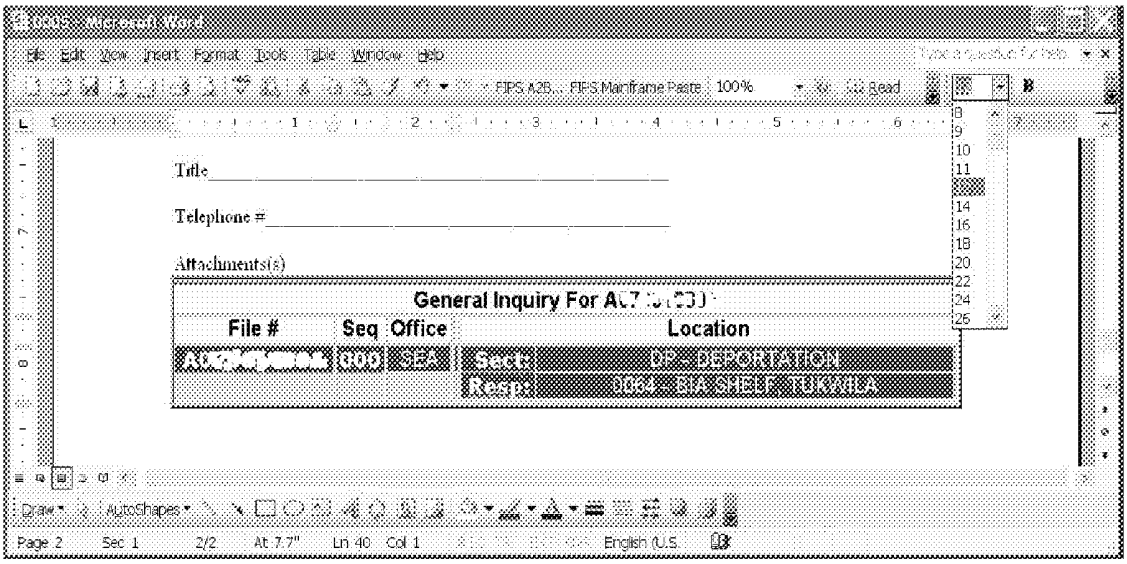
Next, highlight the whole area and change the font size to 12.



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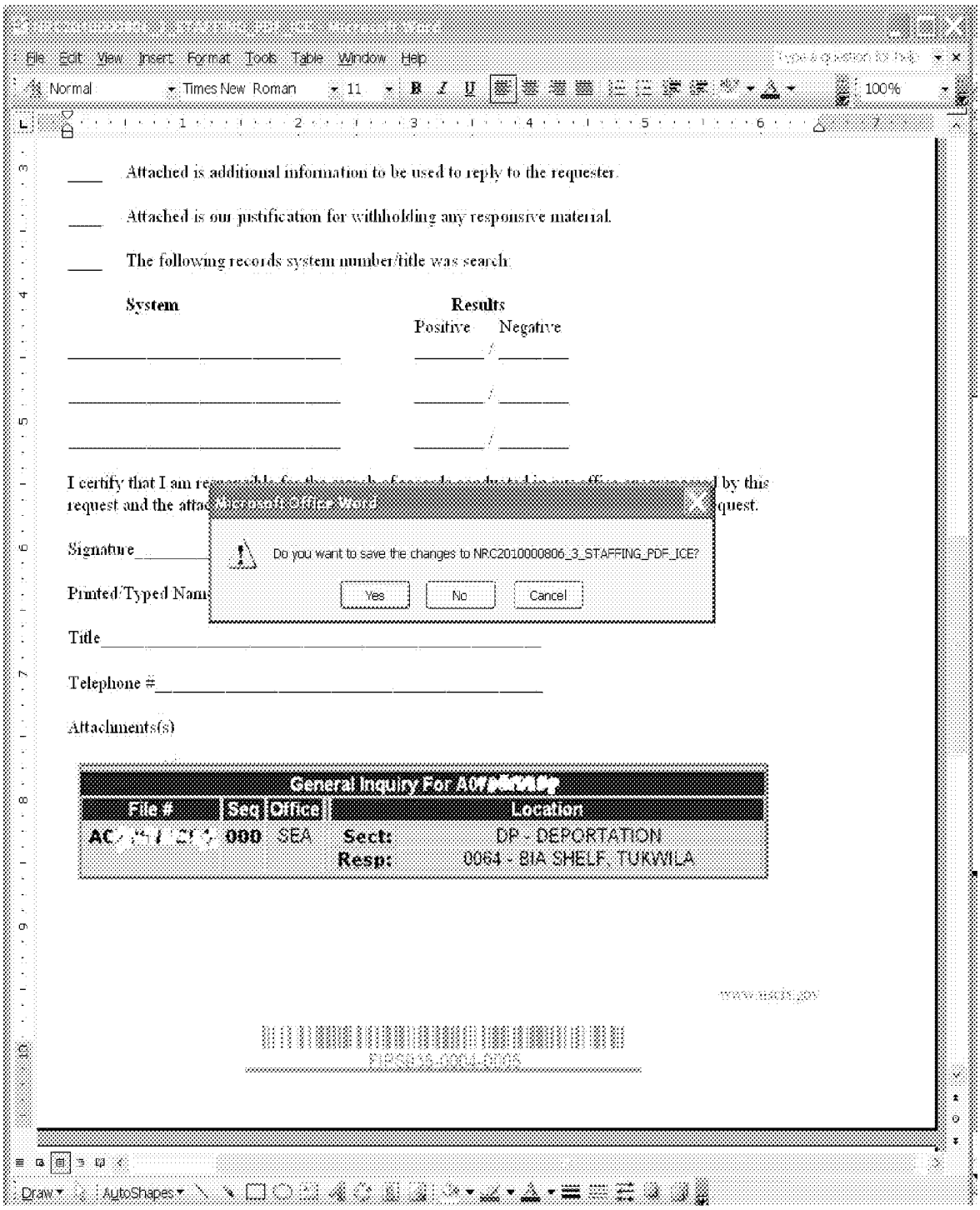
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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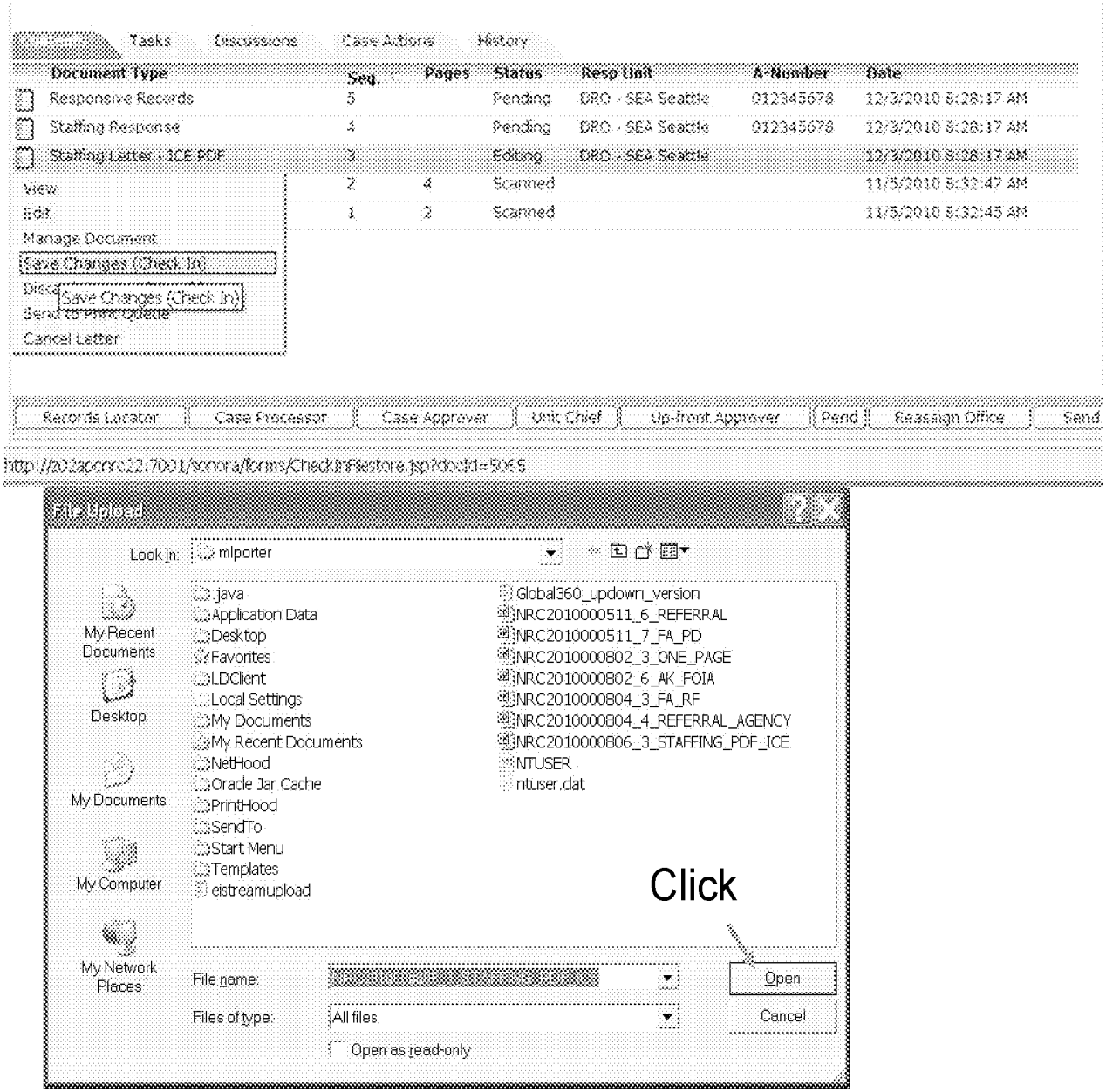
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

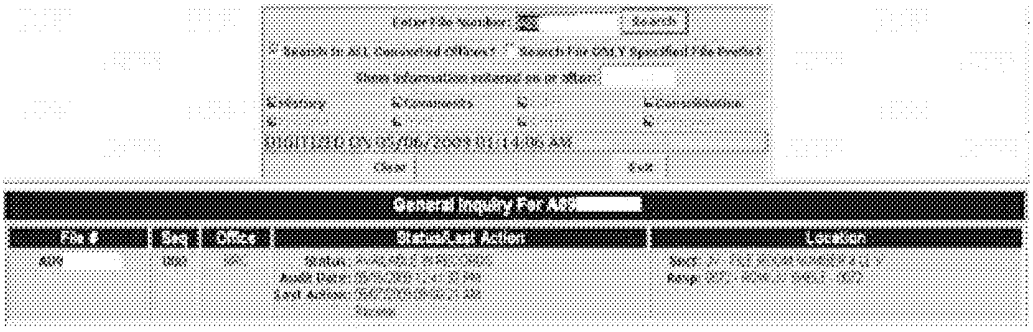
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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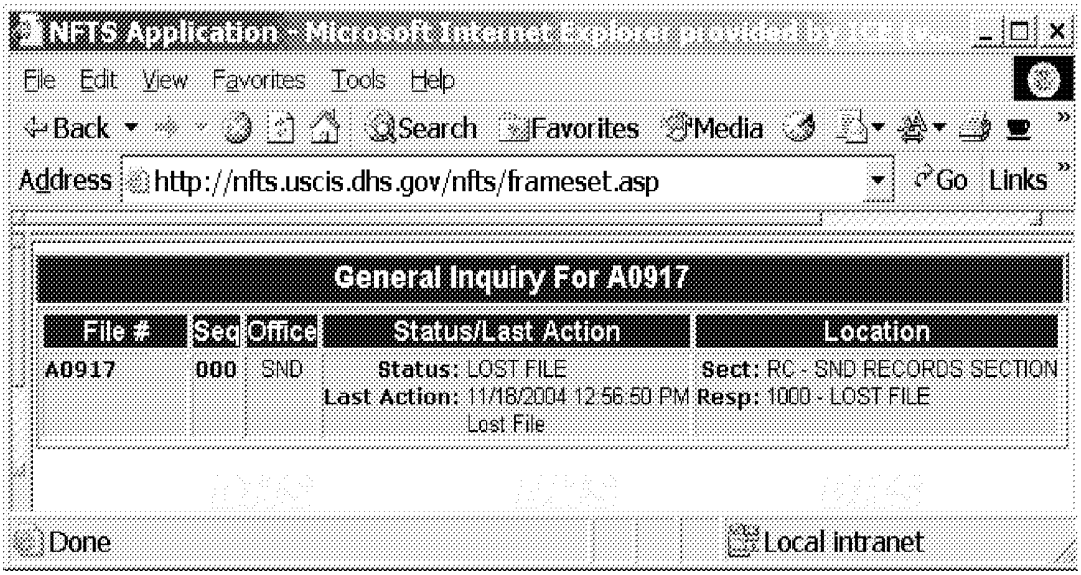
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

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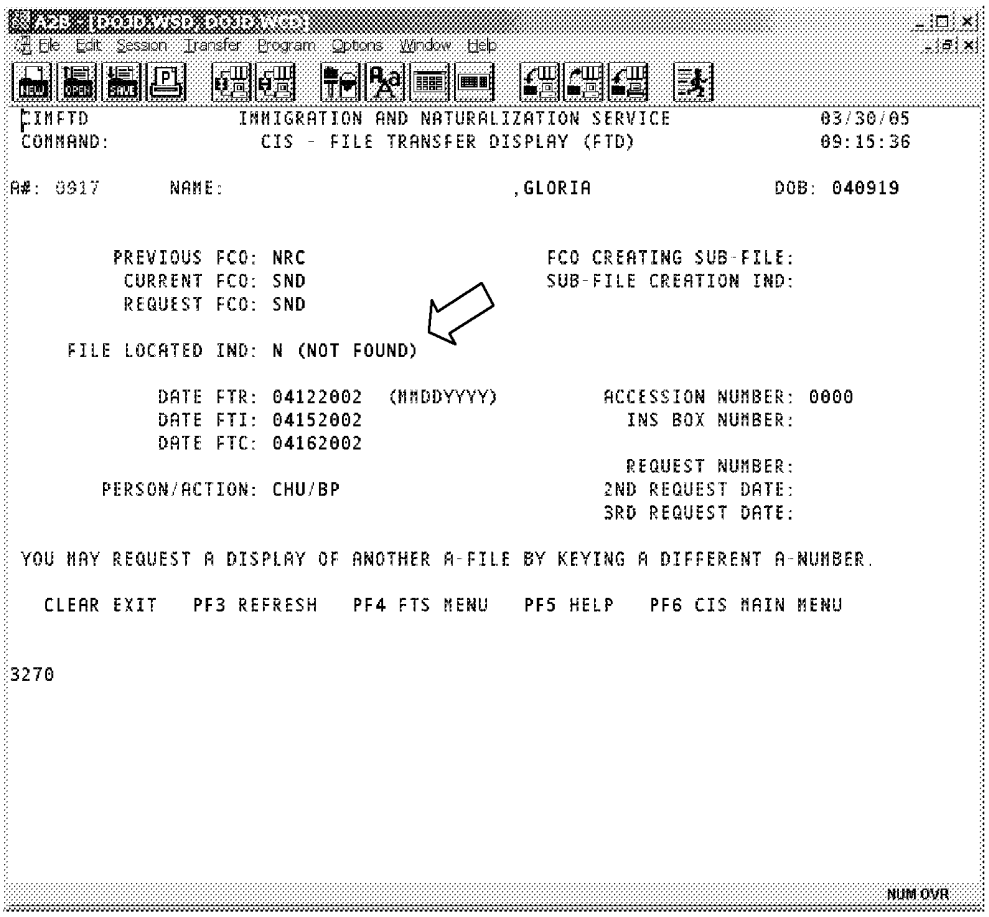
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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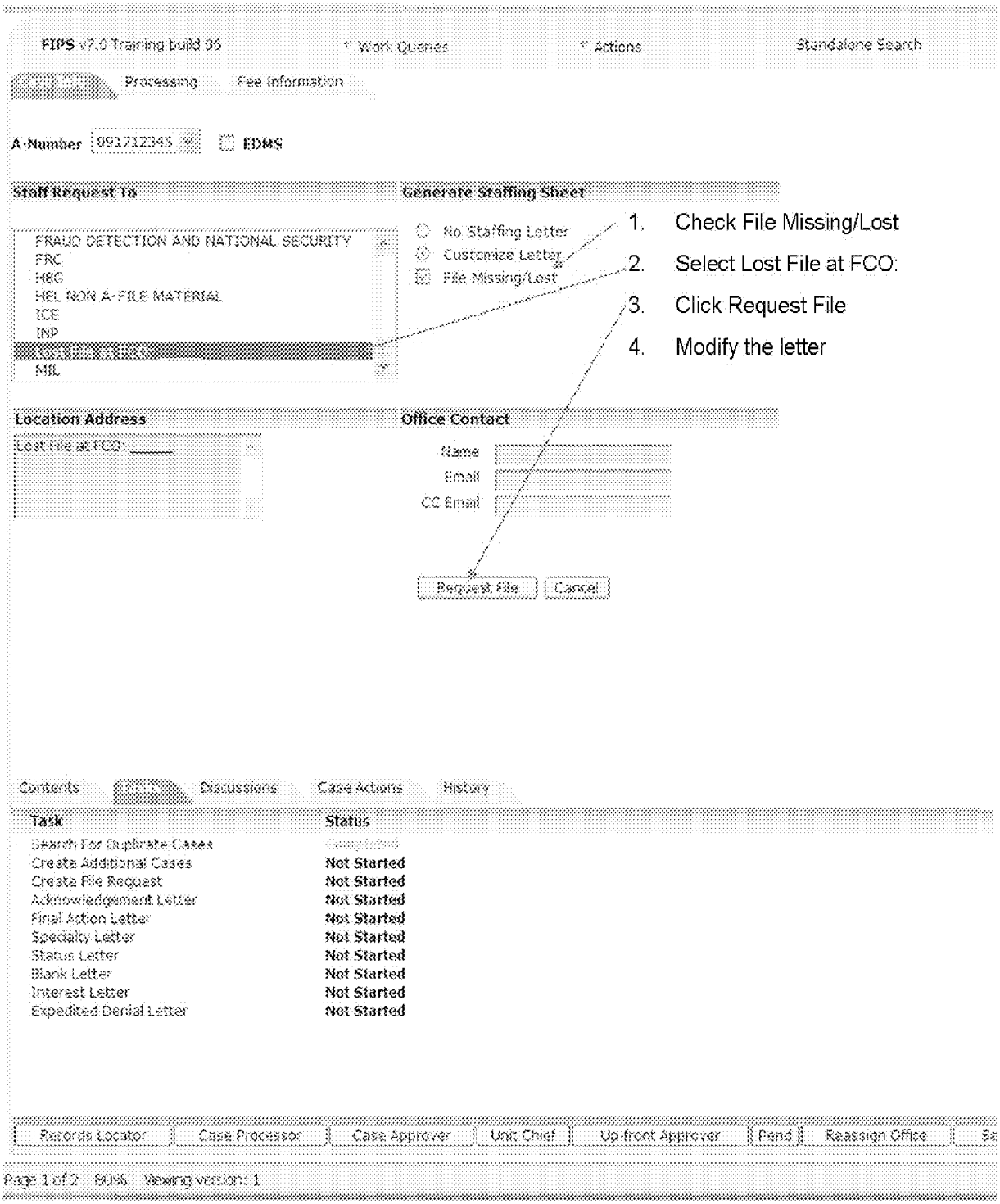

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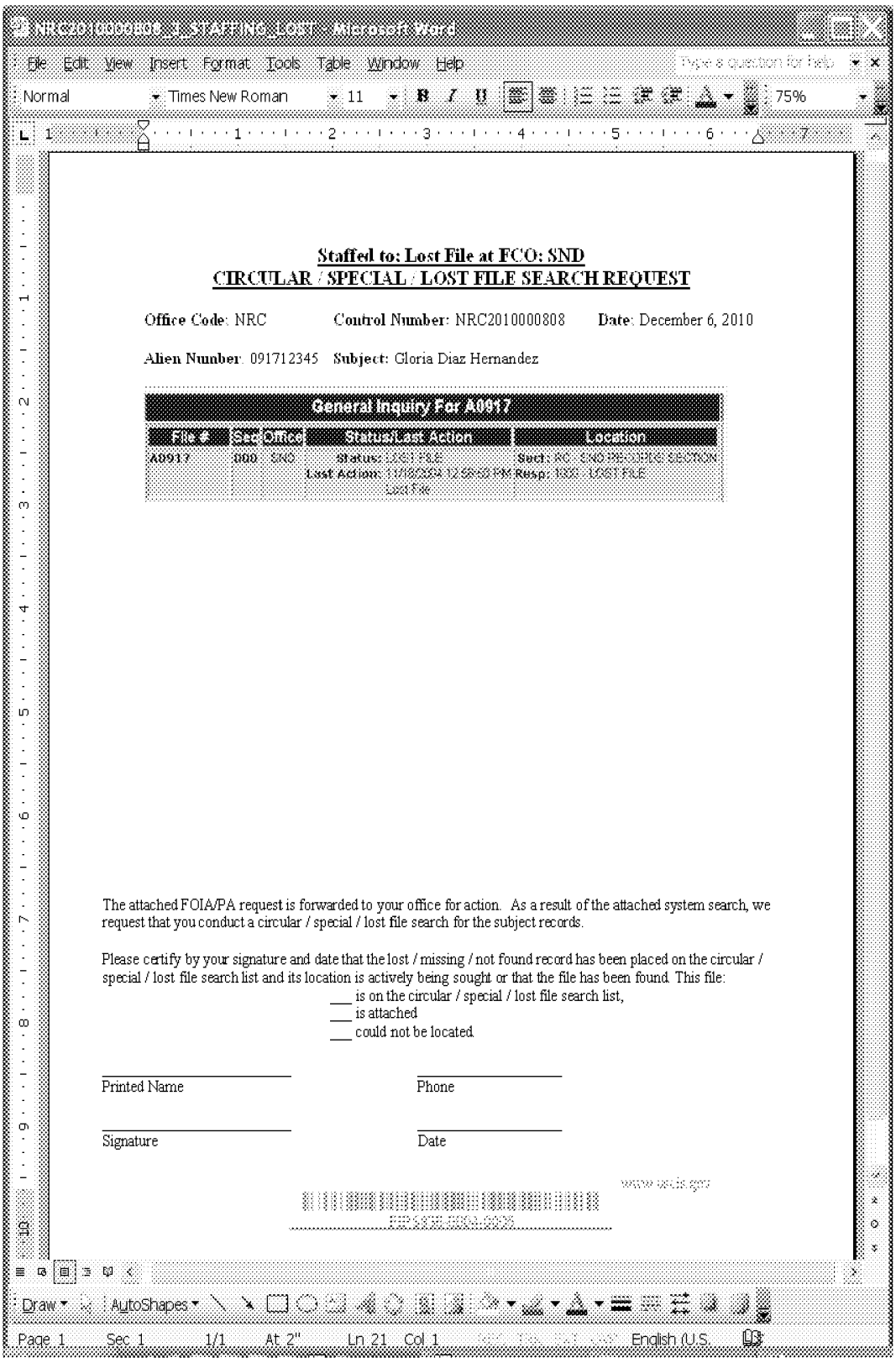

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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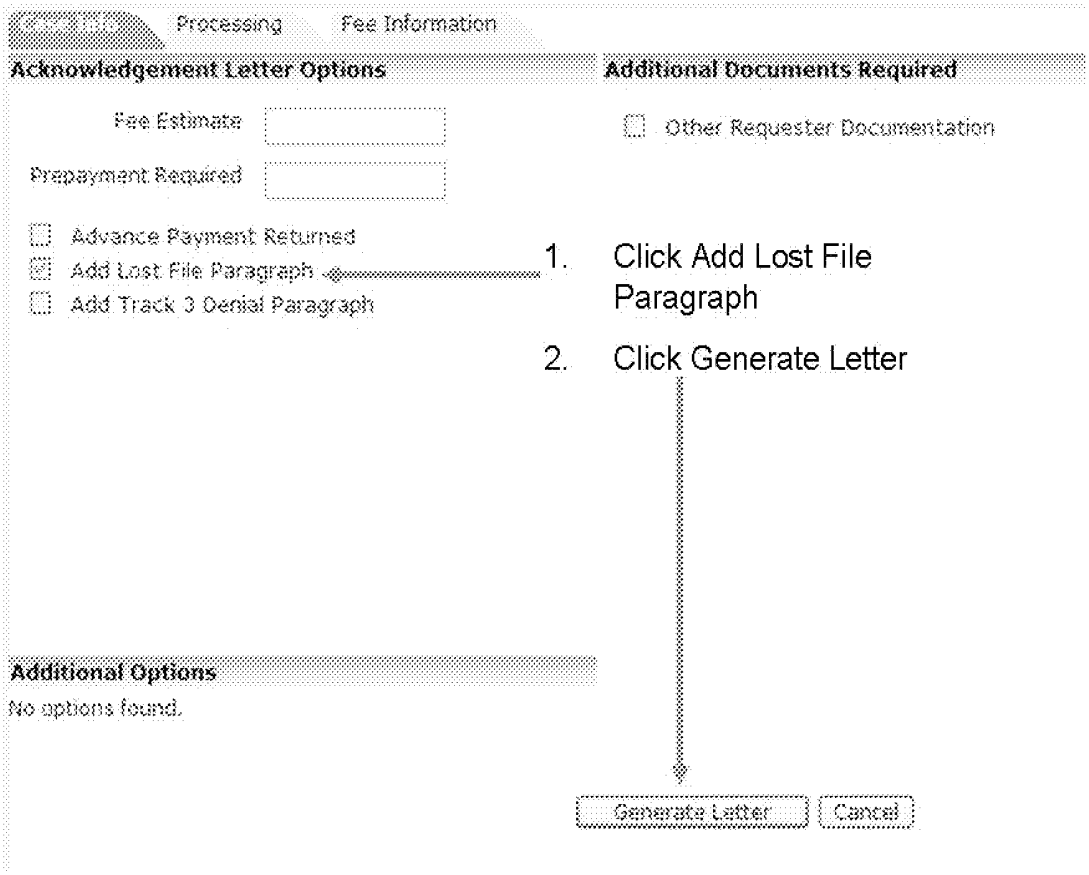

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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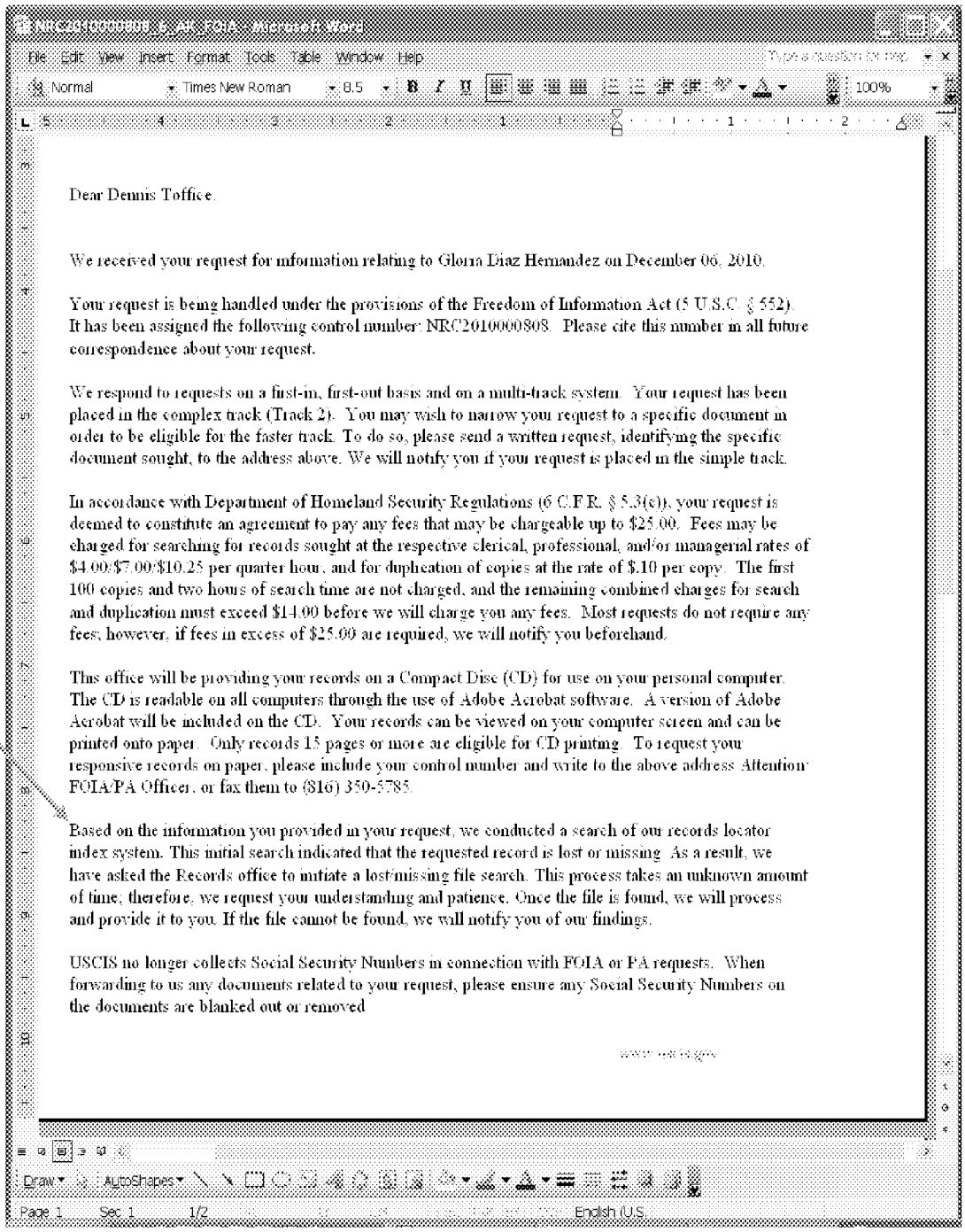

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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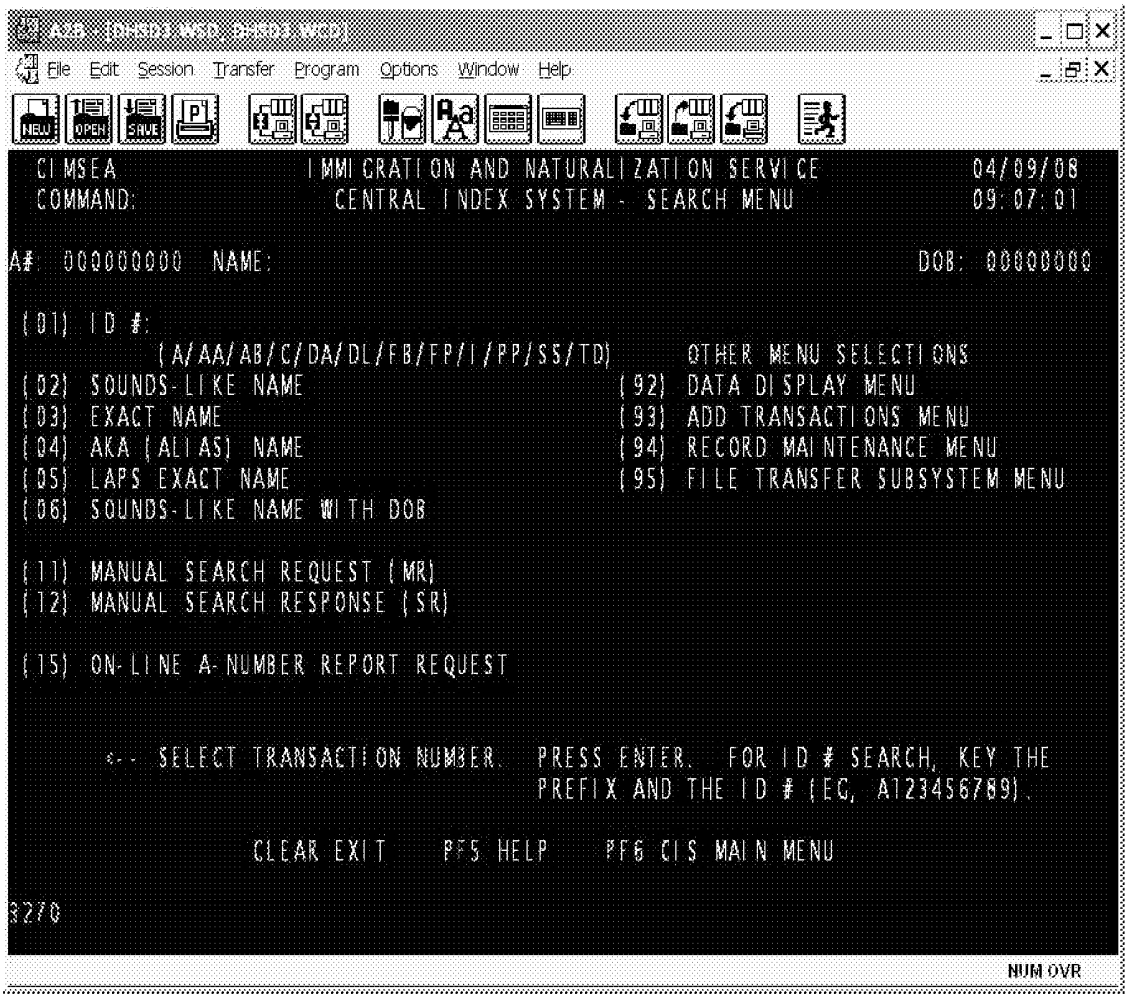

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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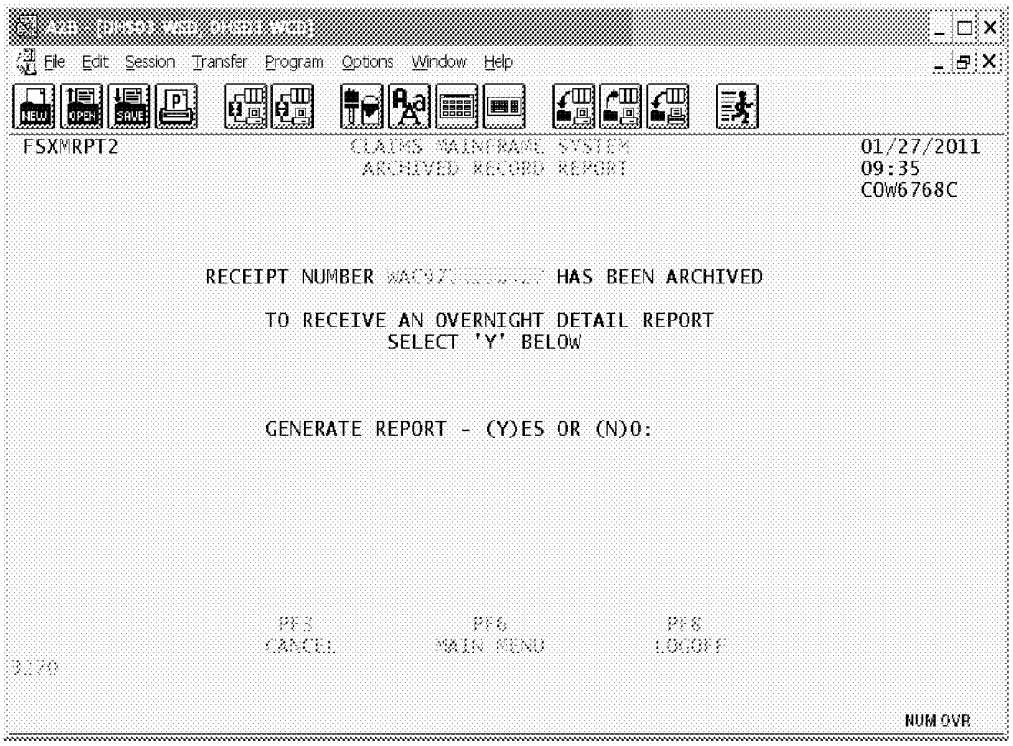
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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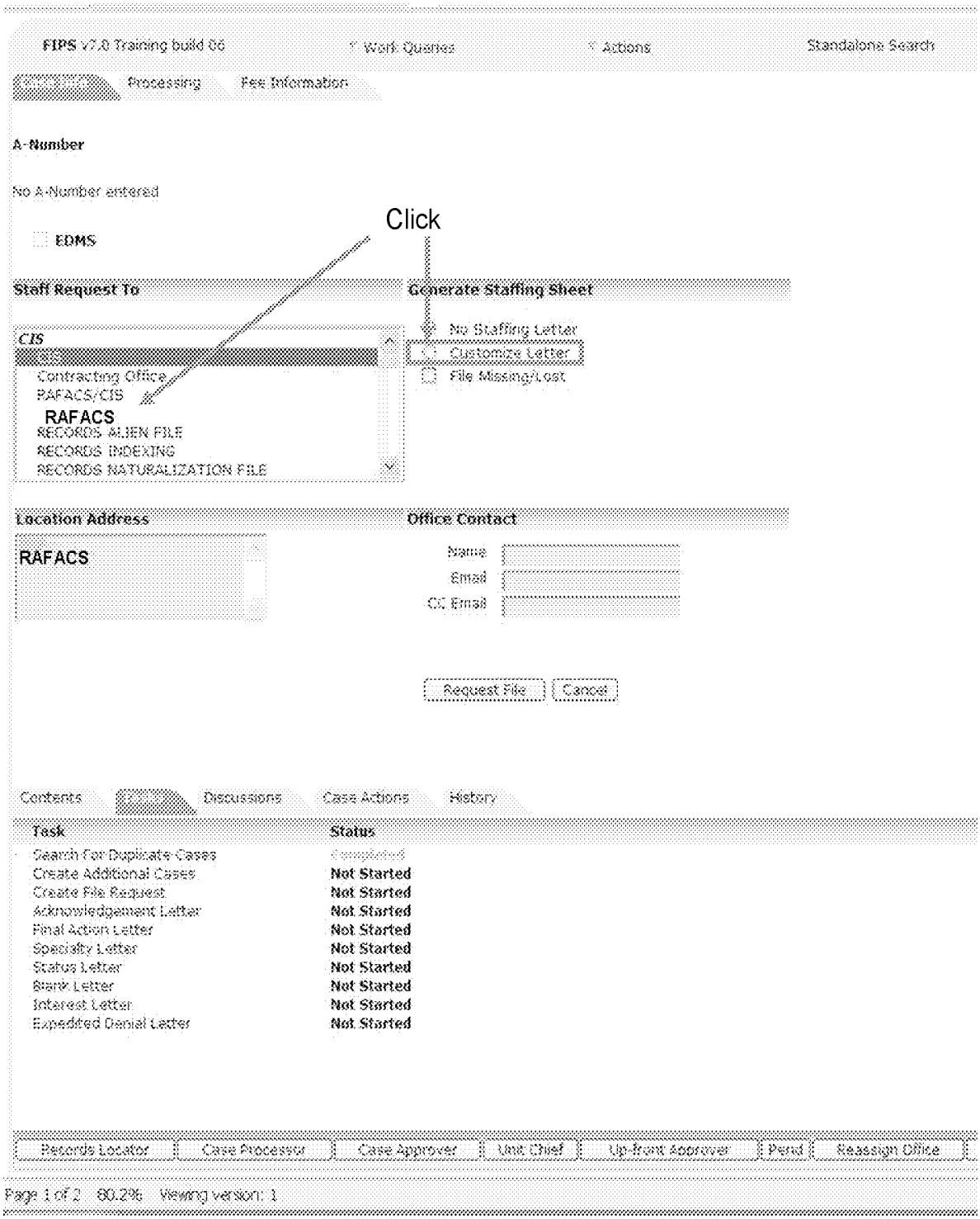

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 , the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS2 CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
TO
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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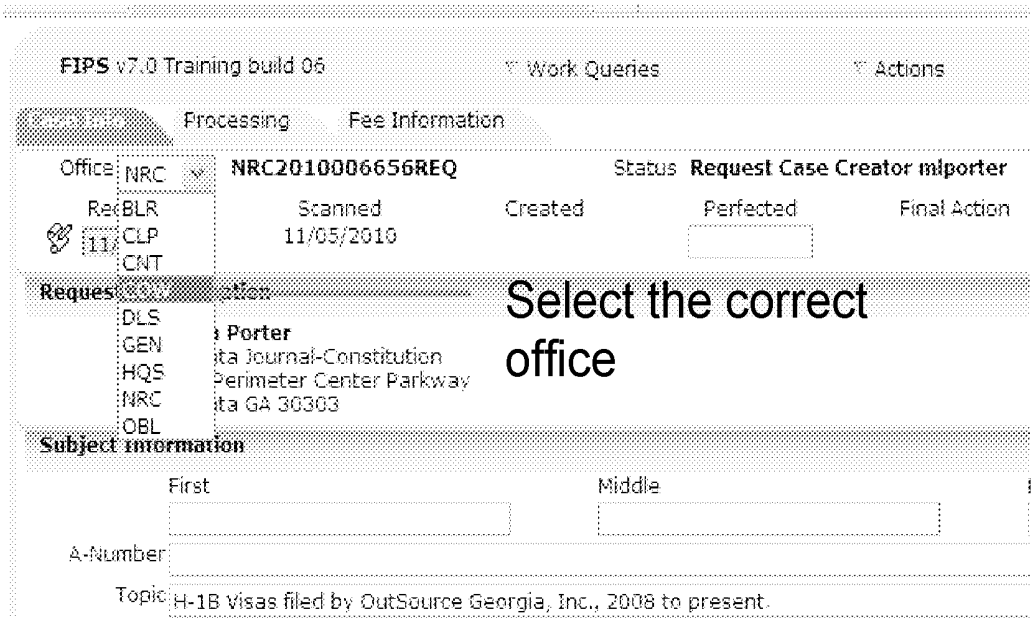
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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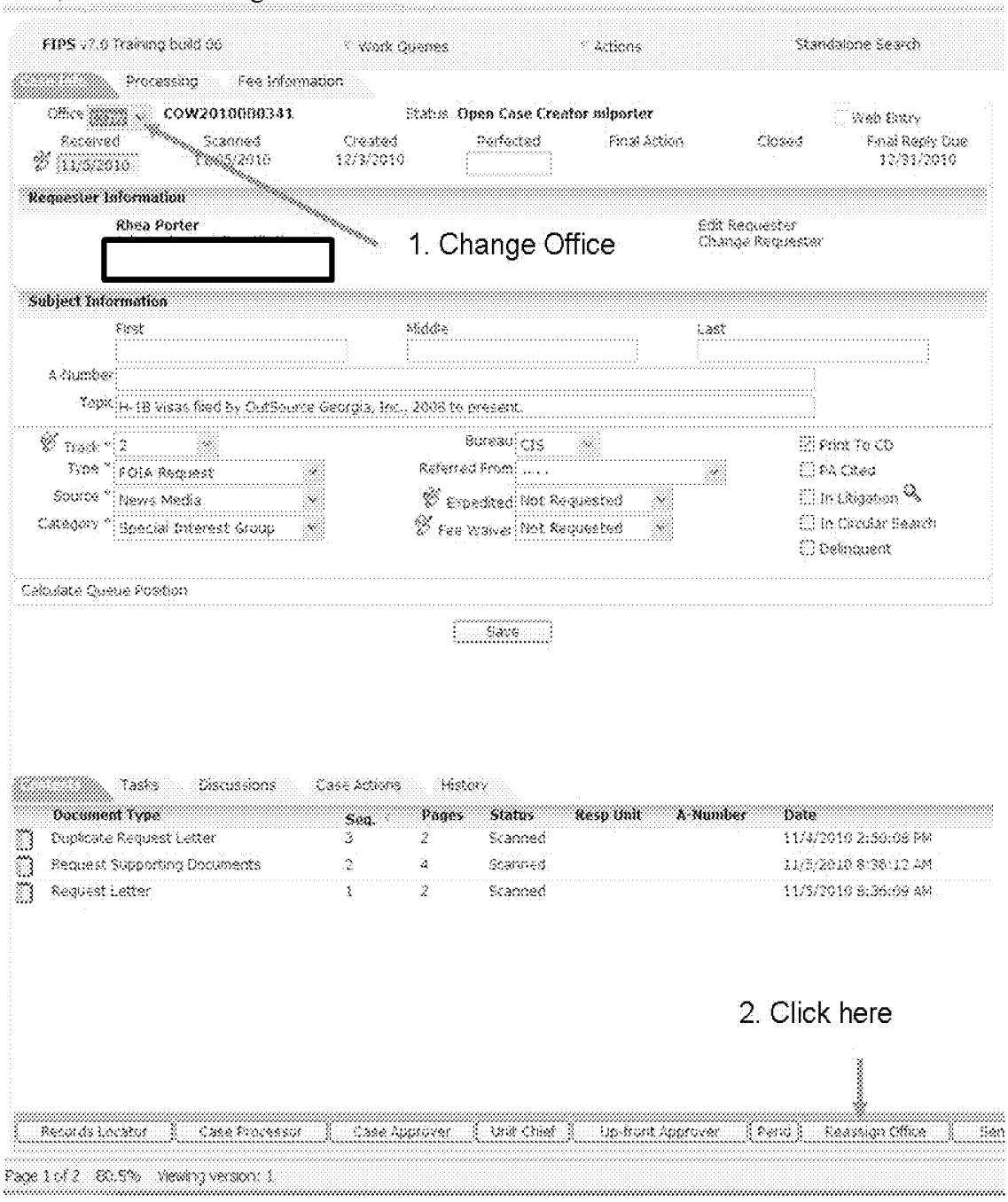
Next, click on "Reassign Office"

(b)(6)



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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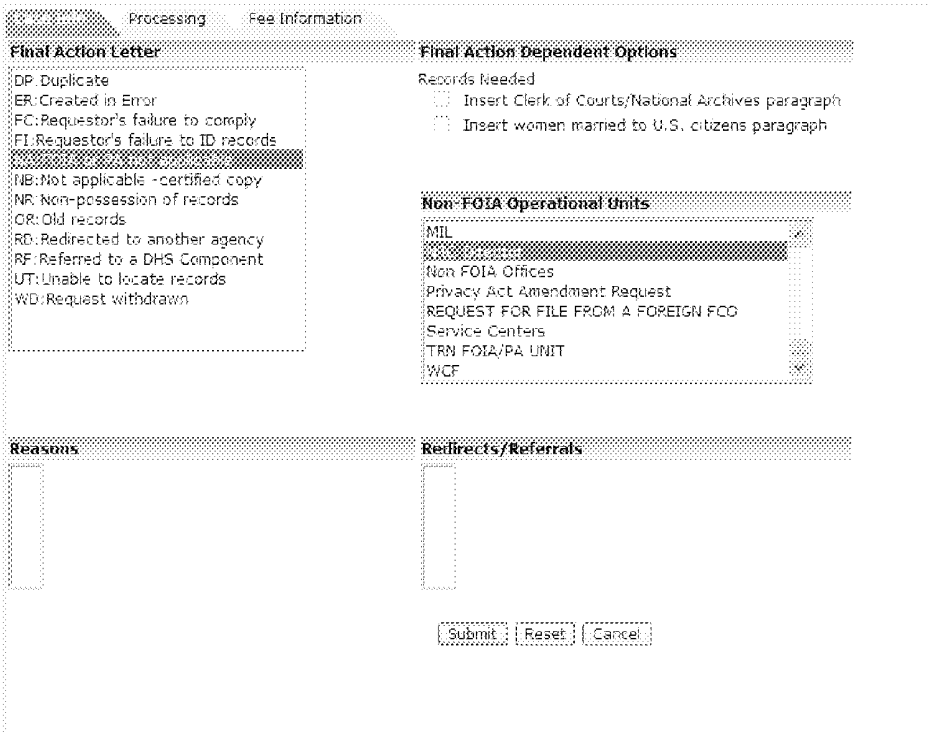
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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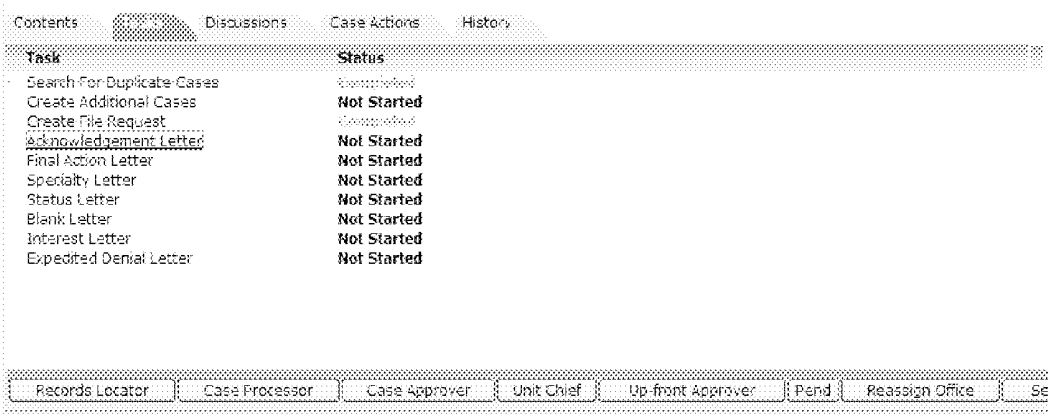
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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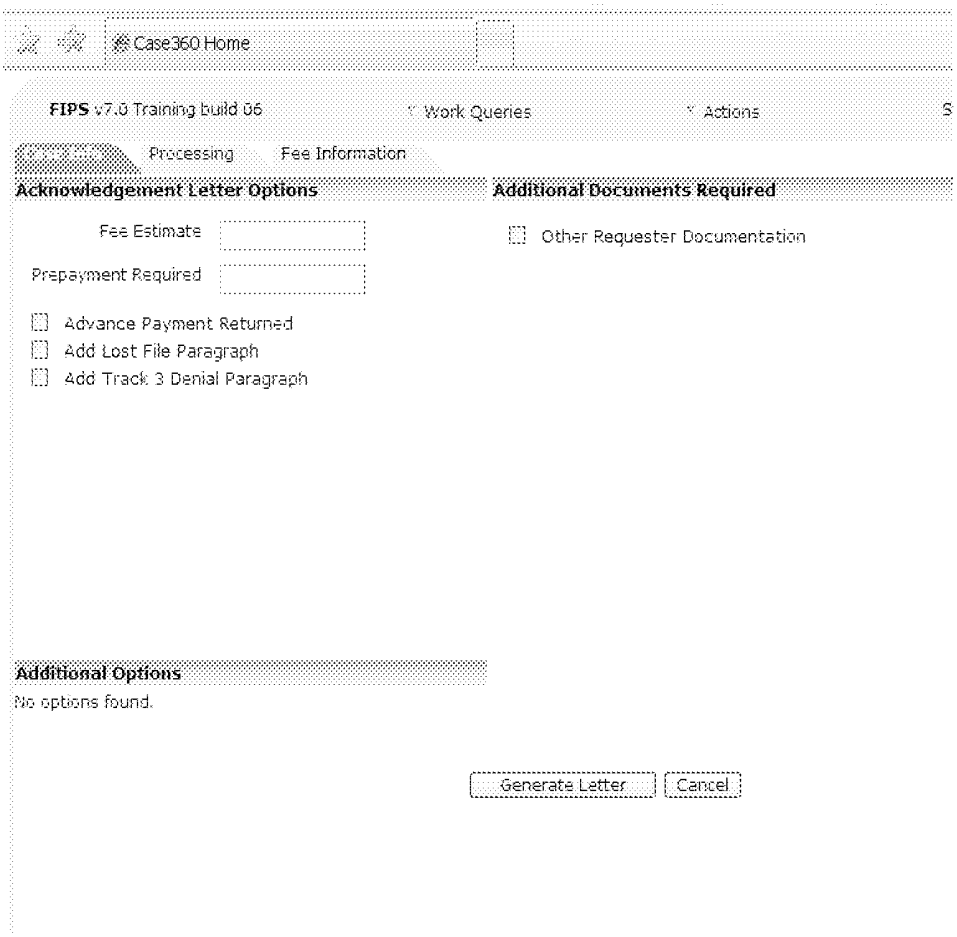
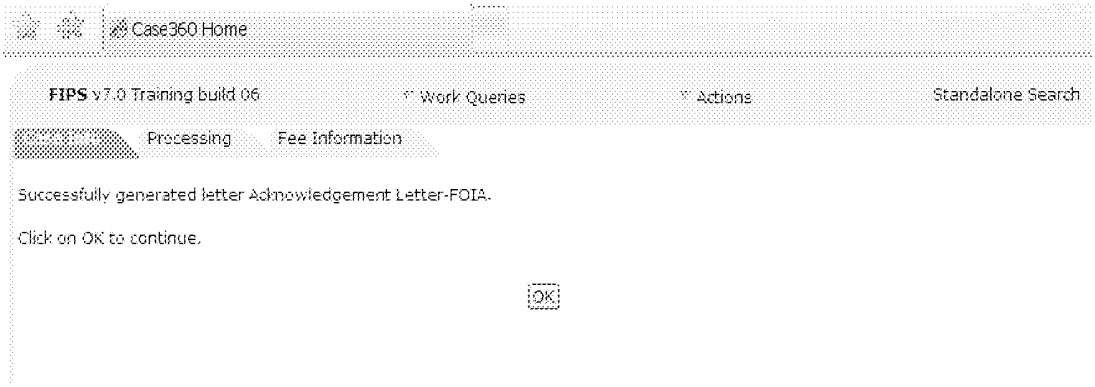


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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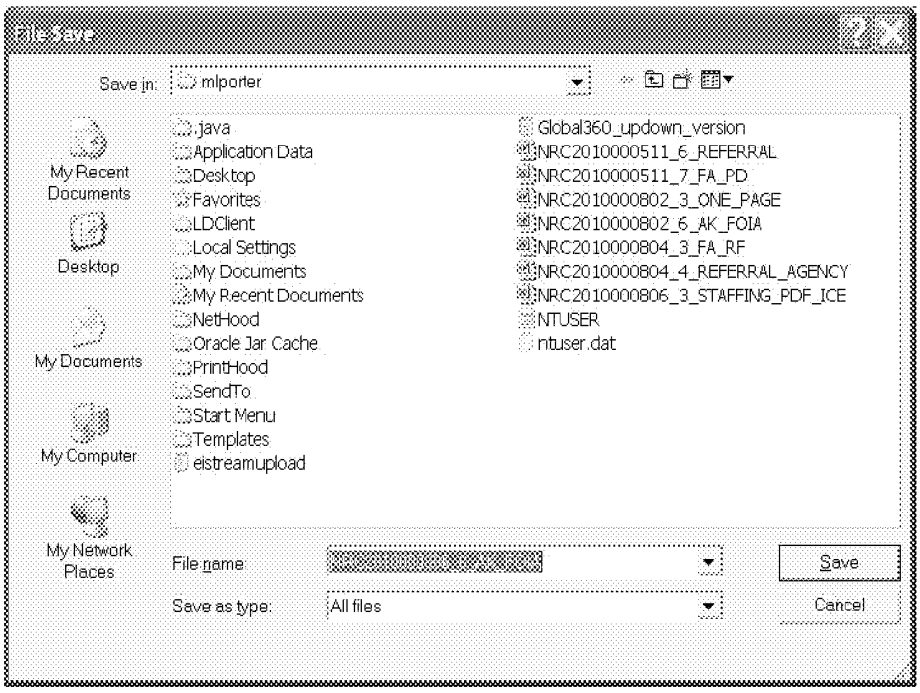

The acknowledgment letter will pop up:

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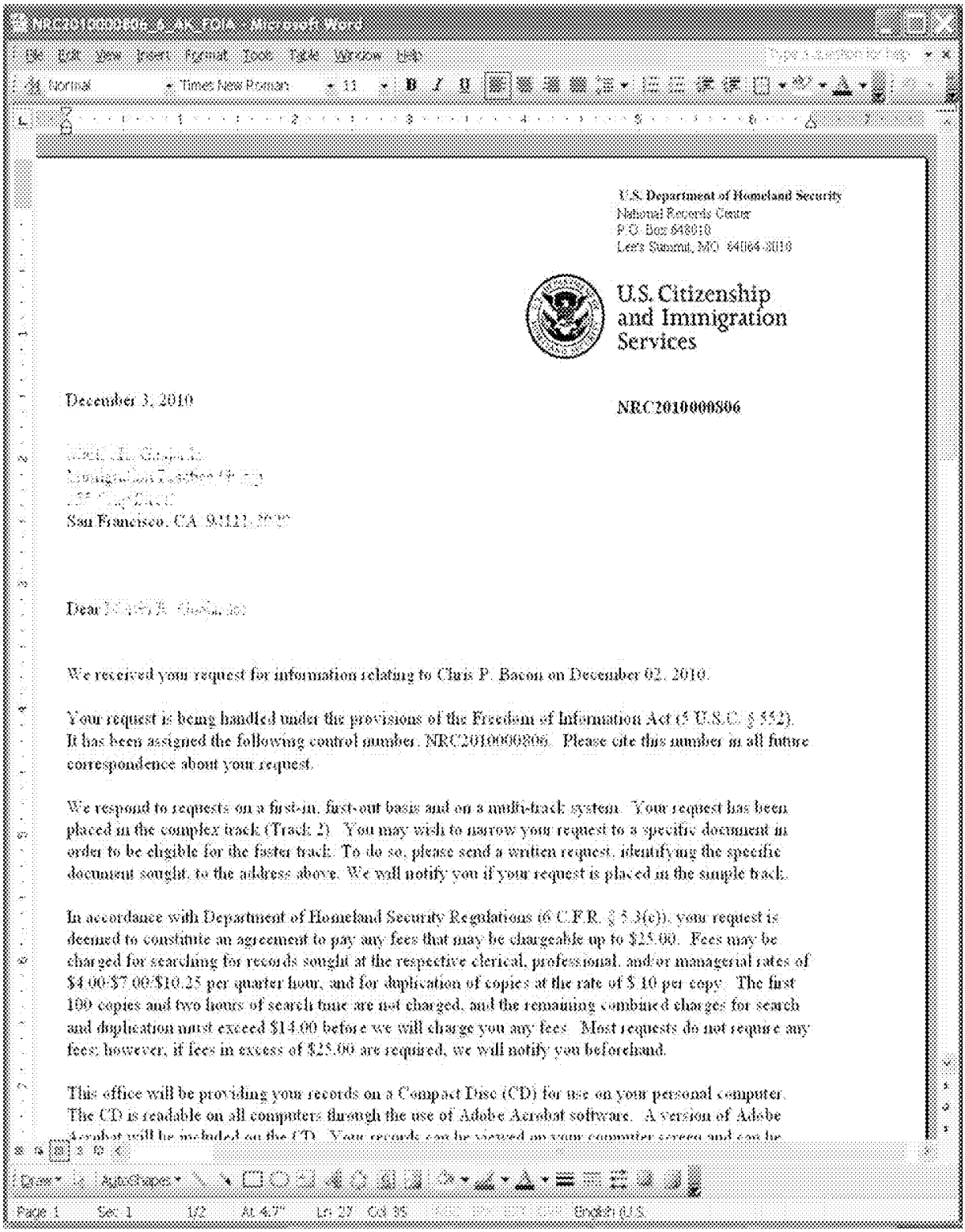

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number, NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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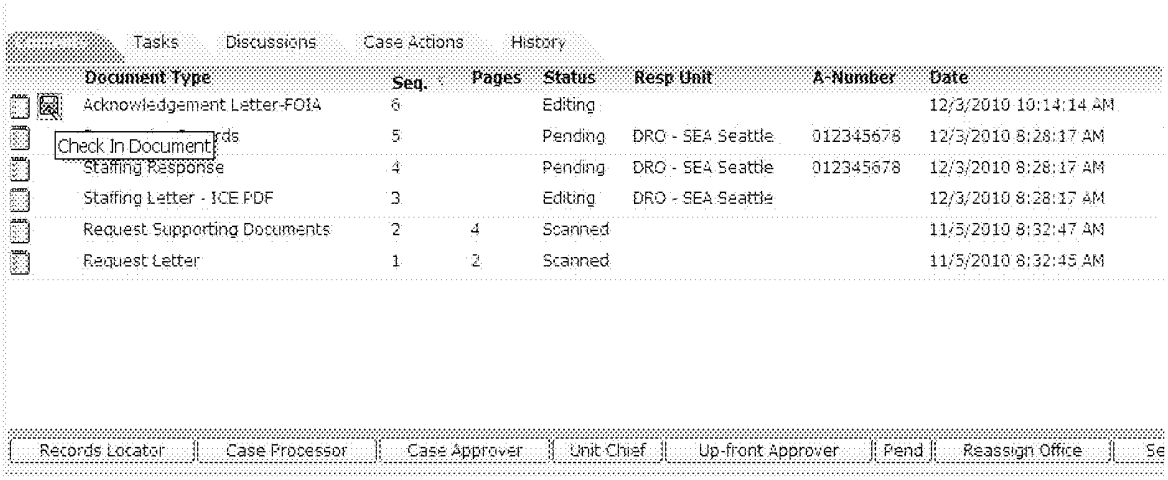
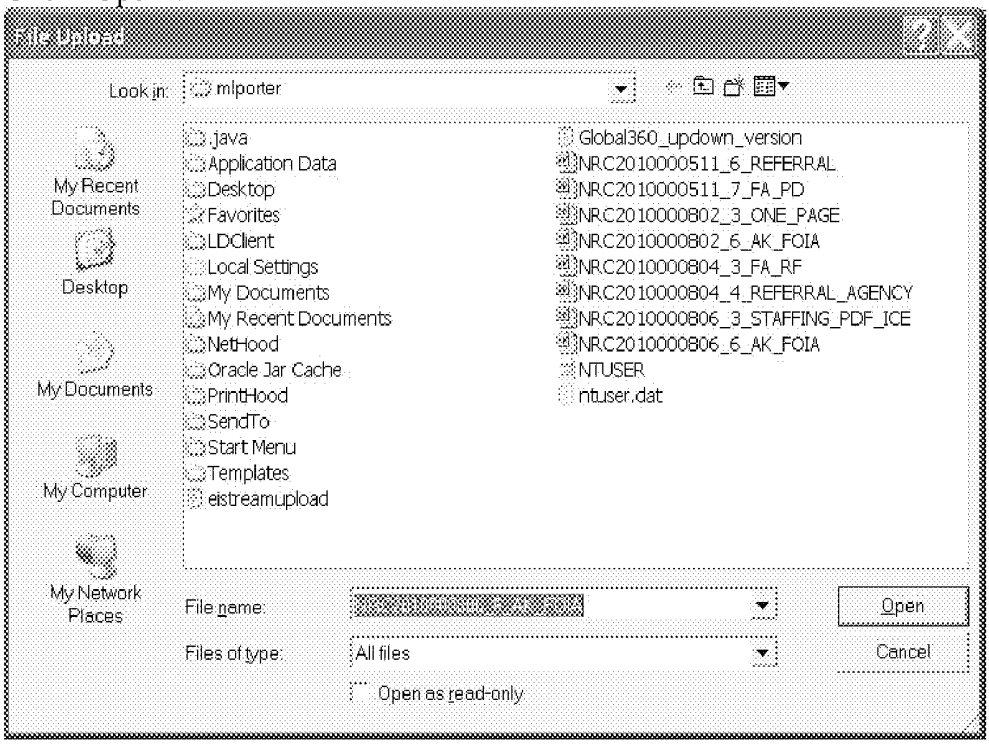


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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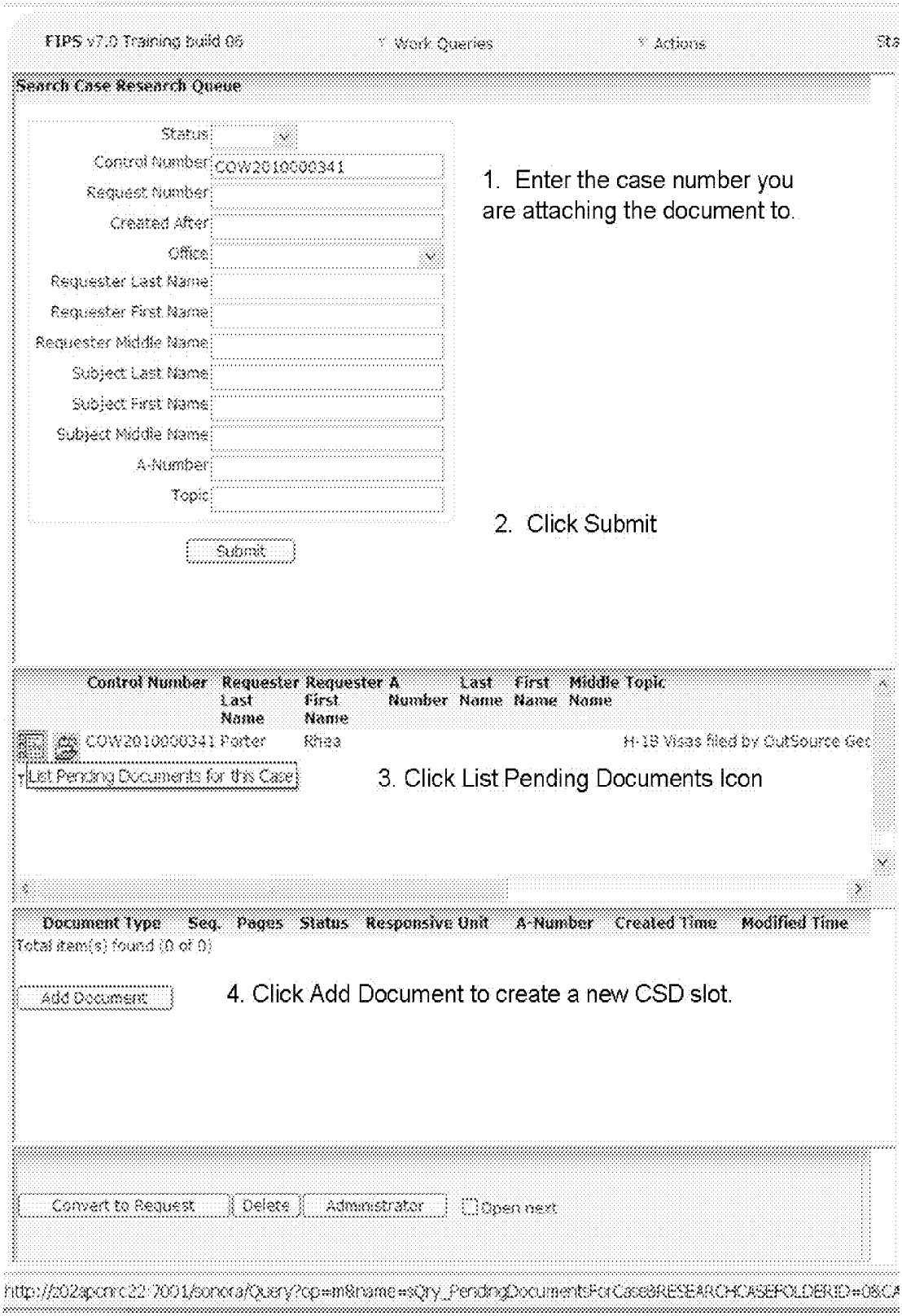

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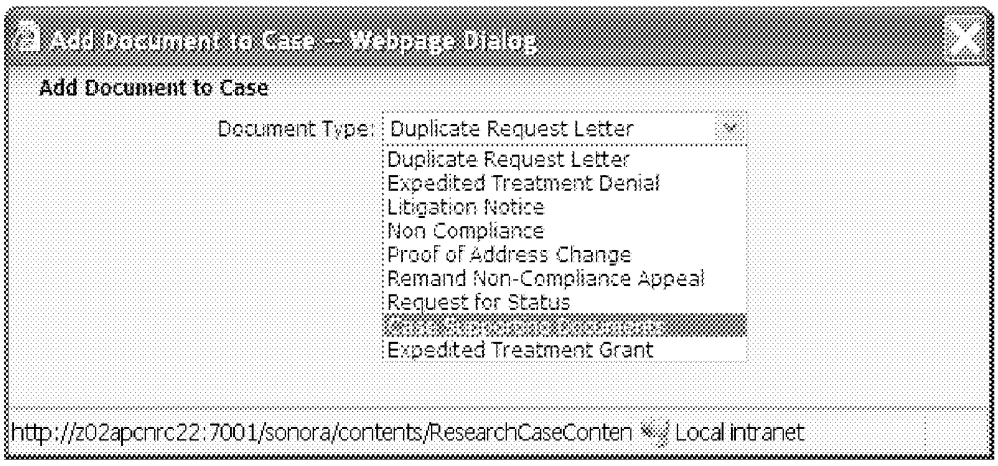

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM (NRC, FOIAOA)

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB (NRC, NRCFOIAMSB)

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

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1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

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32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get

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consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

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32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

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34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

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36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

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41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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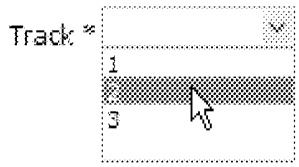
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

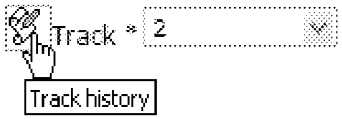
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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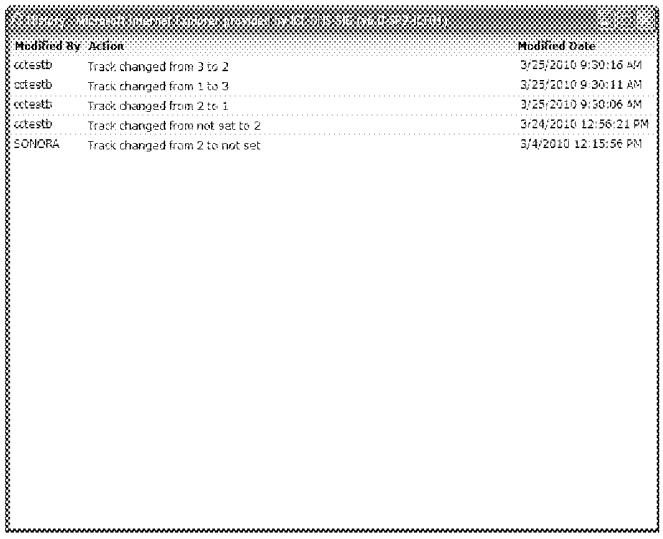
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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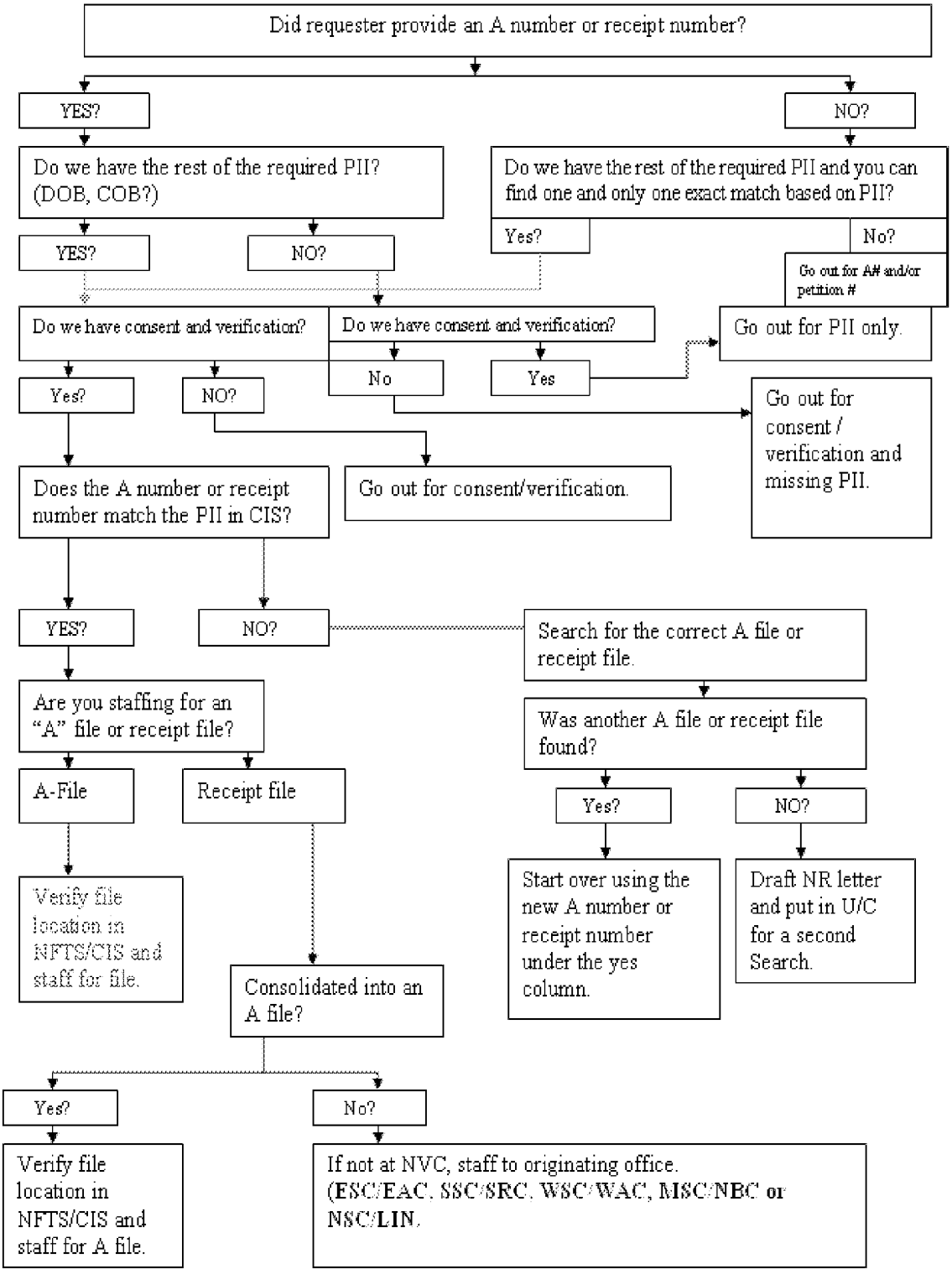
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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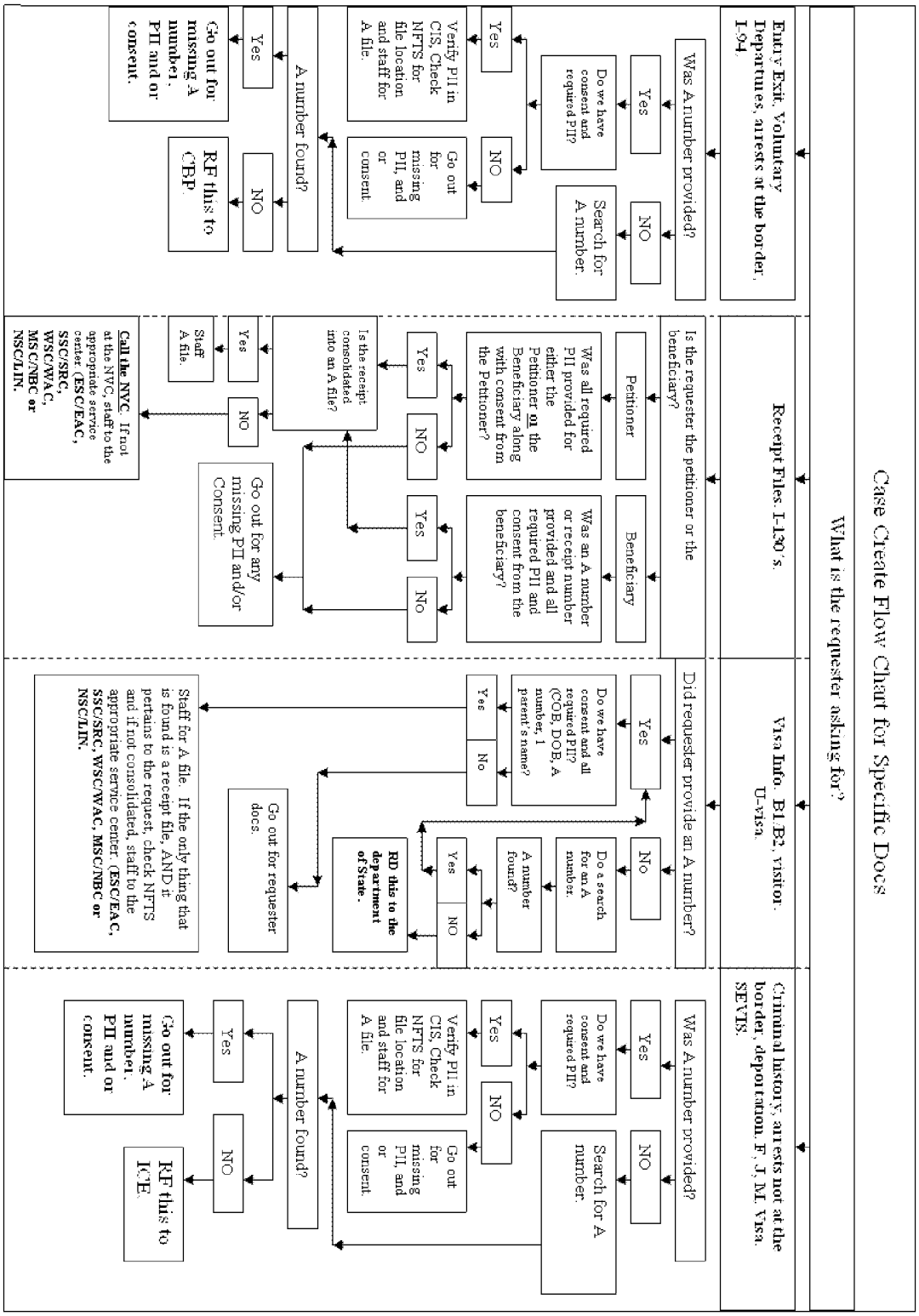

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APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-599-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 090-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-528-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

***Paragraph 7.1,* Consent of Parents or Guardians,** *of the **FOIA/PA Assistant's Guide** has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (not RAFACS CIS) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

(b)(6)

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] tc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen

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prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~12.7.12.4 If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information*." Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.
>
> ---

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information":

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- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

October 24, 2011

We have added a sentence to **Paragraph 8.21**, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

Paragraph 32.12 is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

> **32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

We have added a sentence to **Paragraph 34**, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

Paragraph 36 is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

[The following paragraph has been deleted in its entirety] Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** has been changed as follows (~~old version in strikethrough~~) (new version in red):

~~Just before you create the case,~~ Before you begin filling in the worksheet, you should look for duplicates.

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the *FOIA/PA Assistant's Guide*

December 14, 2011

Paragraph 7.4, **Third Party Requests** has been changed as follows (new information in red, deleted information in strikethrough)

Third party requesters are not entitled to any public documents that may be in the file they are seeking, as well as nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply. simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

March 2, 2012

We have re-written section 6.3.5 as follows:

6.3.5 Bureau

The three possible selections for Bureau are:

ICE – Please select ICE if you are staffing to any ICE location, for example OPLA, DRO or SAC. There may be other ICE locations, and if you are unsure, please consult your supervisor.

CIS – Used for all other categories. This is the default in FIPS.

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CBP – Please select CBP if the request pertains specifically to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

We have extensively re-written section **7.3 Reasonable Description of Records Being Sought** to reflect closing for failure to comply if the requester fails to provide name, address, date of birth, place of birth and adequate signature for verification of identity.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statute became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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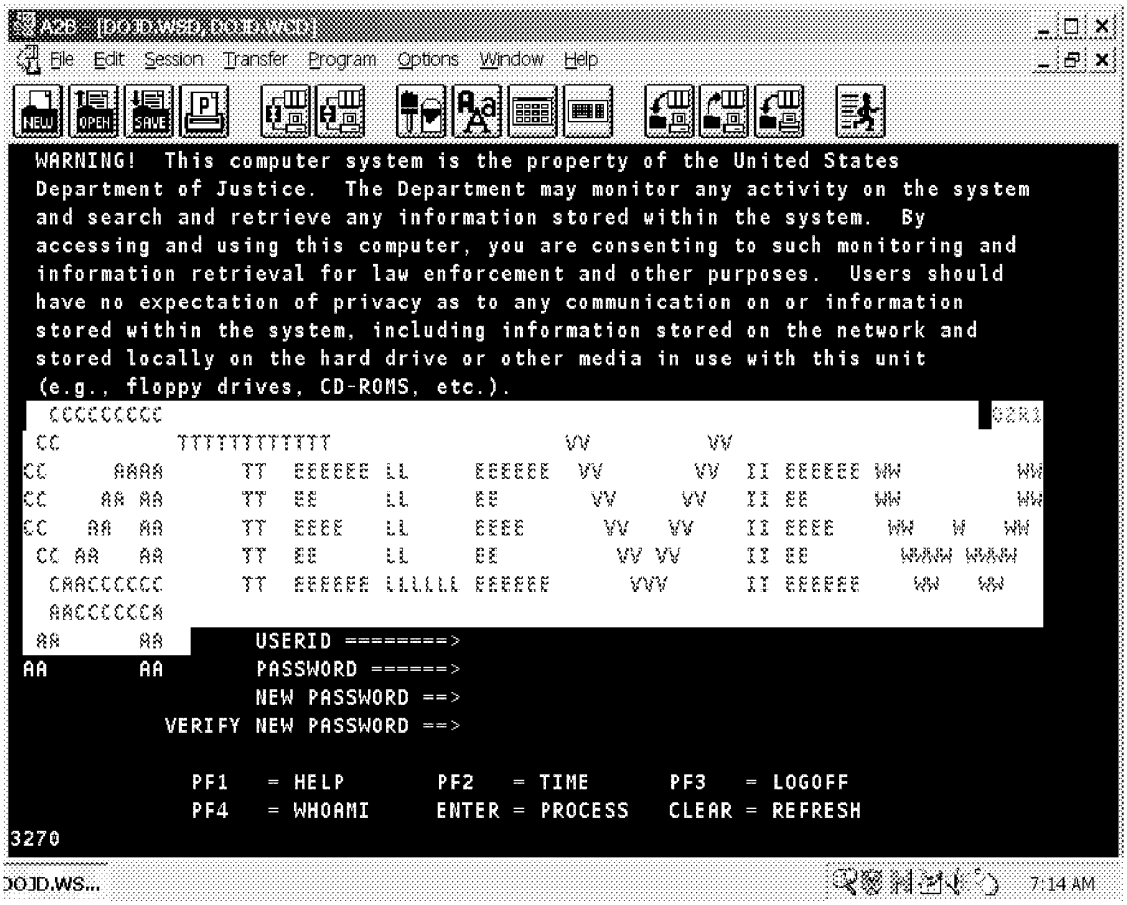
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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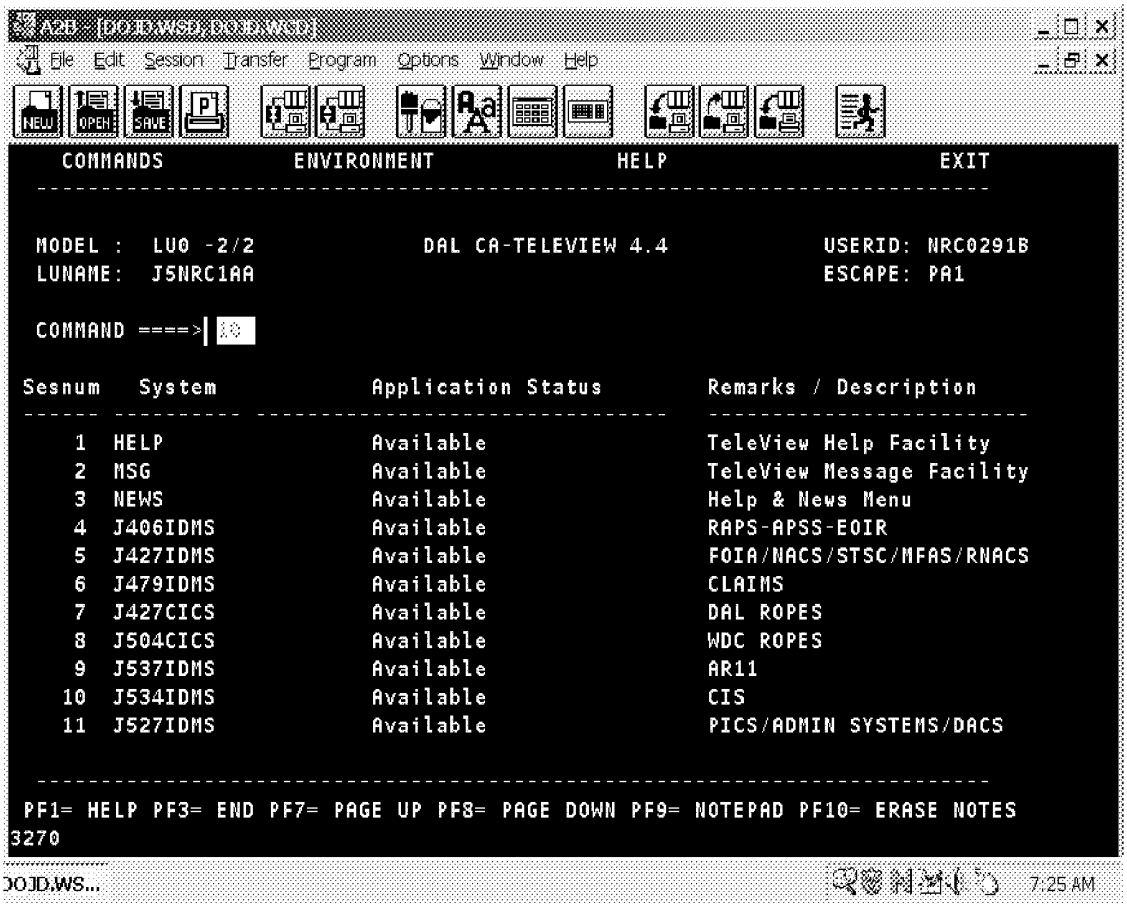
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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5.1.4 CIS Main Menu

This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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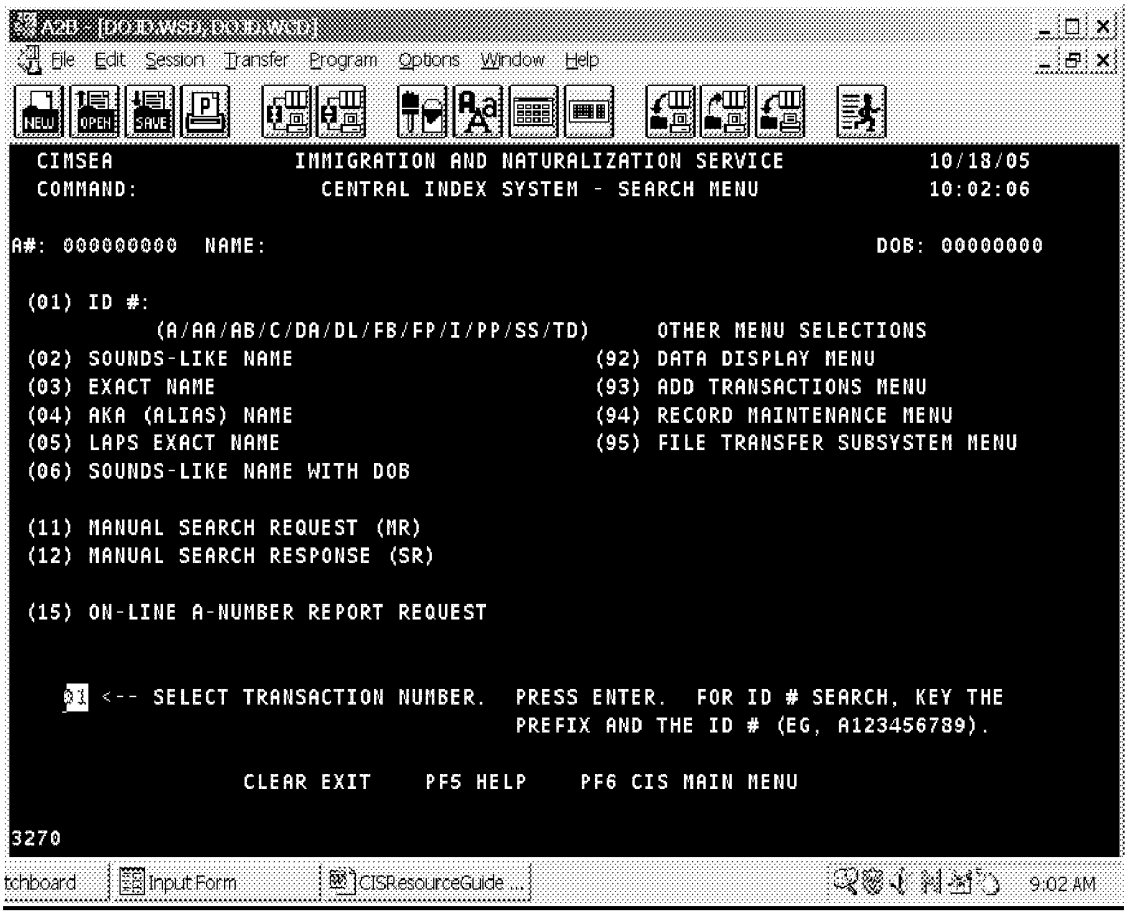
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

Code	Search by Category
01	ID # (A-number, certificate number, social security number, passport number, etc.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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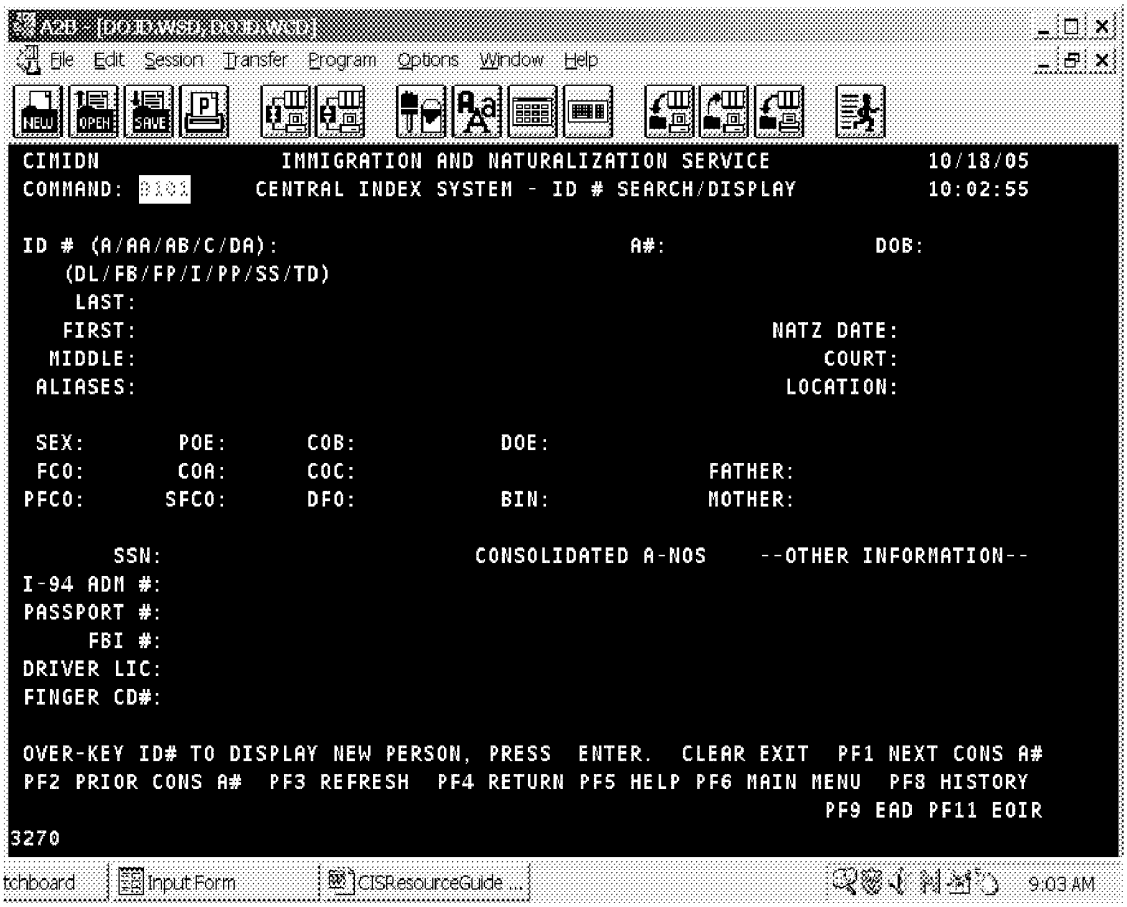
5.1.4.2 Search by A-number (9101)



In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is that it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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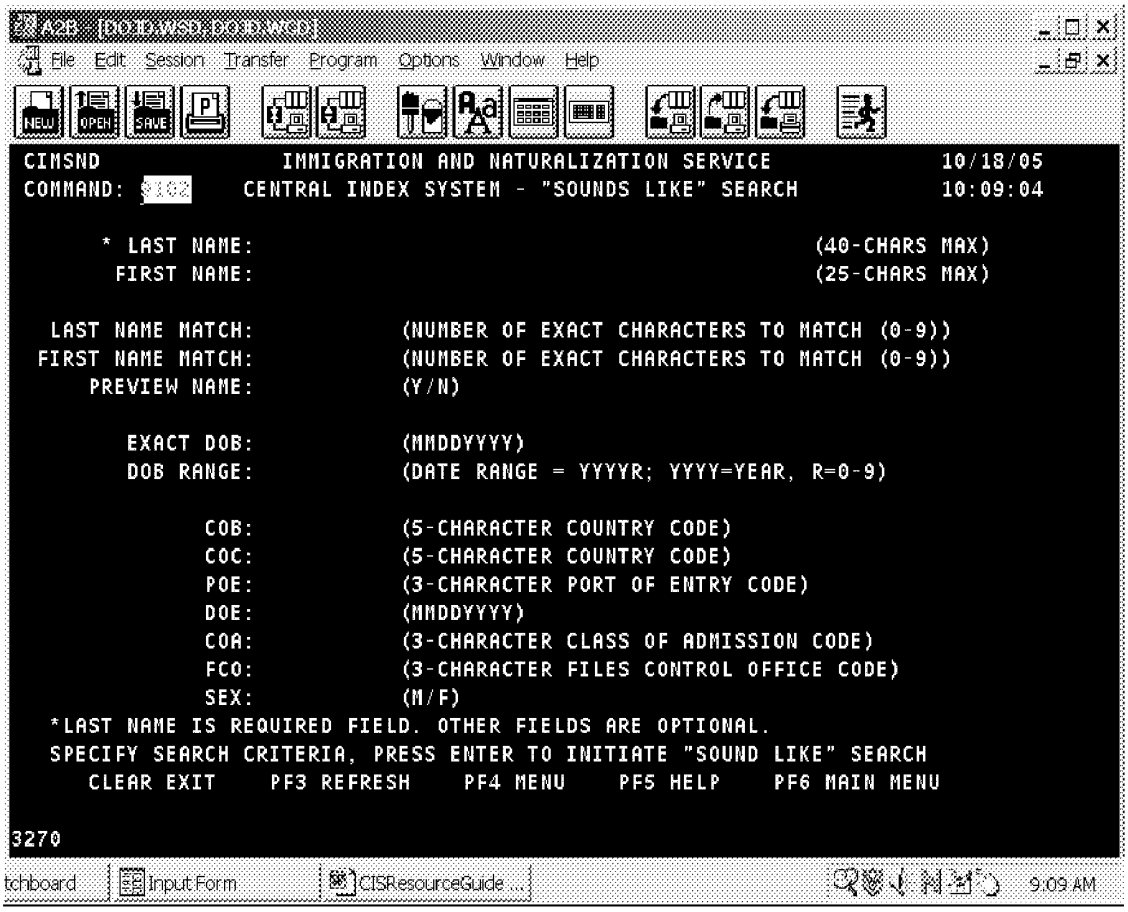

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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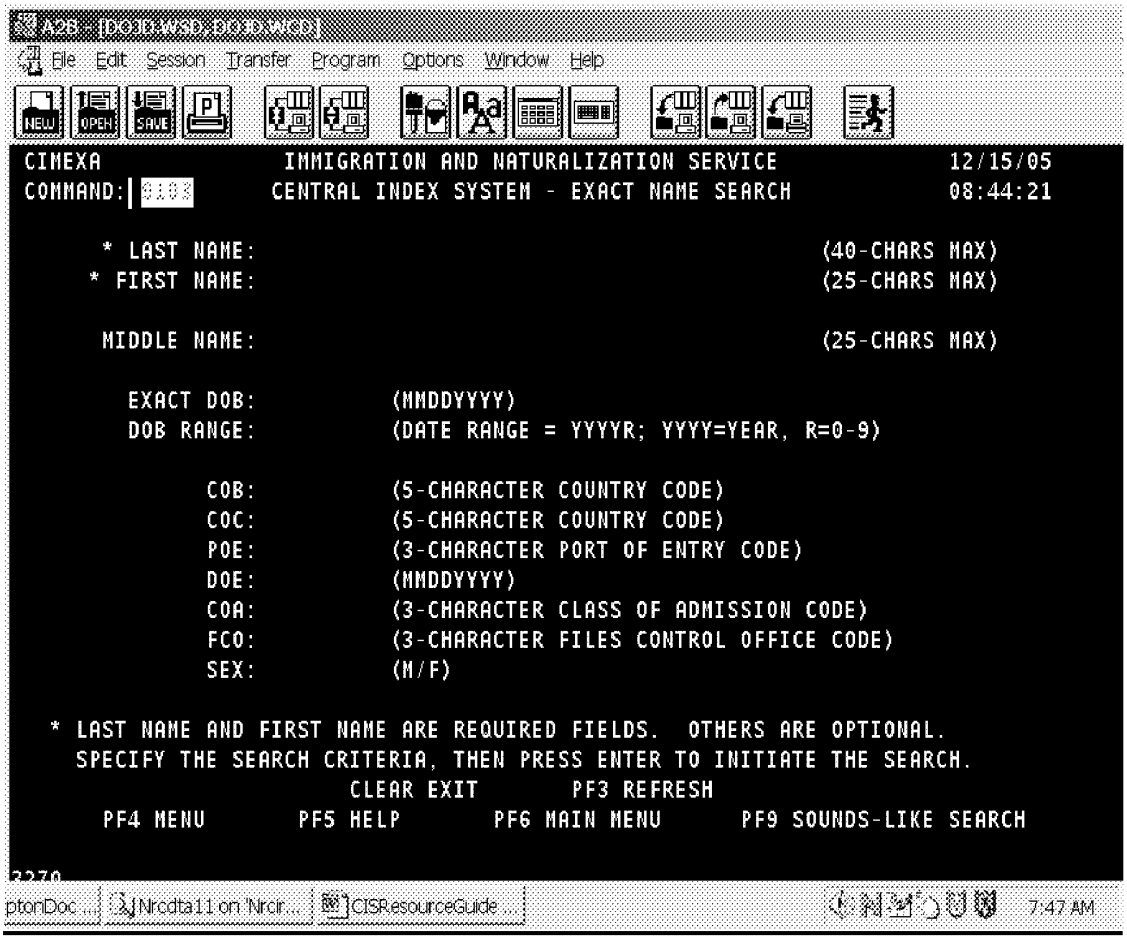
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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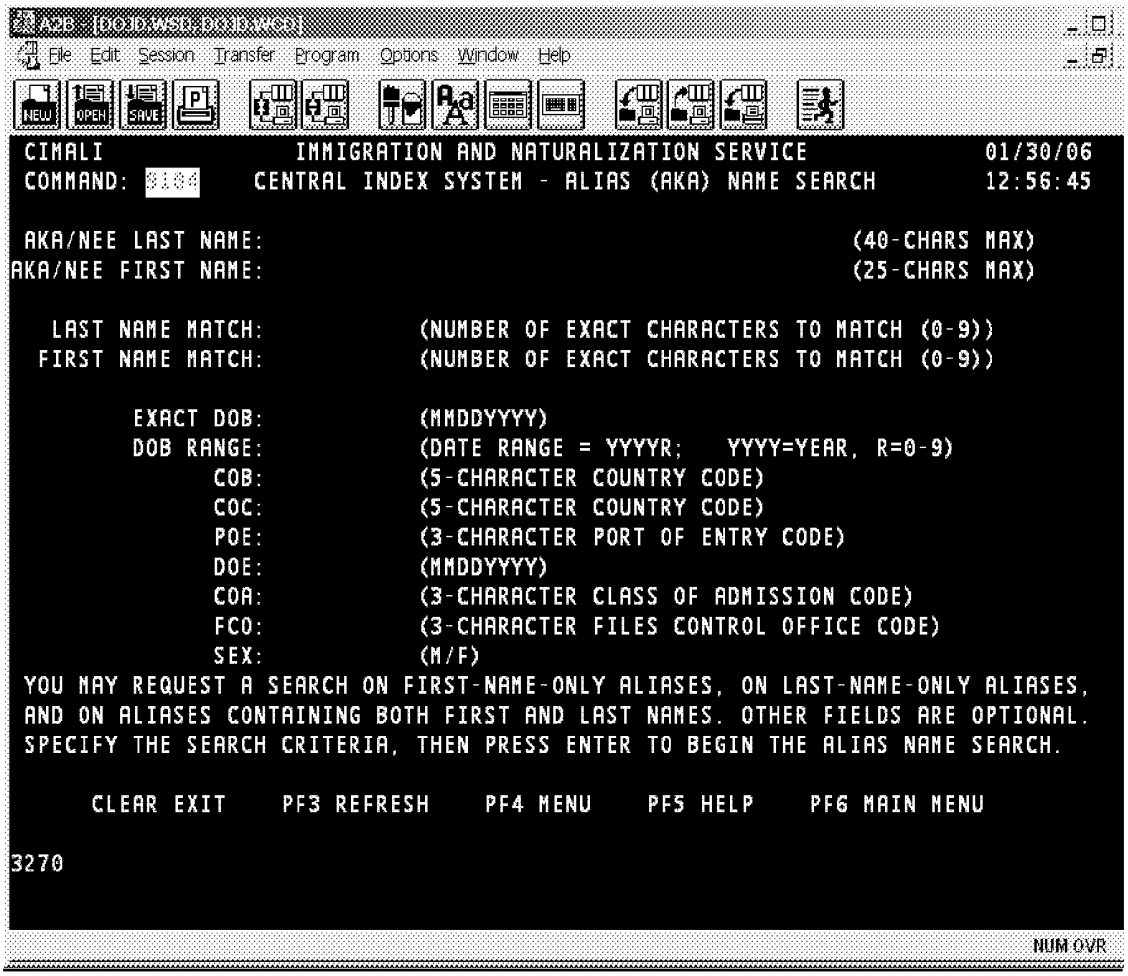
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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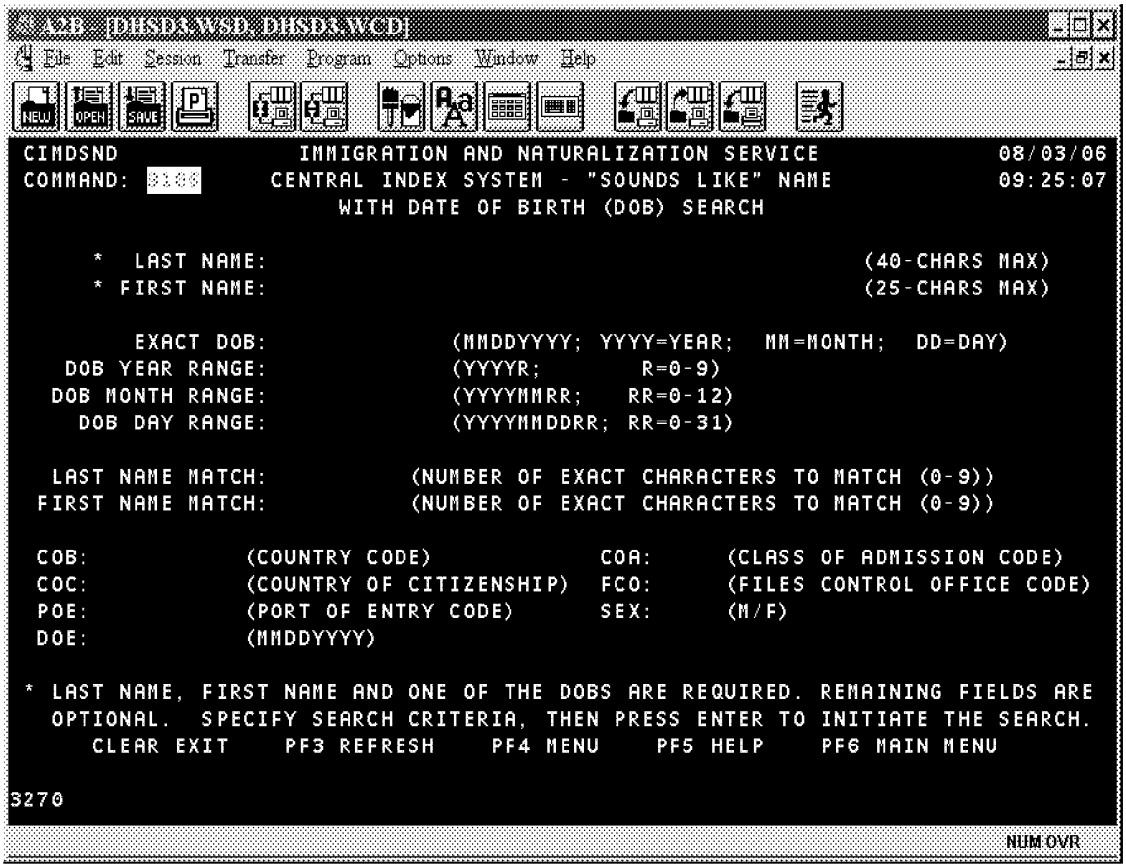
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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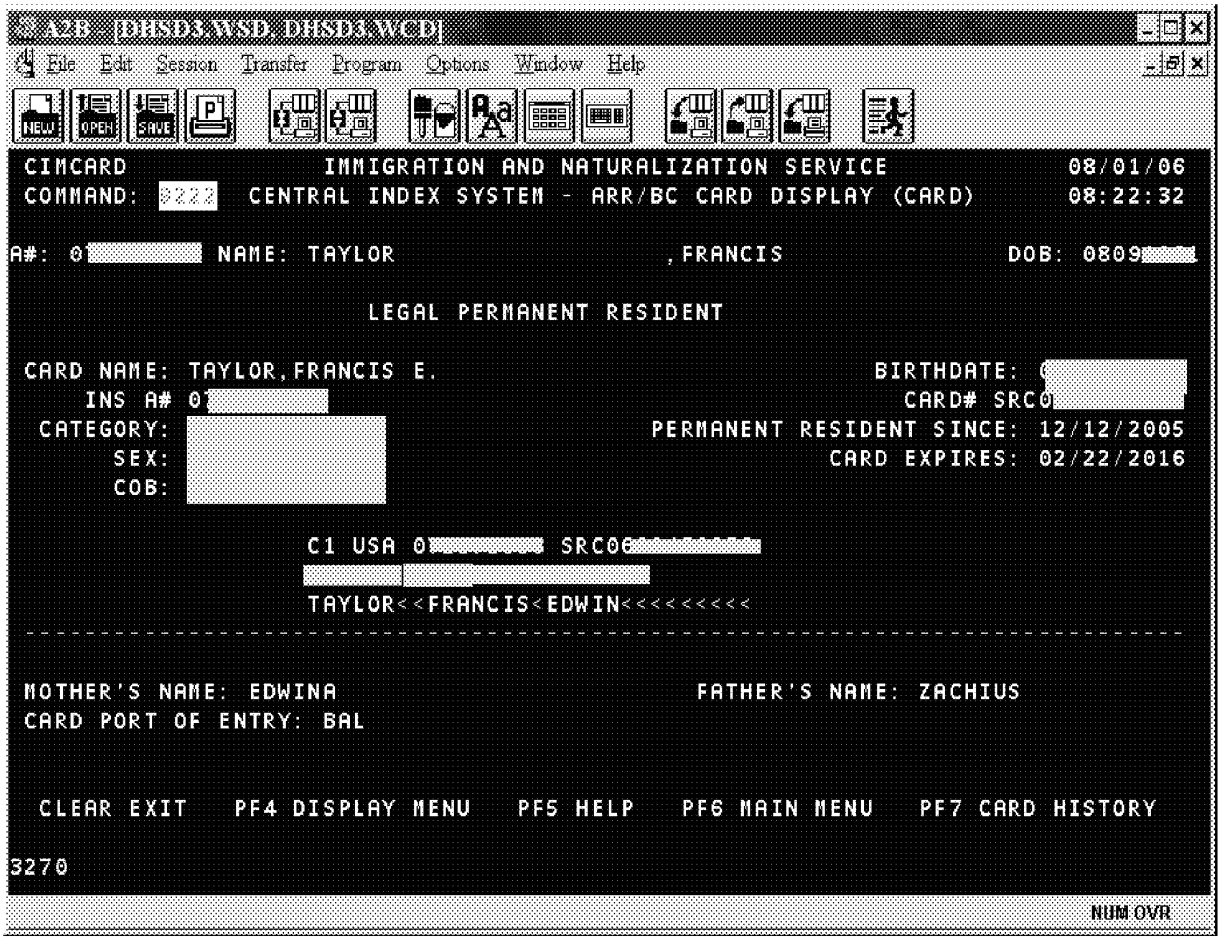
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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5.1.10 File Transfer Display (9504)

The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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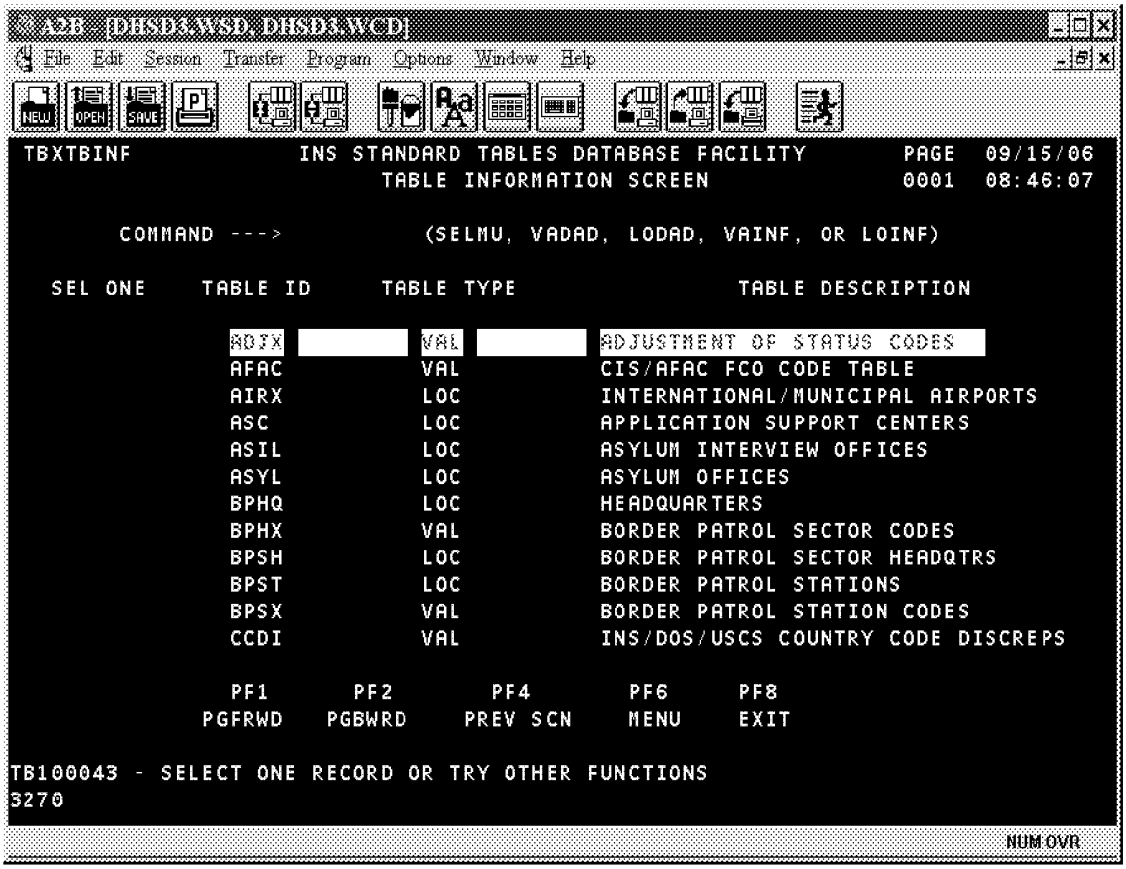
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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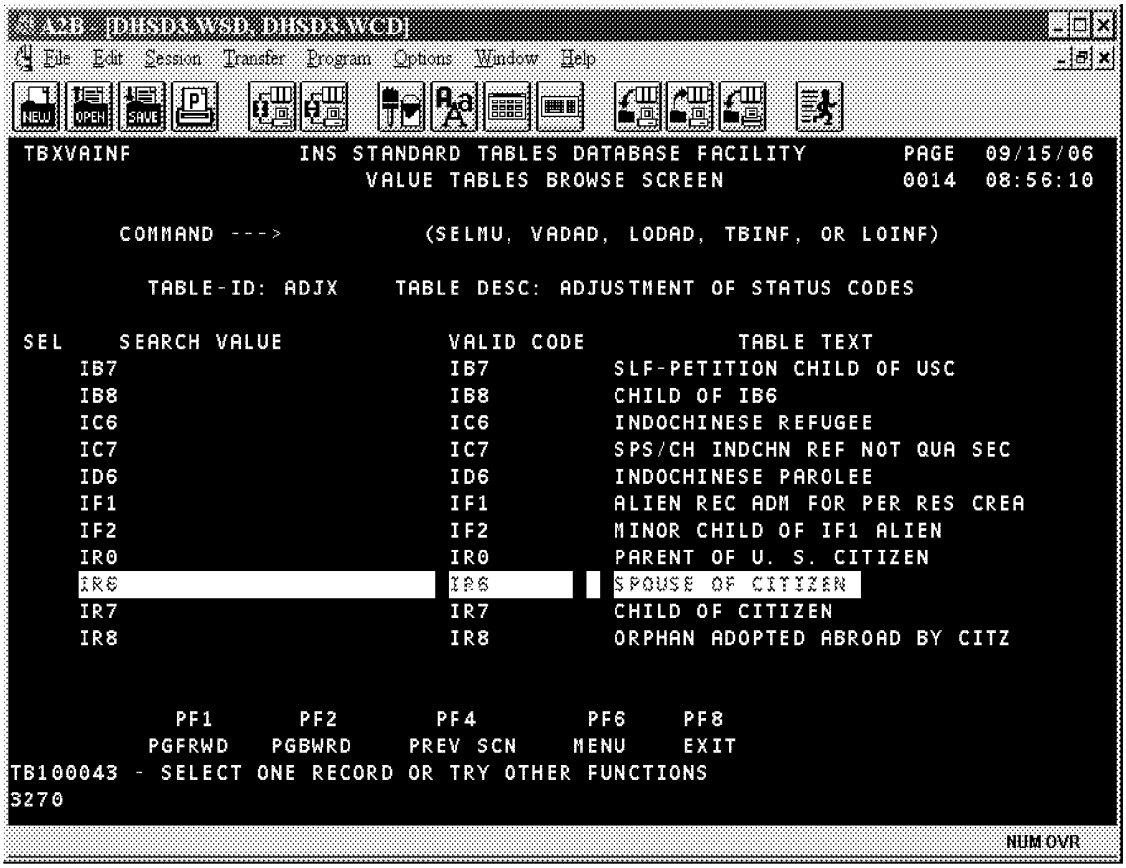
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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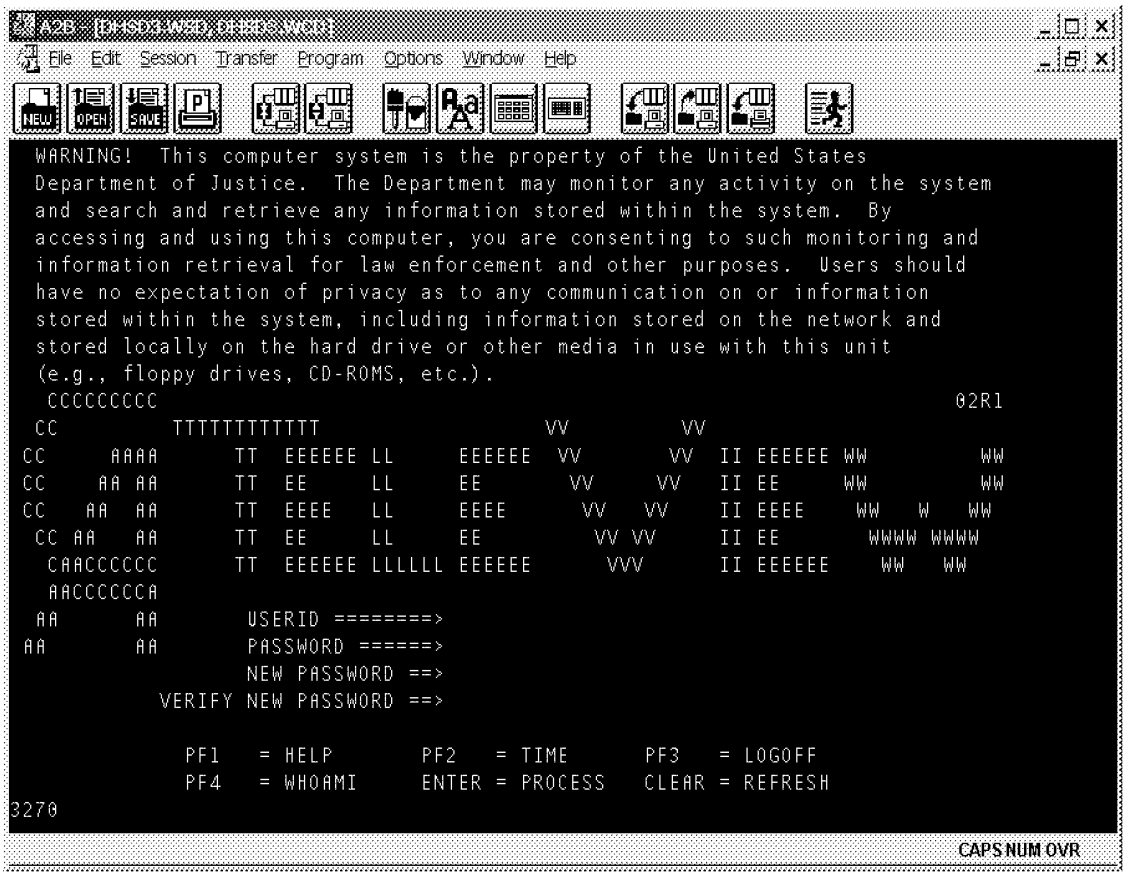
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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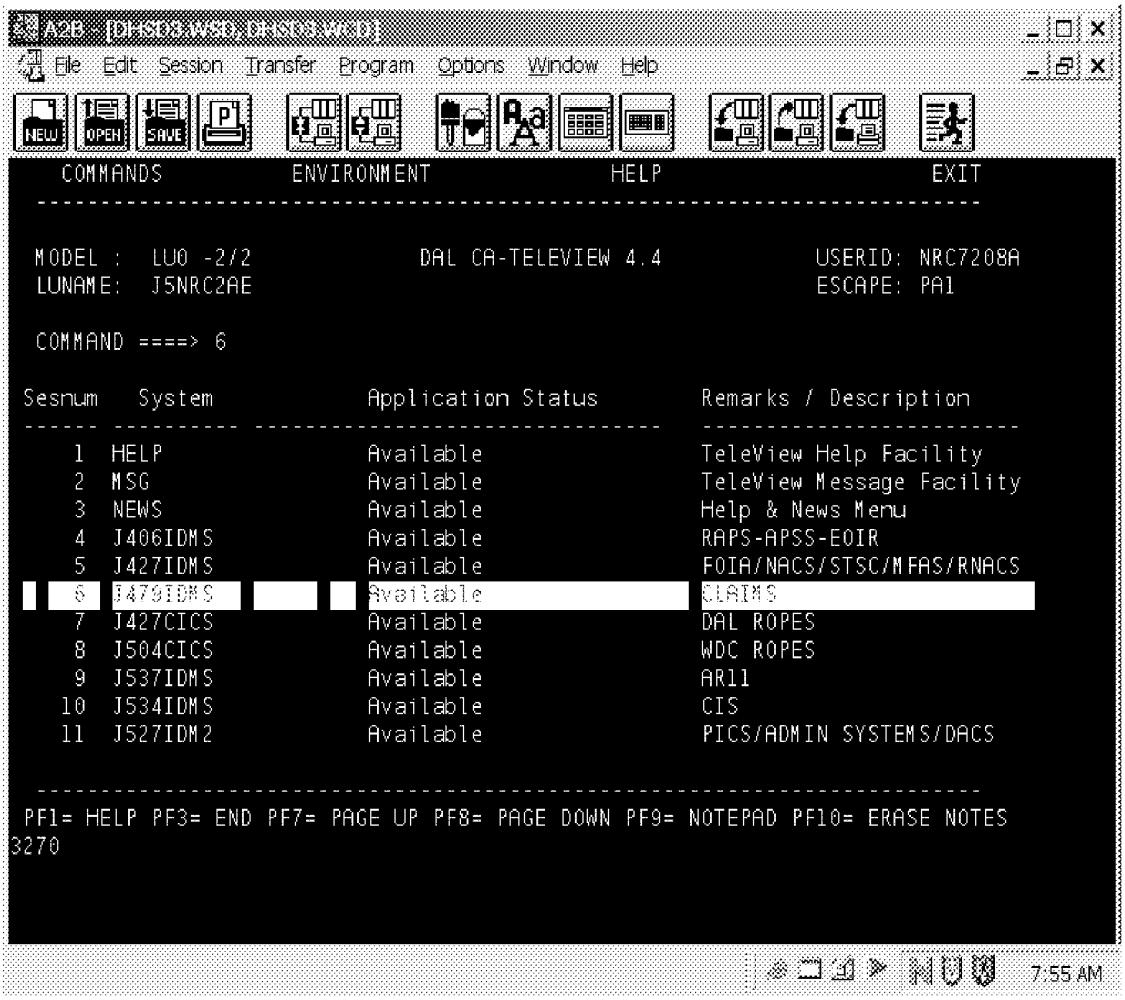
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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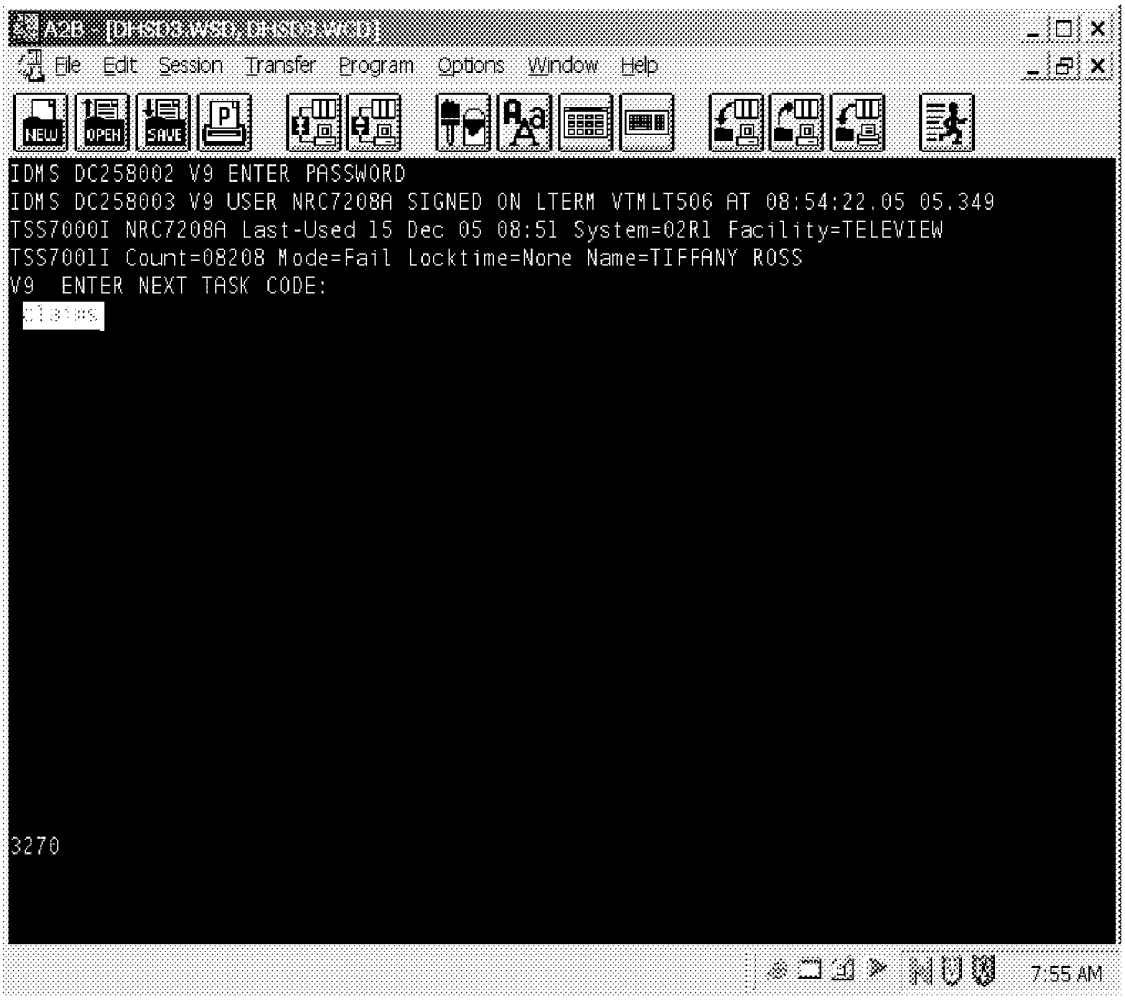
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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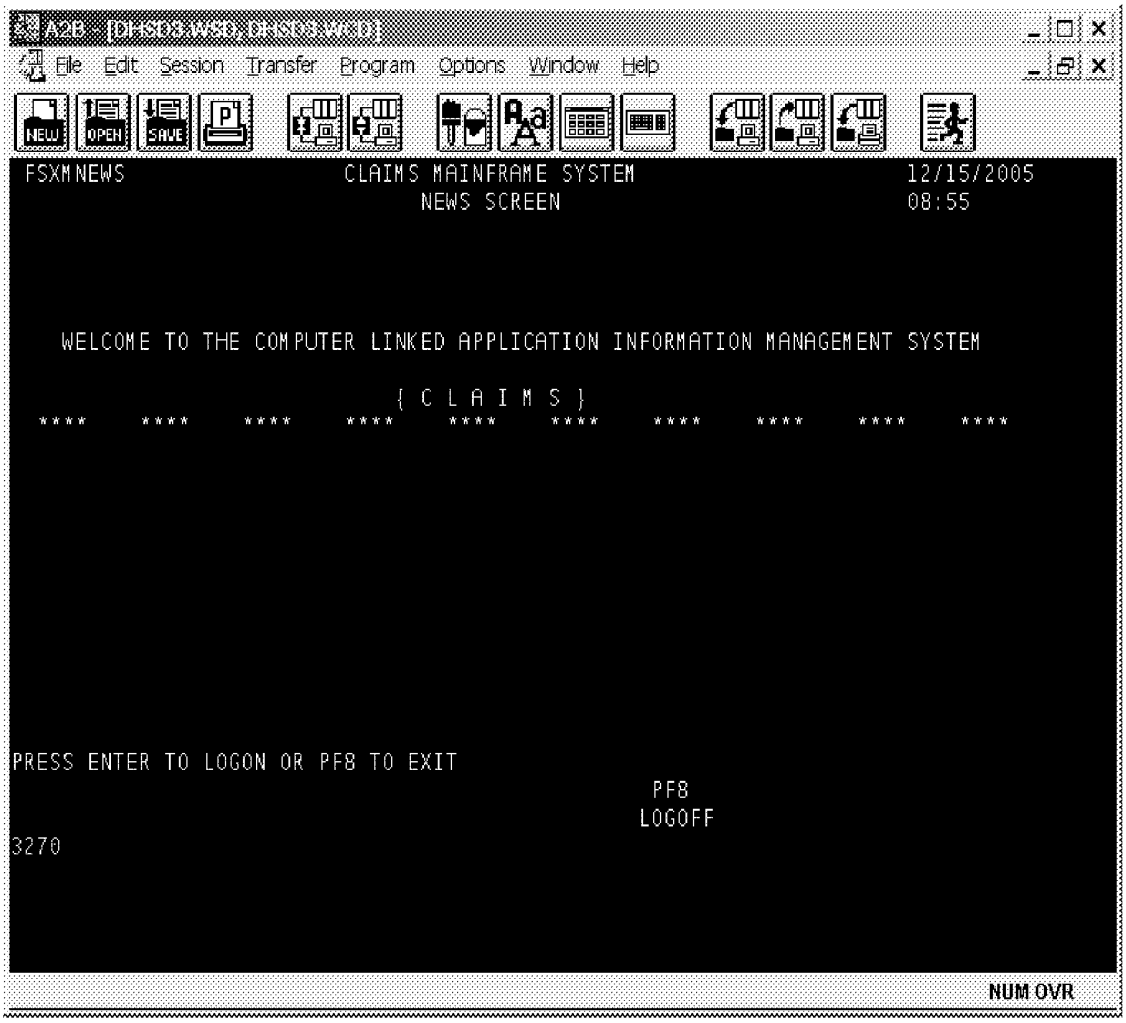
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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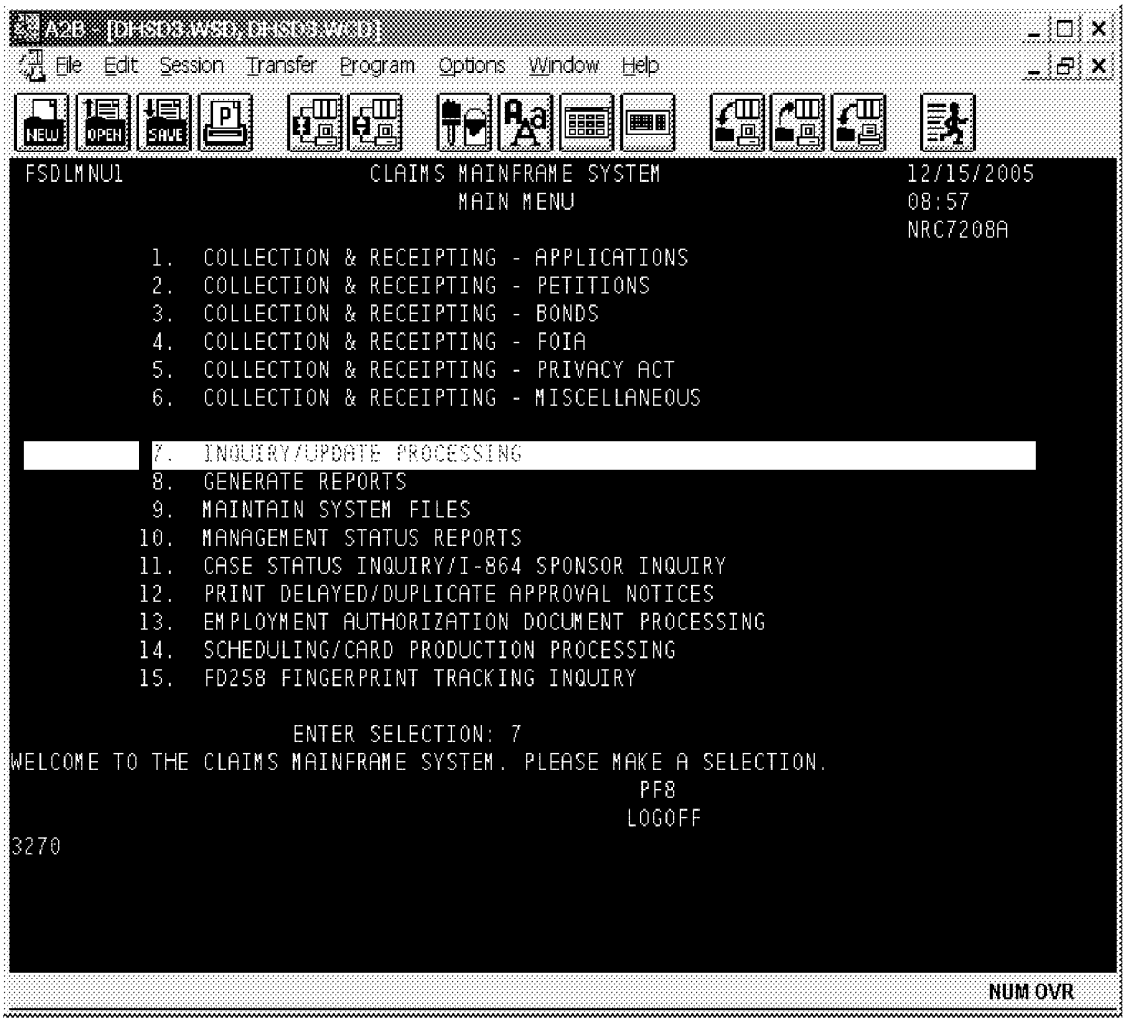
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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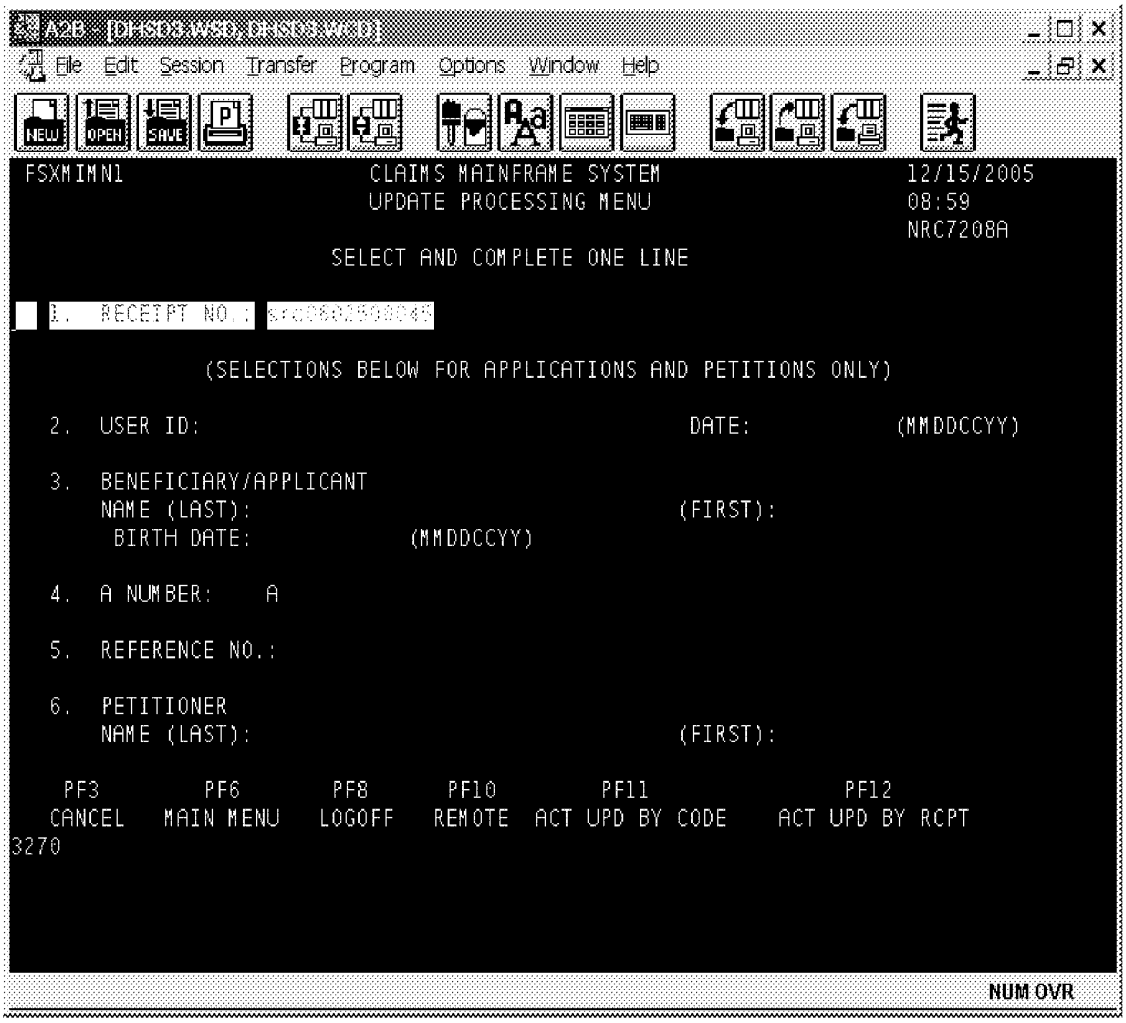
5.2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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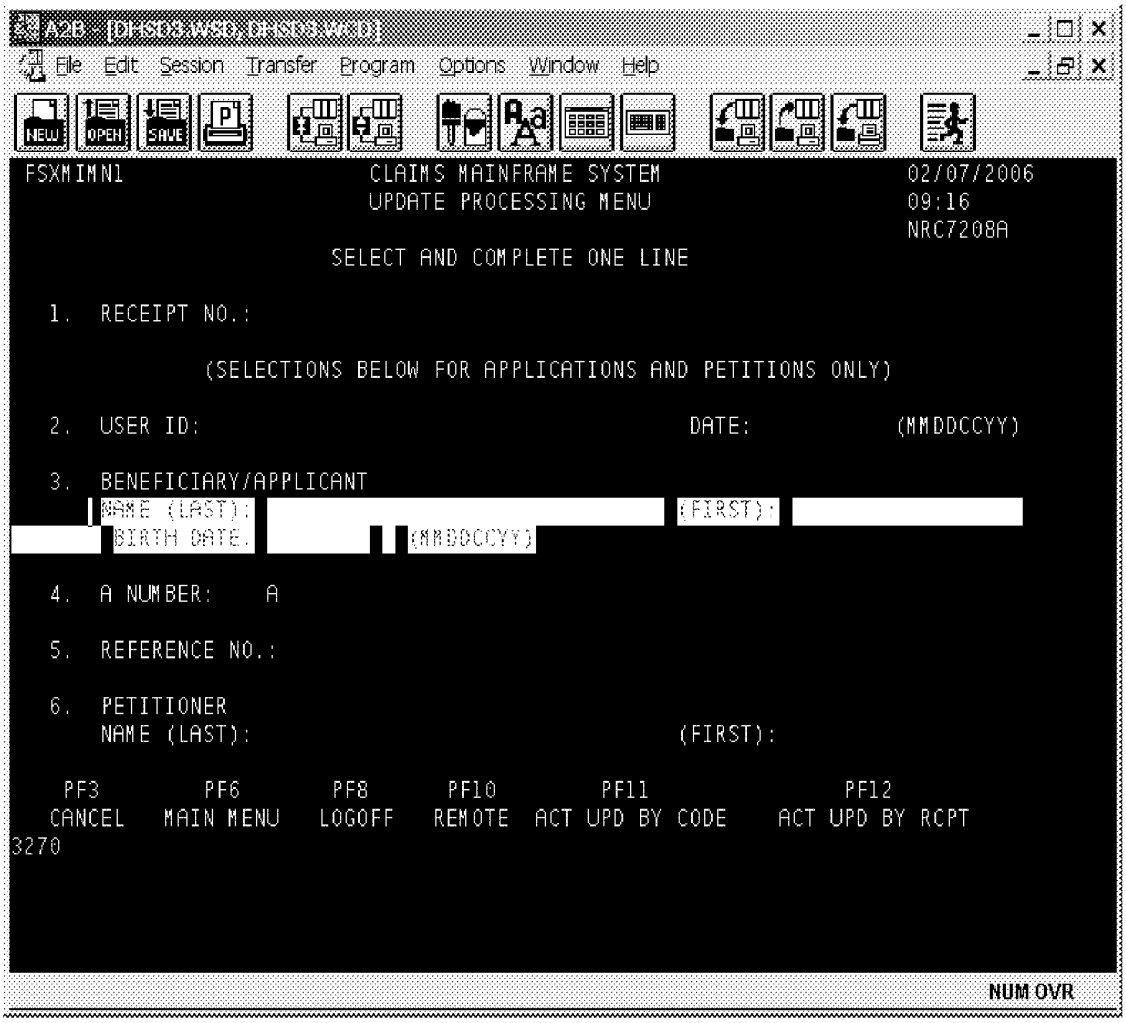
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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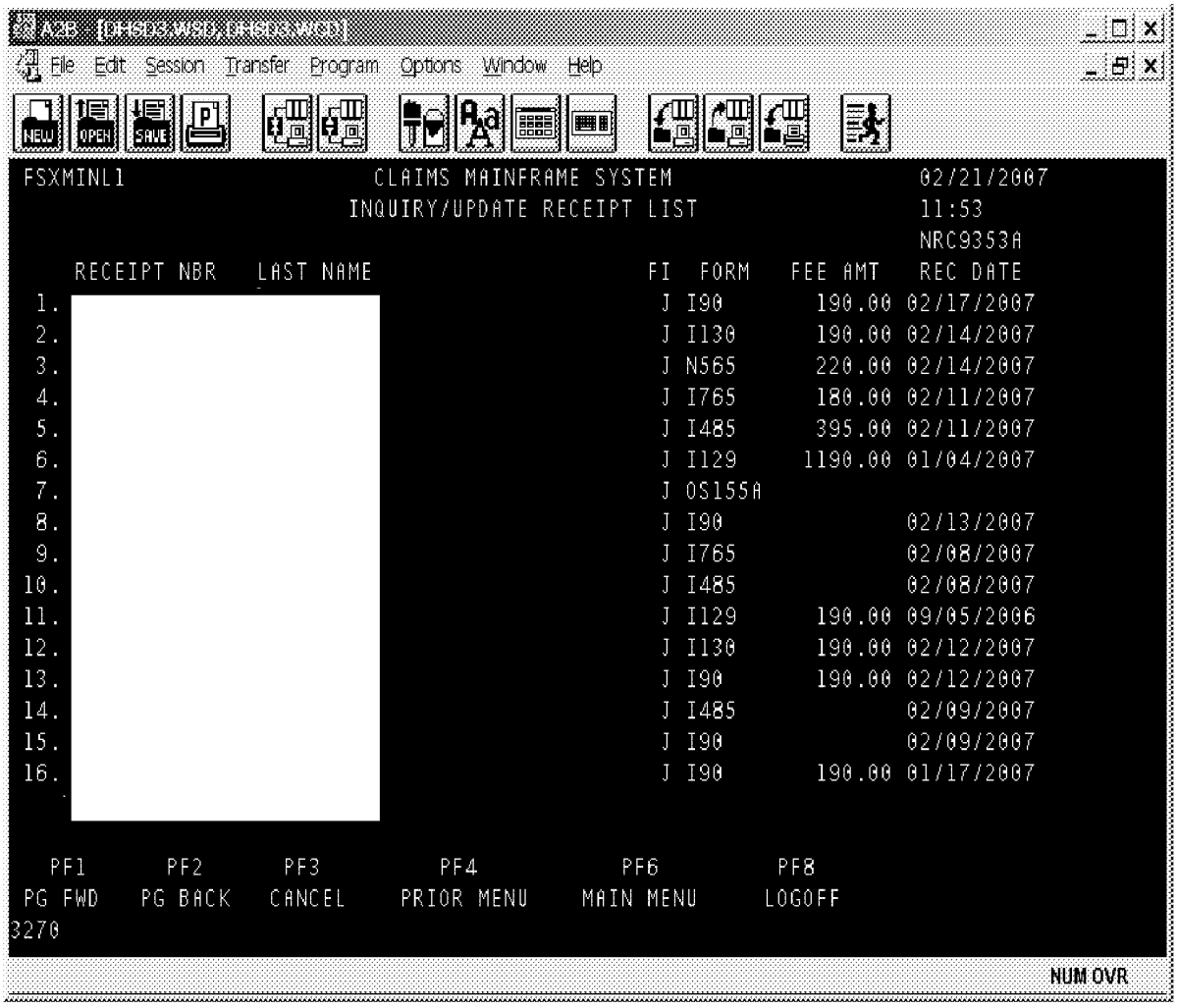
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number will be displayed.

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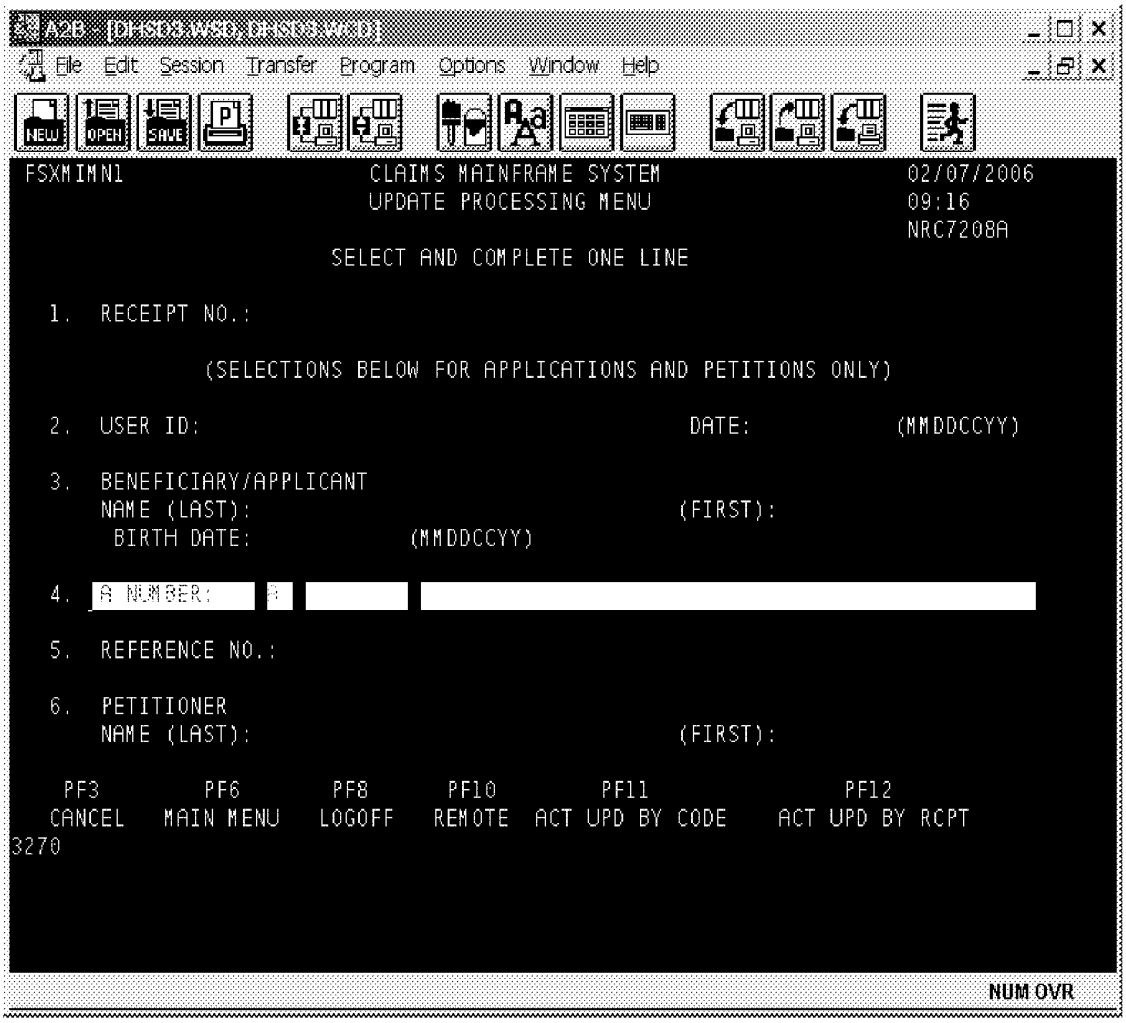
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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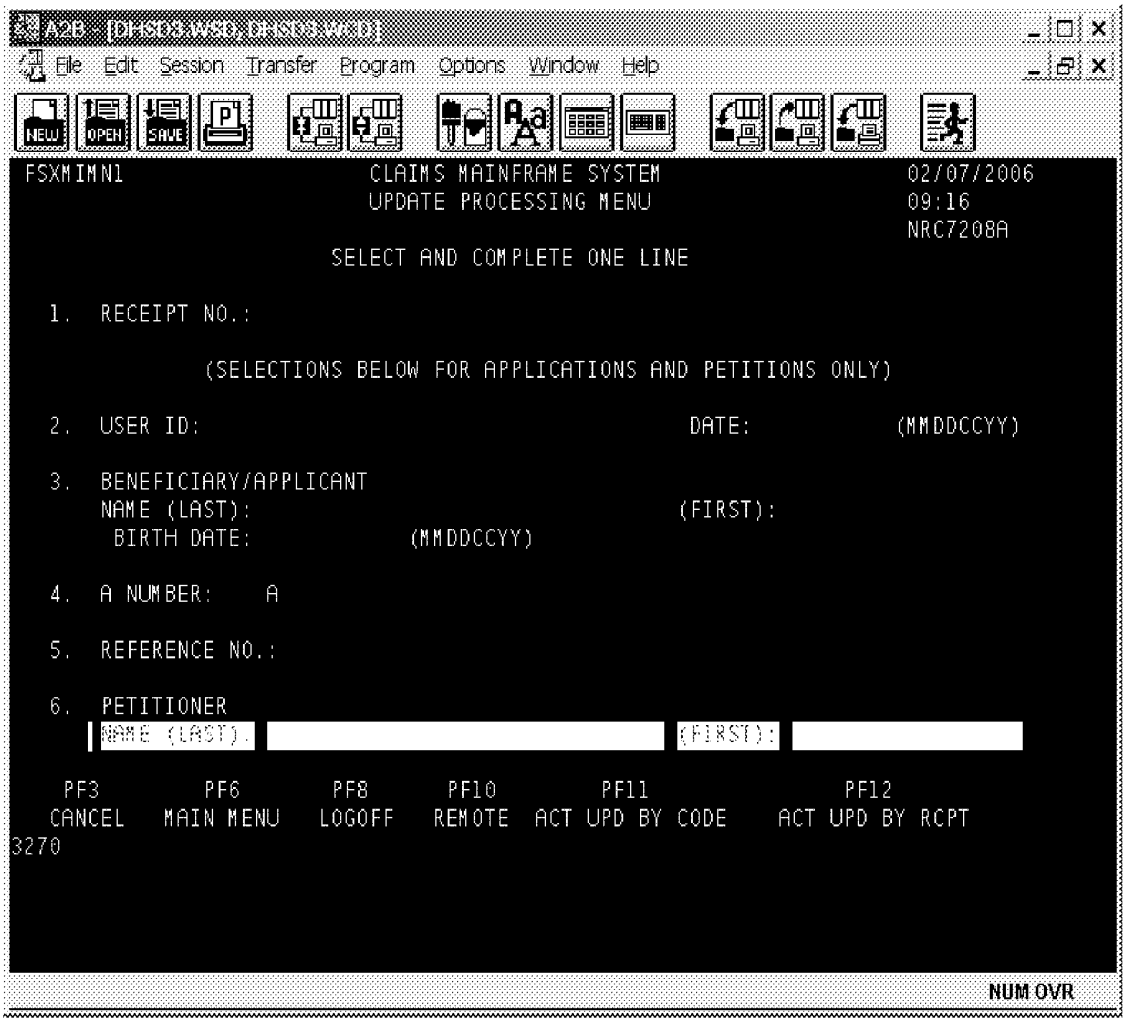
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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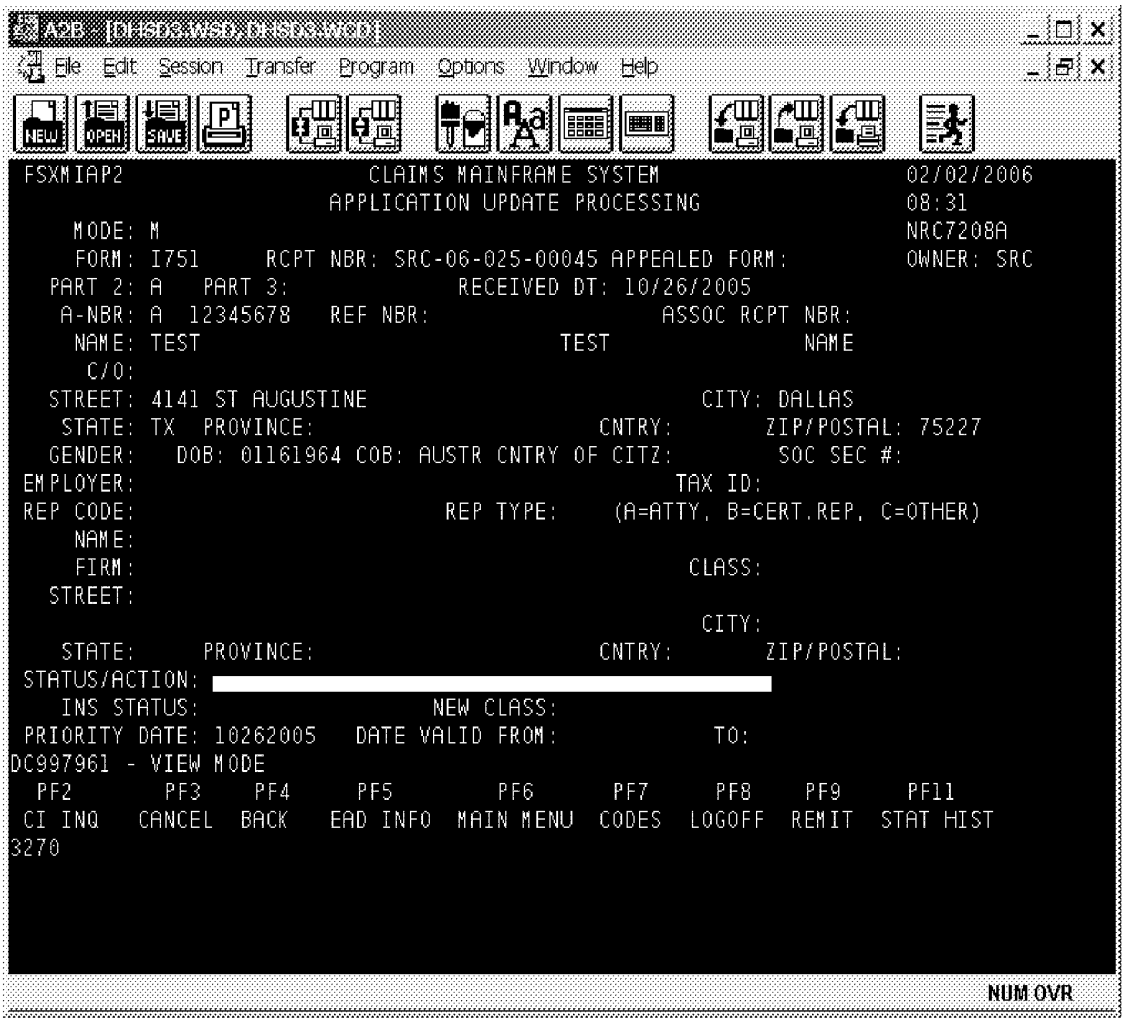
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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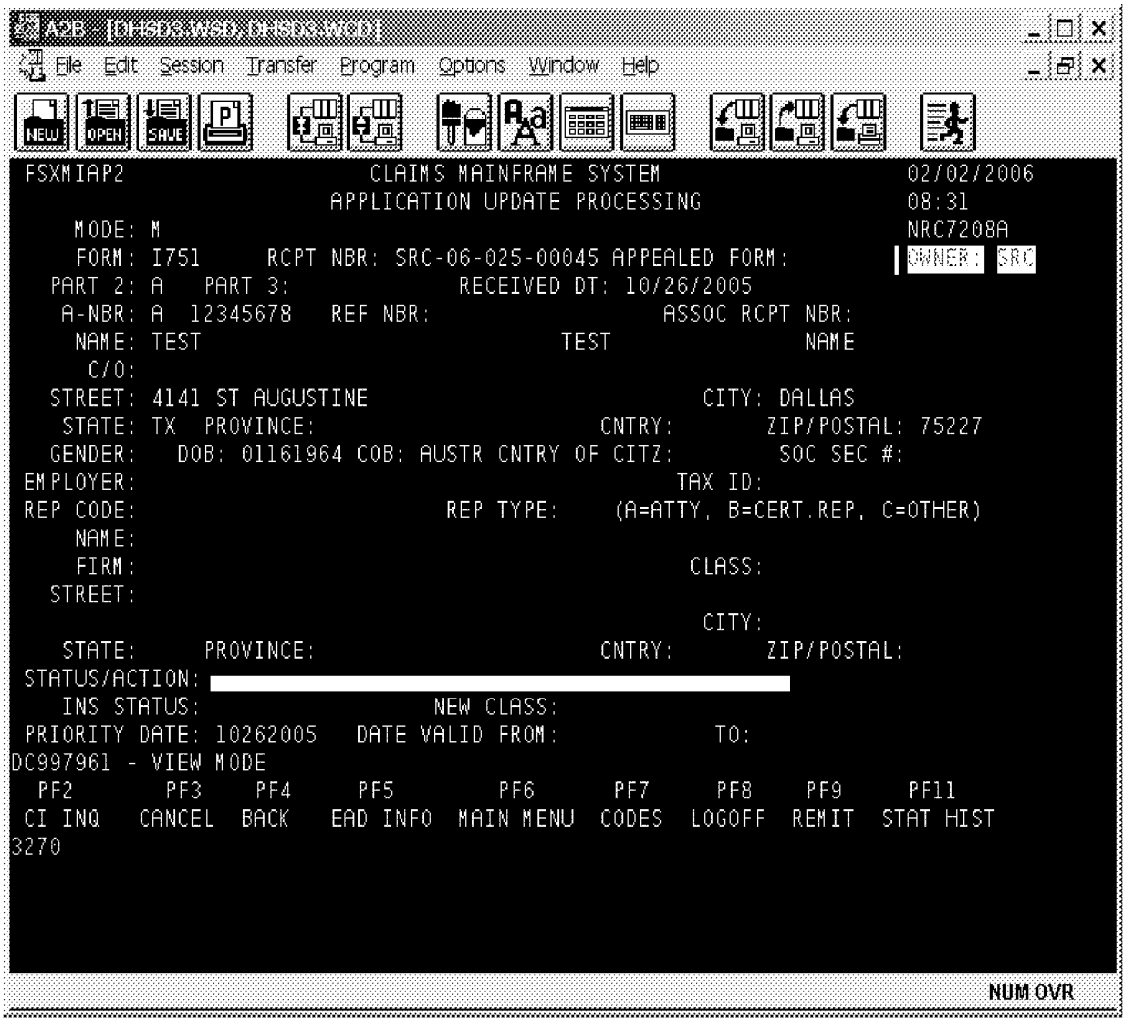
(b)(7)(e)



The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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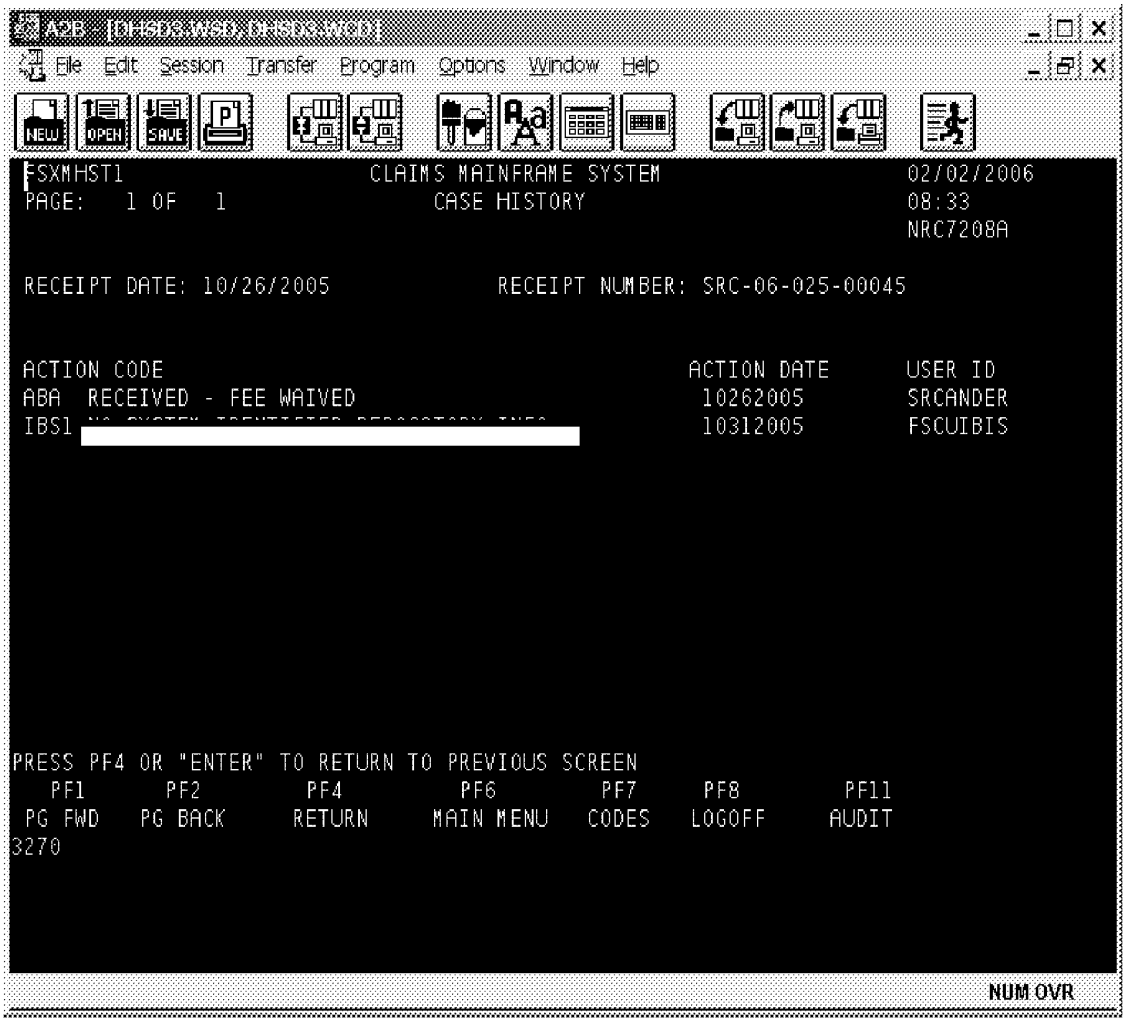
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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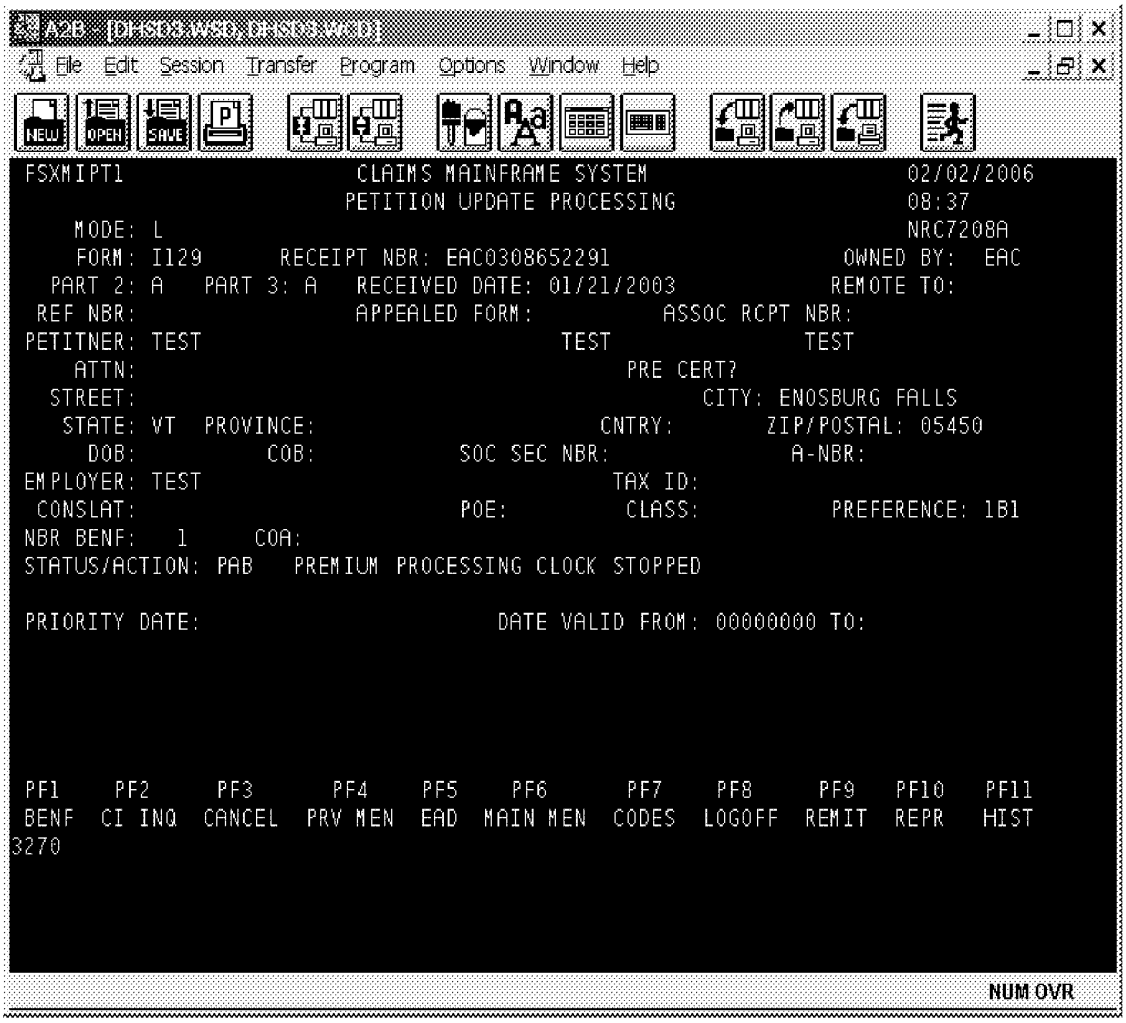
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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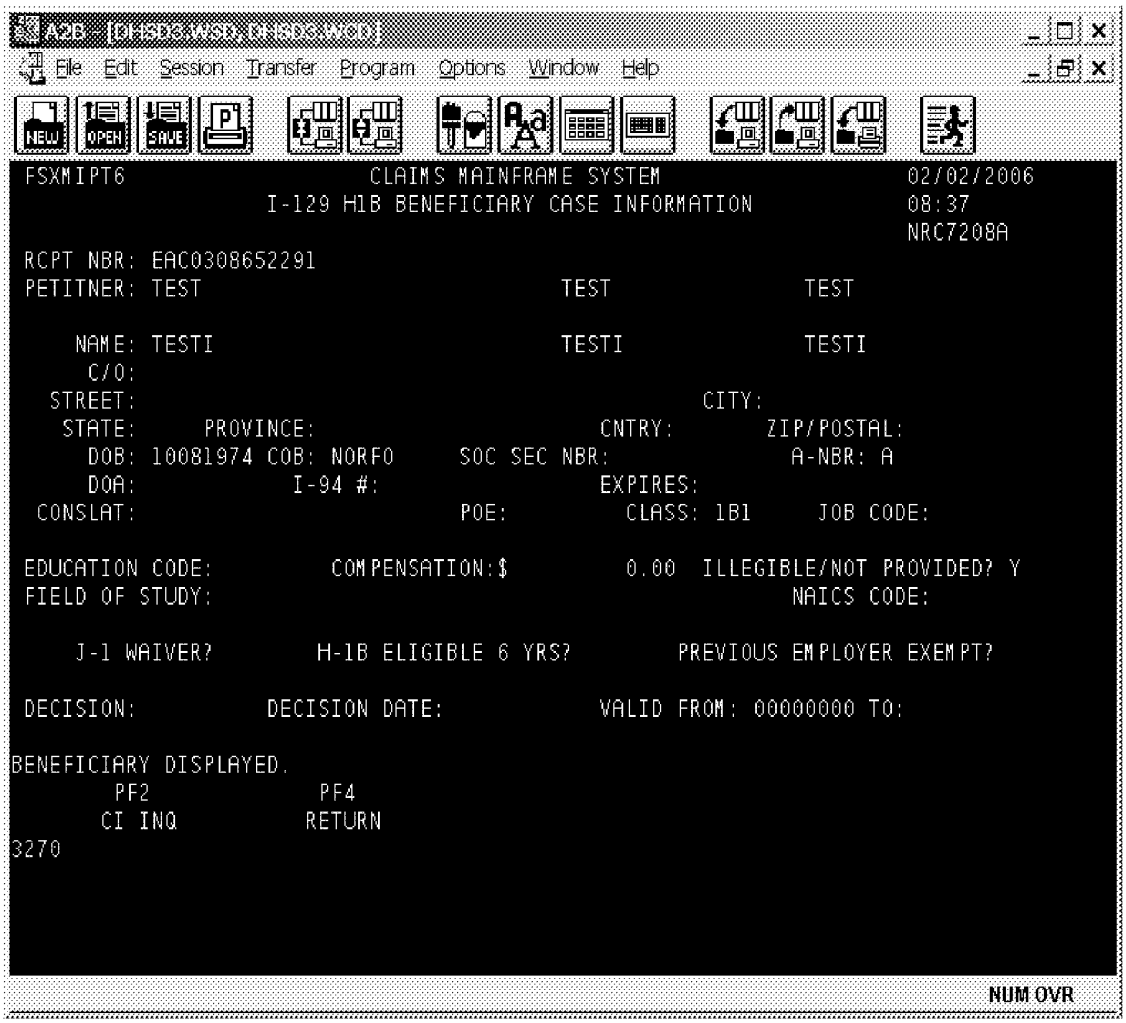
To see the beneficiary information press F1.



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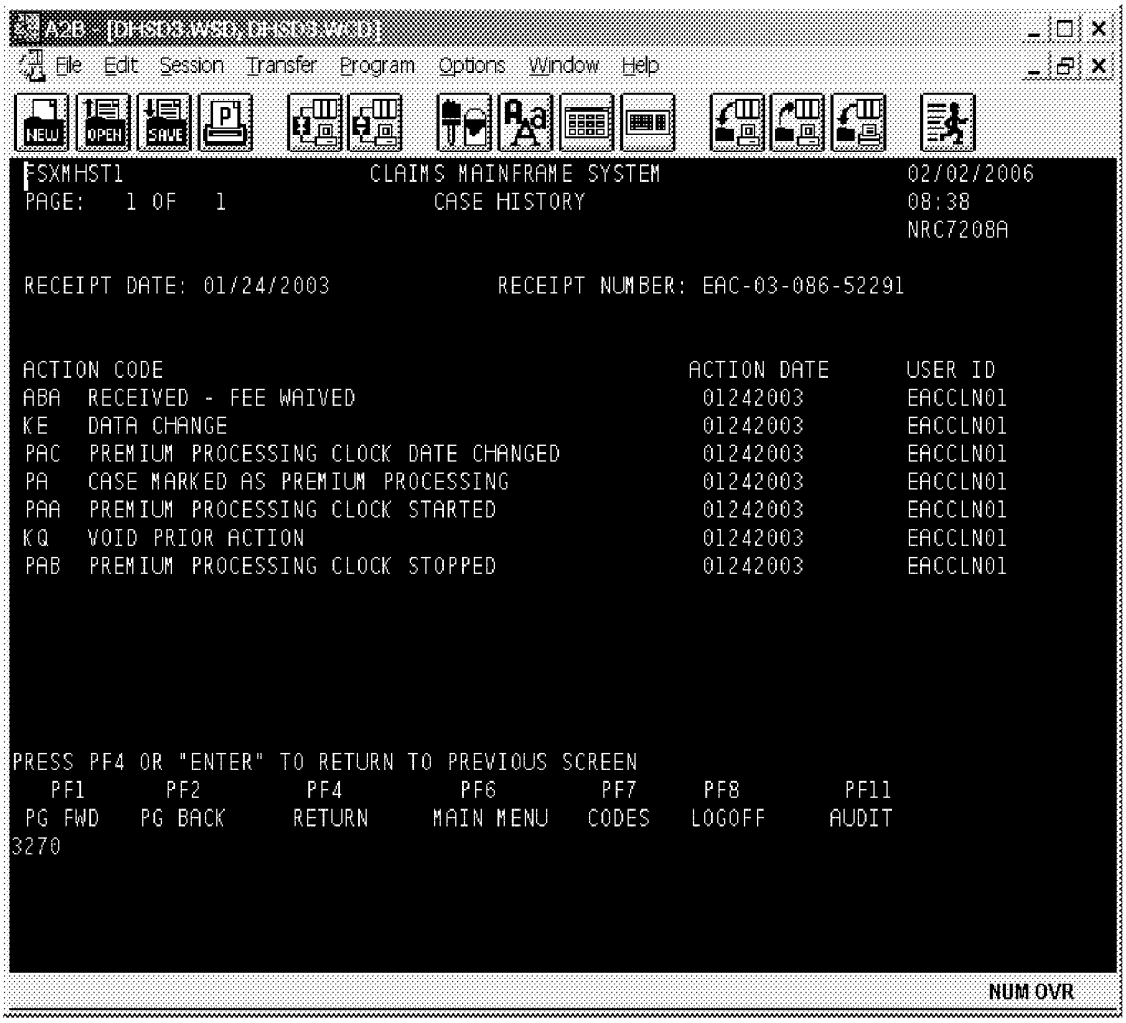
To view the history, press the F4 key to return to the previous screen, and enter F11.



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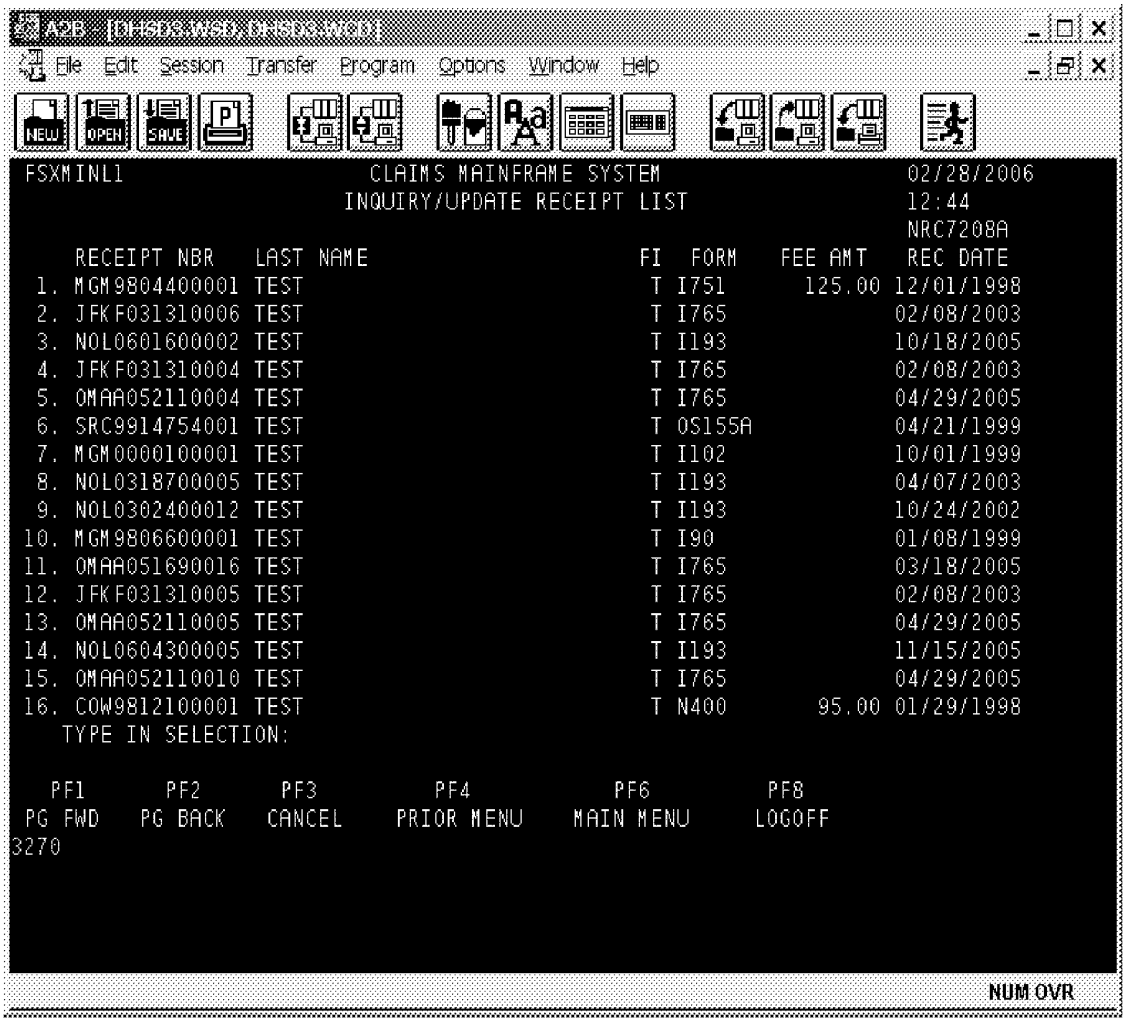

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), the system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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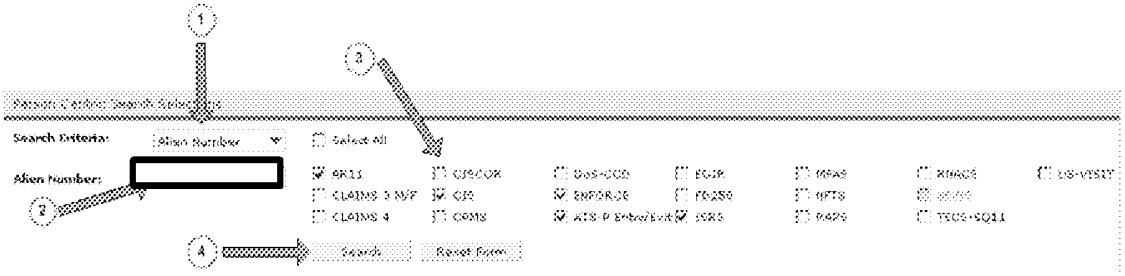
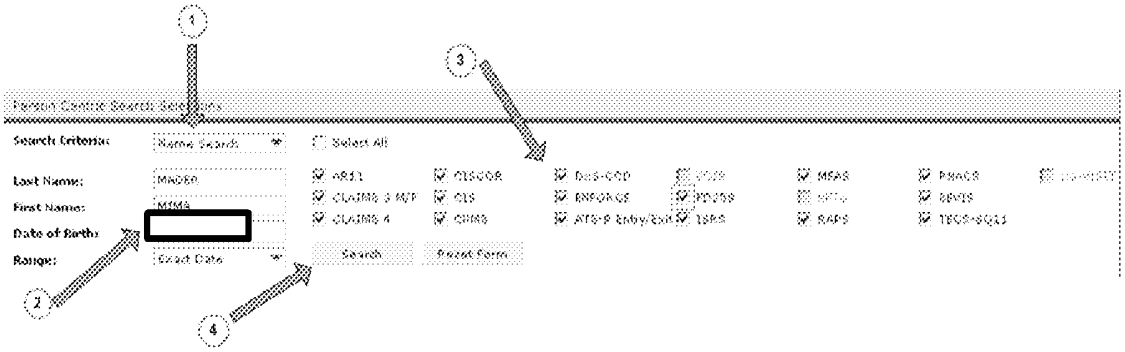
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)





5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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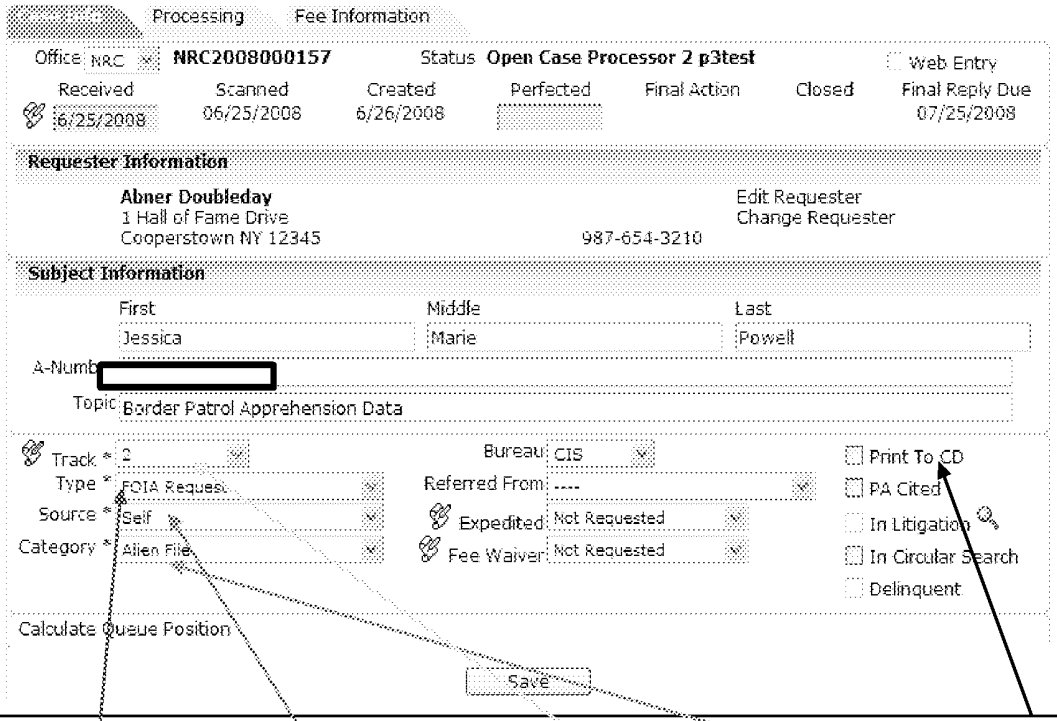

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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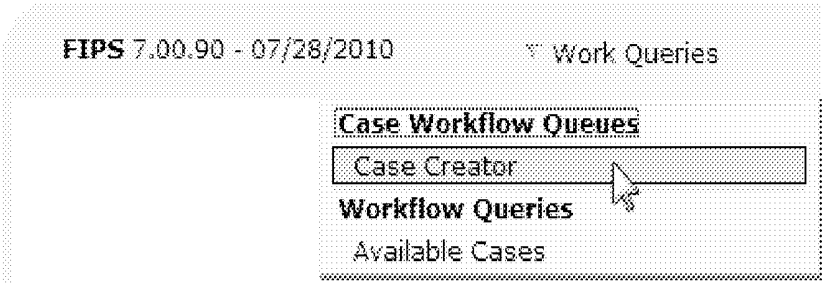
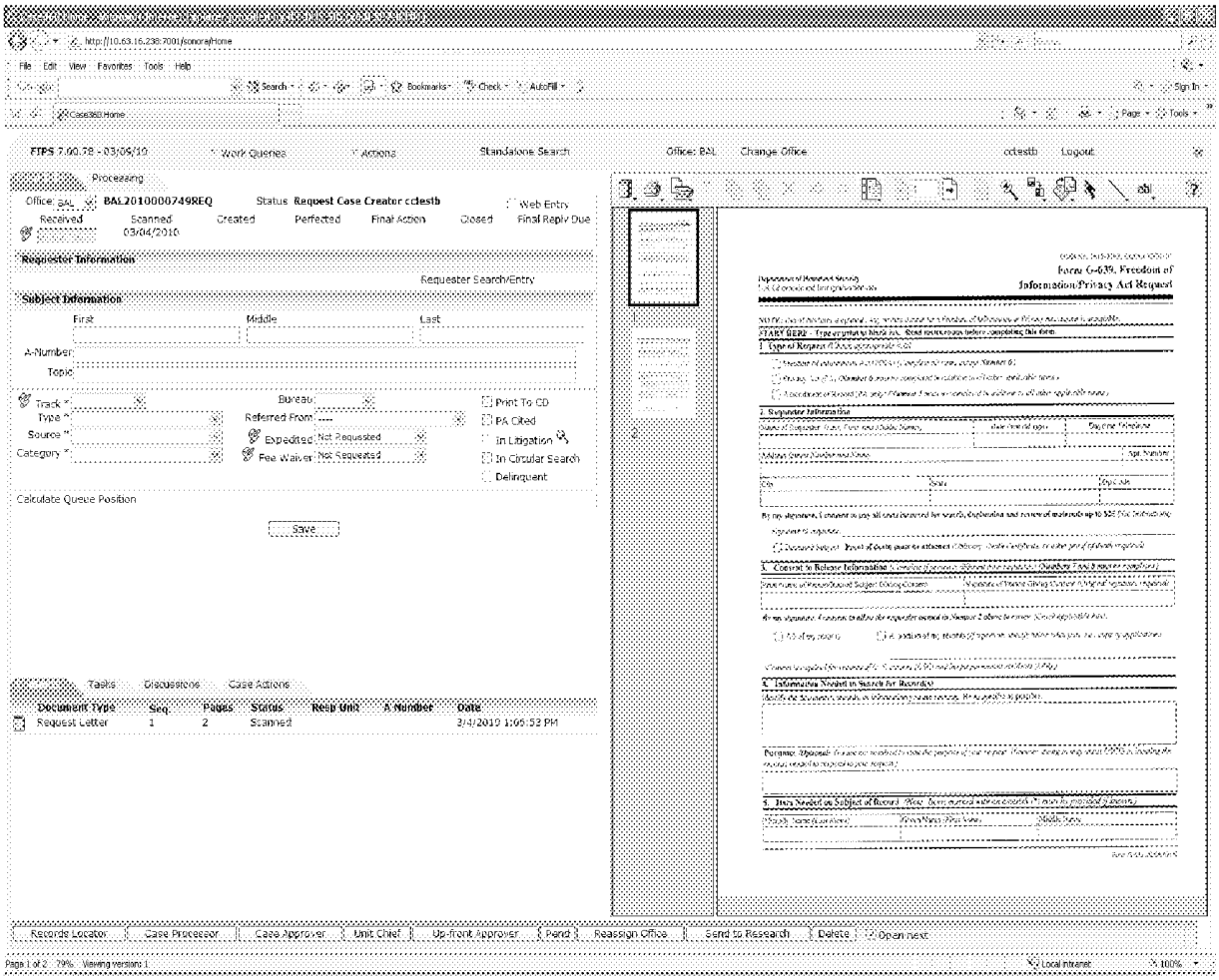
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter." There will be a date and time in the right column.

Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents

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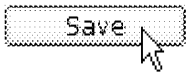
scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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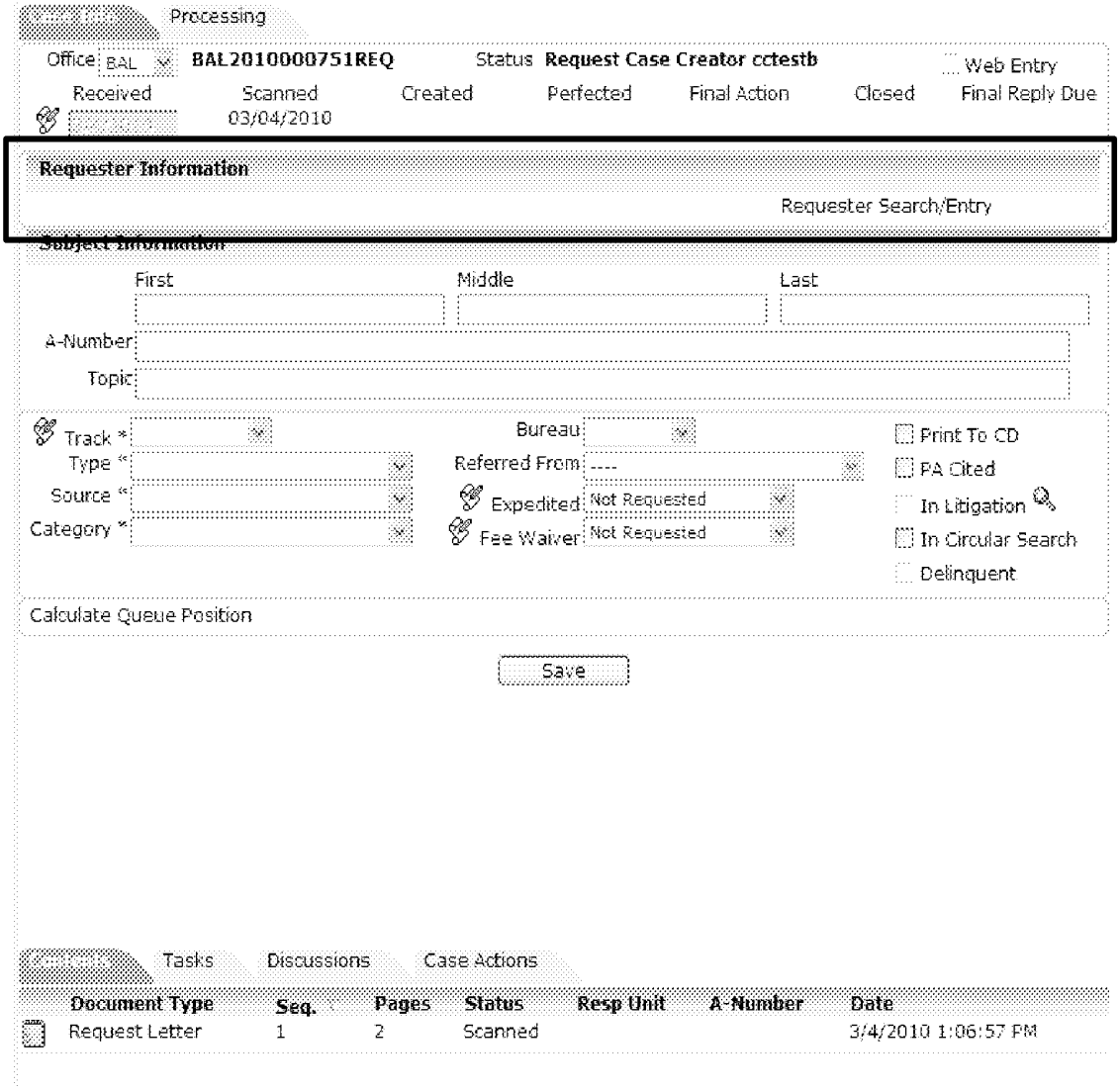
6.1 REQUESTER INFORMATION



6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information*." Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes ('). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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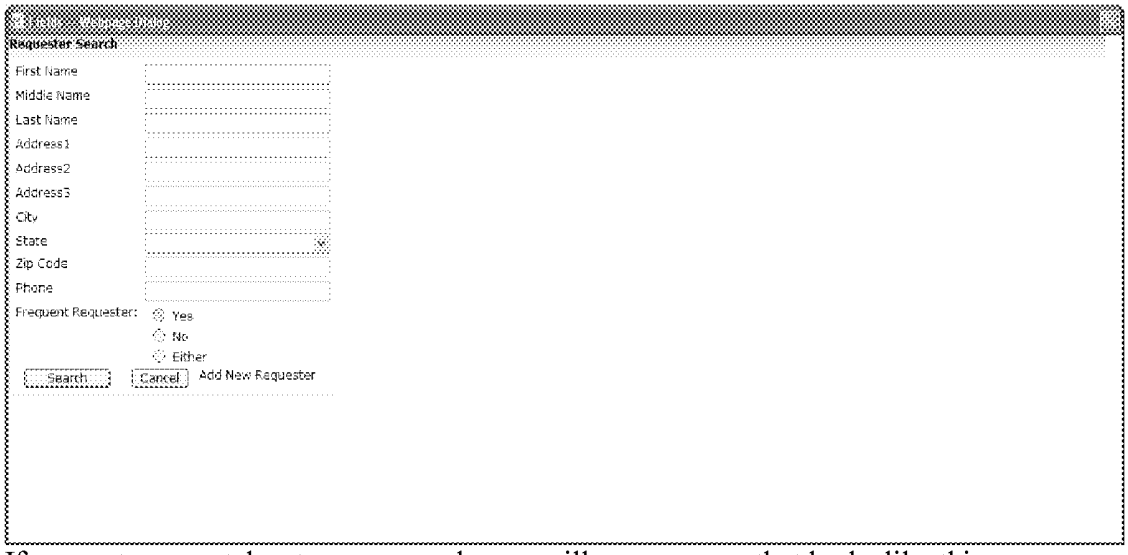
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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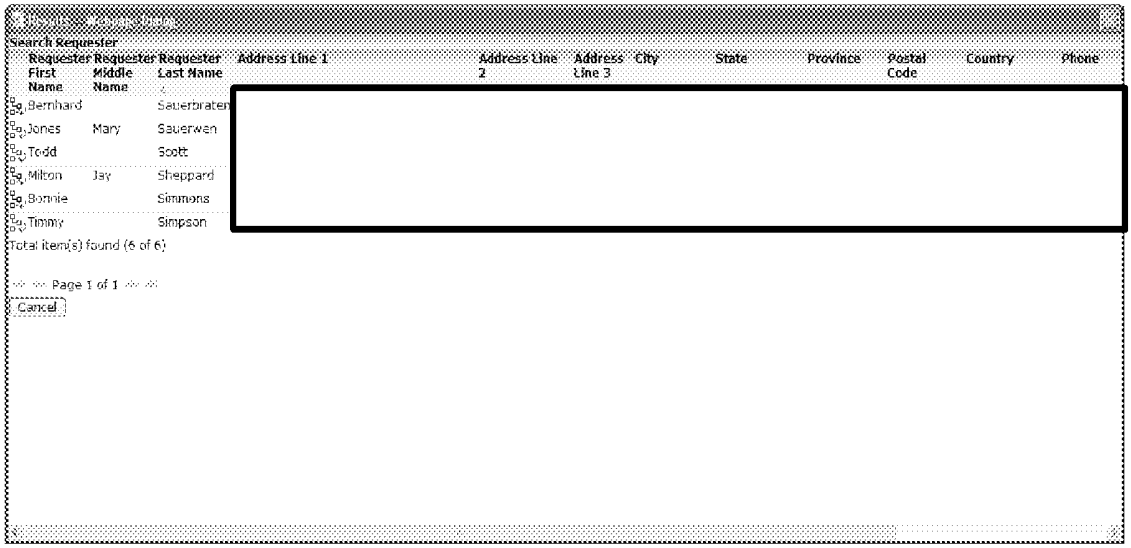
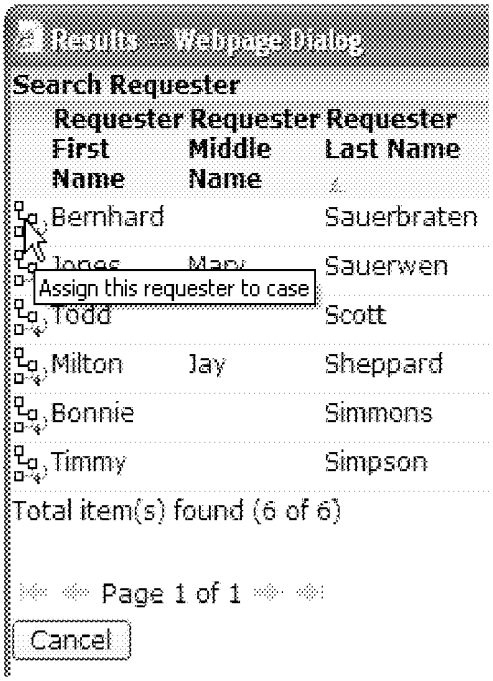


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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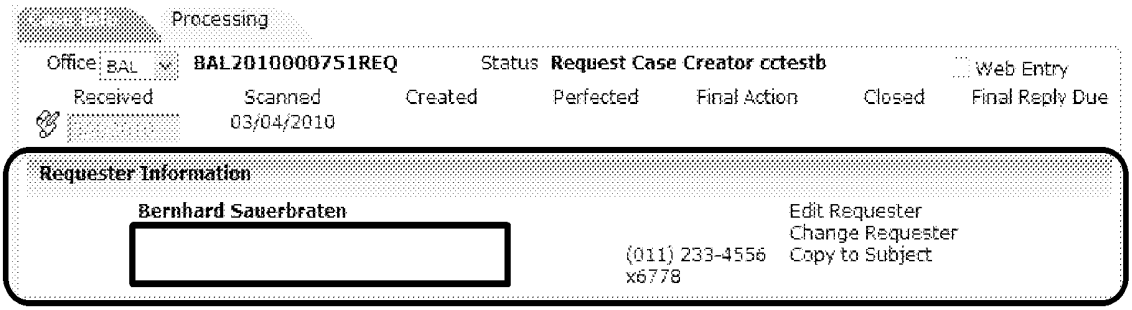
(b)(6)



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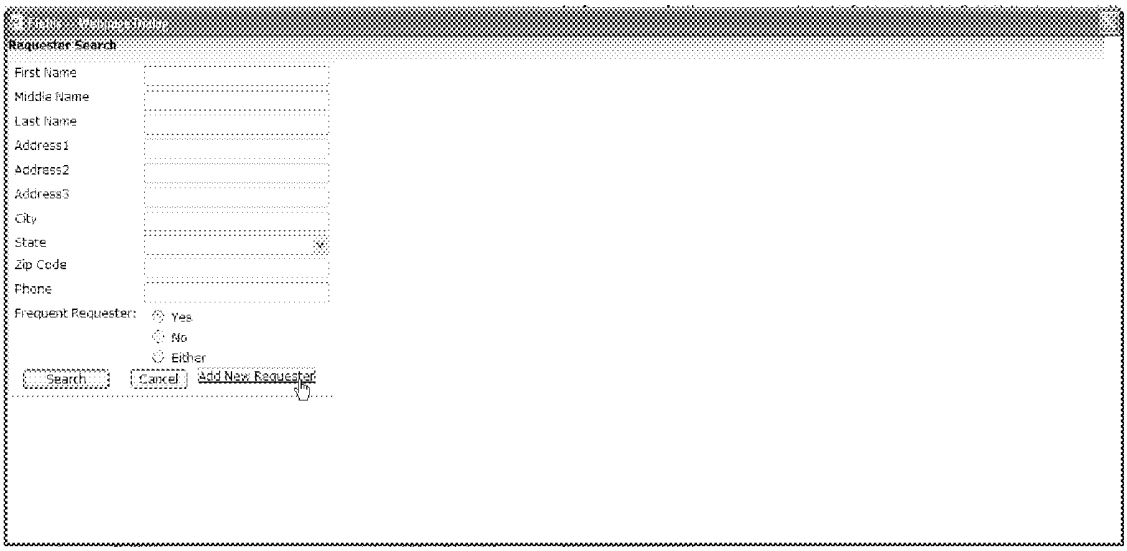
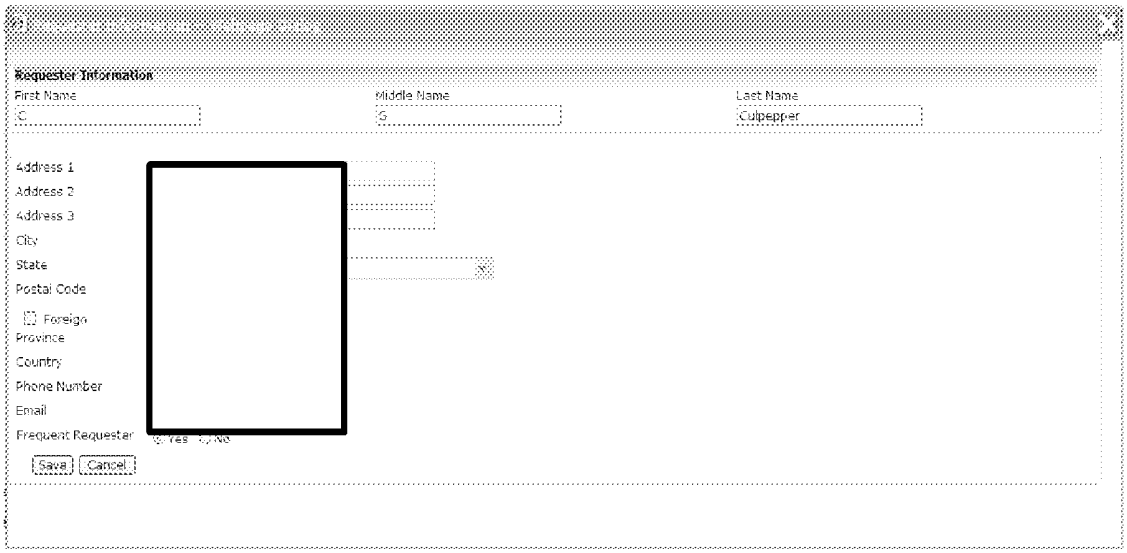
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information and then click Save.

(b)(6)



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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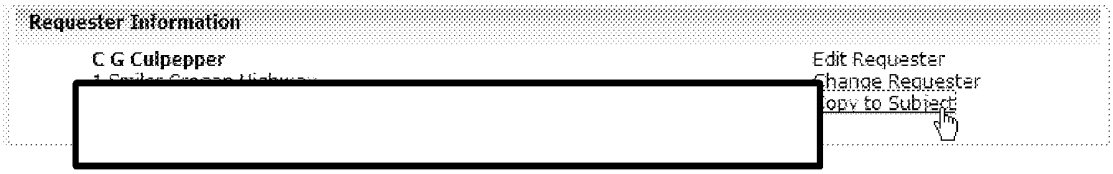
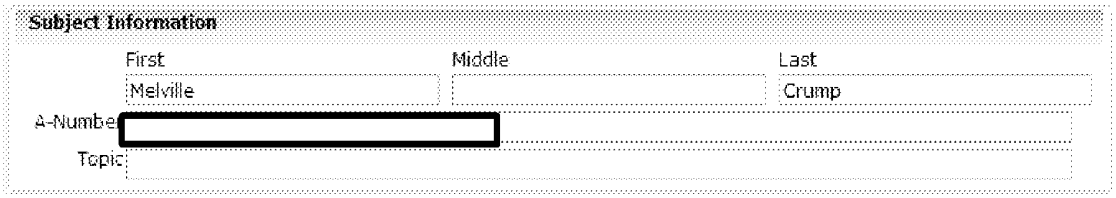


Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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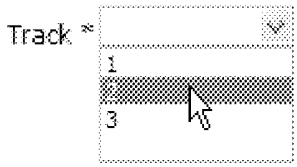
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet and you believe you have a Track 3 request, send the case to Unit Chief and an email to your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" send the case to Unit Chief and send an email to your supervisor.

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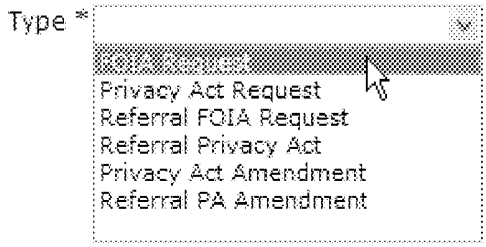
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

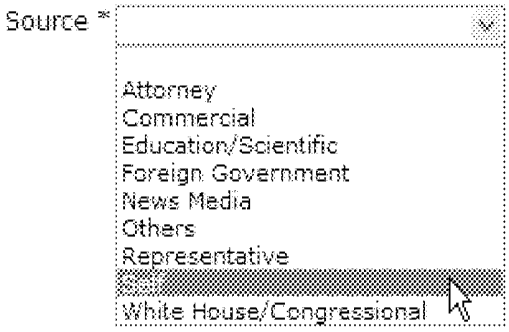
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial

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- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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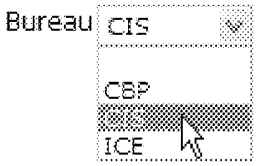
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



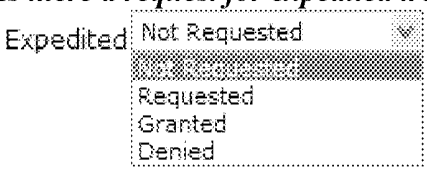
The three possible selections for Bureau are:

ICE – Please select ICE if you are staffing to any ICE location, for example OPLA, DRO or SAC. There may be other ICE locations, and if you are unsure, please consult your supervisor.

CIS – Used for all other categories. This is the default in FIPS.

CBP – Please select CBP if the request pertains specifically to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the <u>requester/subject provided an alien number, request the file.</u>**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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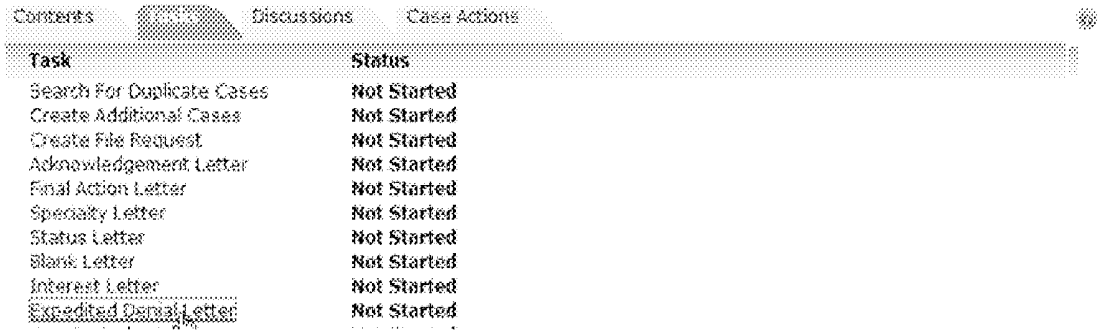
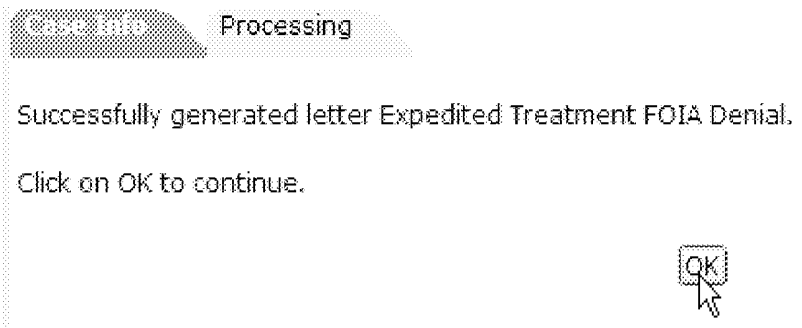
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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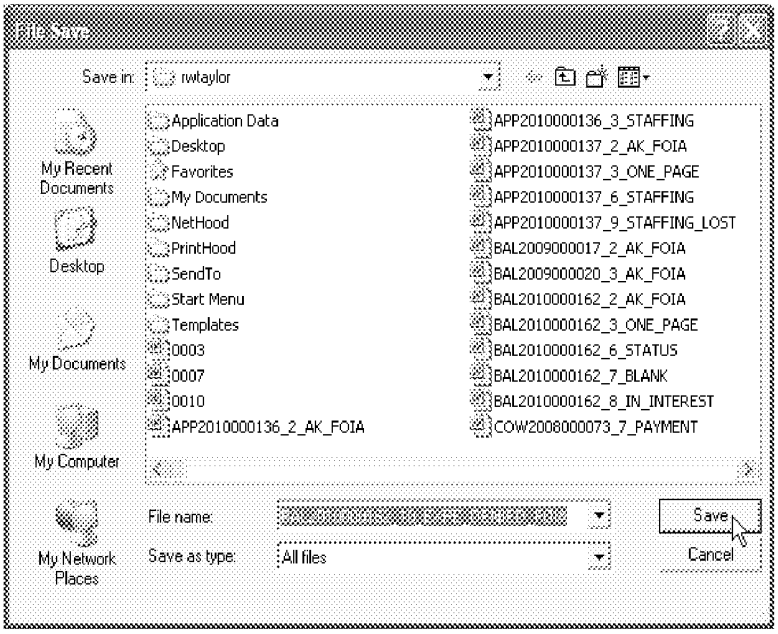

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then leave the Expedited drop-down box as "Not Requested" and send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must leave it as "Not Requested."

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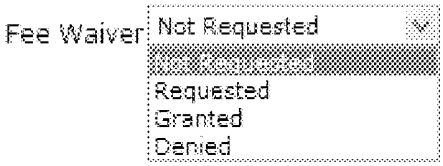
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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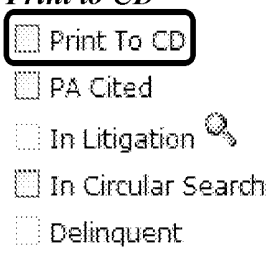
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then leave the Fee Waiver drop-down box as "Not Requested" and send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must leave it as "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Leave the "Print to CD box" checked on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter.

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

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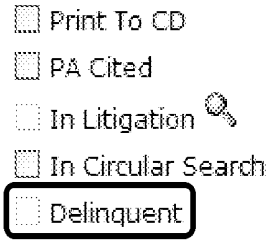
6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

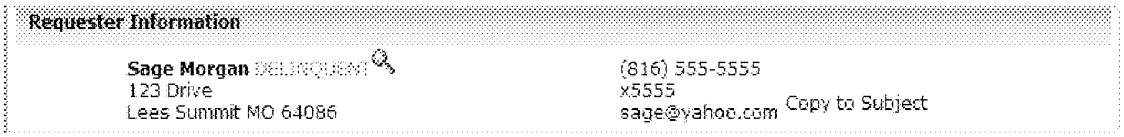
6.3.8.5 If a requester specifically asks for their records on paper, uncheck the "Print to CD" box and create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

6.3.9 Is this a delinquent requester?

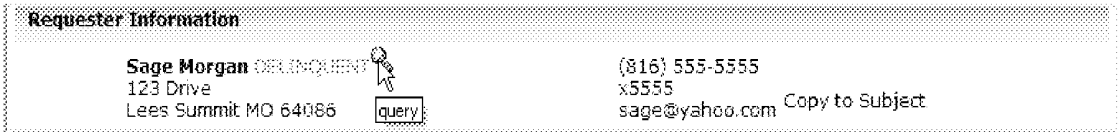


The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



The query results appear in a separate window.

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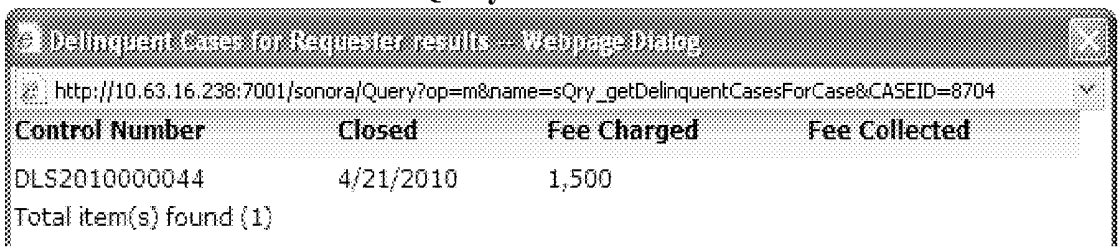
Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

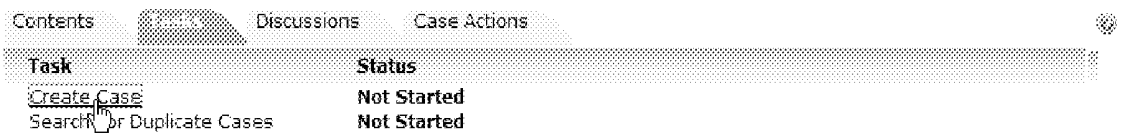
DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM and NRC, FOIAPROGRAM. In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:



When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

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6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

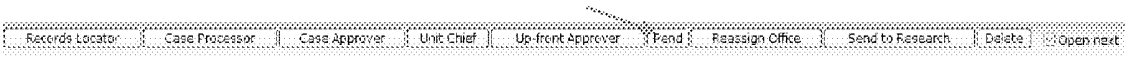
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

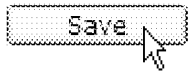
If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:



6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

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This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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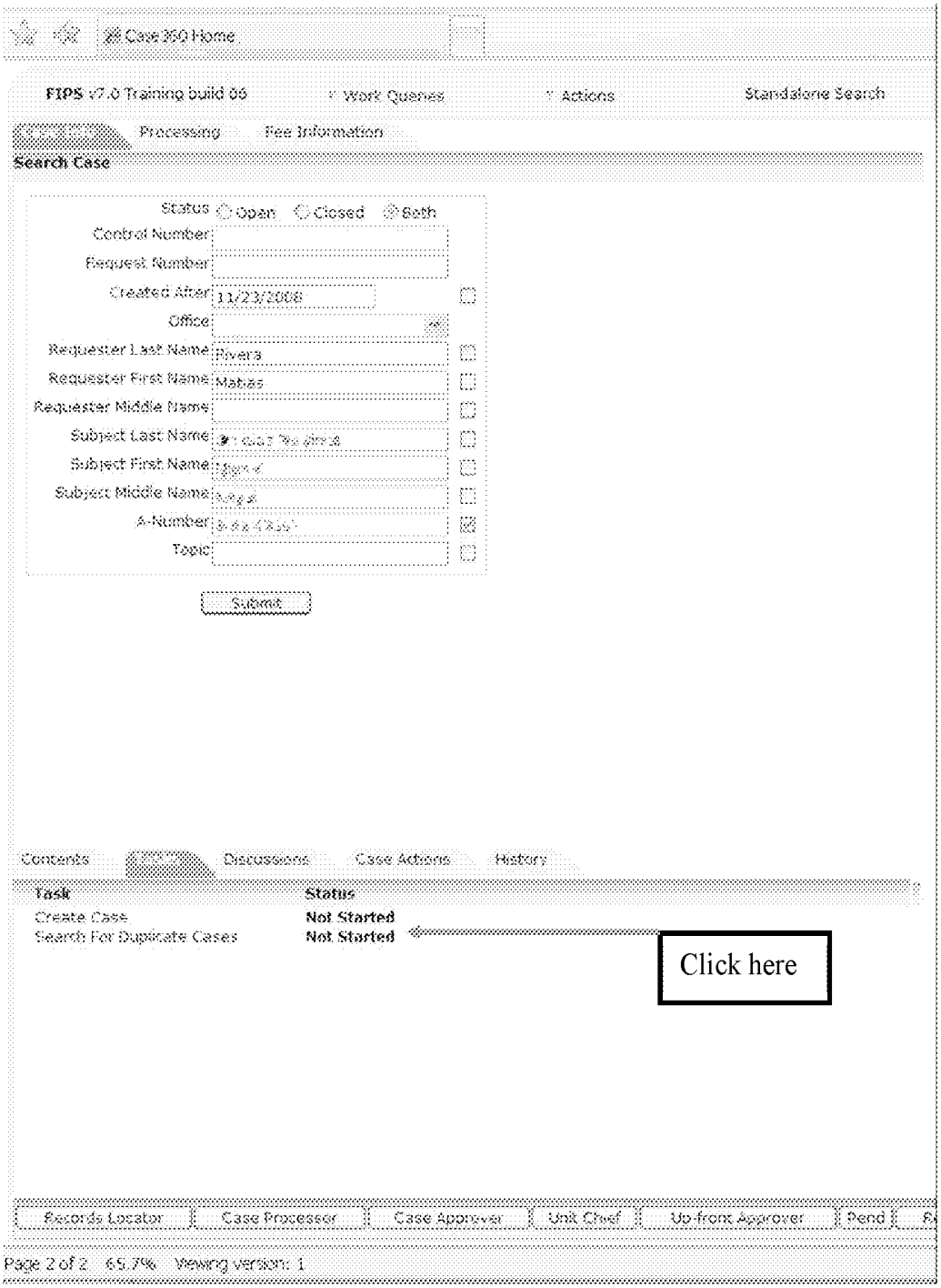

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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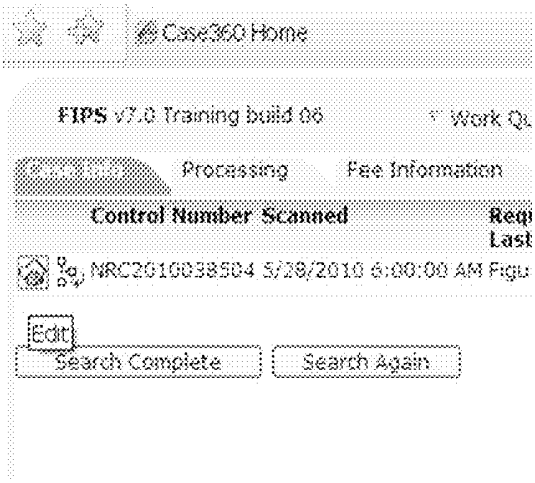
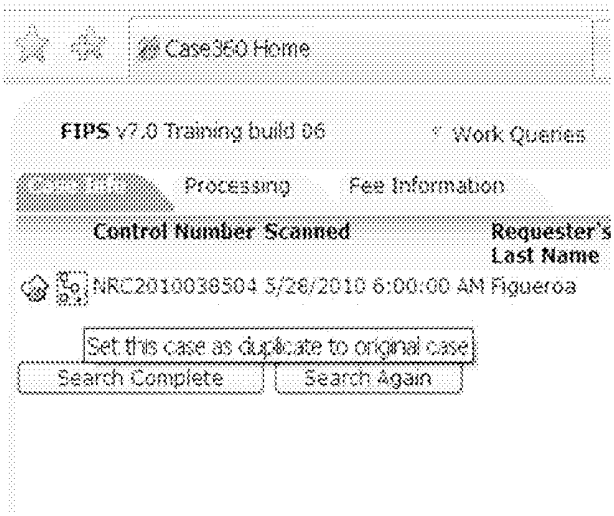


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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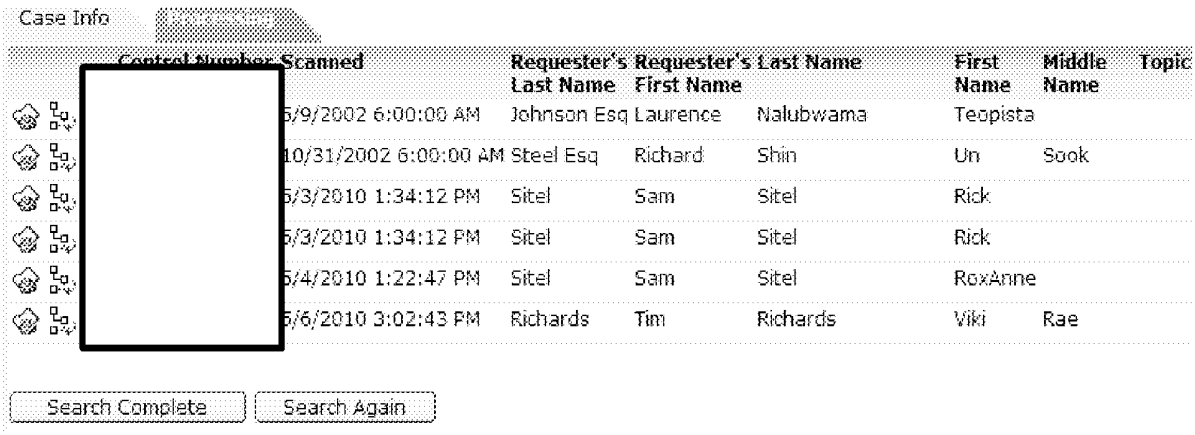
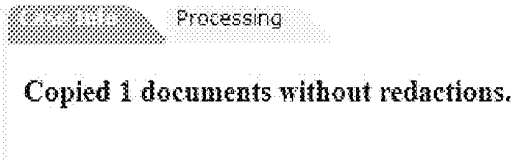
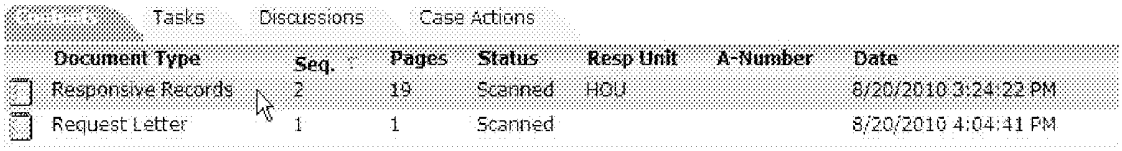
(b)(6) To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library.
A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

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Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

"I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
Executed on (date).
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

"I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
(SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library. The exception to this rule is a Third-Party Request (see paragraph 7.4).

7.3 Reasonable Description of Records being Sought:

If the requester provided full name, COB, DOB and a notarized signature or signature under penalty of perjury but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.
An "unperfected request" applies when any of the required elements (full name, DOB, COB, notarized signature or signature under penalty of perjury) is missing. In a situation like this, we do not have a reasonable description of the records the requester wants. We will close the case as an Unperfected Request.

Since FIPS does not generate an Unperfected Request letter, there are a few extra steps. First, please open the Failure to Comply (FC) letter and delete the body after the first paragraph. Next, you'll open the Unperfected Request letter and insert the applicable paragraphs into the FC letter. Finally, you'll send the case to Up-front Approver. You will not request a file.

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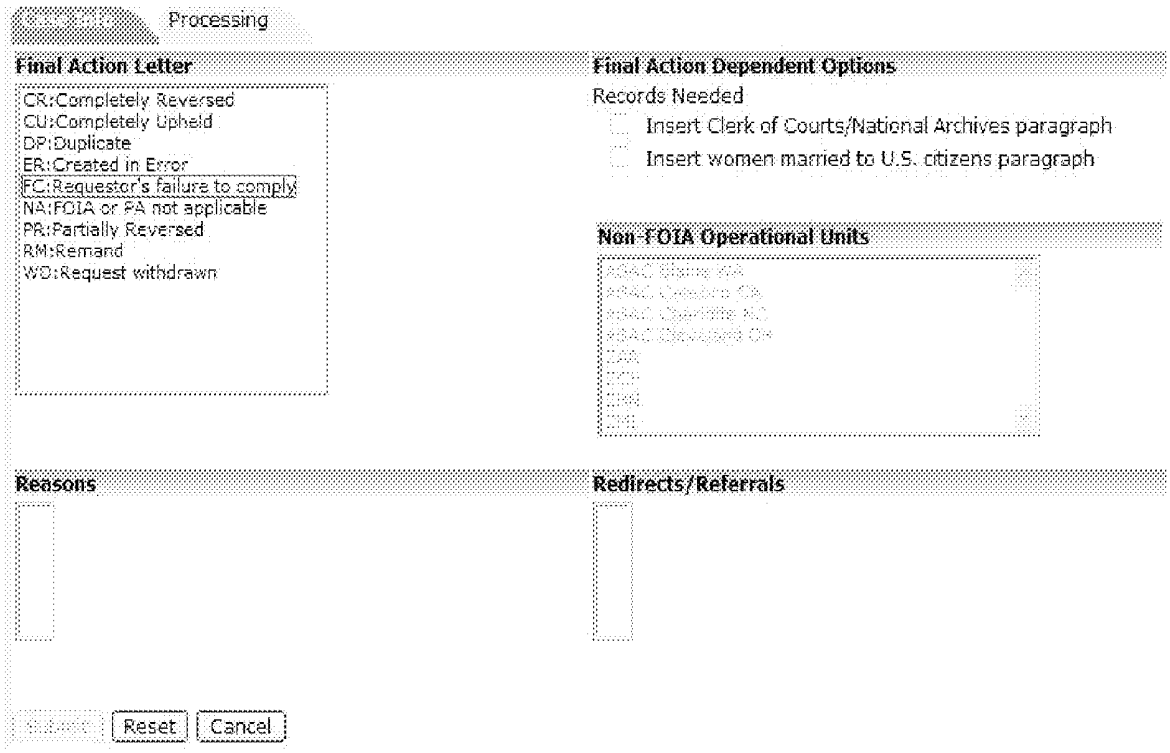
Go to the "Tasks" tab and select "Final Action Letter"

After selecting "Final Action Letter," the Final Action Letter Options screen will open. The Case Info tab displays the Final Action Letter screen. Select "FC: Requestor's failure to comply" from the Final Action Letter list, then click **Submit.**



Our only option at that point is to click OK:

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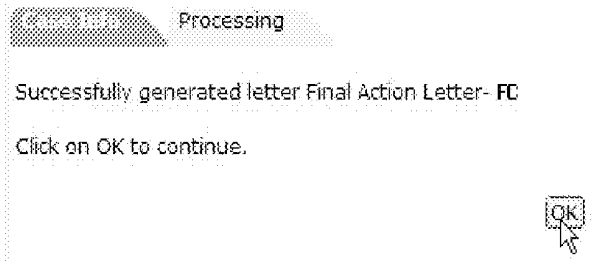
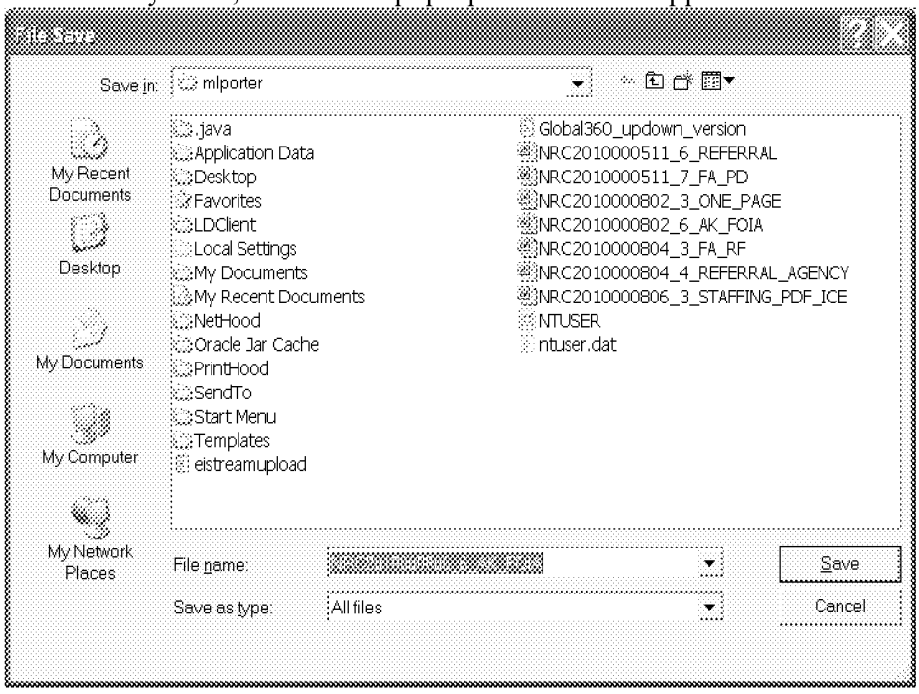


As soon as you do, a File Save pop-up window will appear. Click "Save."



The FC letter will pop up. Delete the 4 paragraphs shown below:

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U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

Dear J Loreal:

We received your request for information on [date], relating to [Subject].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R.

§ 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide consent from the records subject before a disclosure of records can be made. On [Date] we sent correspondence requesting you provide us with proper consent. Proper consent is defined under 6 CFR § 5.21 as either a notarized signature, a signature signed under penalty of perjury, or proof of death. Although you are not required to use form G-639 to provide consent, a notarized signature in section 7, or a signature at the bottom of section 8 would fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements for filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

Delete

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

Go into O:\Foia\FOIA LIBRARY\Case Create References\Case Create References\Unperfected Letter, highlight the 3 paragraphs below and select either "Copy" or "CNTRL C." You will paste these 3 paragraphs into the FC letter.

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U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

February 2, 2012

NRC

Dear :

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R. § 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide verification of identity and or consent, if applicable, from the records subject before a disclosure of information can be made. In accordance with 6 CFR § 5.21, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be notarized or signed under penalty of perjury. Although it is not required to use Form G-639 when submitting a FOIA request, a notarized signature in section 7, or a signature at the bottom of section 8 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

Replace with

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

The resulting page will look something like this:

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U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

February 2, 2012

NRC

Dear

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R. § 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1238 (3d Cir. 1993).

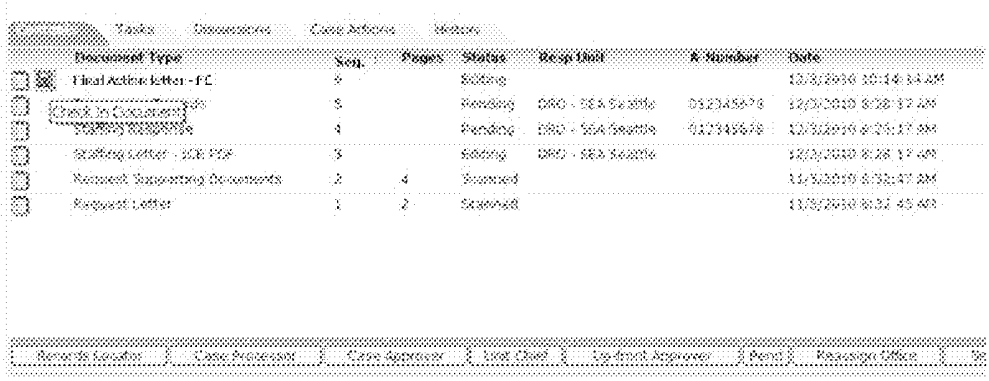
Because the records you seek are those of a personal nature, DHS regulations require you to provide verification of identity and/or consent, if applicable, from the records subject before a disclosure of information can be made. In accordance with 6 CFR § 5.3f, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be notarized or signed under penalty of perjury. Although it is not required to use Form G-639 when submitting a FOIA request, a notarized signature in section 7, or a signature at the bottom of section 8 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



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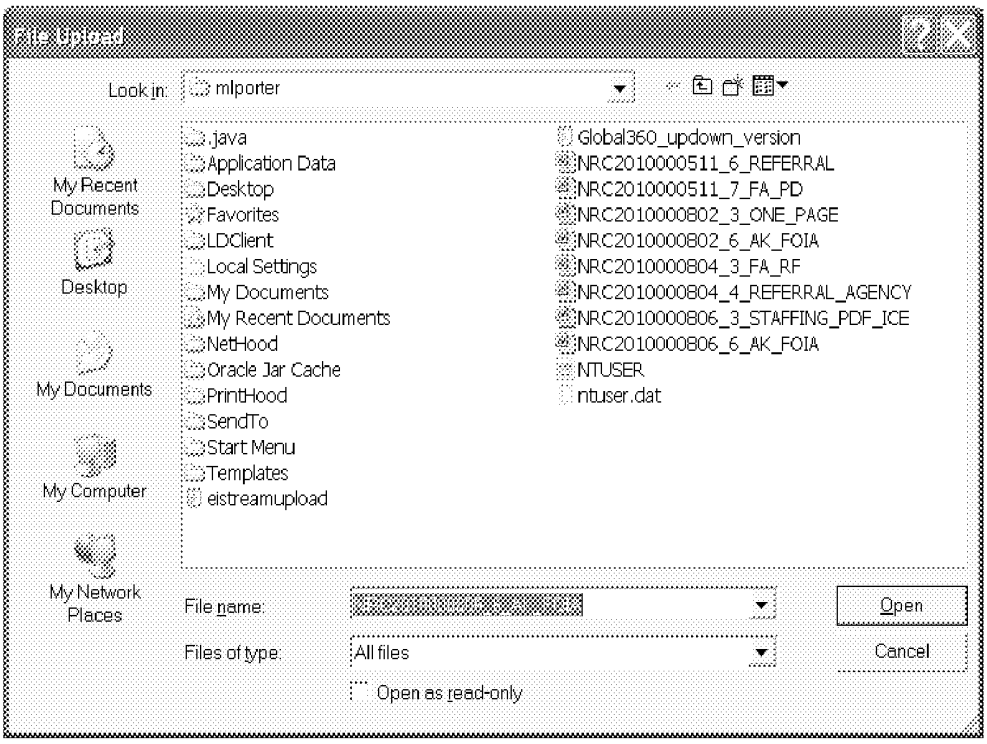
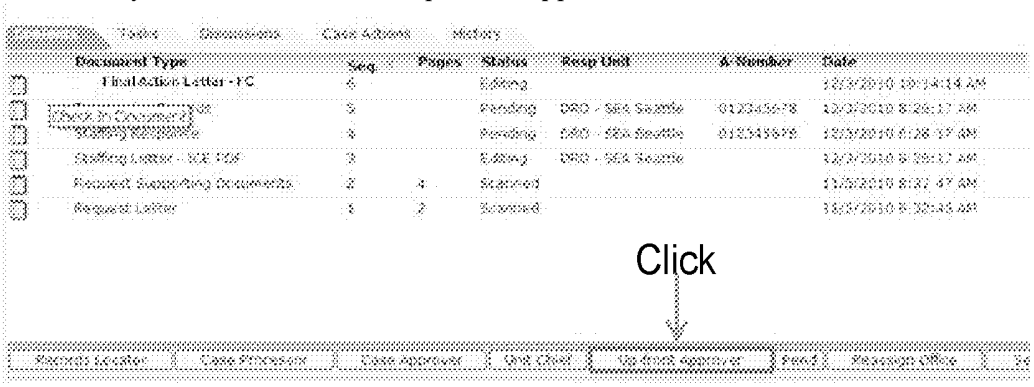
Click "Open":



After this, you send the case to "Up-front Approver."



The Up-front Approver will either close the case or return it for further action.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are not entitled to any public documents that may be in the file they are seeking, nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their

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supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or

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order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit

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800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently Joan Brown) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-

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Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

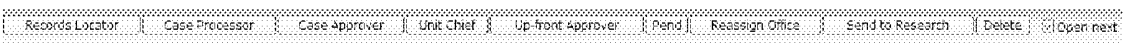
As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

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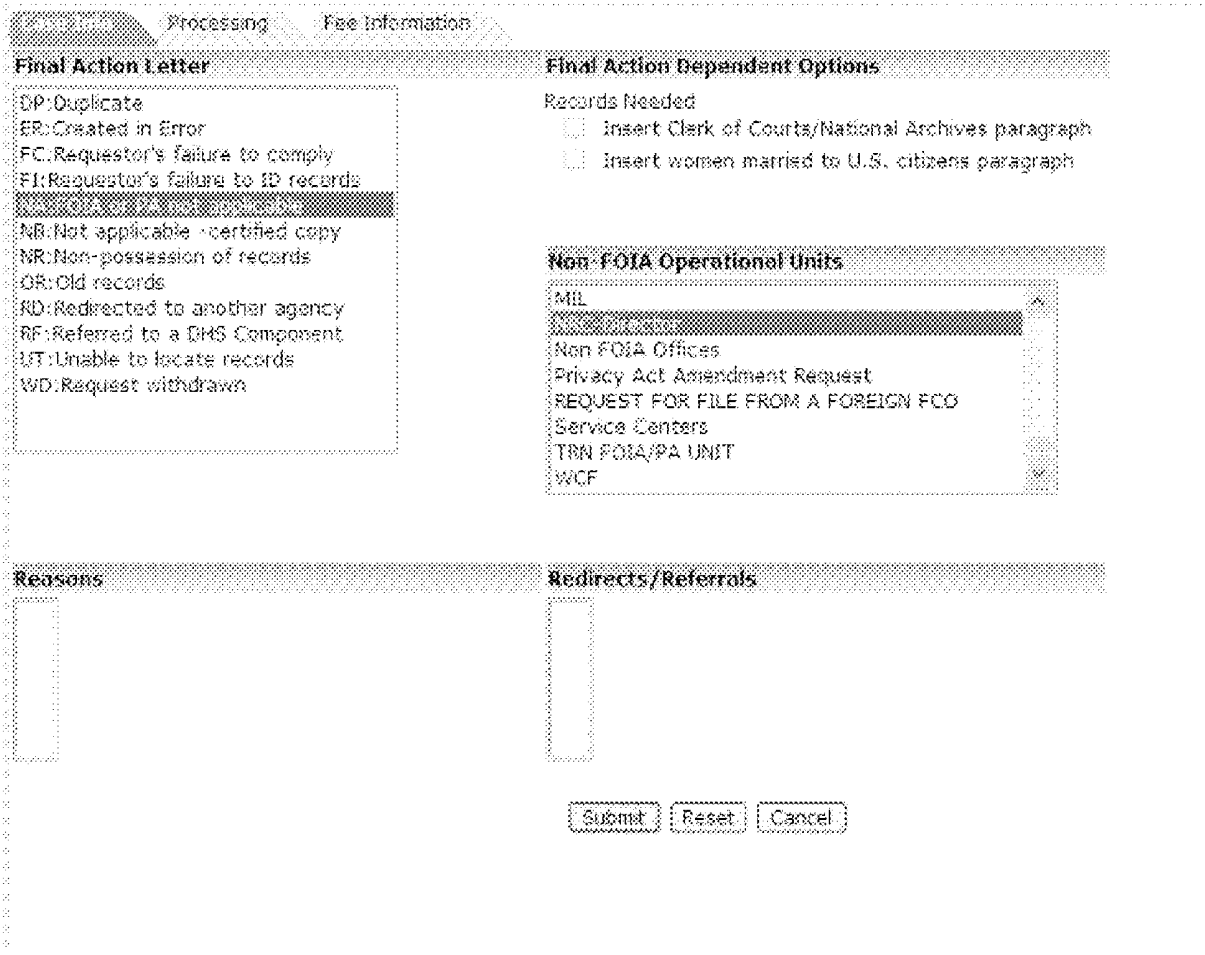
8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.



8.10 REQUESTS: Red Cross / Last known address

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Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

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A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

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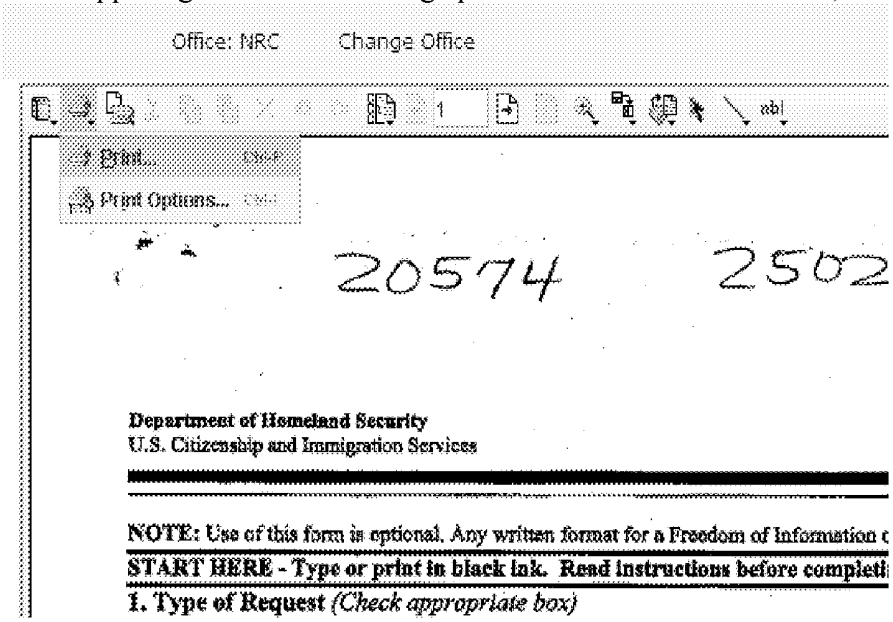
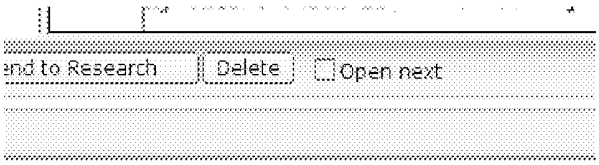
8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:



Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

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To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; Cameron, Lincoln providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch

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1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The uncertified records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

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For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of Genealogy criteria in paragraph 6.3.4.6.

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to

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middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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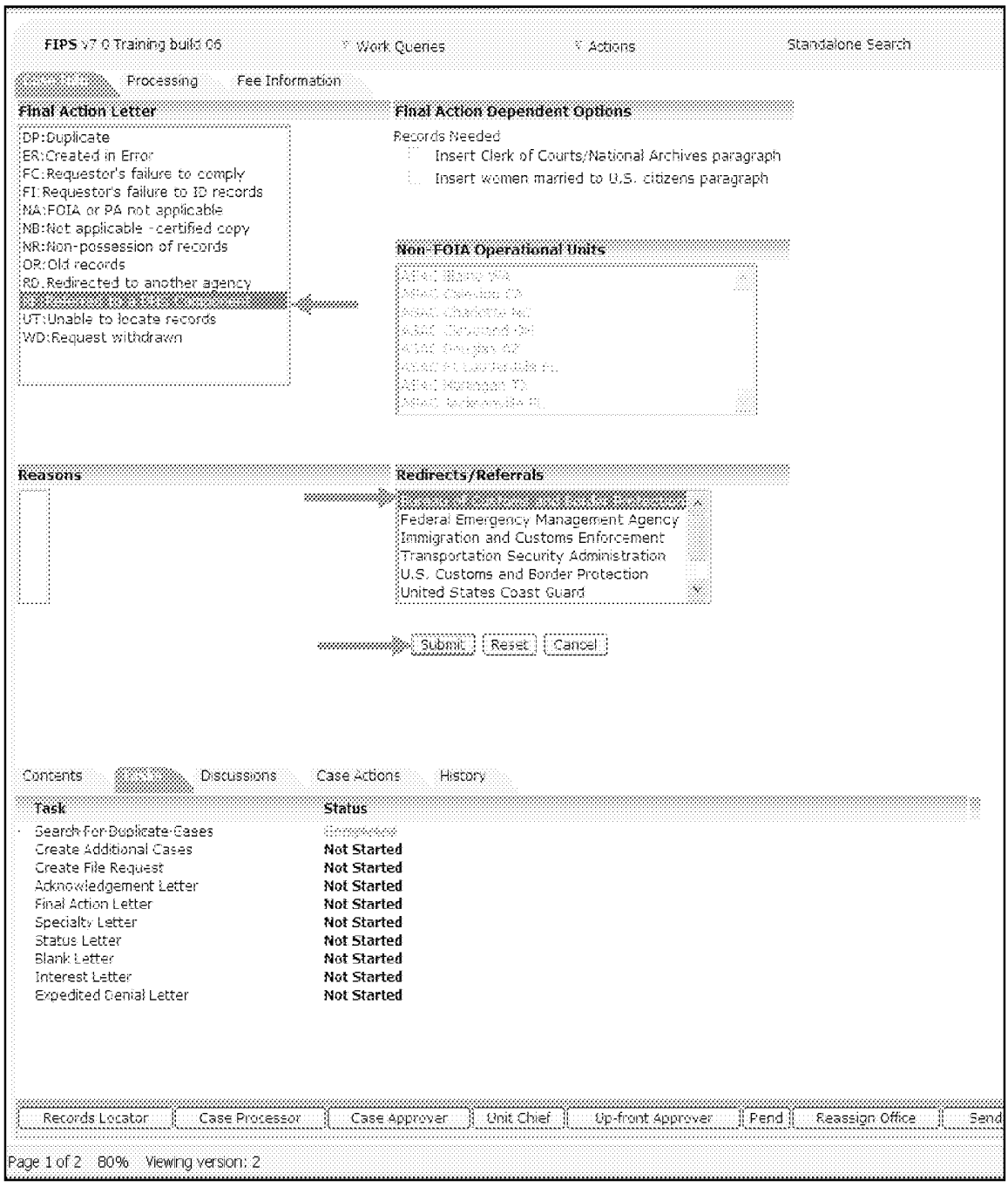

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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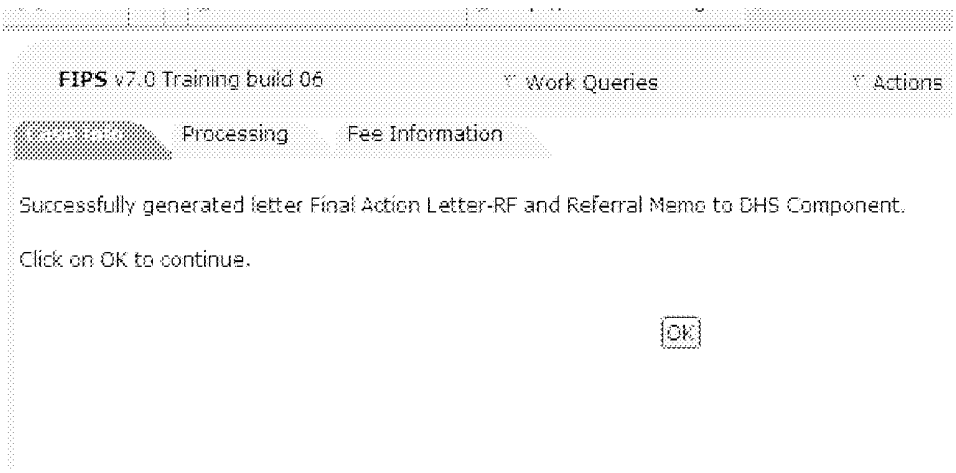
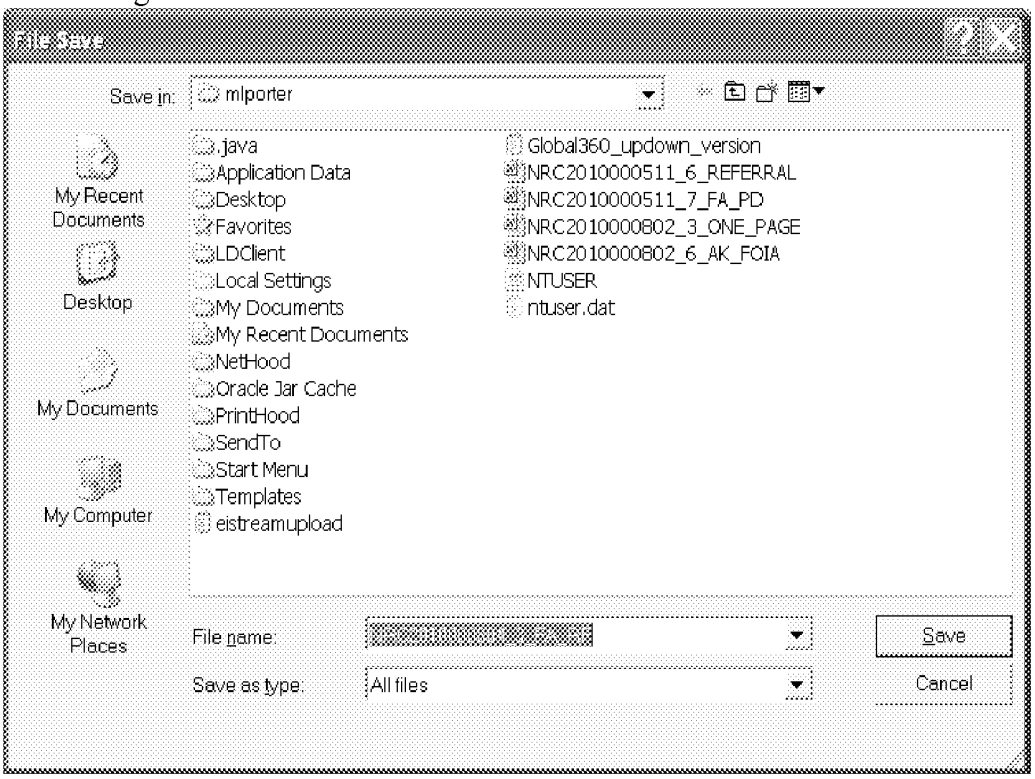


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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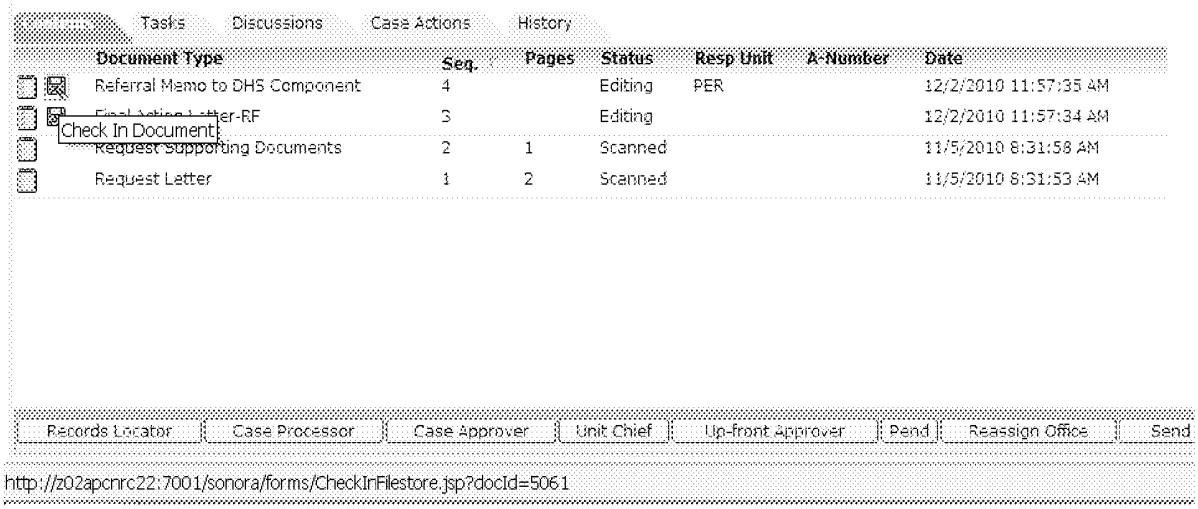
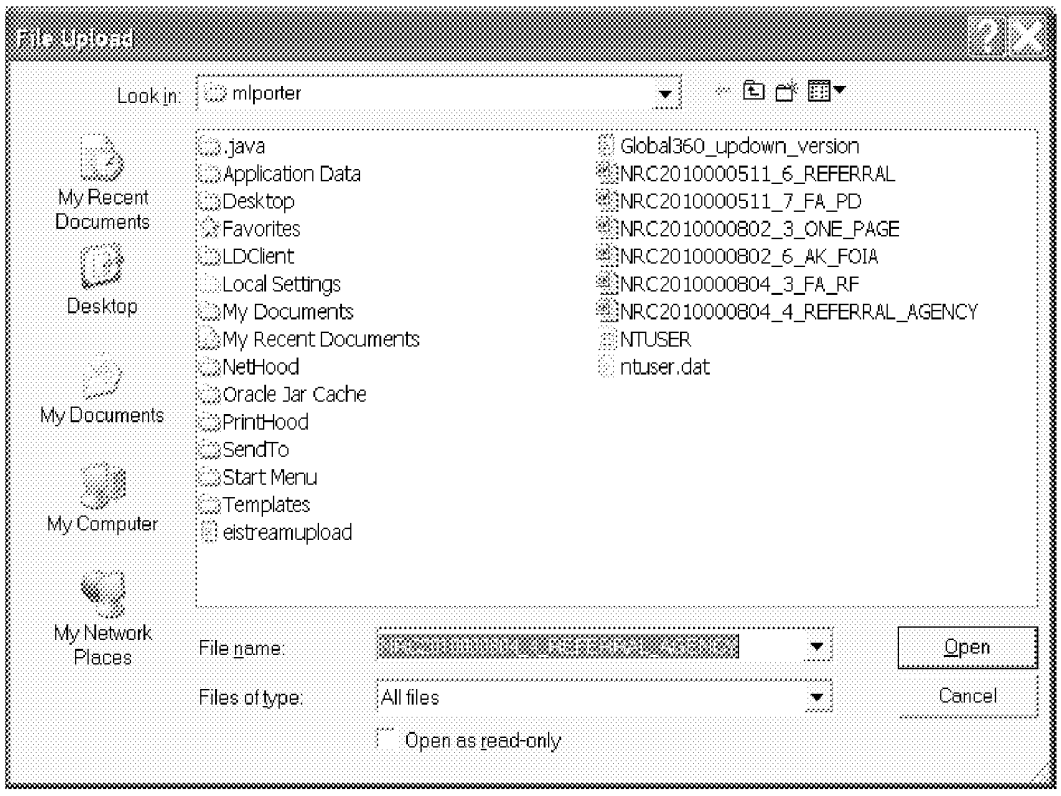


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the USCIS Connect FOIA Operations page (http://connect.uscis.dhs.gov/org/ESD/NRC/Pages/FOIAOperationsDivision.aspx), under the tab "Helpful Information" to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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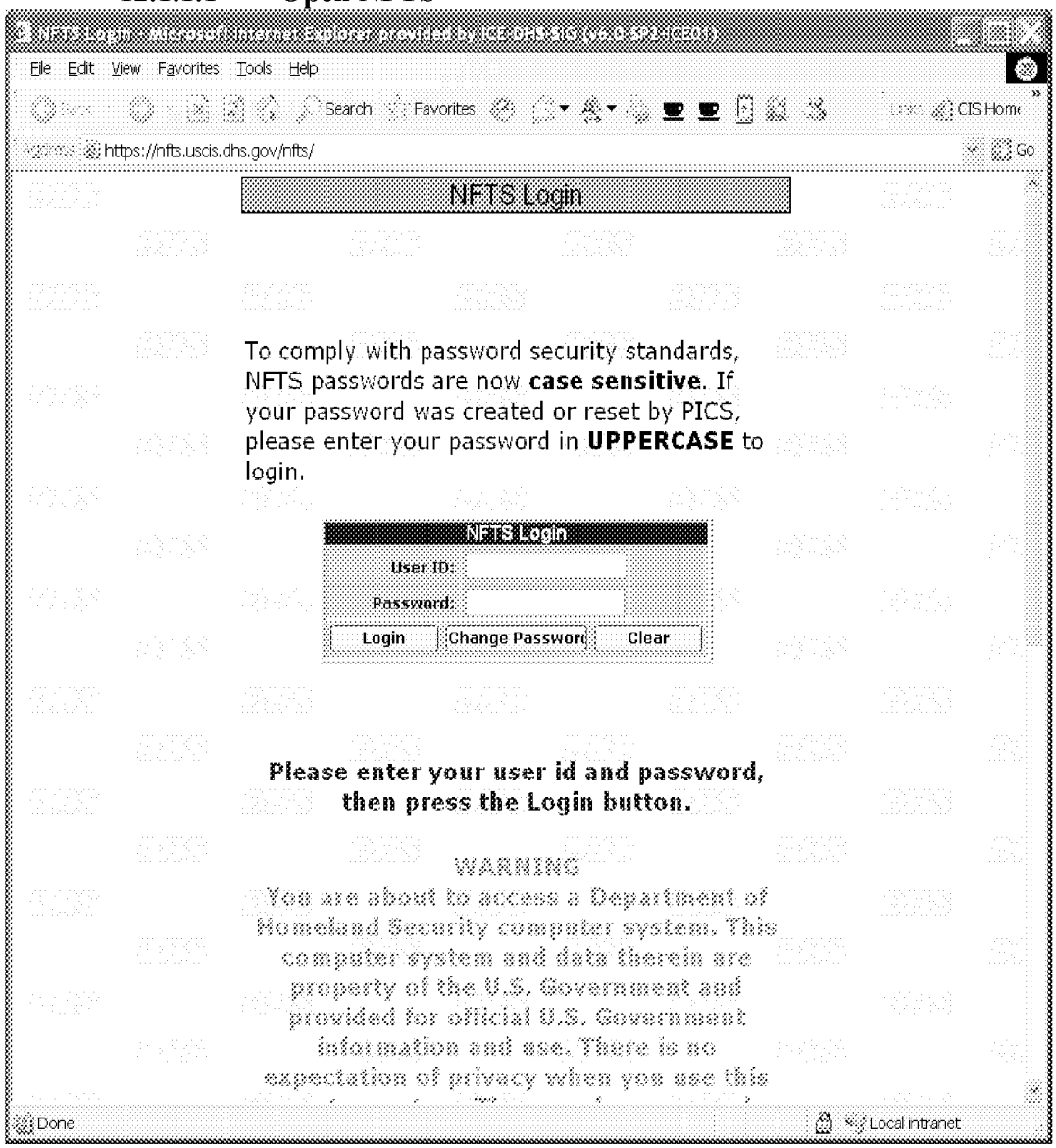
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB and either a notarized signature or a signature under penalty of perjury) to complete the case create. If any of the required elements are missing, close the case as an Unperfected request. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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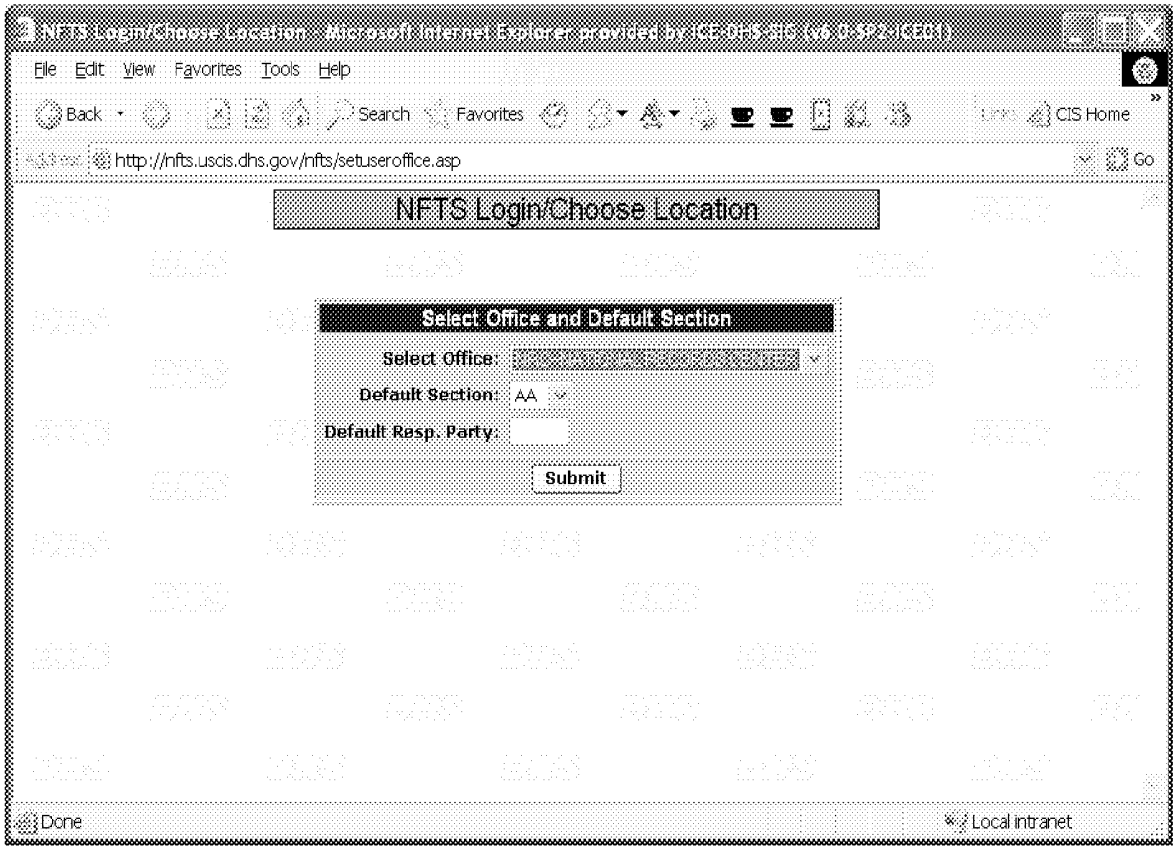
12.1.1.2 Submit your location



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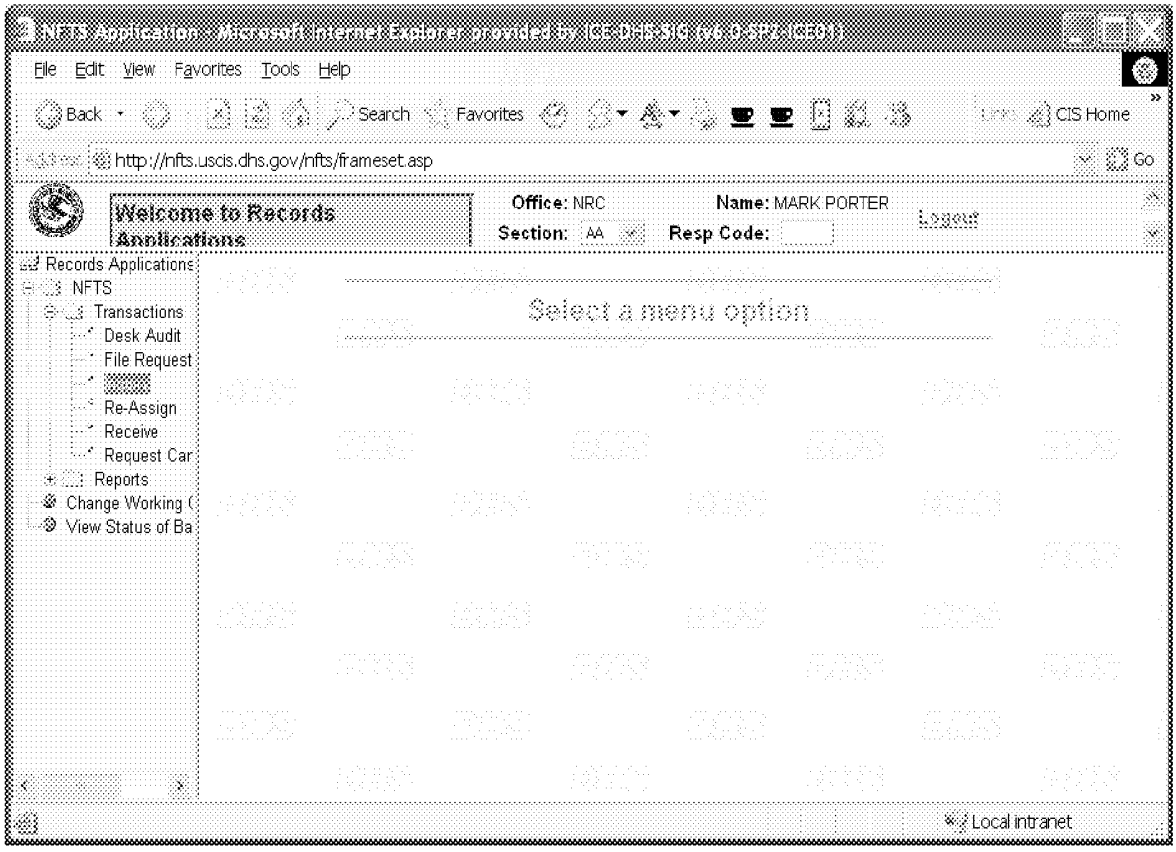
12.1.1.3 Select "Inquiry"



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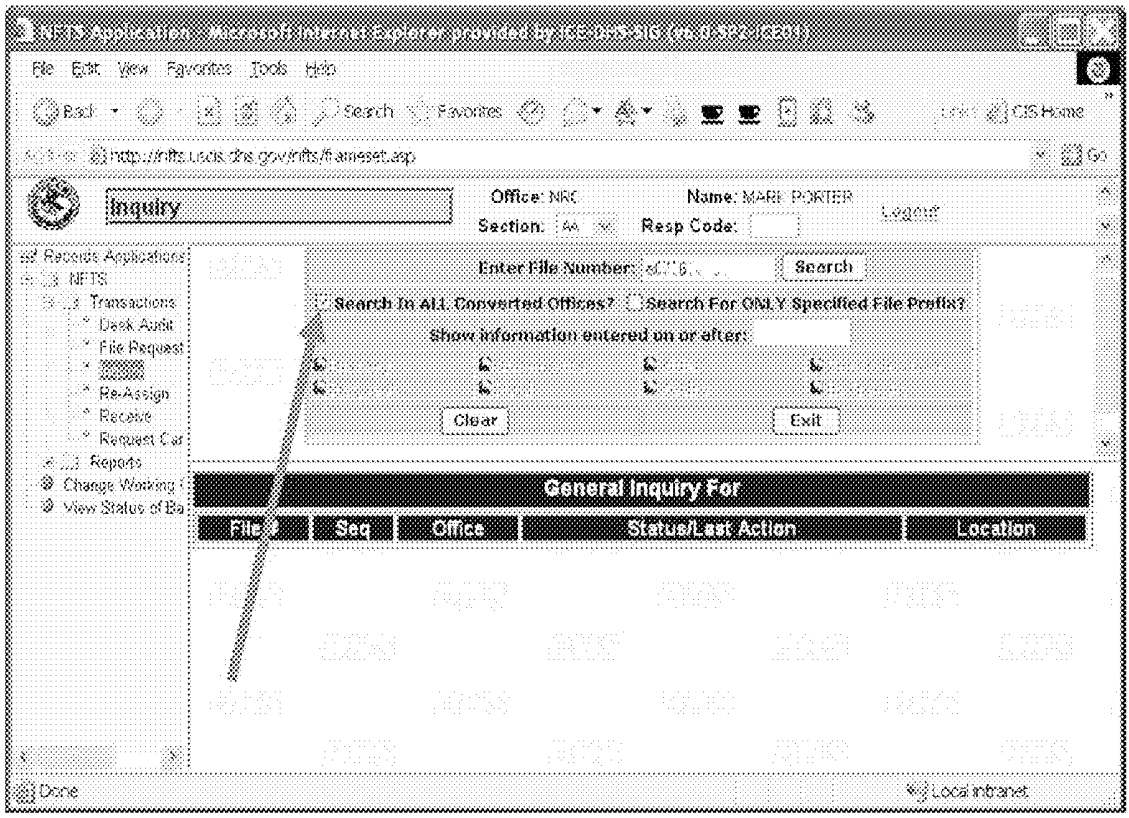
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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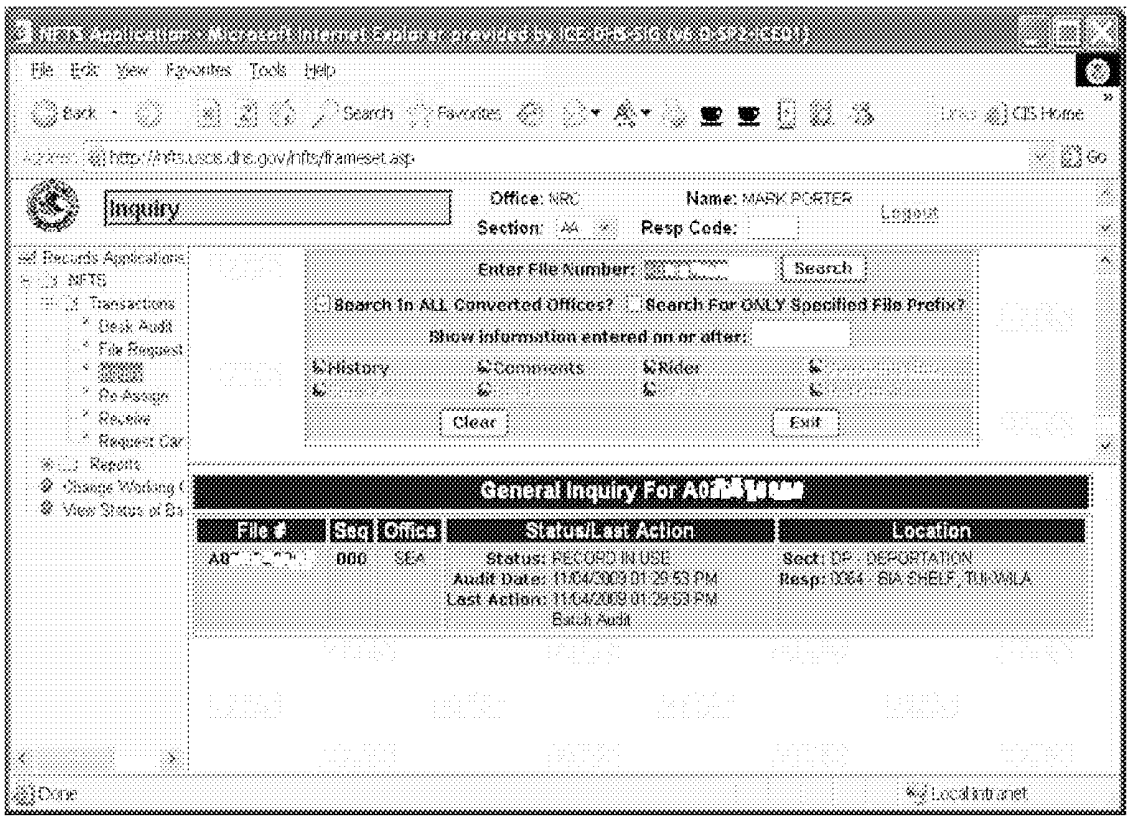
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

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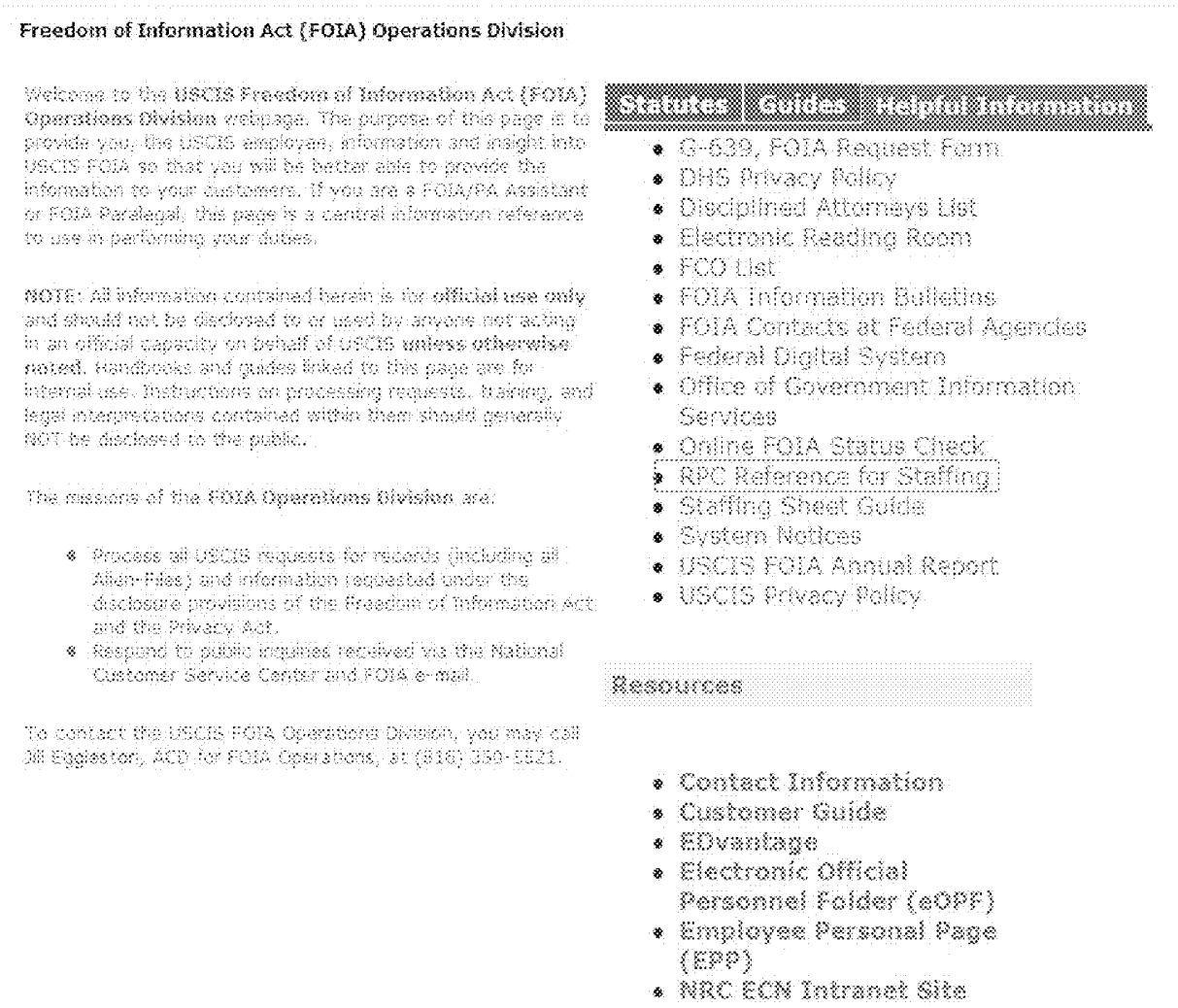
12.1.1.7 The USCIS Connect FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the RPC Reference for Staffing.



Freedom of Information Act (FOIA) Operations Division

Welcome to the **USCIS Freedom of Information Act (FOIA) Operations Division** webpage. The purpose of this page is to provide you, the USCIS employee, information and insight into USCIS FOIA so that you will be better able to provide the information to your customers. If you are a FOIA/PA Assistant or FOIA Paralegal, this page is a central information reference to use in performing your duties.

NOTE: All information contained herein is for **official use only** and should not be disclosed to or used by anyone not acting in an official capacity on behalf of USCIS **unless otherwise noted.** Handbooks and guides linked to this page are for internal use. Instructions on processing requests, training, and legal interpretations contained within them should generally NOT be disclosed to the public.

The missions of the **FOIA Operations Division** are:

- Process all USCIS requests for records (including all Alien-Files) and information requested under the disclosure provisions of the Freedom of Information Act and the Privacy Act.
- Respond to public inquiries received via the National Customer Service Center and FOIA e-mail.

To contact the USCIS FOIA Operations Division, you may call Jill Eggleston, ACD for FOIA Operations, at (816) 350-5521.

Statutes | **Guides** | **Helpful Information**

- G-639, FOIA Request Form
- DHS Privacy Policy
- Disciplined Attorneys List
- Electronic Reading Room
- FCO List
- FOIA Information Bulletins
- FOIA Contacts at Federal Agencies
- Federal Digital System
- Office of Government Information Services
- Online FOIA Status Check
- RPC Reference for Staffing
- Staffing Sheet Guide
- System Notices
- USCIS FOIA Annual Report
- USCIS Privacy Policy

Resources

- Contact Information
- Customer Guide
- EDvantage
- Electronic Official Personnel Folder (eOPF)
- Employee Personal Page (EPP)
- NRC ECN Intranet Site

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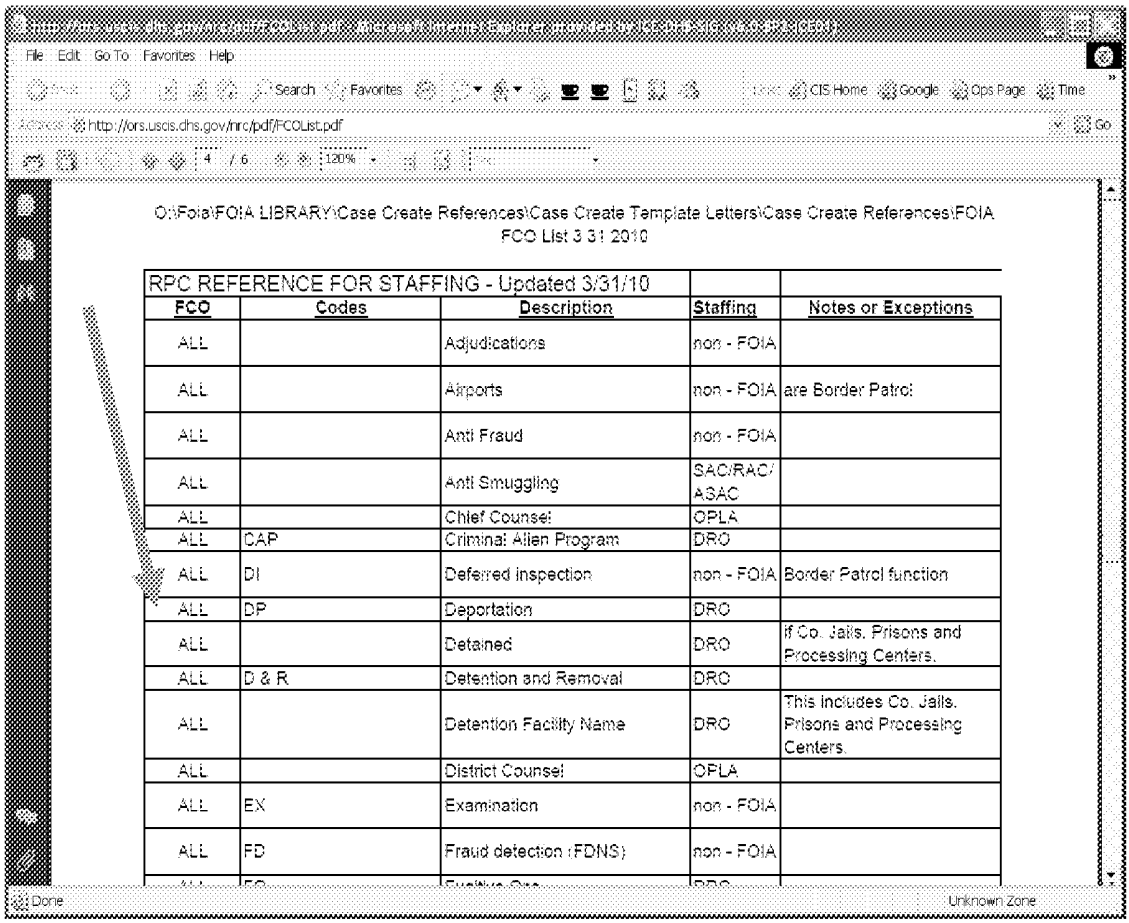
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



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Search Favorites CIS Home Google Ops Page Time

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	if Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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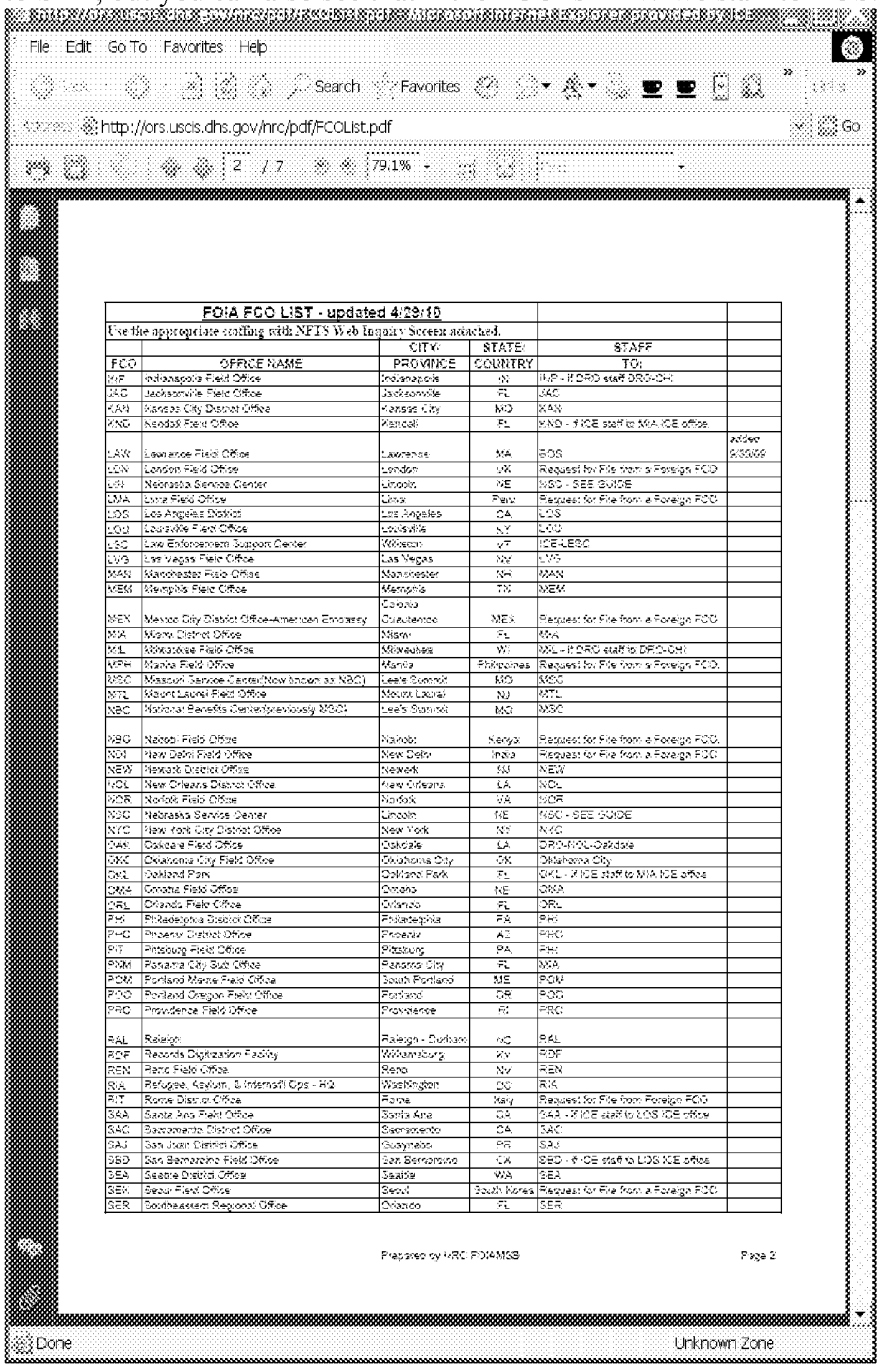
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

Go

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FOIA FCO LIST - updated 4/29/10

Use the appropriate coding with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
IMF	Indianapolis Field Office	Indianapolis	IN	IMP - If DRO staff DRO-DHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - If ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 6/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LIM	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MIL	Milwaukee Field Office	Milwaukee	WI	MIL - If DRO staff to DRO-DHI	
MNH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO.	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO.	
NDH	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Oakdale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - If ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PHI	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internatl Ops - HQ	Washington	DC	RIA	
ROT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - If ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - If ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEK	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/MSB Page 2

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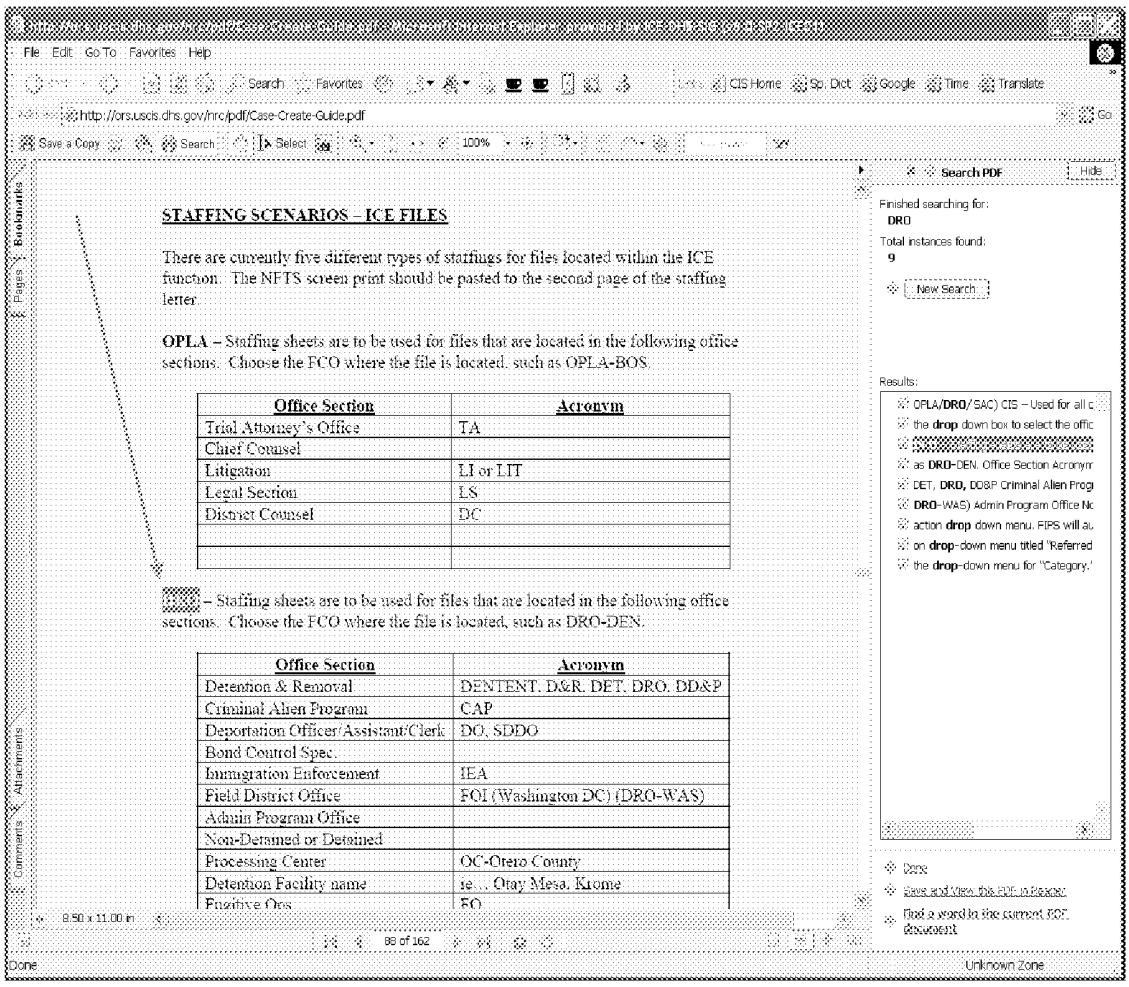
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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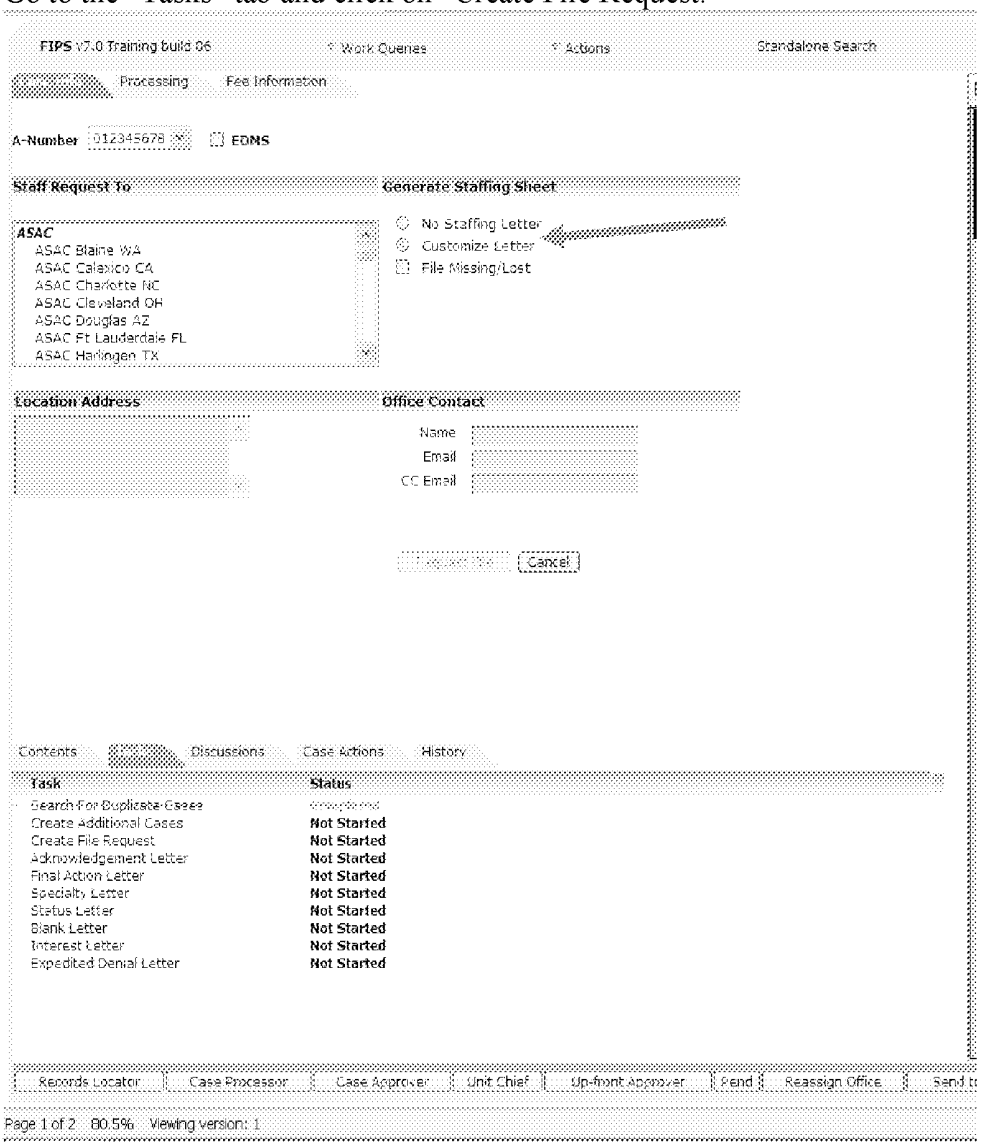
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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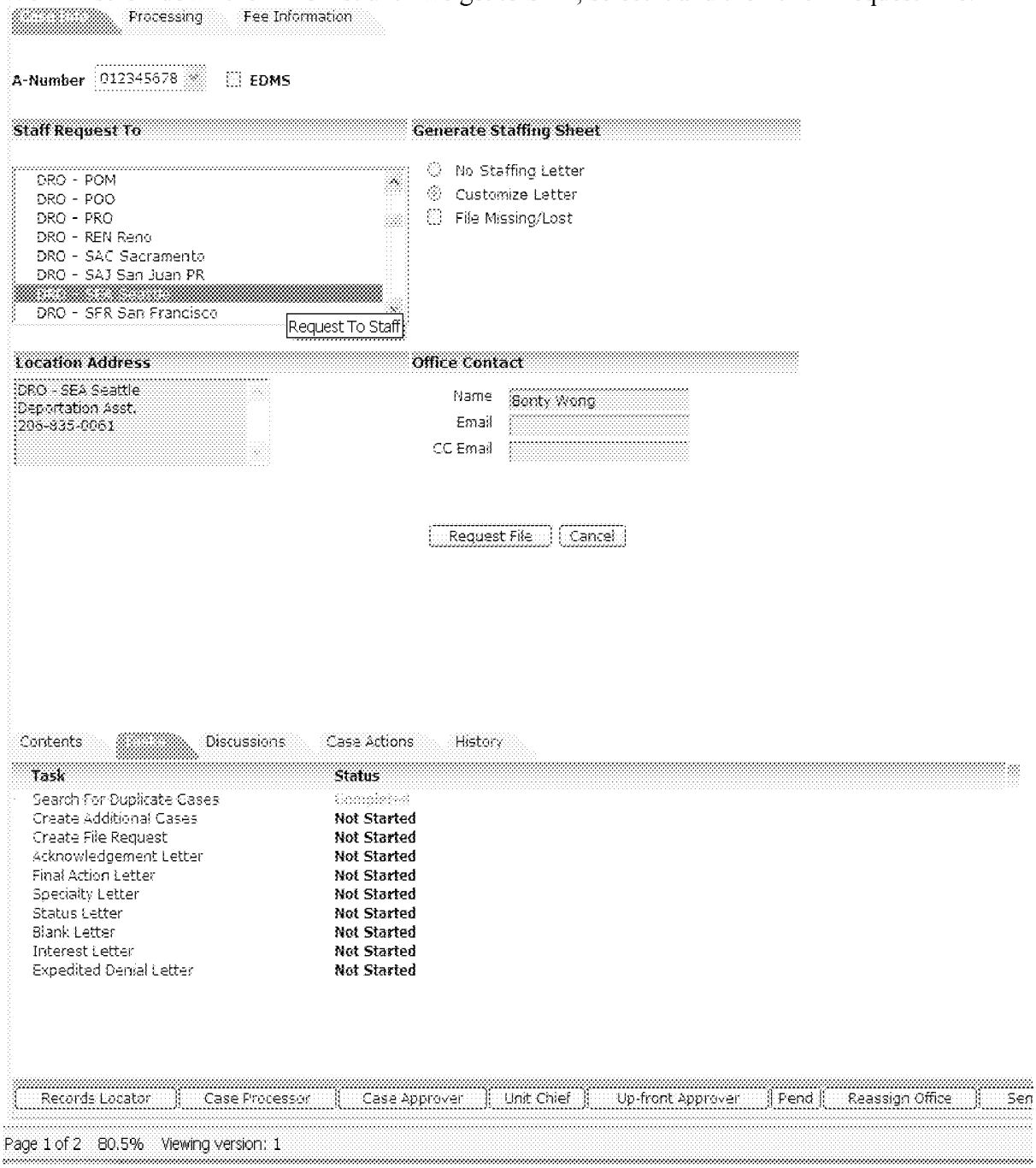
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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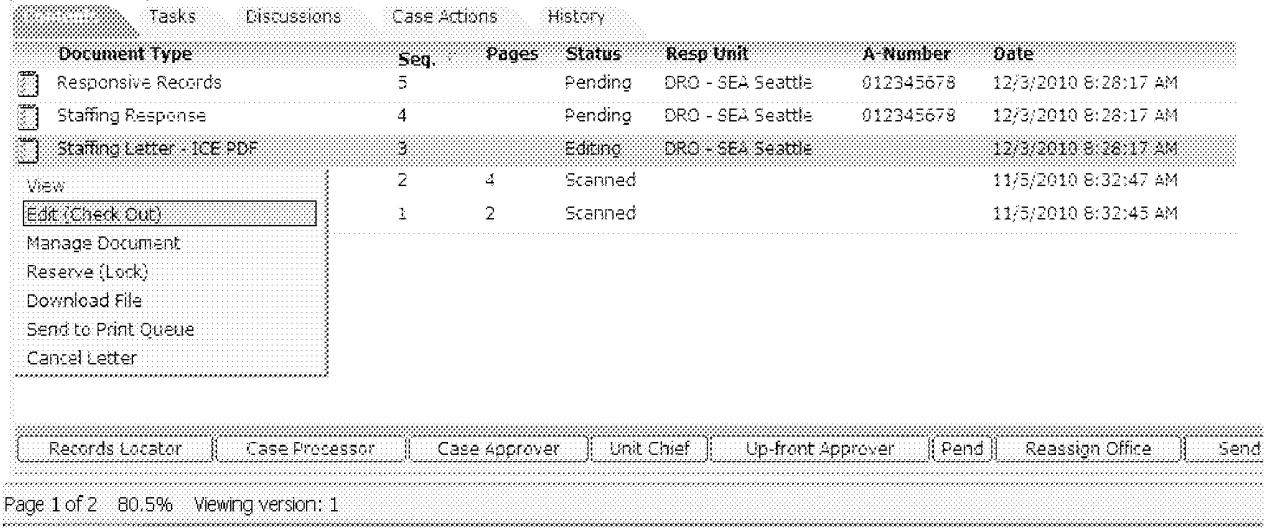
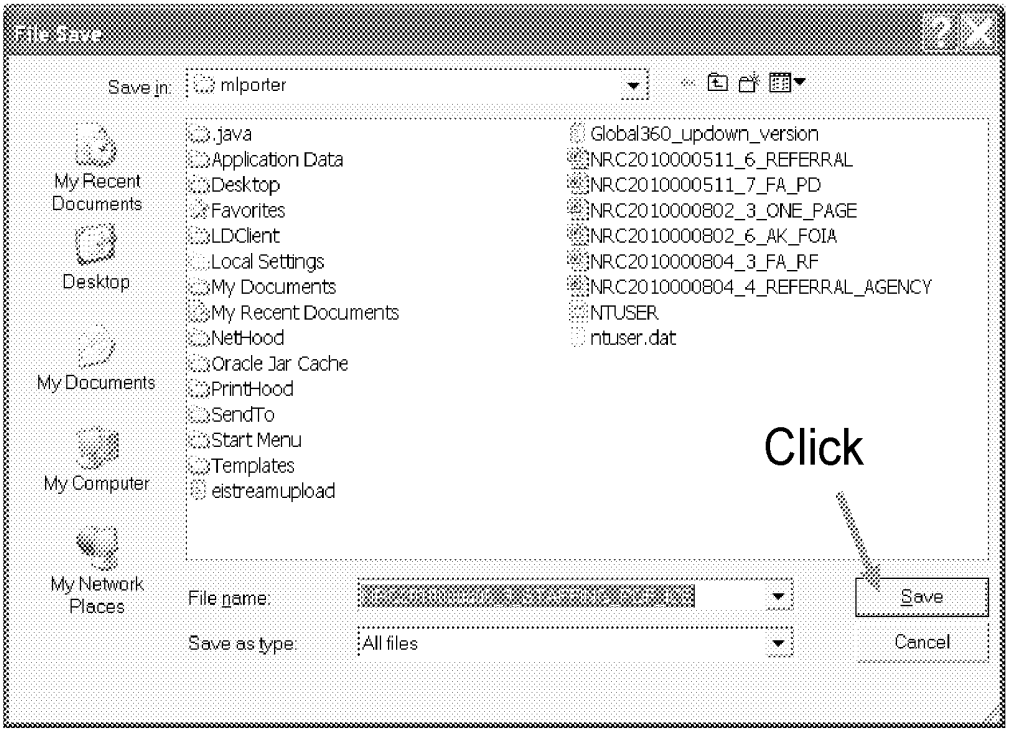
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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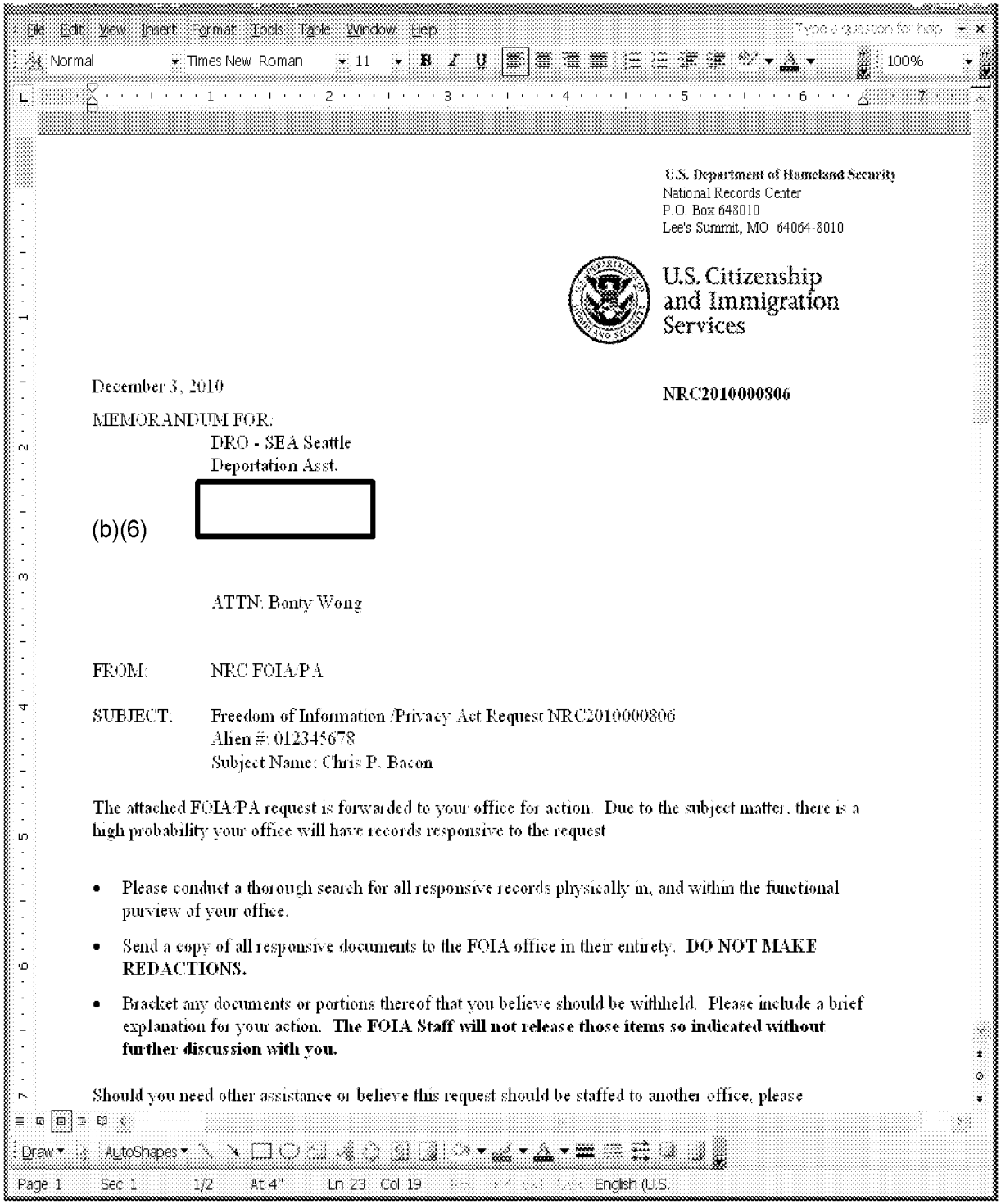
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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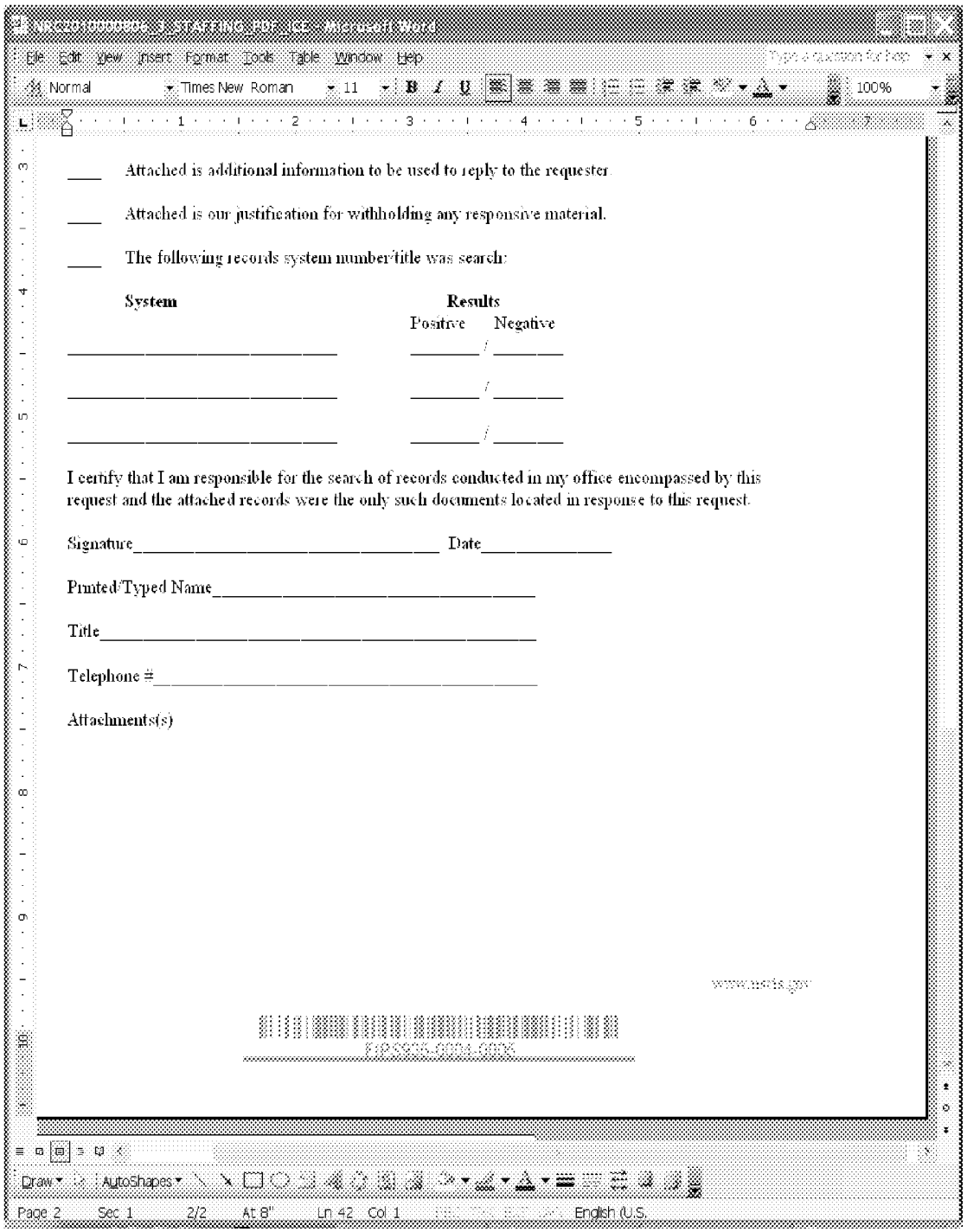
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

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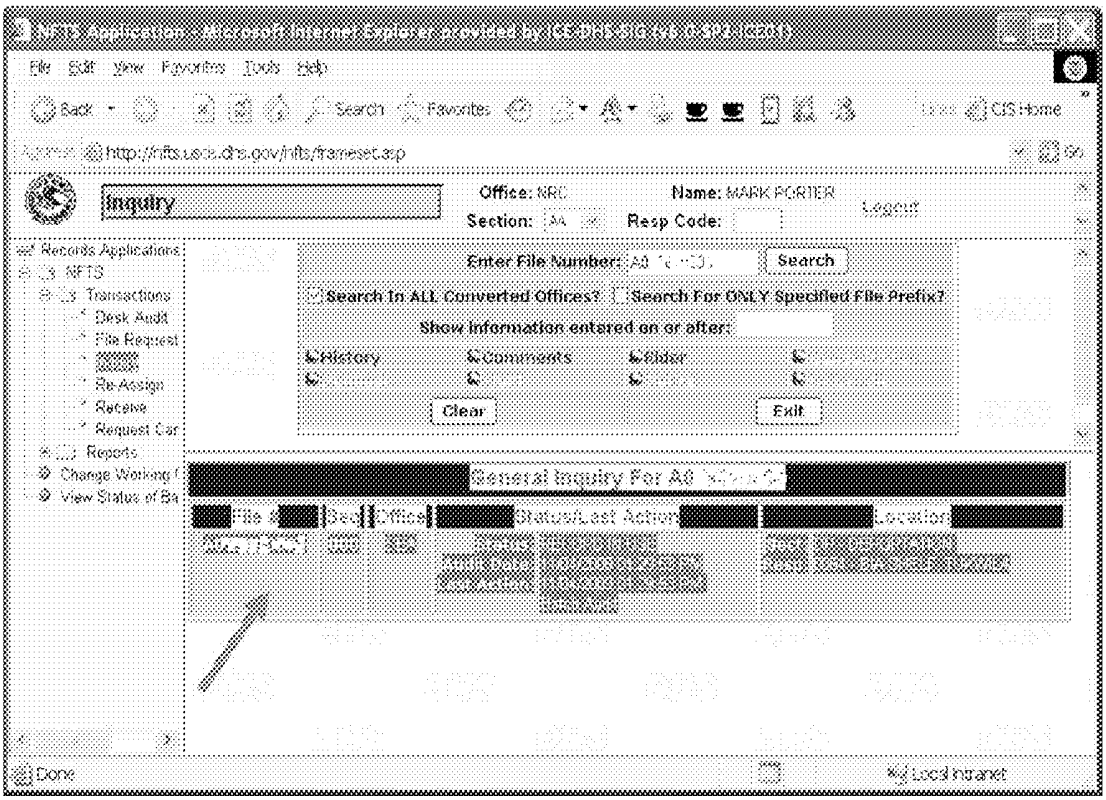
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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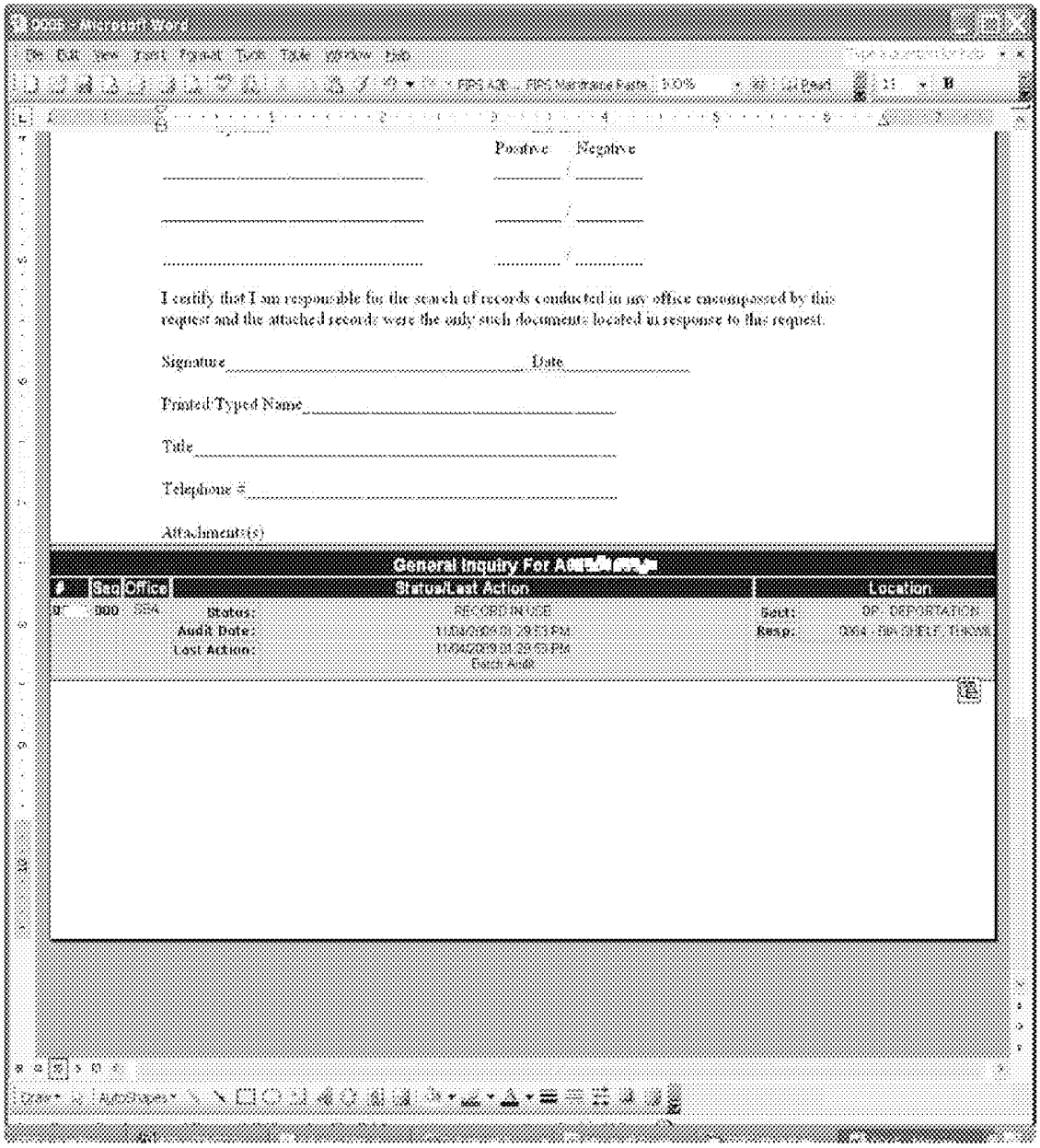
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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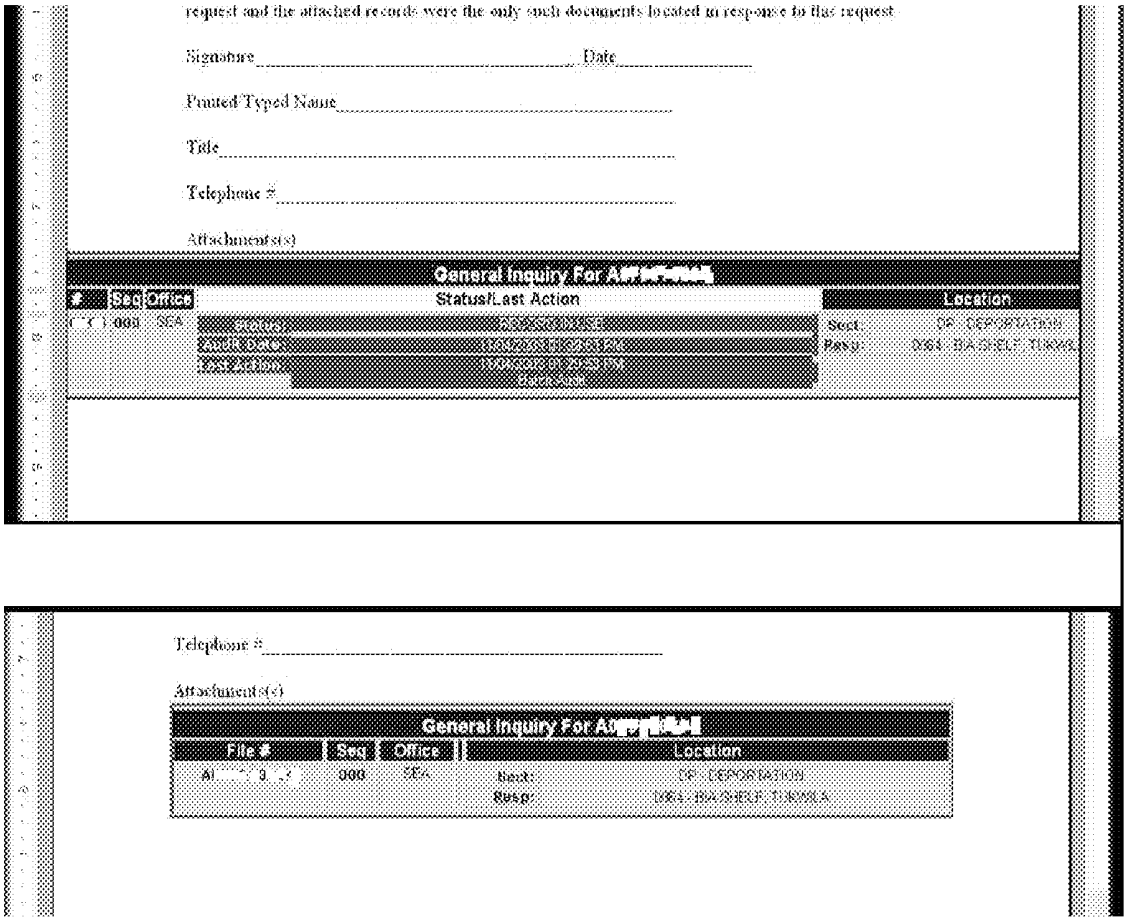
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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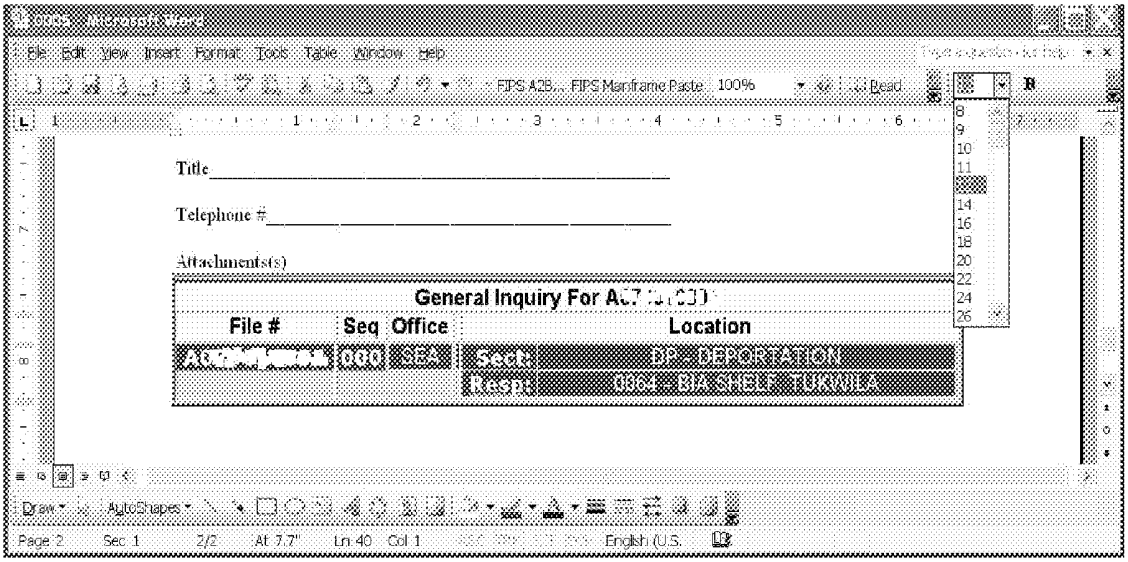
Next, highlight the whole area and change the font size to 12.



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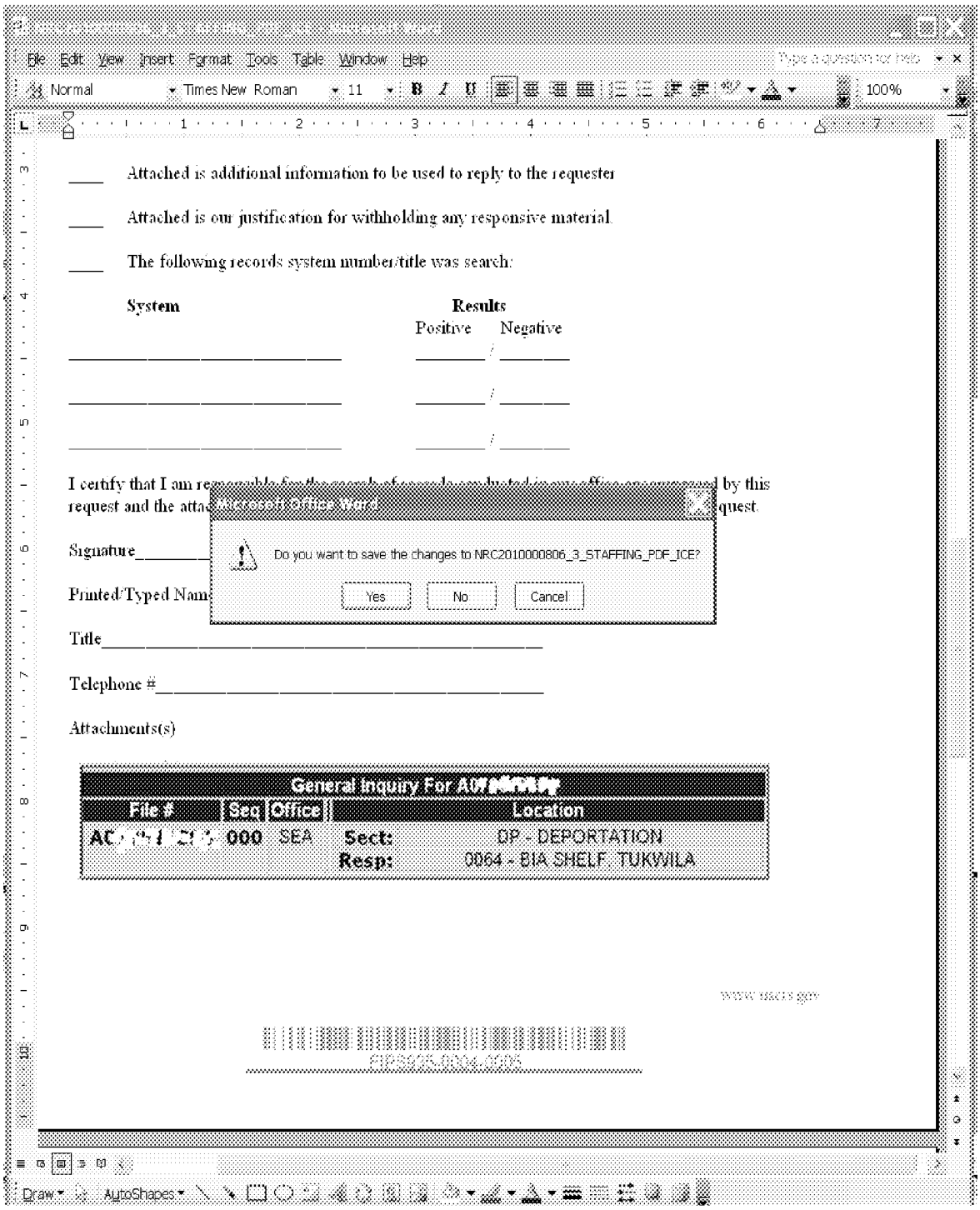
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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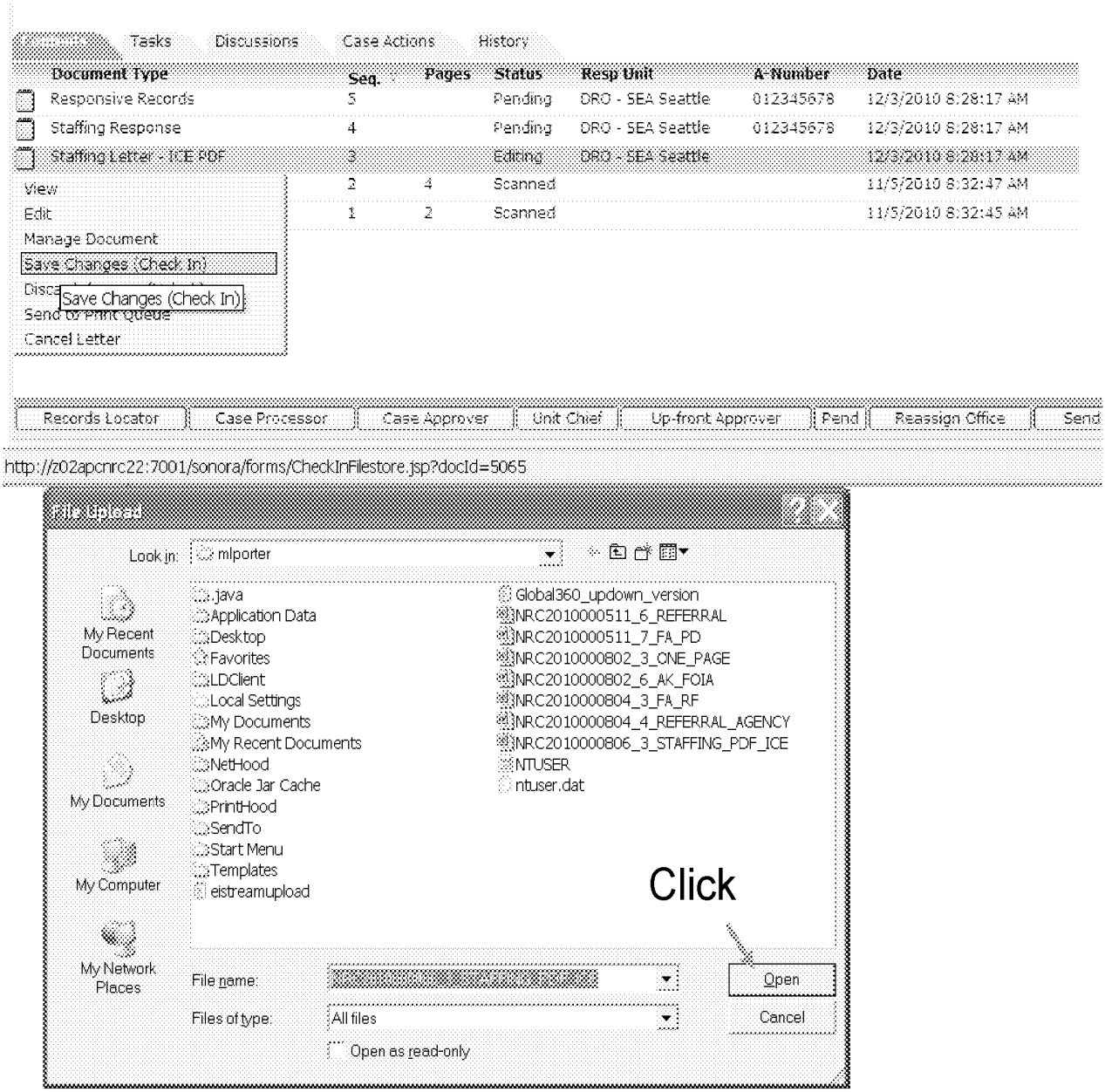
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

12.7 Staffing Scenarios

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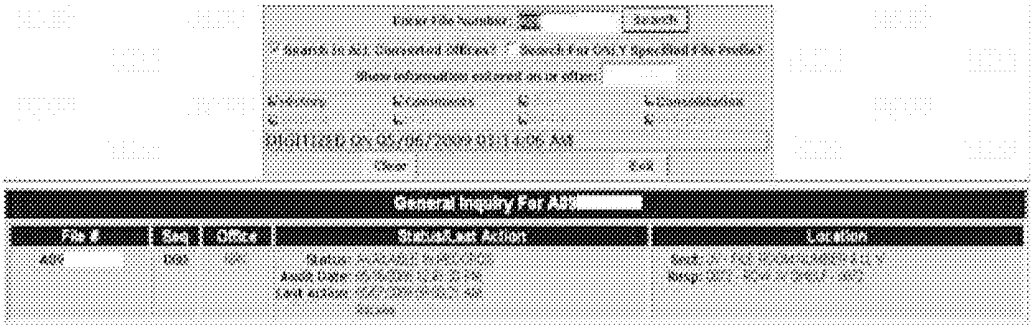
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON ...." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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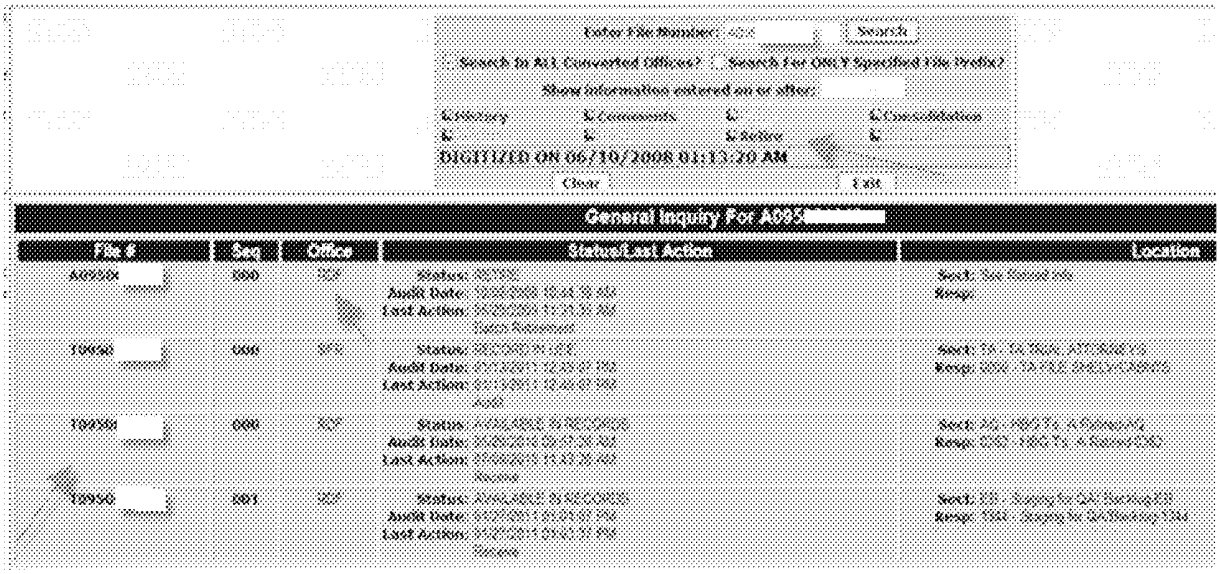
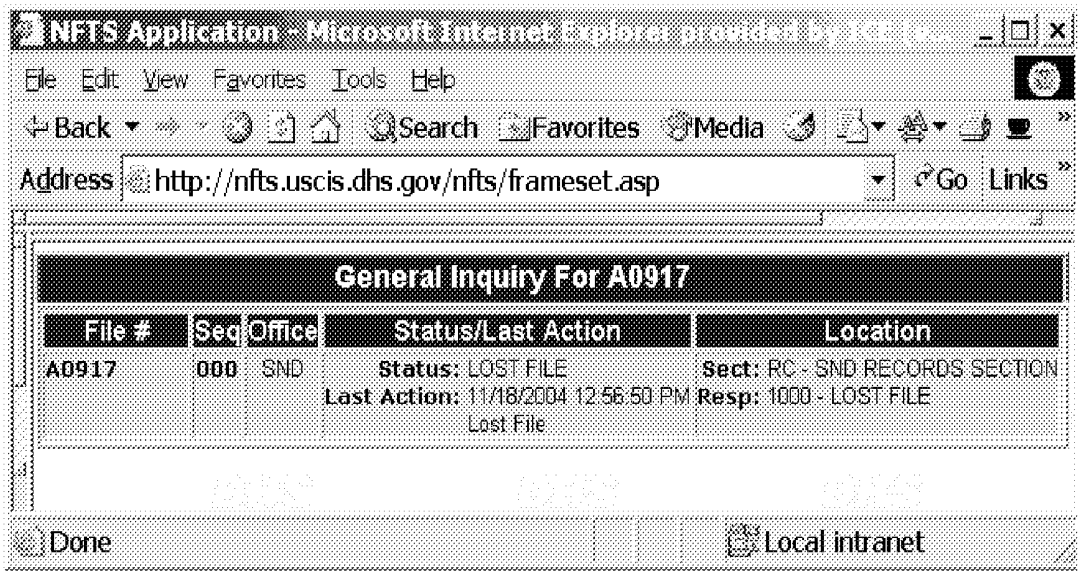


In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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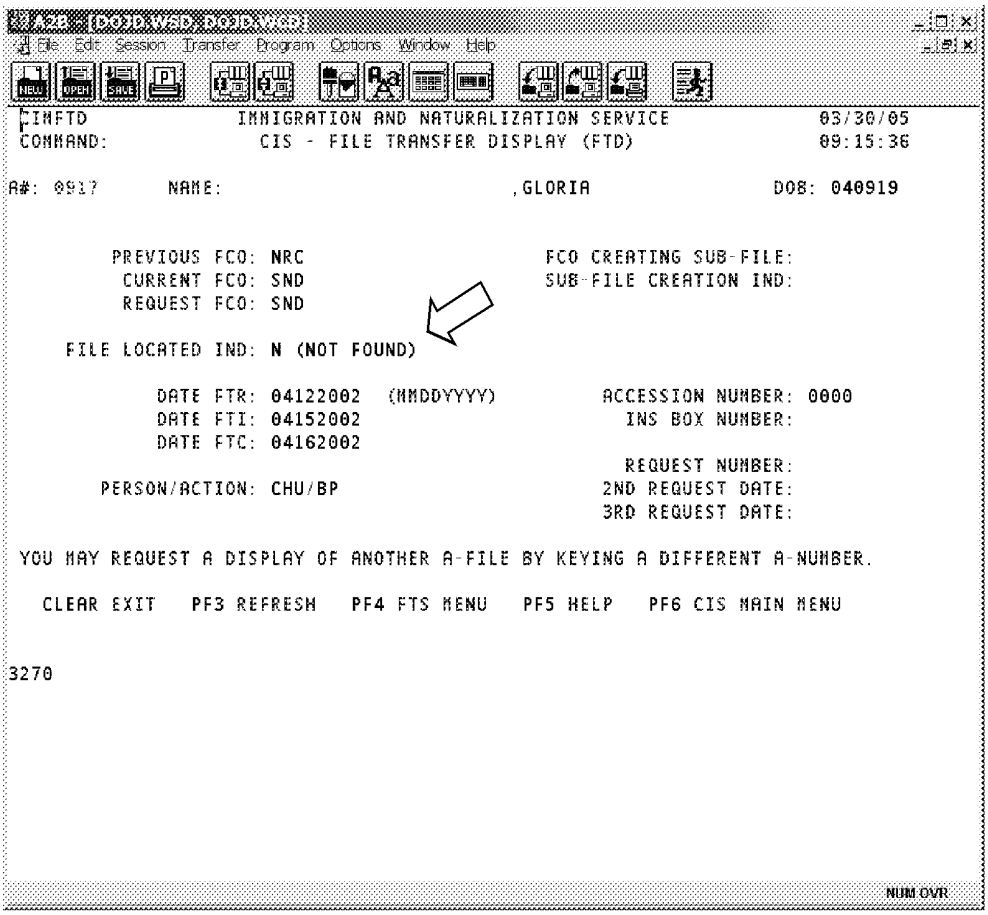
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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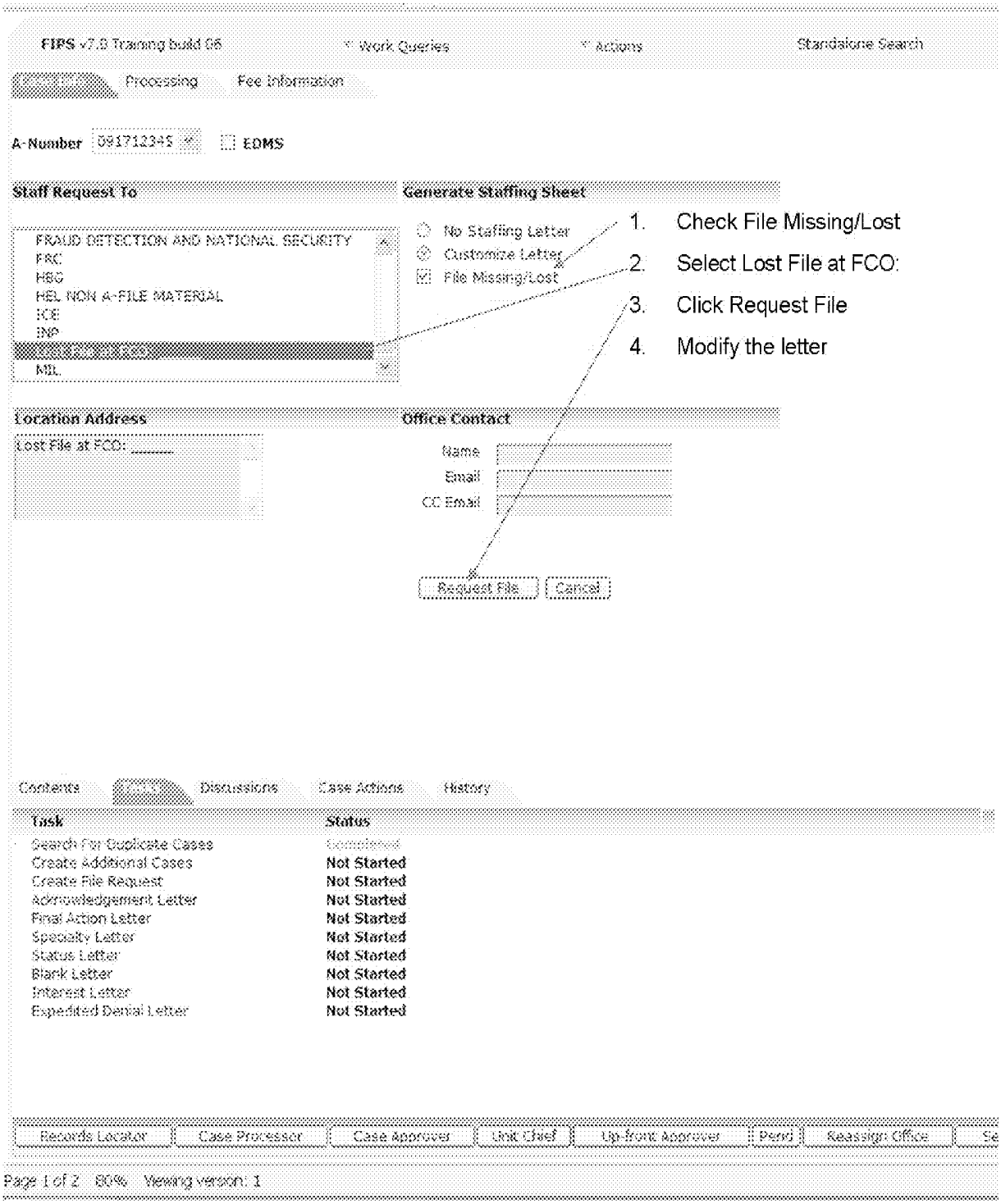

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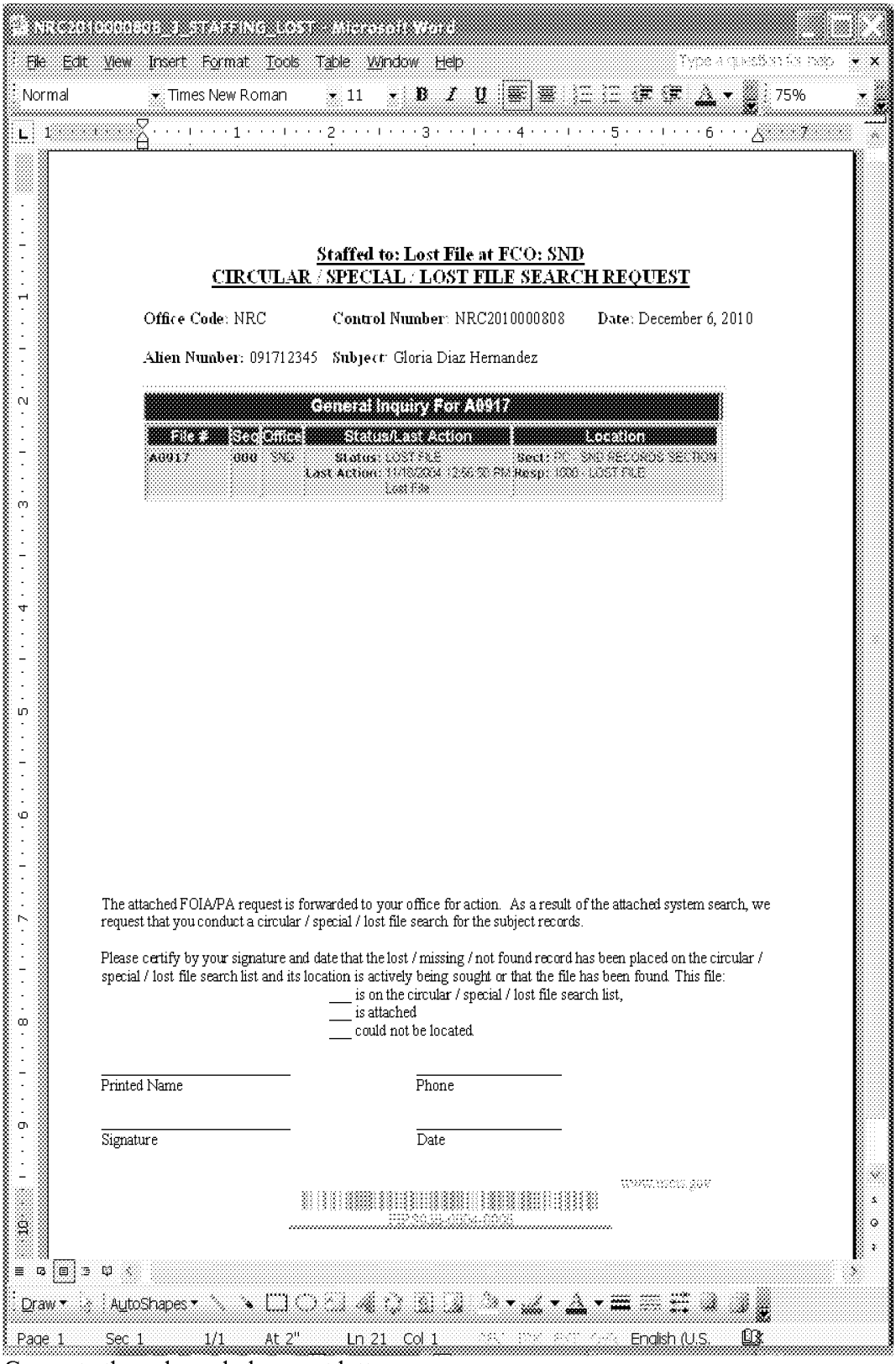

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:56:30 PM Lost File	Sect: SND RECORDS SECTION Resp: 000 - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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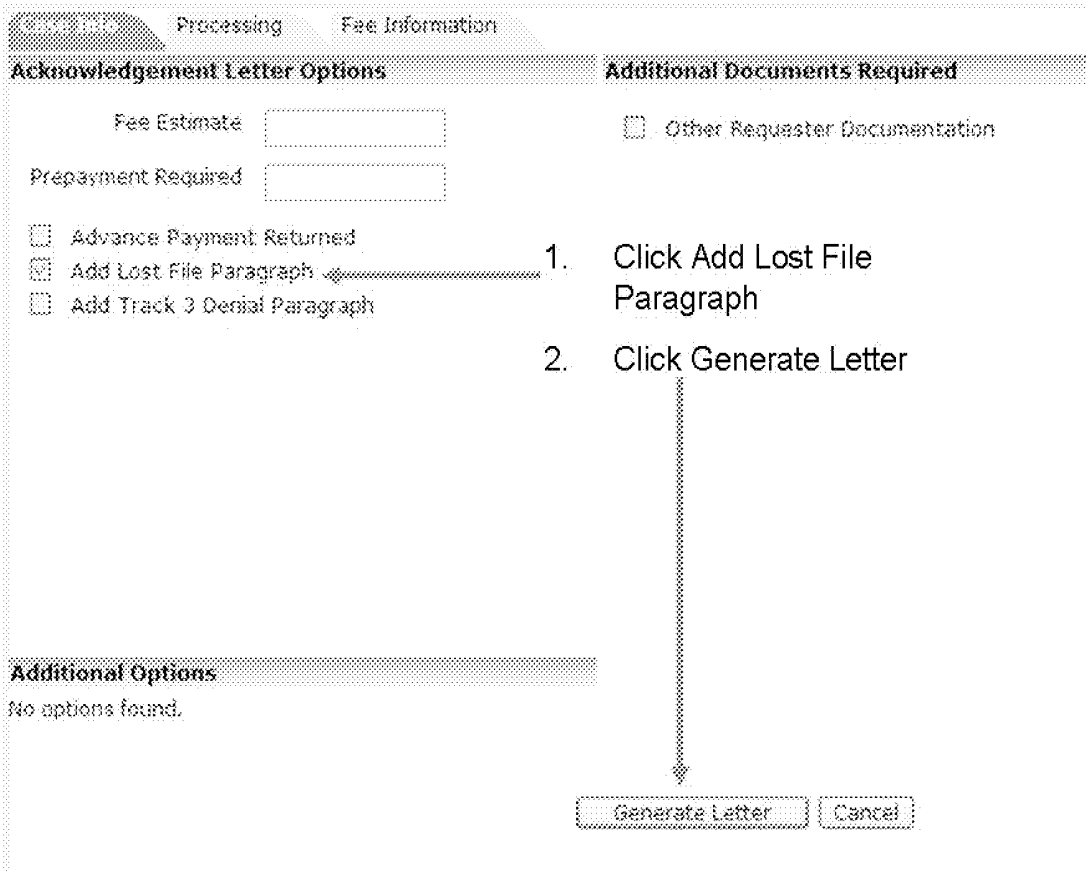

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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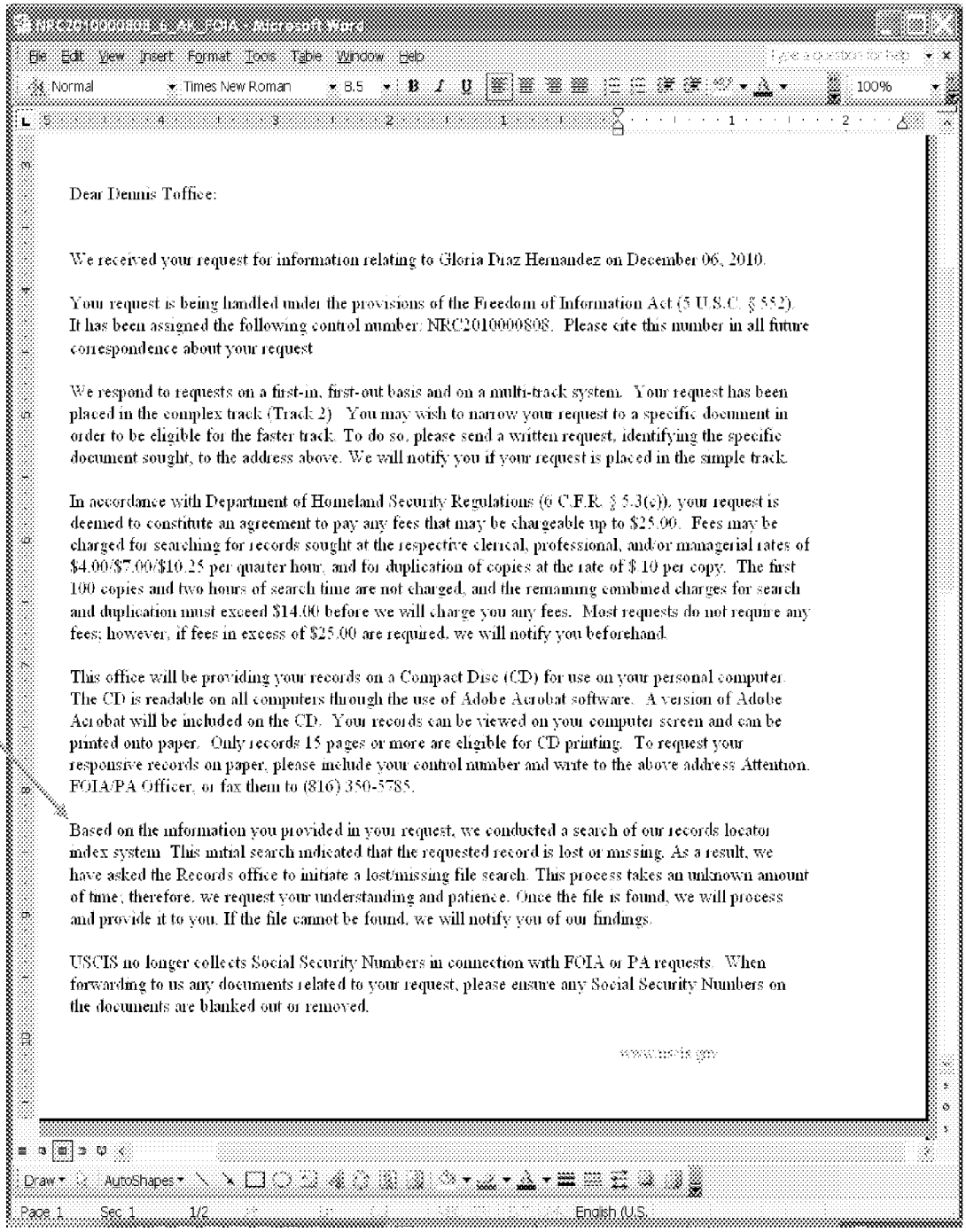

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $ 10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO RECORDS. It is important that you provide as much information as

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possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

Records Remarks:

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TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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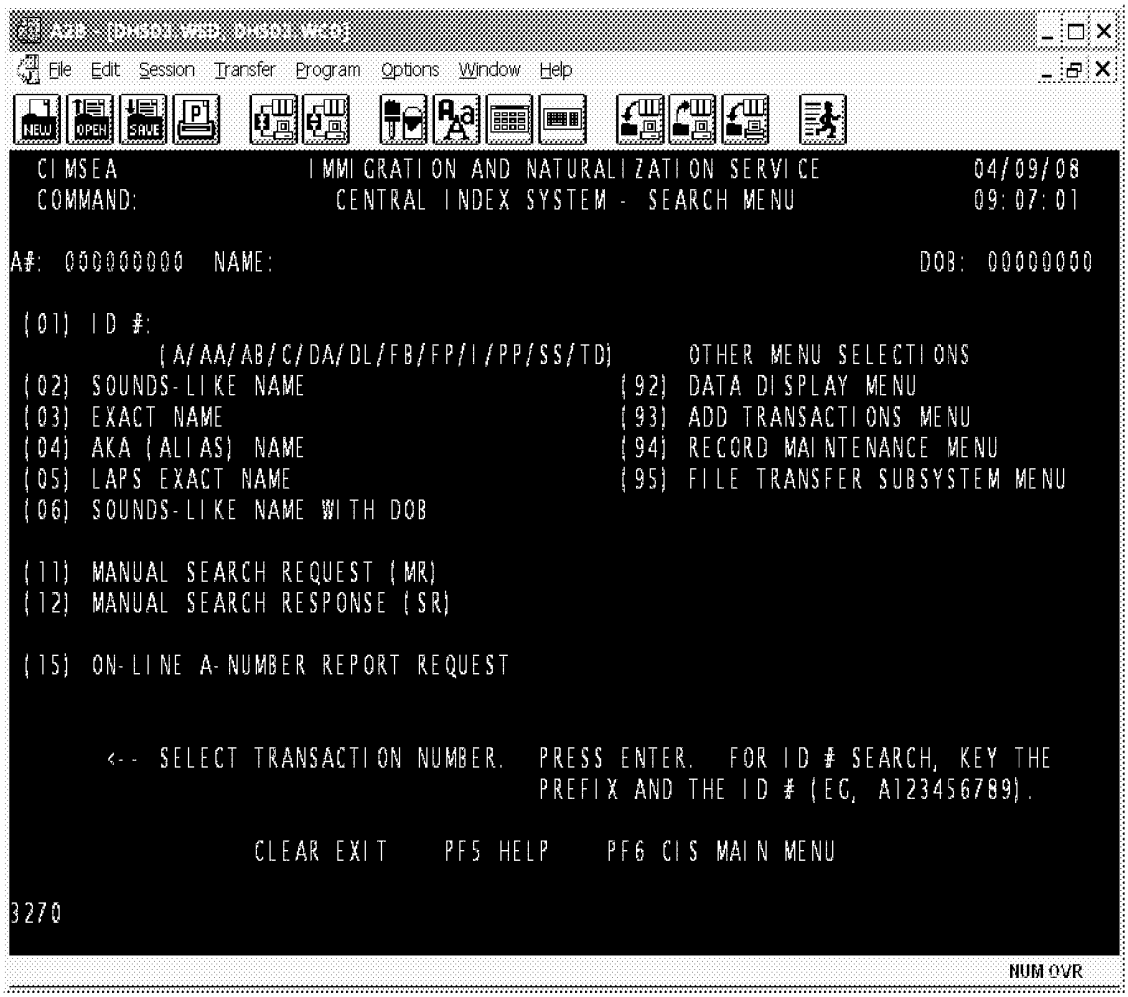

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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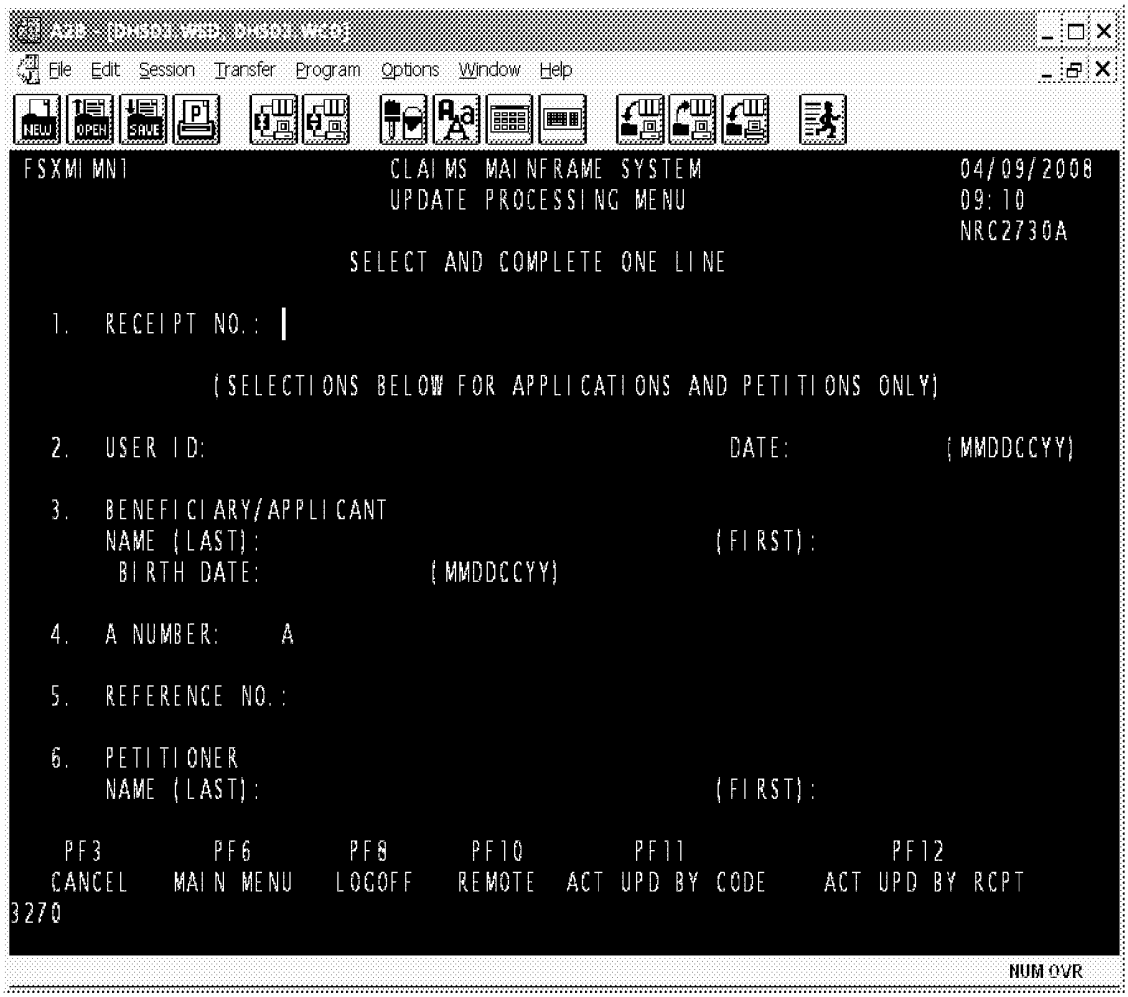

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter. OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**

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Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another

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example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

(b)(6)

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted], etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the

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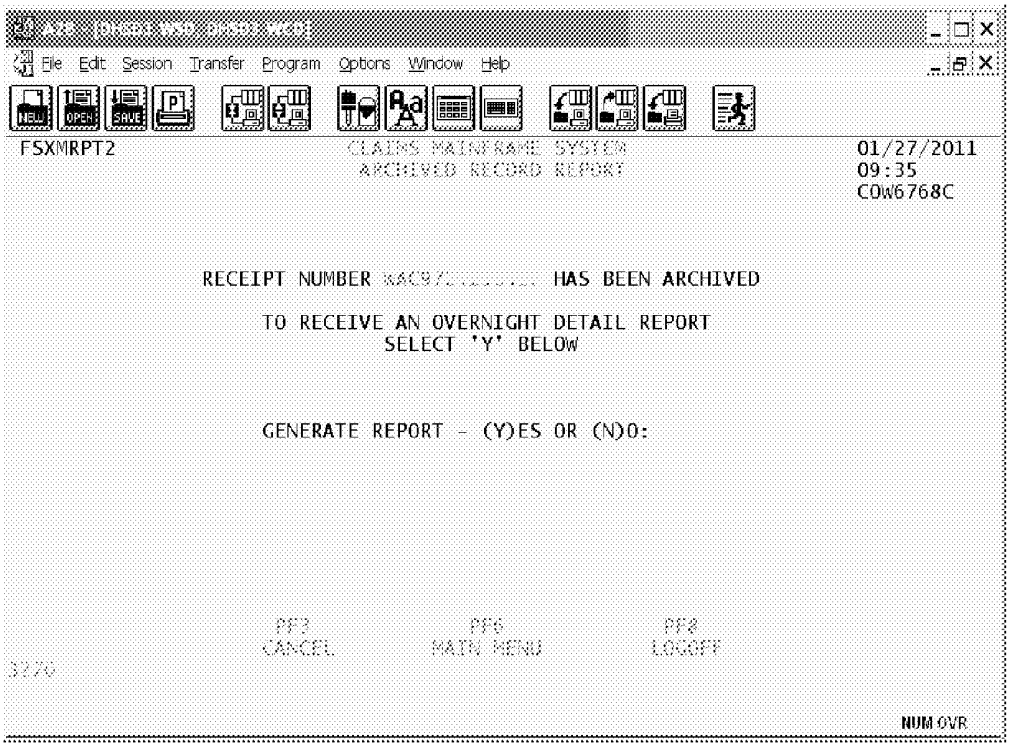
CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

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3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions in Paragraph 12.7.14, *Receipt files; Lost receipt file, File destroyed or File cannot locate*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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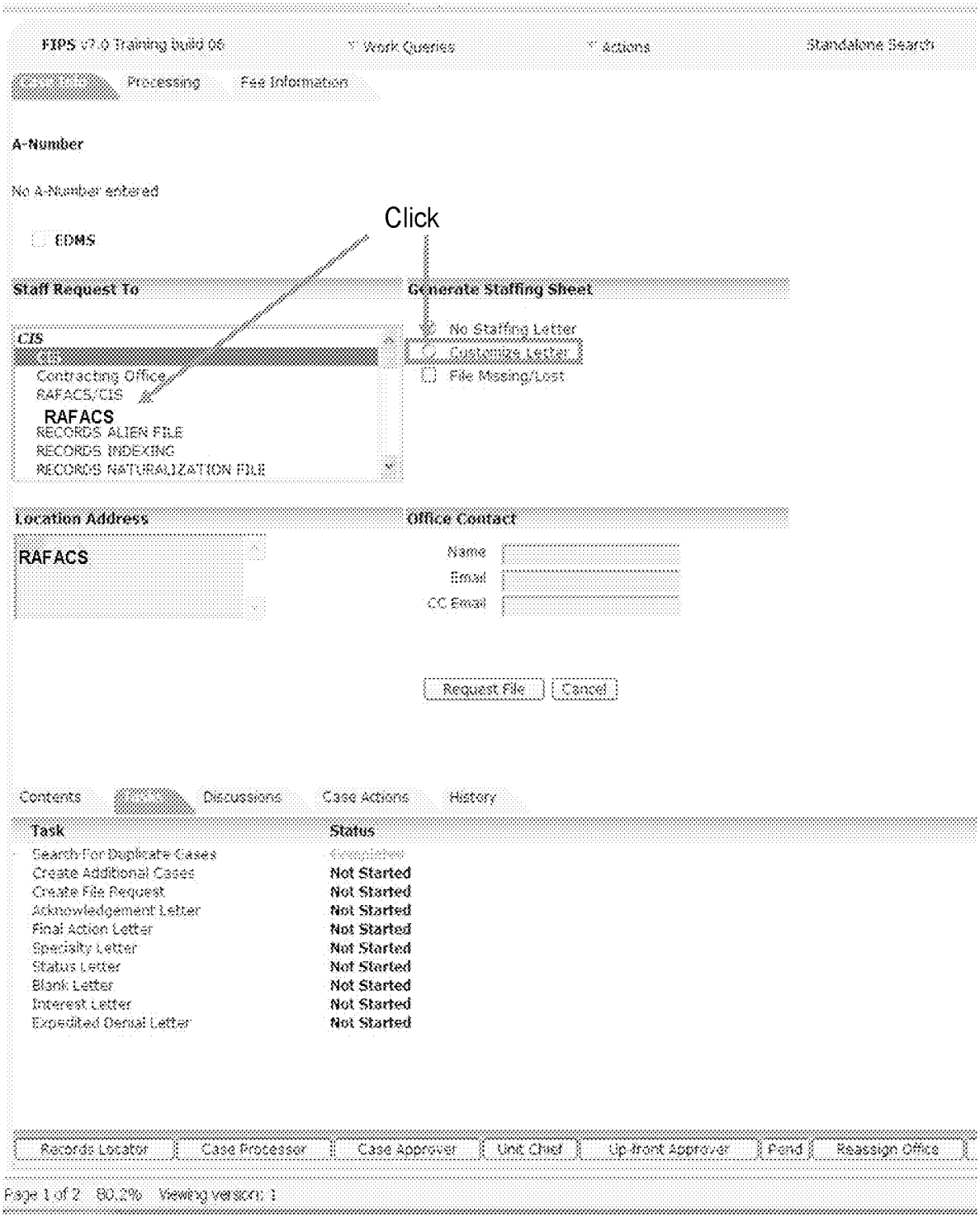

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC Control Number: NRC2009012393 Date: June 5, 2009

Alien Number: Subject: WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	0001	04/21/1992	Filing Mail	WSC	RAFACS CONVERSION	
WAC93	0000	04/21/1992	Filing Mail	WSC	RAFACS CONVERSION	

RECEIVED
JUN 08 2009
F.O.I.A.

According to CLAIMS this file is owned by WAC
2nd Staffing

A28 - [DHS03.WSC, DHS03.WSC]

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I (we) have conducted a thorough search for the above listed A file and this file:
..... is attached
..... could not be located.

Printed Name Phone

WAC93

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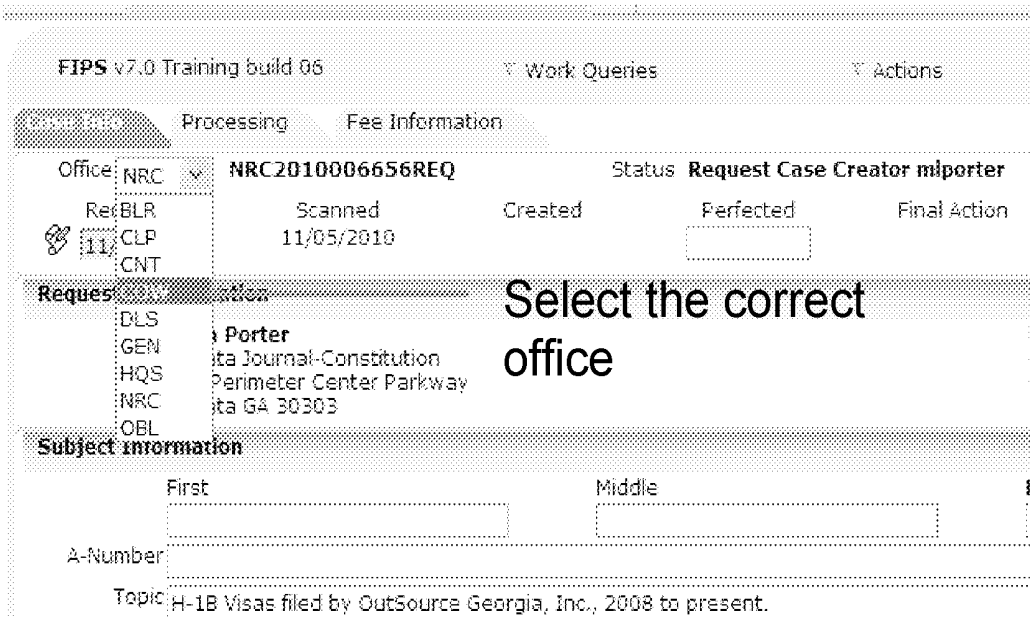
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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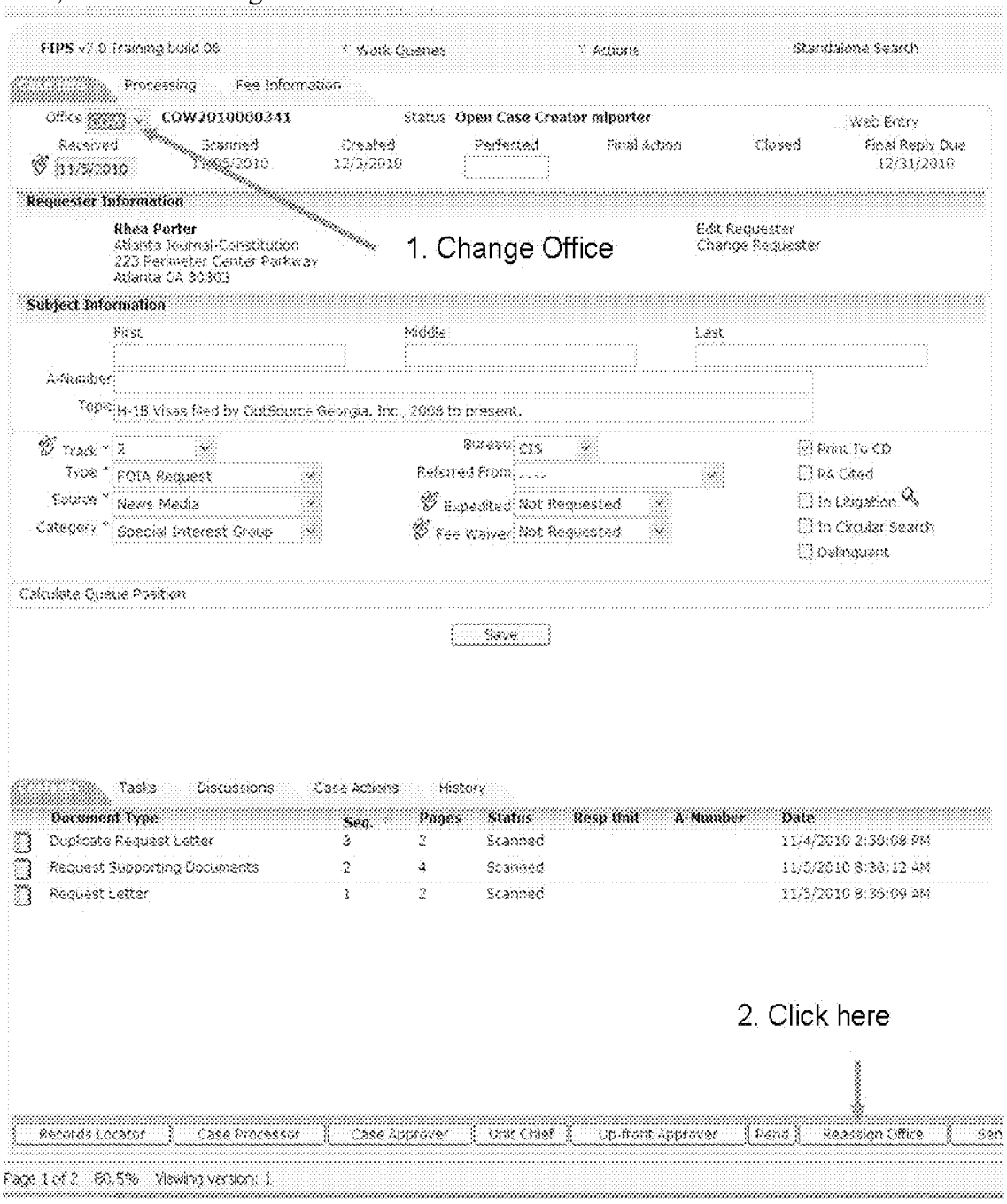
Next, click on "Reassign Office"



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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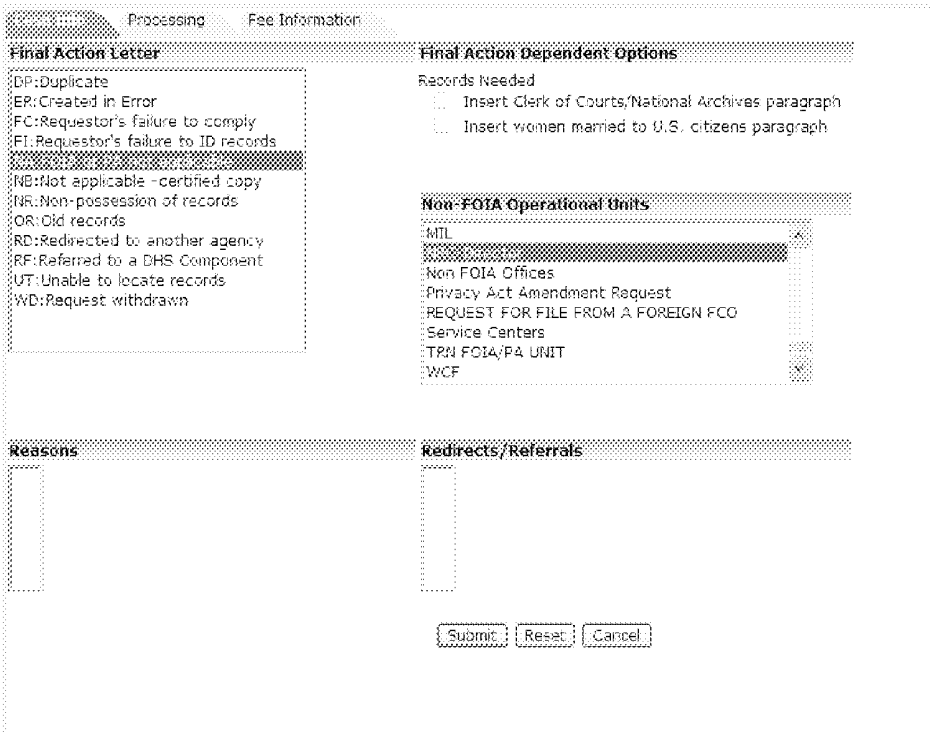
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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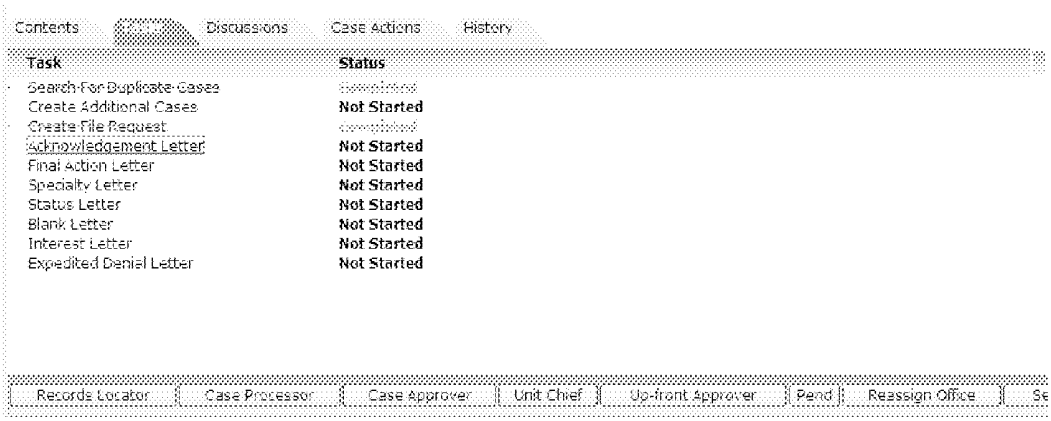
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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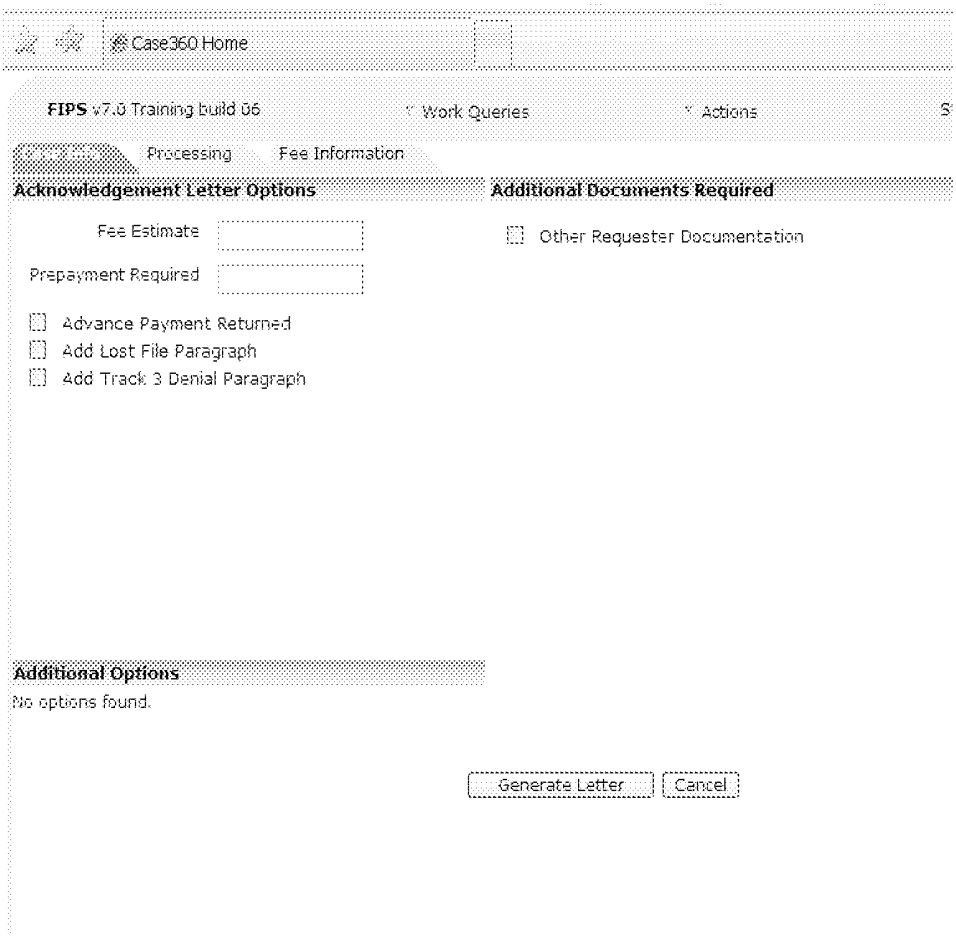
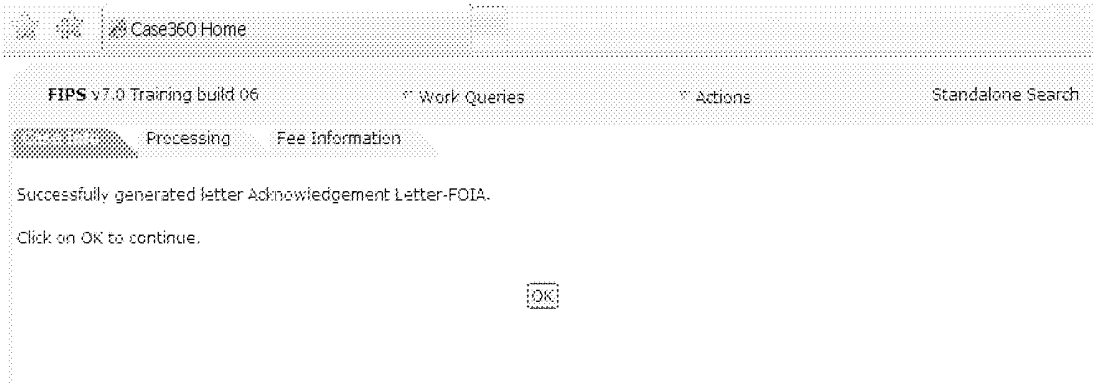


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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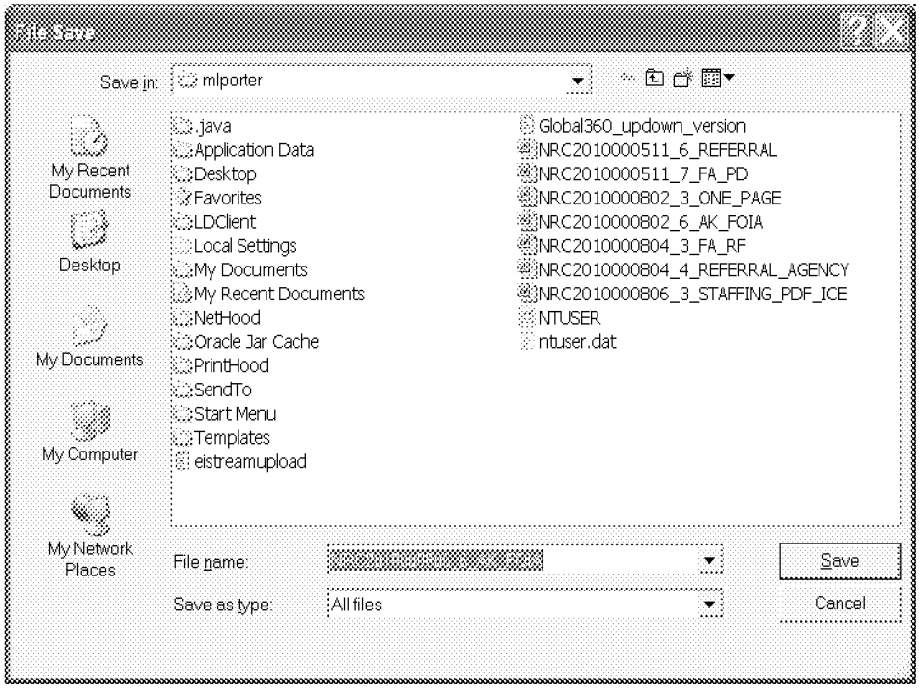

The acknowledgment letter will pop up:

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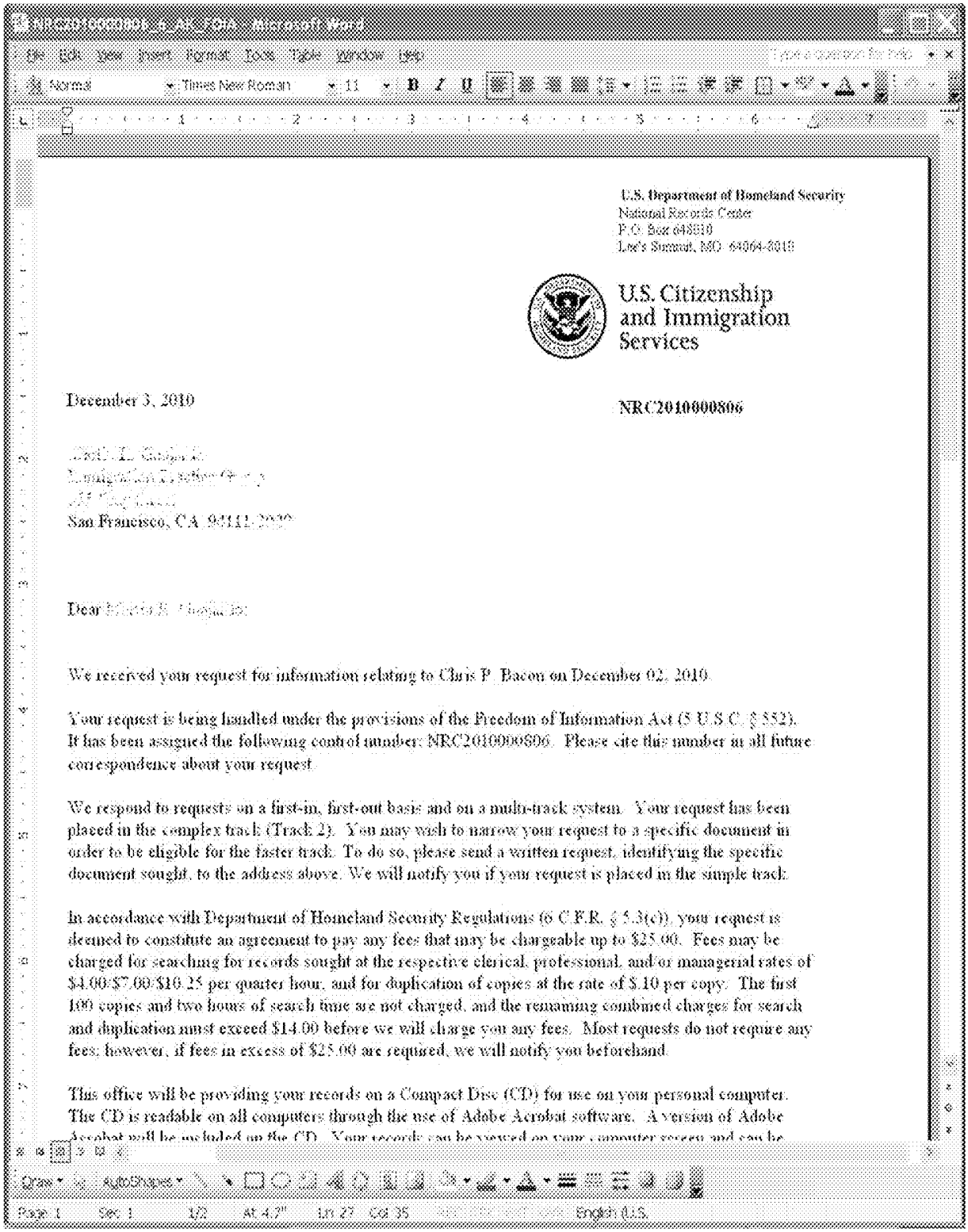

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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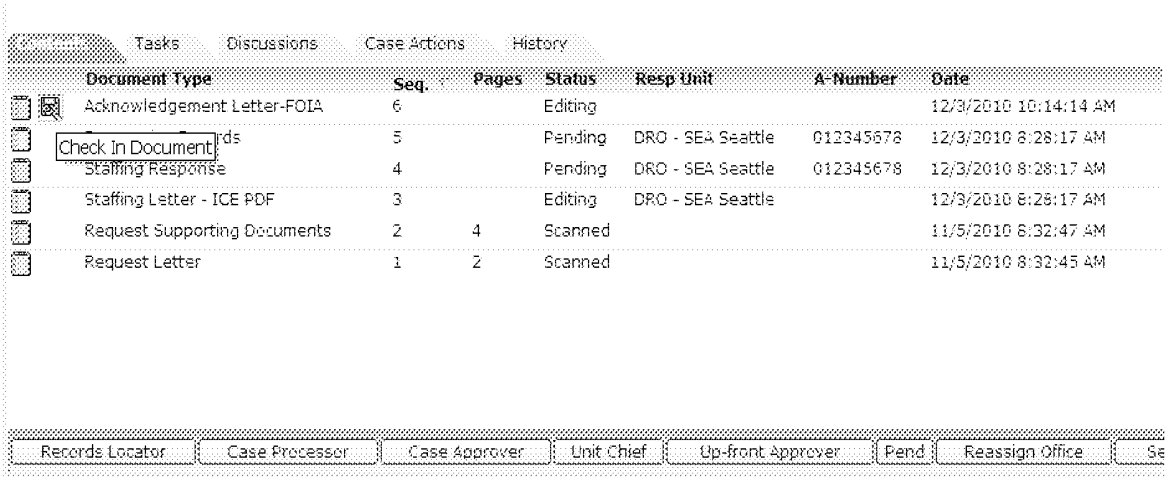
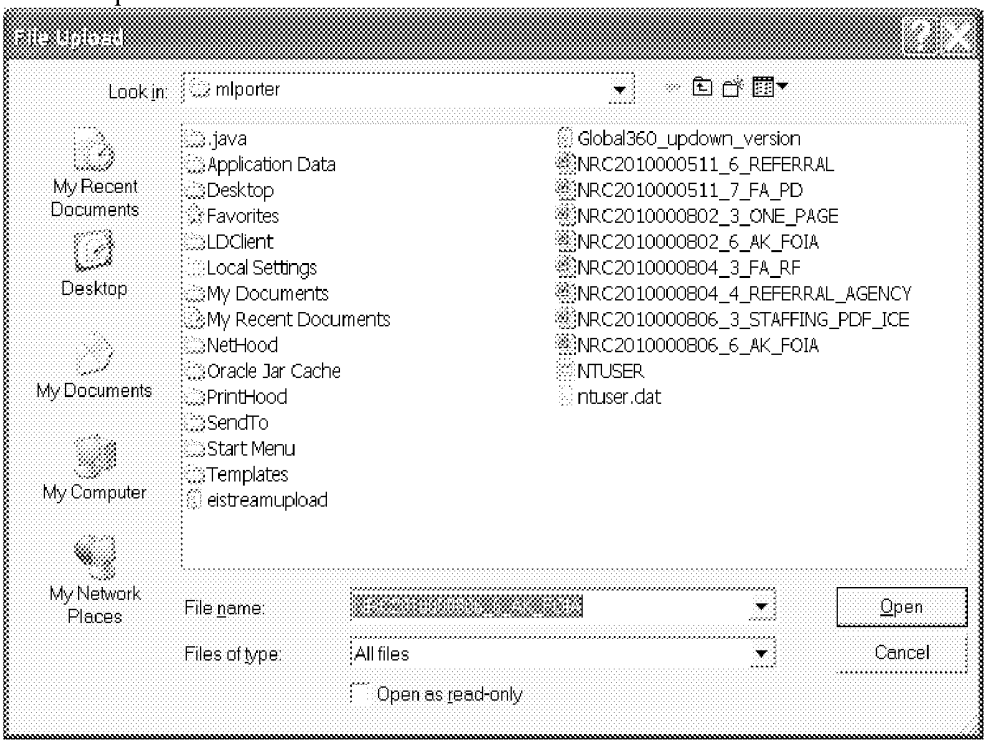


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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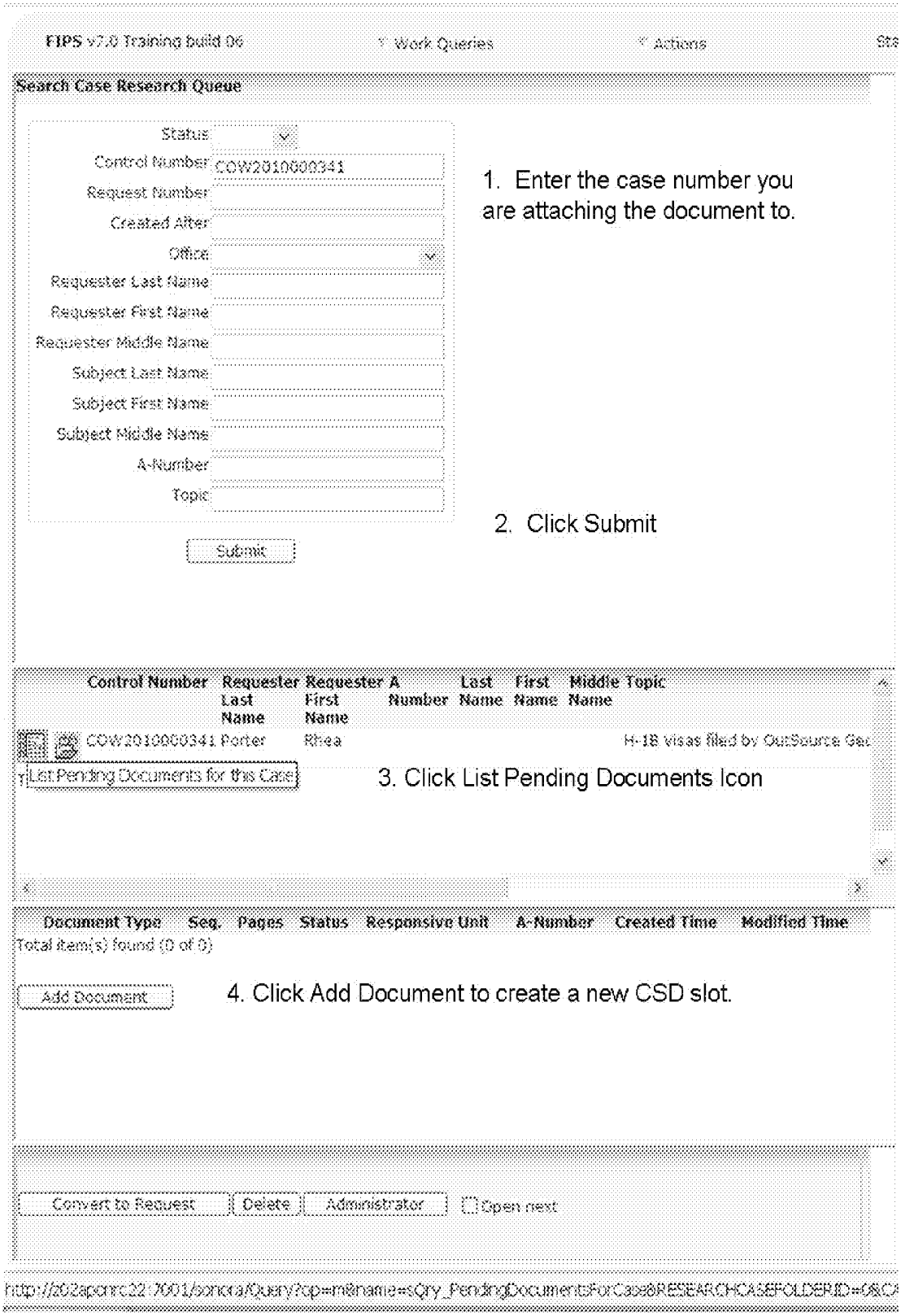

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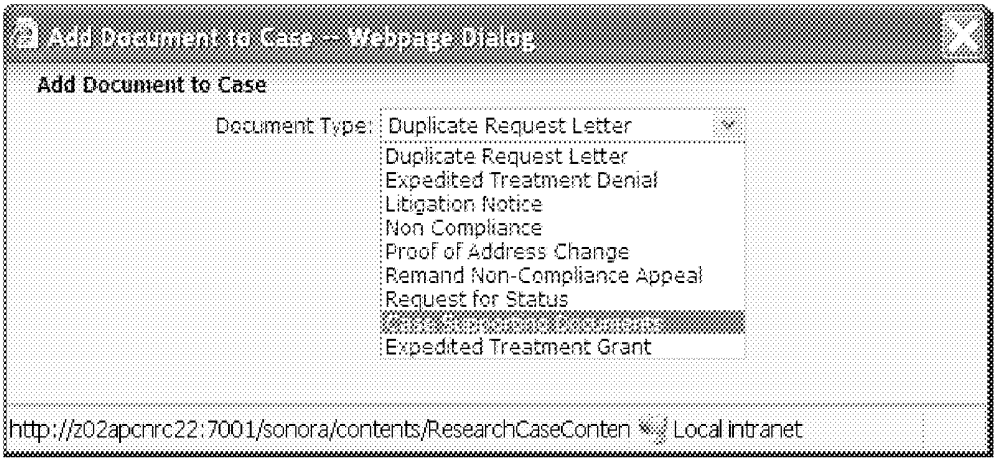

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail from the OA room and in the basket located next to the copier in the shared workroom each day. They are also responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When taking new requests, requester documentation, CSD's or responsive records to the OA room, completely fill out the "Scan As" sheet with the appropriate information and place the documents in the correct bin. Don't forget to provide your initials and the date.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

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- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- Whenever a requester's address changes, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem and Program mailboxes, your supervisor and Tracy Bellisime:

- If errors are encountered in the case

- If responsive records need to be copied from one case to another

- If records are incorrectly scanned in a case and need to be removed

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All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

The Research Queue will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned and the action taken.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

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25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on "Save" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

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A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records after 90 days.

B. If another address is found in the CSDs:

   1. Research will send an email to OA to reprint. OA will update FIPS and the final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**

   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and envelope, then re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. File photocopy and keep for 90 days. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Make a photocopy and shred the CD.

   2. If another address is found in the CSD's:

      a. Make a copy of the CD and returned envelope.

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b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Scan all direct mail as Case Supporting Documents. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

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25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the FOIA/PA Assistant supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new

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FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if someone mails in a request asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address (also send an email to OA):

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

On www.uscis.gov, enter the receipt number in the "Case Status" box on the top left.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

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If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

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27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper

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- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

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32.7.3 If you find a duplicate case, put a Discussion in both cases and advise NRC, FIPSPROBLEM mailbox with an e-mail and re-pend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 Deleted.

32.13 If a request for consent is returned but the requester says he or she is a third party requester, (they have no relationship to the subject of the record and cannot or will not get consent) **close it as an Unperfected Request.**

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem mailbox and ask that the wrong records be removed.

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32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, please close this as an FC with the Unperfected Request Letter which can be found at O:\Foia\FOIA LIBRARY\Case Create References\Case Create References\Unperfected Letter.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case reset to pending by the NRC, FIPS Problem mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

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32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

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33.2.2 If that file has moved from the original staffing location and is now in transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or restaff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM, copy NRC,

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FOIA PROGRAM, your supervisor and Tracy Bellisime. The e-mail should include the case number and the action you took.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

36. Deleted

~~Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.~~

37. RE-STAFFING

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- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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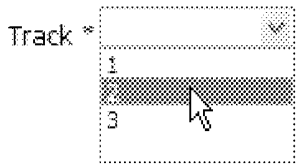
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

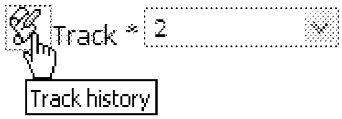
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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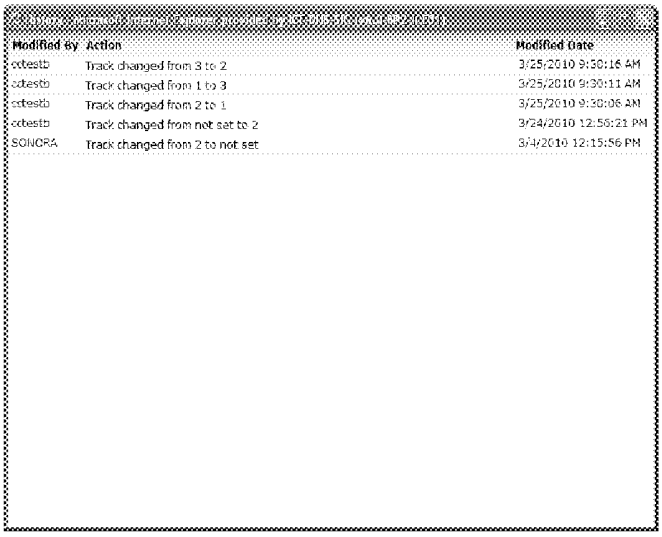
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SCNCRA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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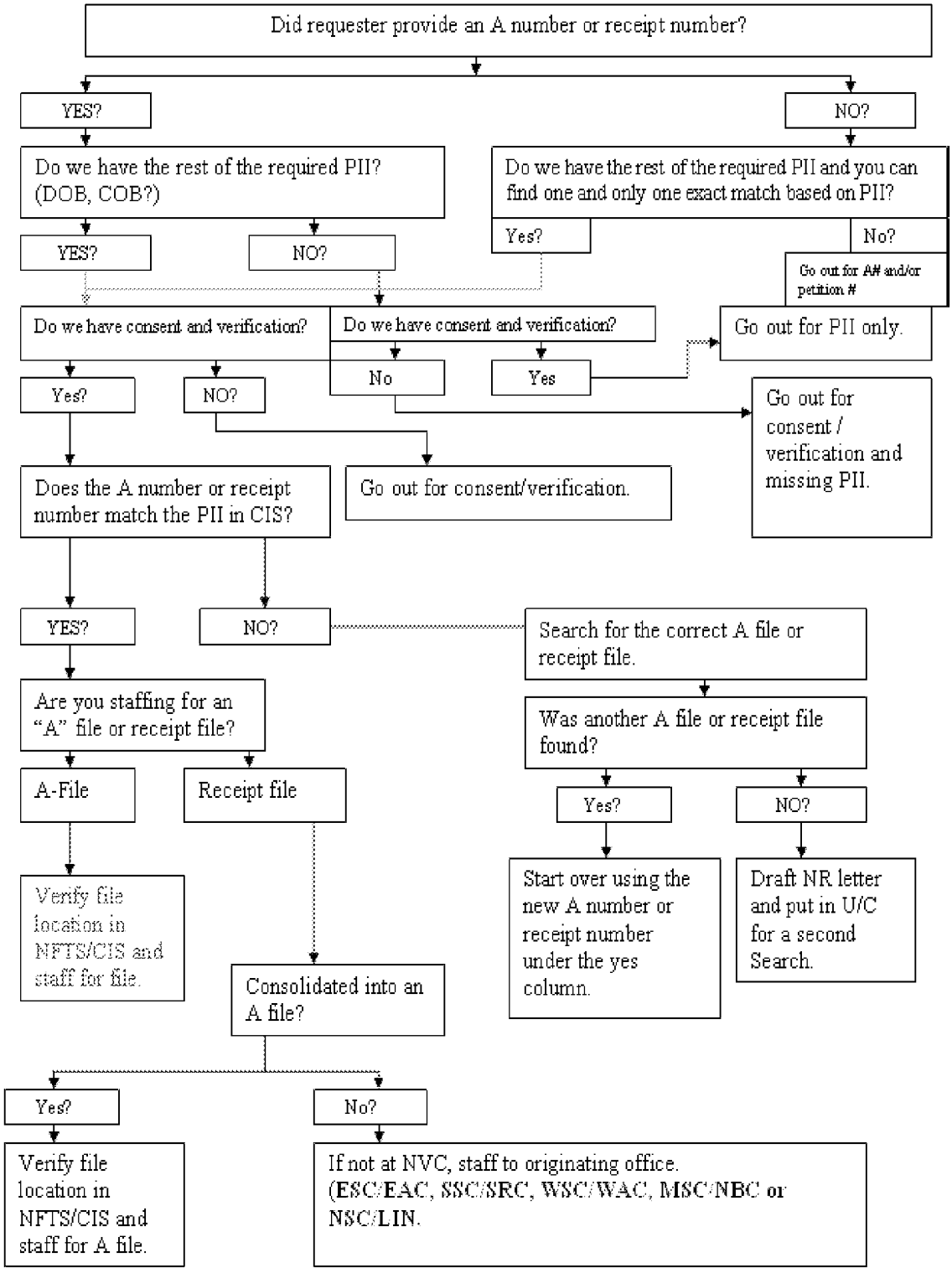
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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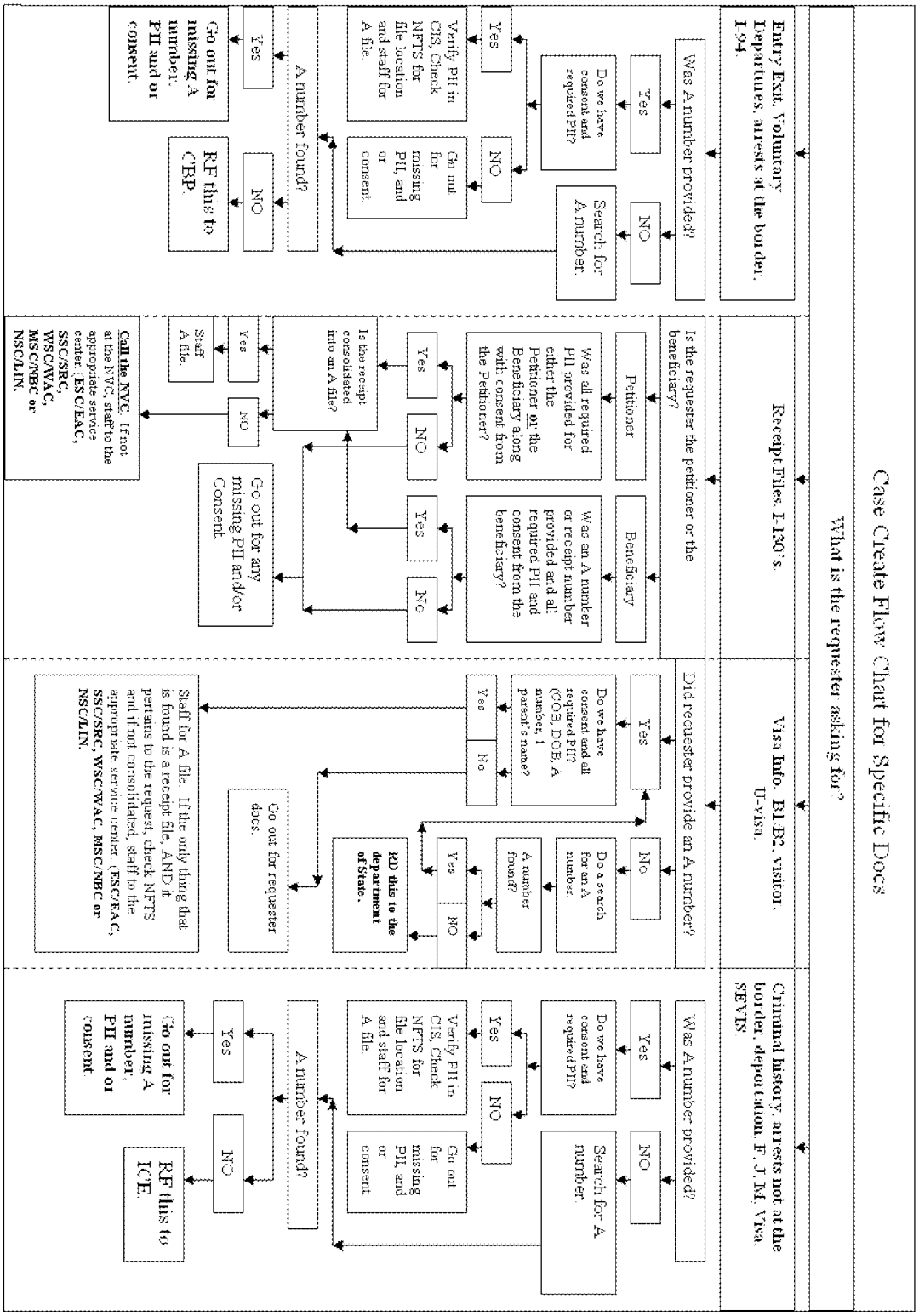

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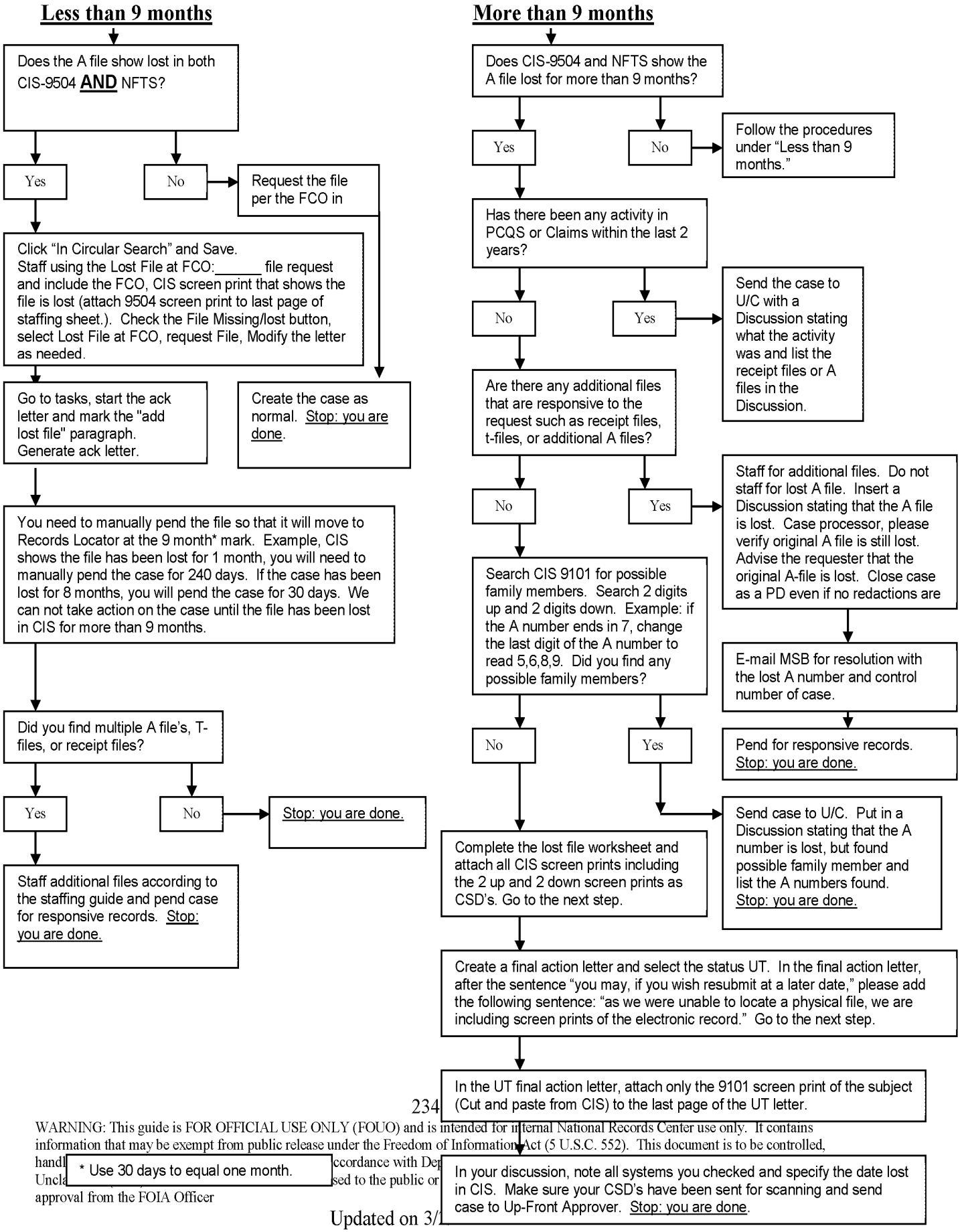
Lost File Flowchart



* Use 30 days to equal one month.

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APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all requester documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, requester documents, or track changes) to the Research queue.

3. Make sure we have valid consent, and VOI (DOB and COB). If not, close as FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. Do not send out for requester docs if we have everything in rule 3. If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. Search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. Always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing all of the request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

9. Always use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other

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address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases. You must add the specific language on the request (or as close as possible to their language) to the track 1 acknowledgment letter.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. You must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as a track 3, expedited, or fee waiver request.

12. Do not staff for A files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart. A files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as t-files and unconsolidated receipt files. Always remember to unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. Every time you move a case from one place to the next, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion

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must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

The Guide contains all updates or changes from the FOIA Information Bulletins issued as of September 28, 2015.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant or Government Information Specialist as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The FOIA Officer, the Chief of FOIA Operations and your Supervisors direct how Government Information Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the FOIA QA & CS Team. At the direction of the FOIA Officer, QA & CS Team may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, QA & CS Team will either amend the Guide or propose a modified rule to FOIA/PA Supervisors, the Chief of FOIA Operations and the FOIA Officer. Re-writes or revisions of the guide are subject to the final approval of the FOIA Officer.

You, the FOIA/PA Assistant or Government Information Specialist, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we update the Record of Revision at Appendix K of the Guide for quick reference.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statute became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The Requestor may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and certification of agreement to provide the record and who is entitled to what. The most common types of Requestors are:

- First party Requestors, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CERTIFICATION OF AGREEMENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party Requestors; any individual seeking a copy of an alien's file without the subject of record's certification of agreement. As of December 14, 2011, third party Requestors are ***not entitled*** to any public documents that may be in the file they are seeking, nor documents they provided in support of an application or petition. The general rule of thumb is if you need to go into the subject's file, you will need the subject of record's certification of agreement and verification of identity. Please refer to the section titled **"THIRD PARTY REQUESTS" 7.4.** in this guide.

- Media Requestors are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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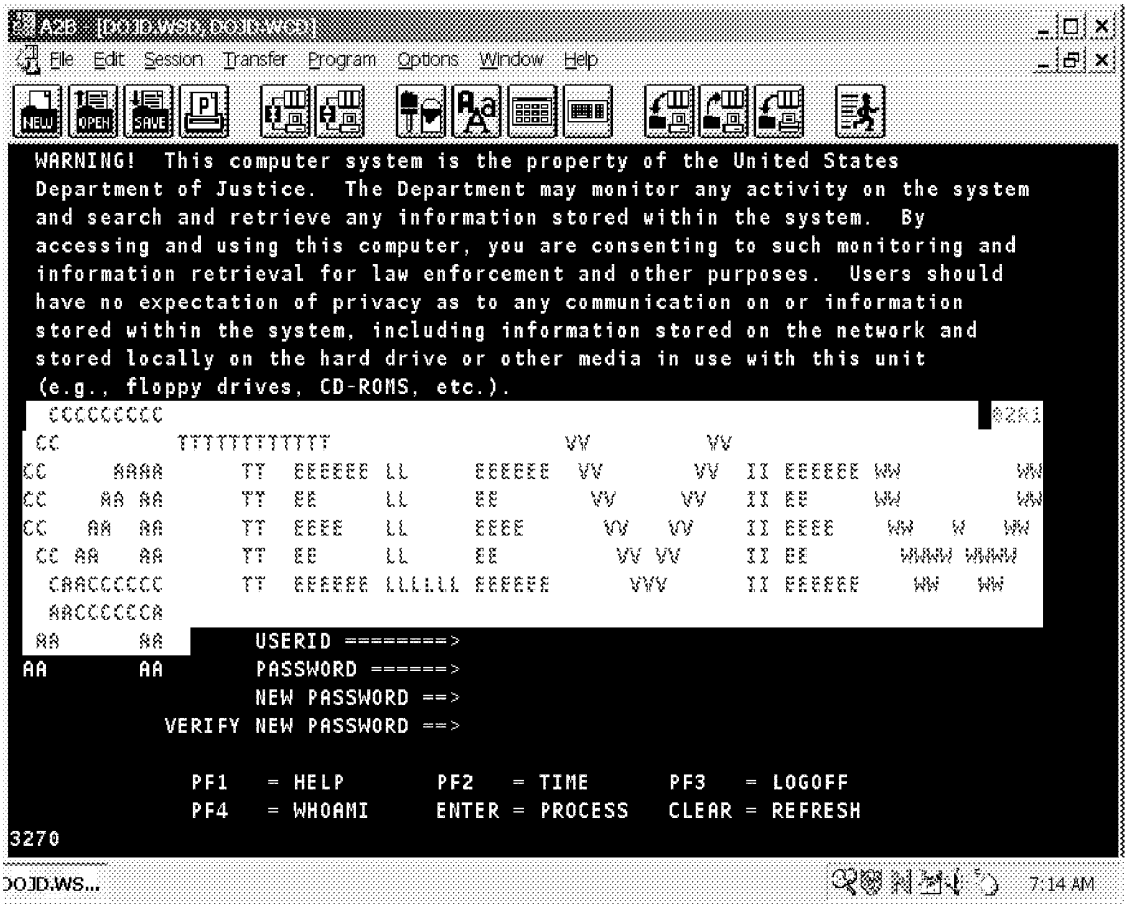
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the A-Number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



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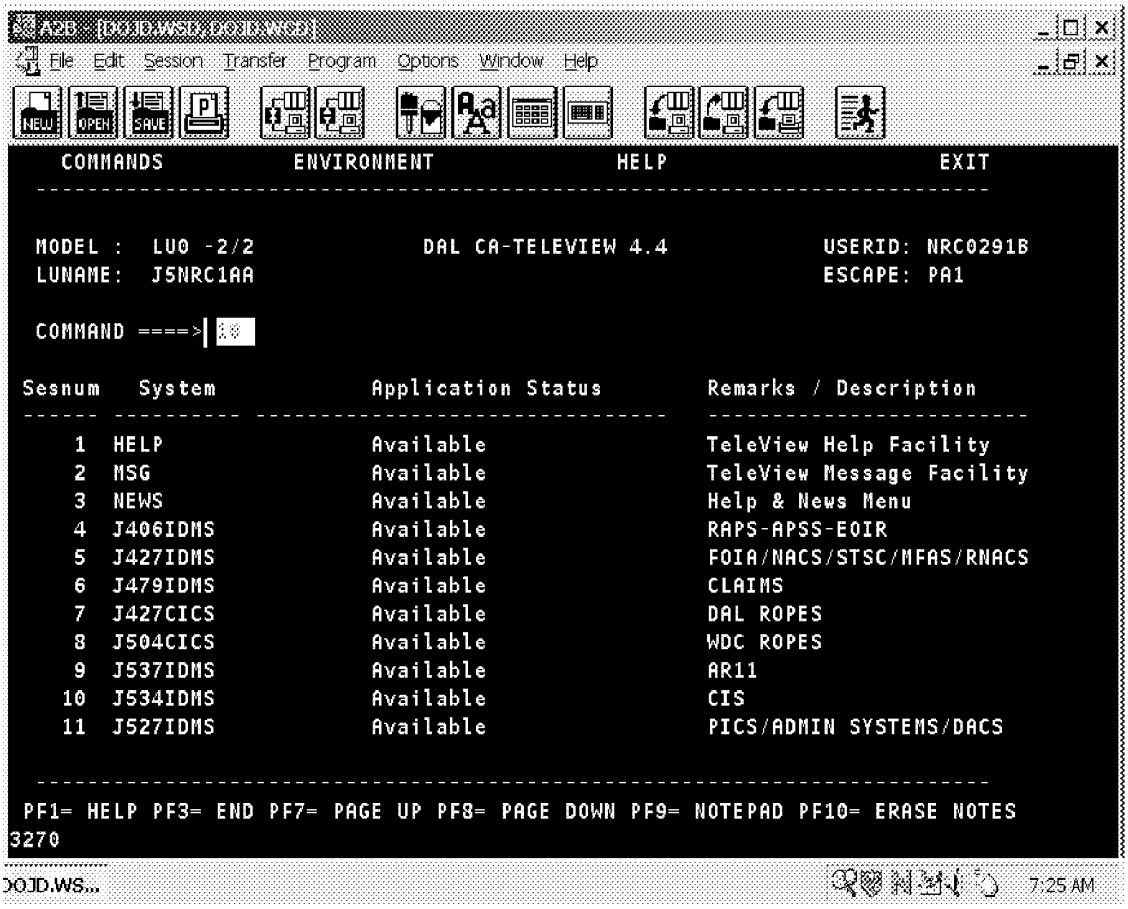
This screen is the introduction to TeleView. From this screen use the designated User ID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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5.1.4 CIS Main Menu

This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the alien file (which we will frequently refer to as 'A-file'). The only "95" menu command we use is "9504" + F11 (CIS File Transfer Display) to verify if the file is Not Found (N).

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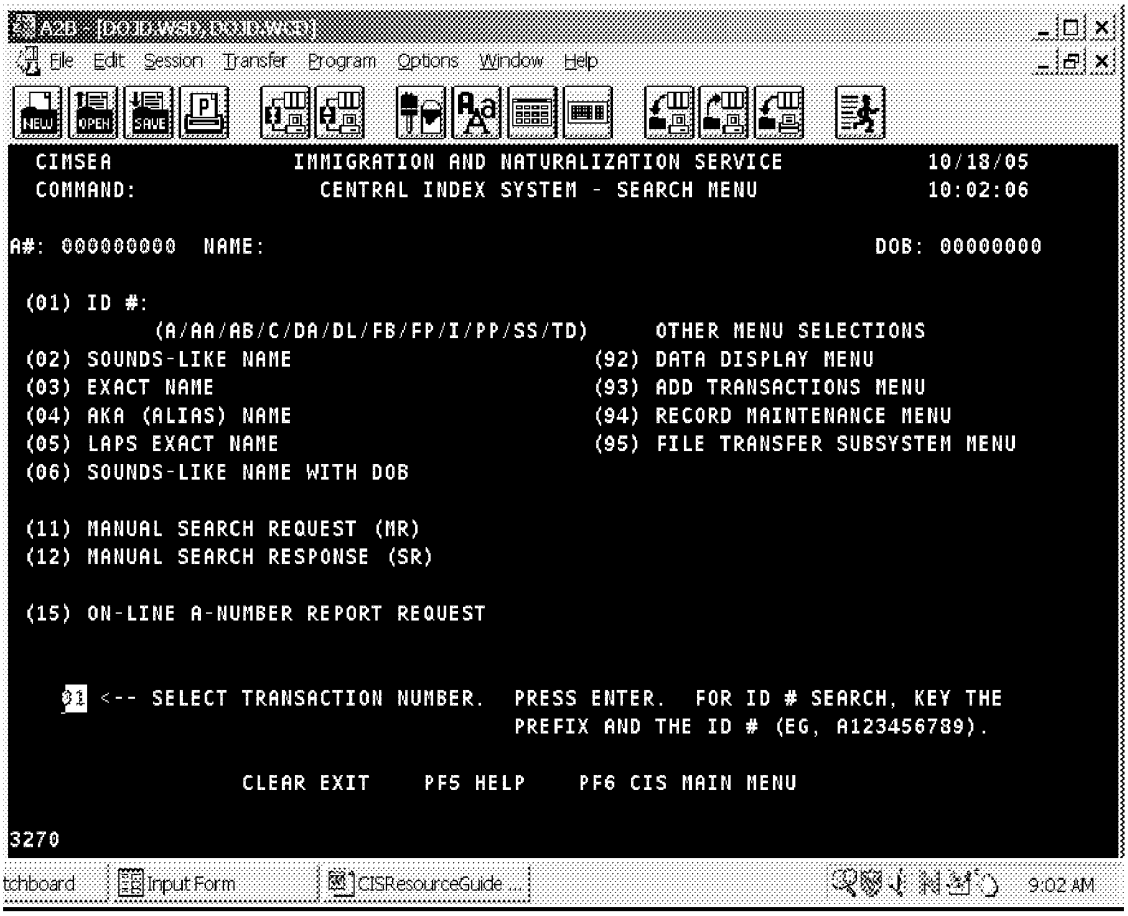
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-Number, certificate number, social security number, passport number etc.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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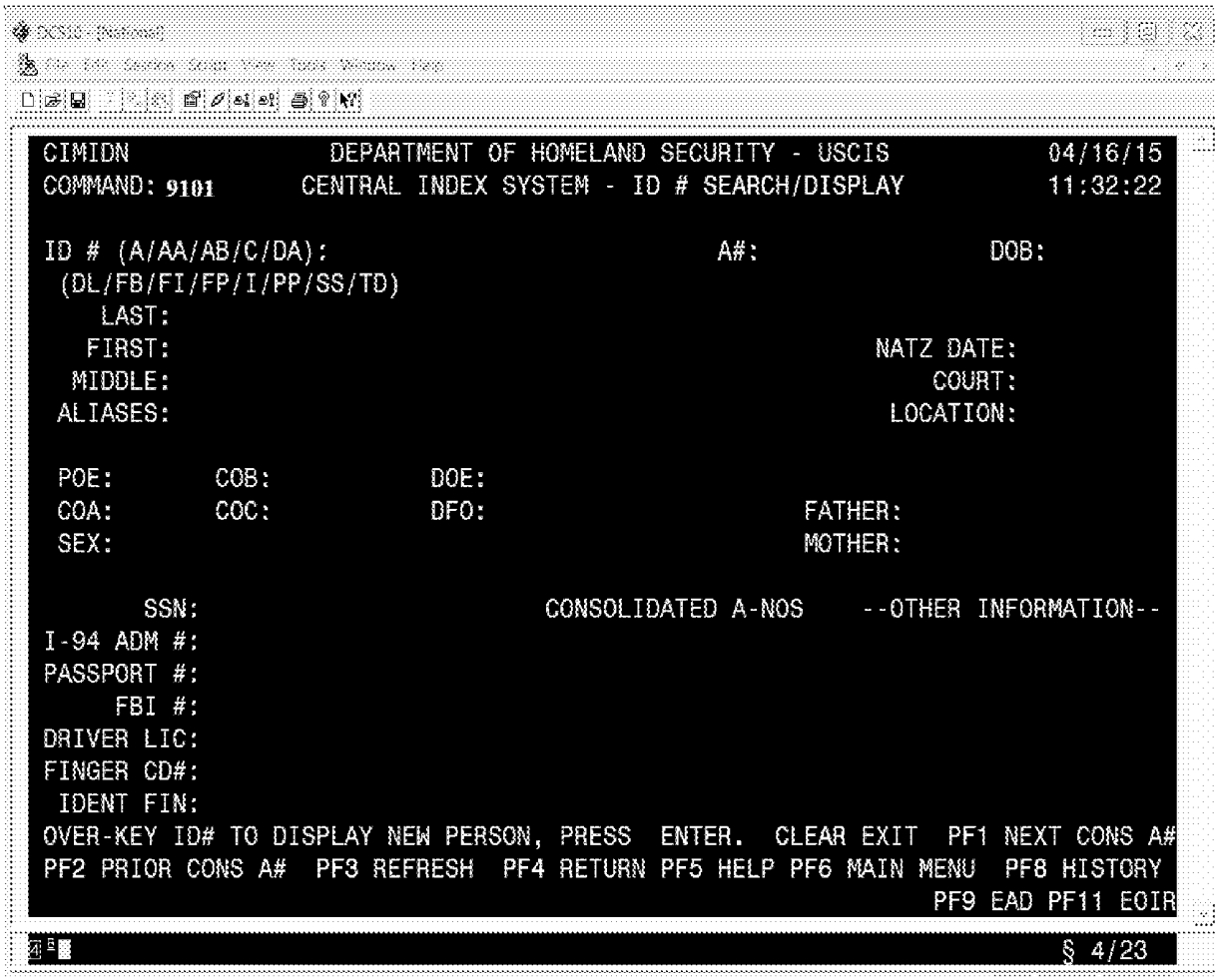
5.1.4.2 Search by A-Number (9101)



In the ID# field enter the appropriate prefix with information (commonly used ID searches, A = A-Number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject, it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. This screen contains information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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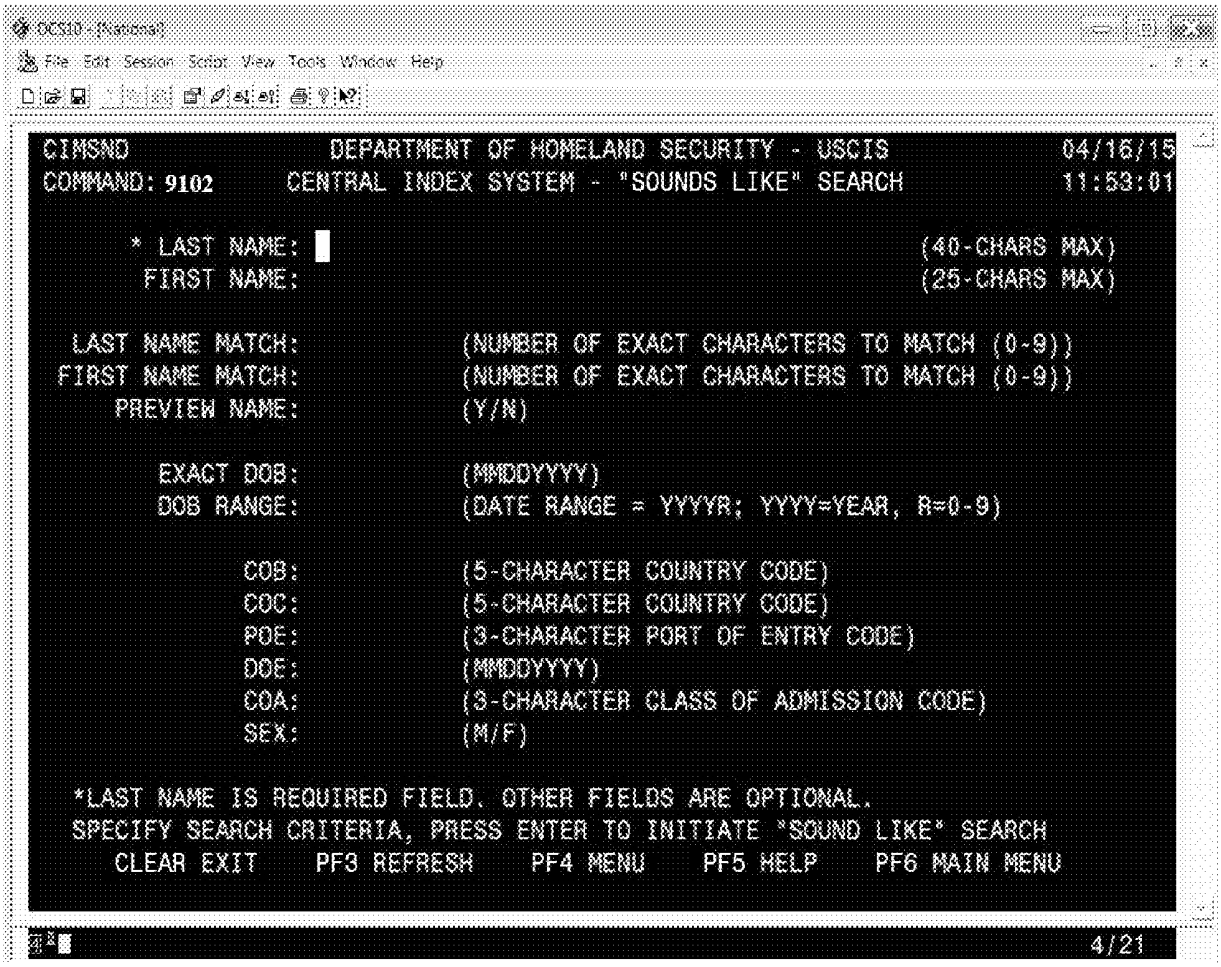
5.1.5 Sounds-Like Name Search (9102)



Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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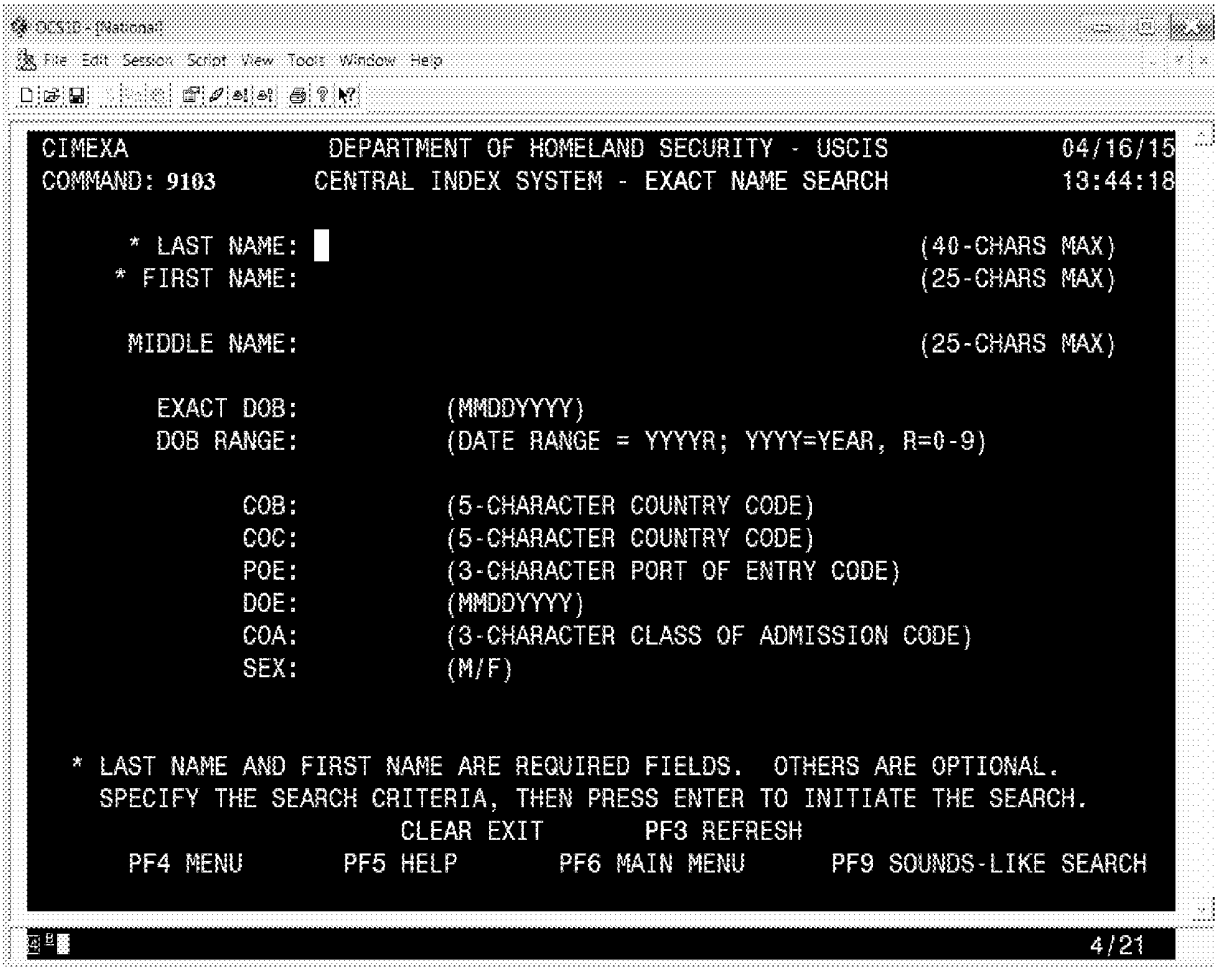
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only or the subject's name with a specific year of birth range. The information displayed will be an exact name match.

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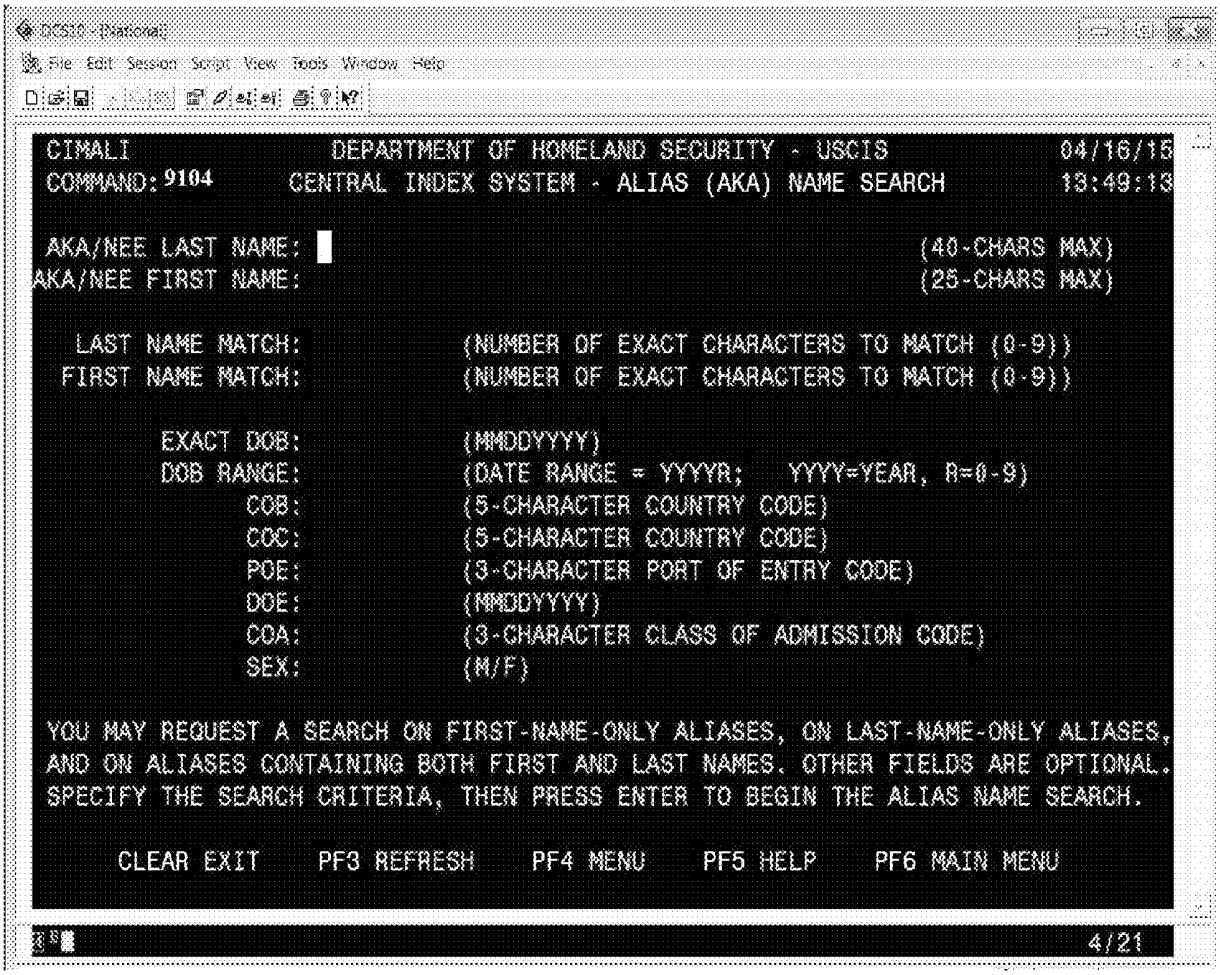
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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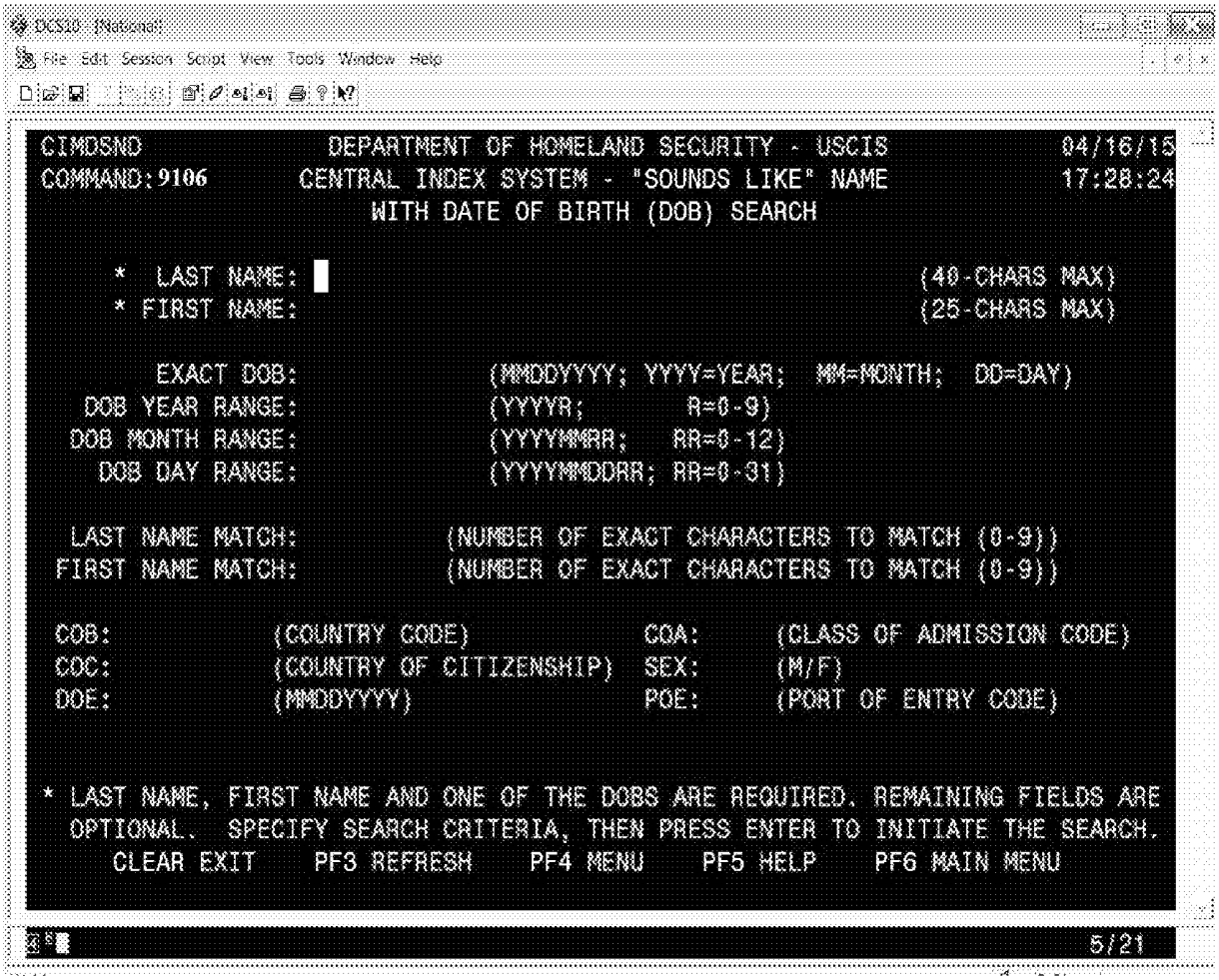
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the Requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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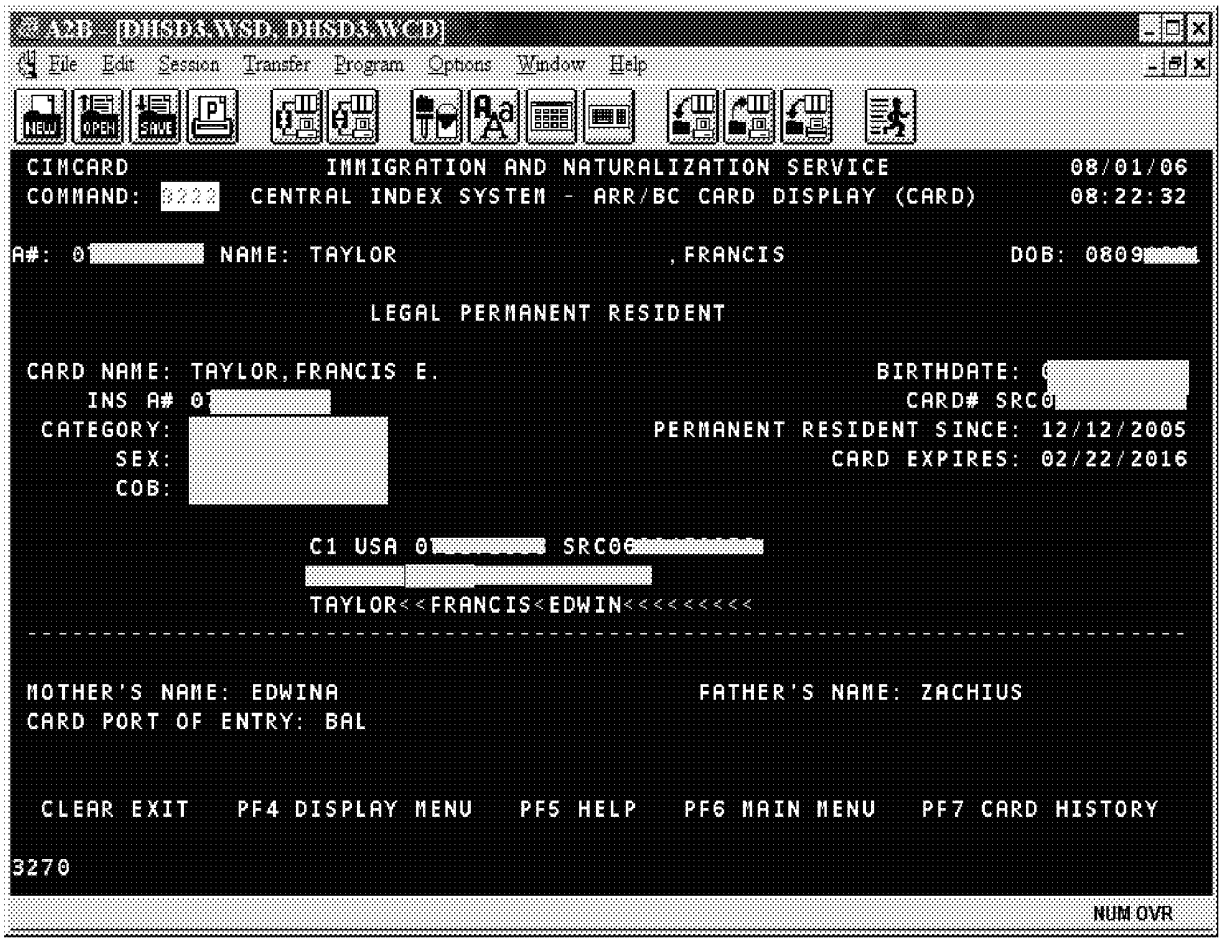
5.1.9 Card Display (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing (BCC) Card information.

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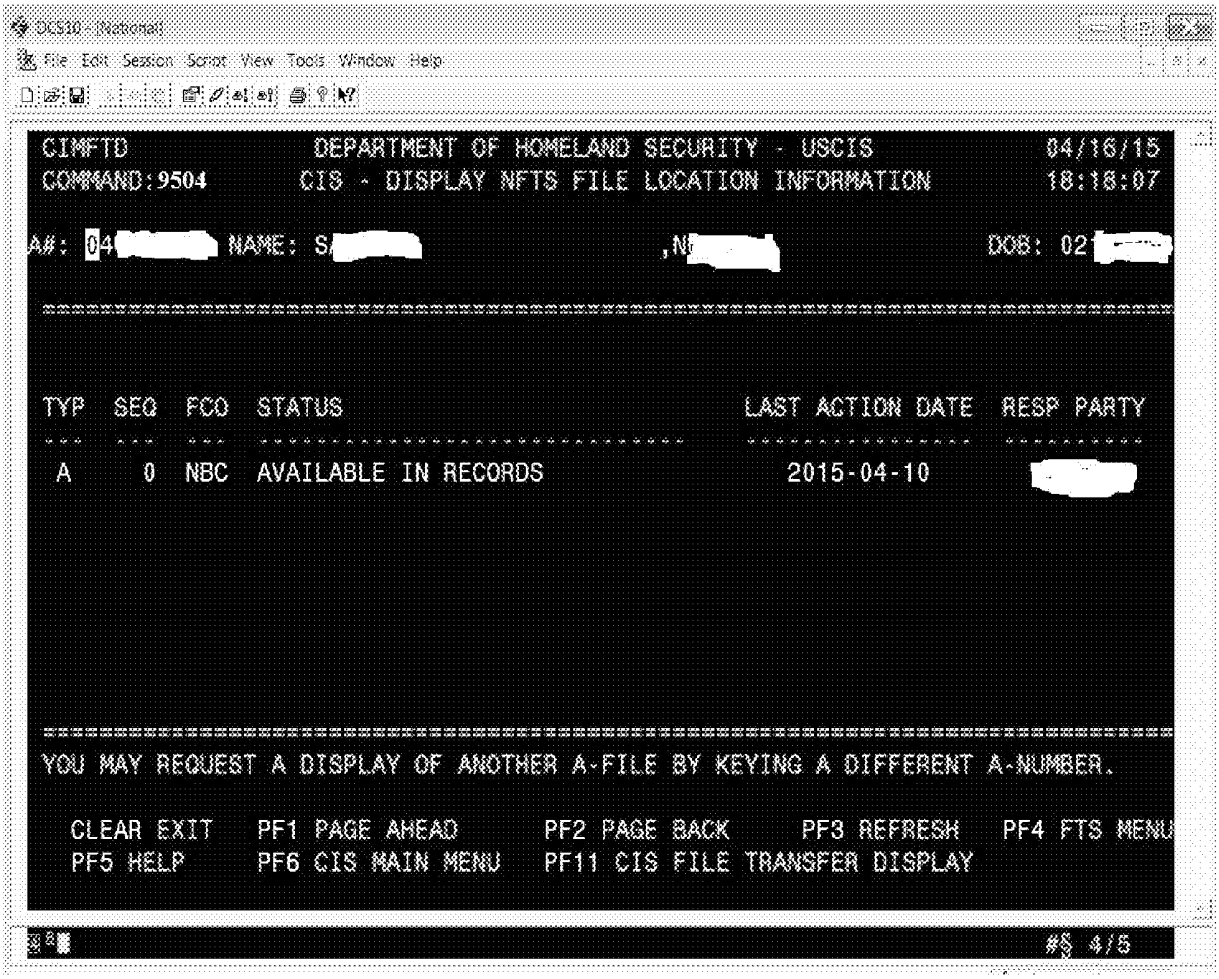
5.1.10 File Location Display (9504)



The 9504 screen is split into two parts. This first screen shows you which File Control Office (FCO) has the A-file per NFTS. To view the old 9504 screen, please push "F11" (CIS File Transfer Display).

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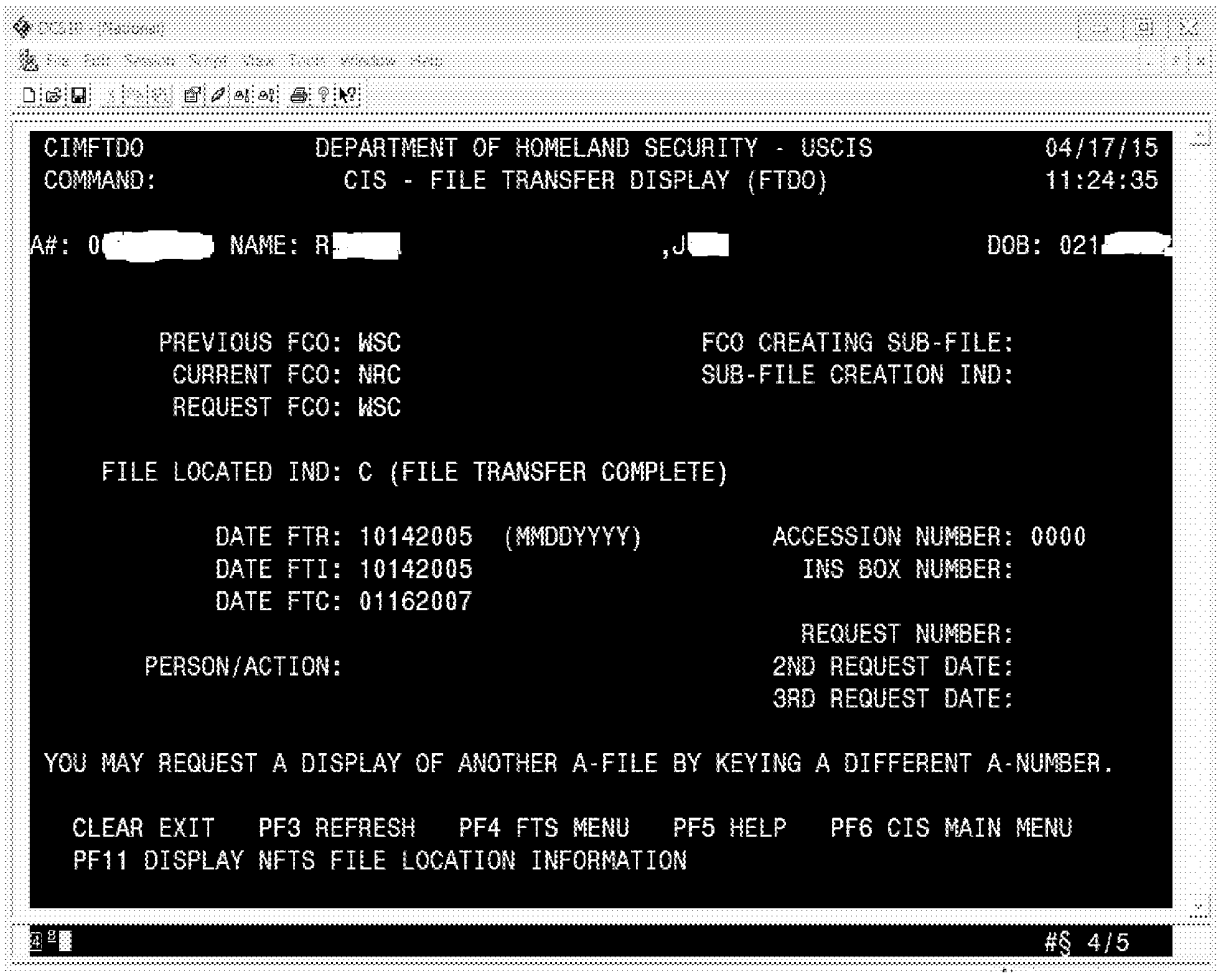
5.1.10.1 File Transfer Display (9504 + F11)



The main purpose of the 9504 screen is to check the location and movement of files. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The Tables section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as Class of Admission. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word tables. The next screen displayed will be the Tables Menu Screen.

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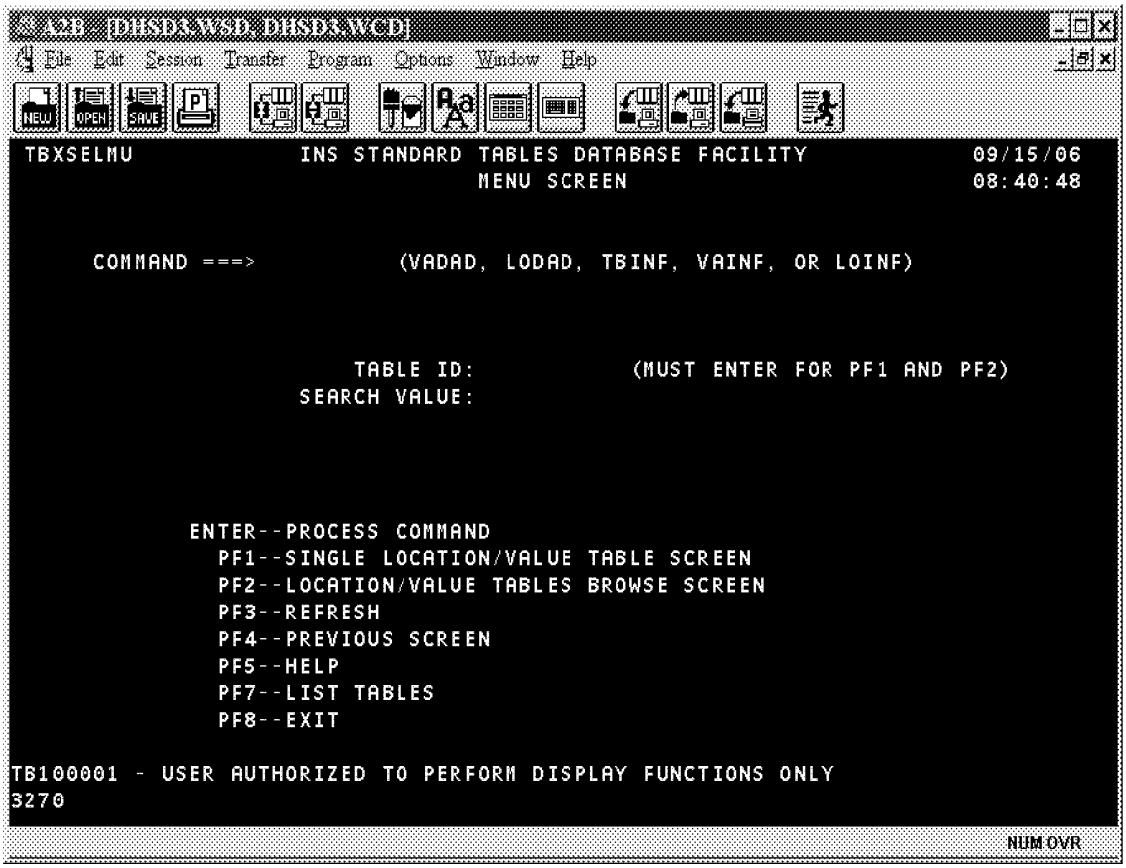
5.1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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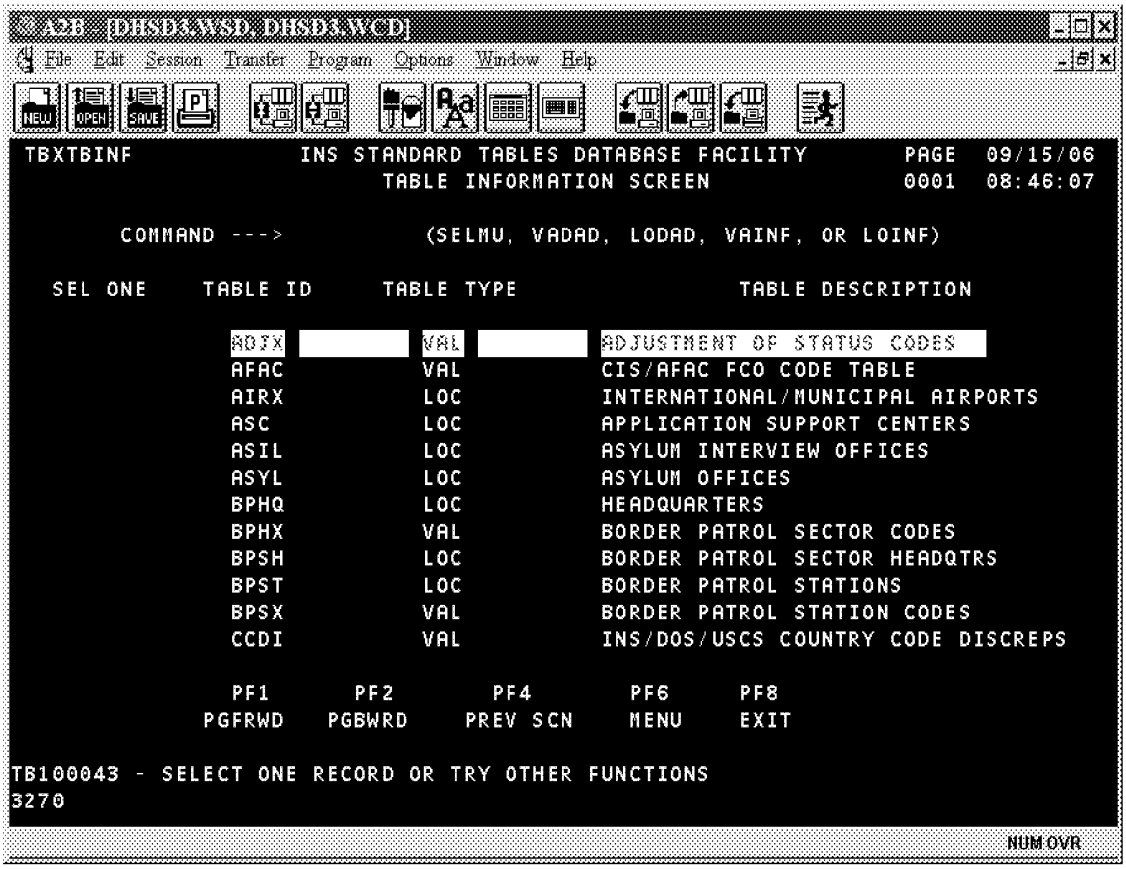
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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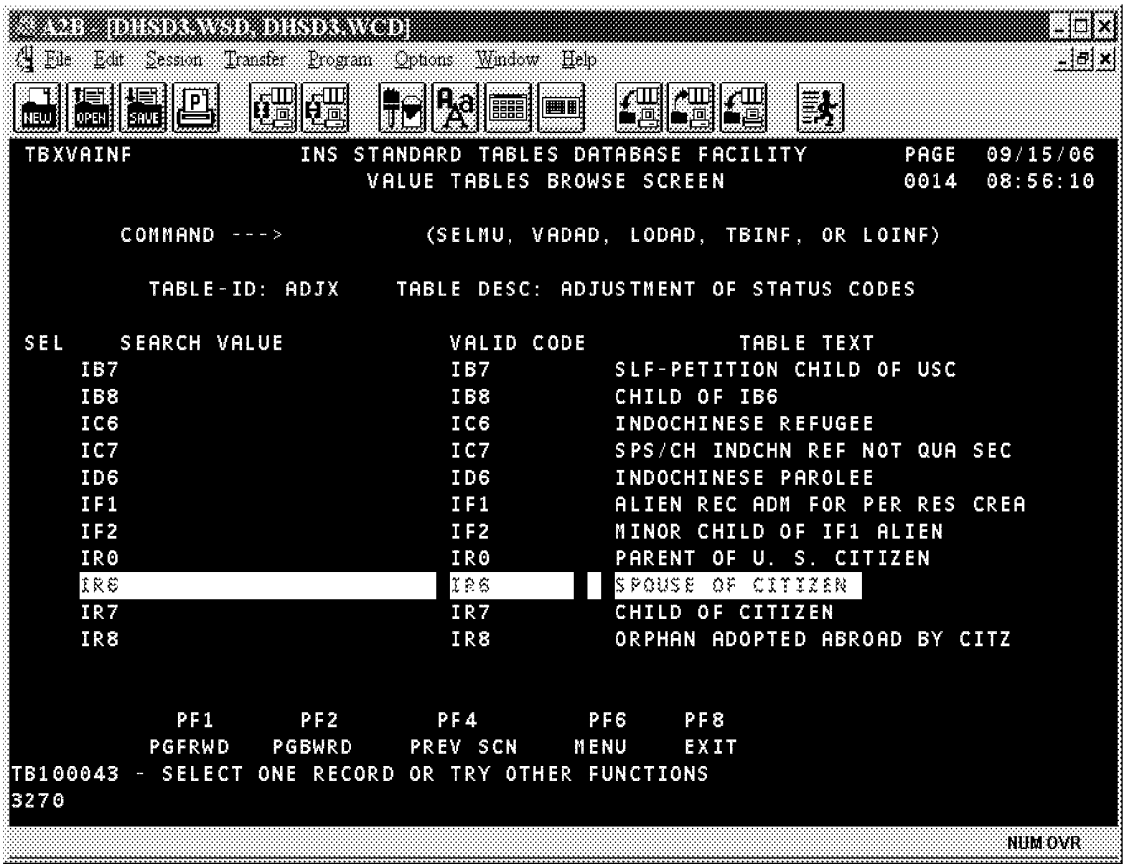
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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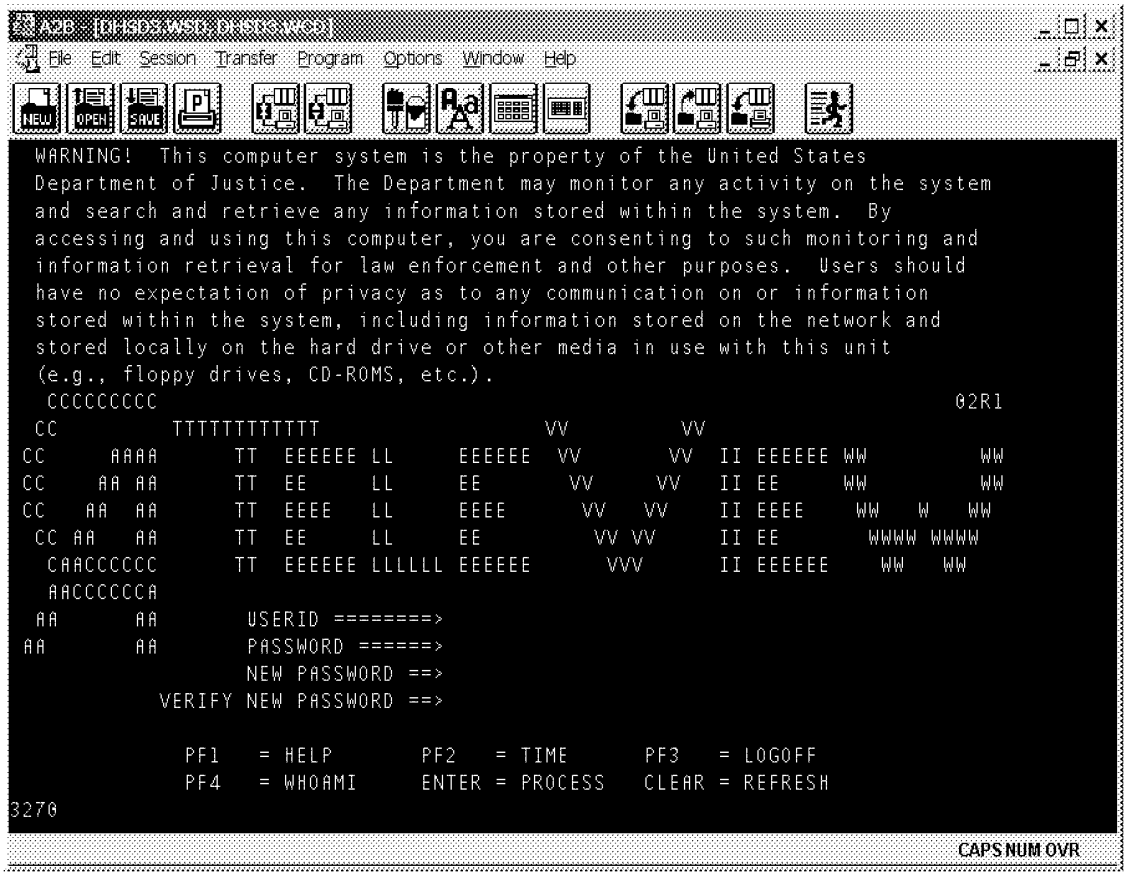
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 TeleView Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated User ID (NRC####A) and Password to sign onto the database.

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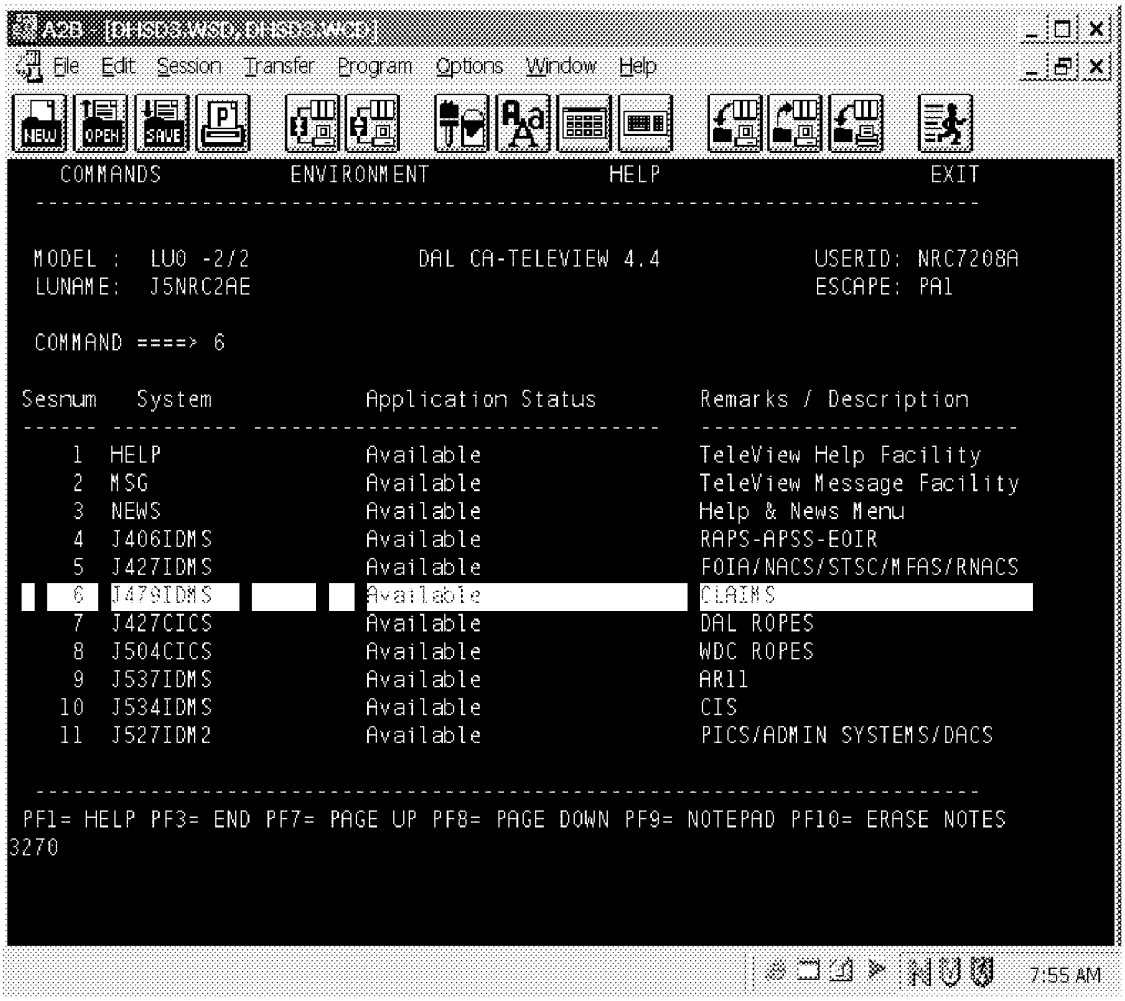
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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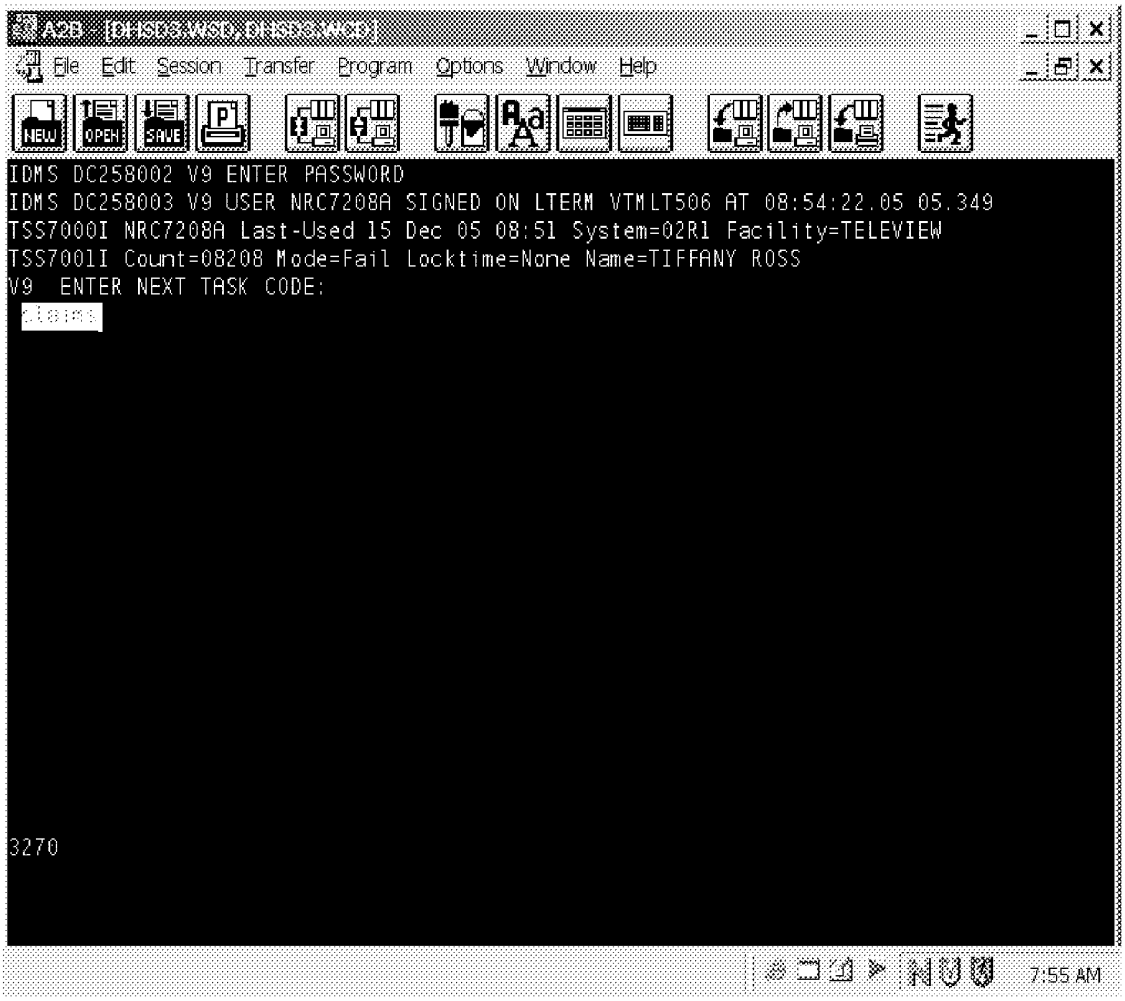
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in "claims" or "fare" and press enter. This screen is not case sensitive.

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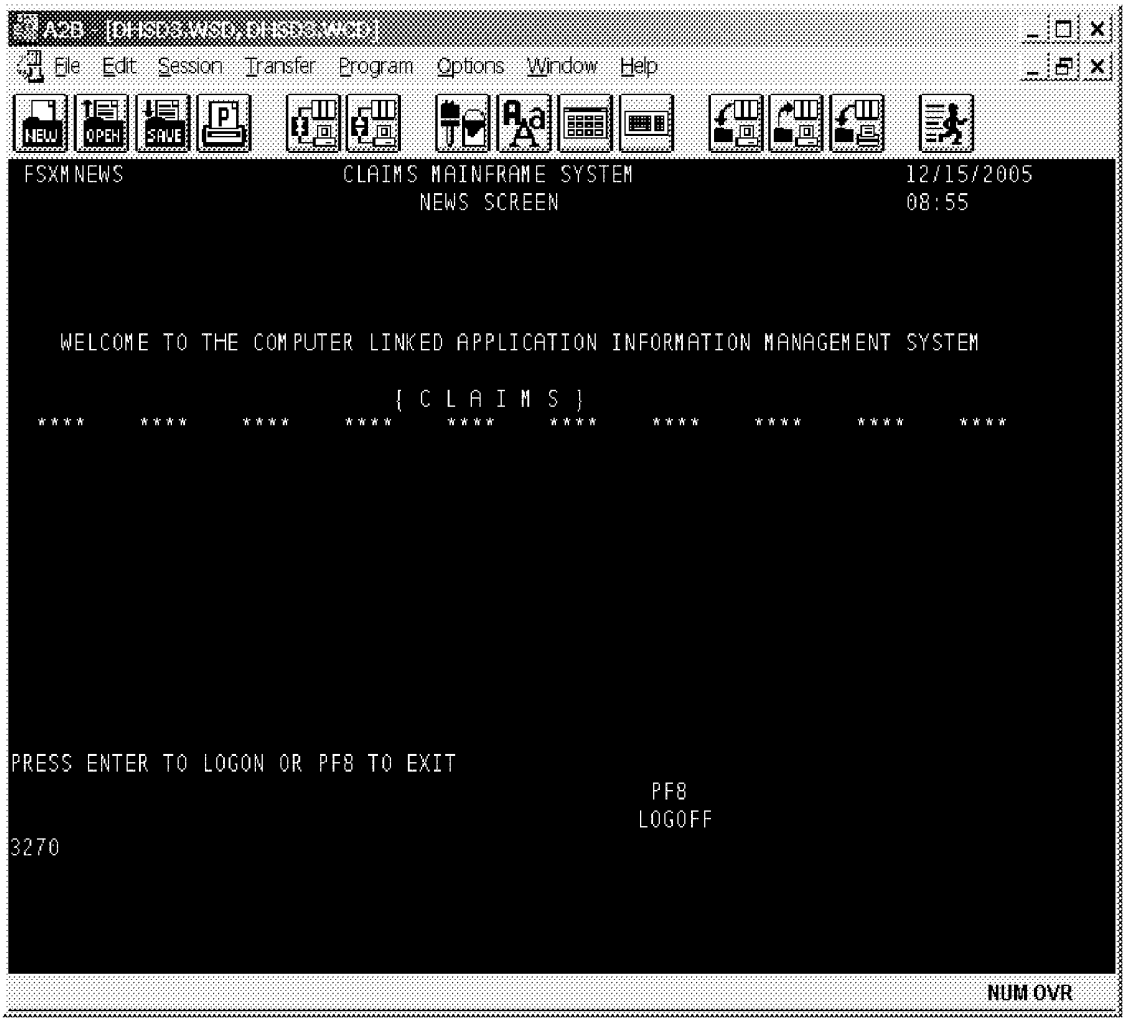
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password. Normally, your password is your last name in lower case. If your last name is longer than eight characters, then your password is the first eight characters of your last name in lower case. Your CLAIMS ID and password do not change.

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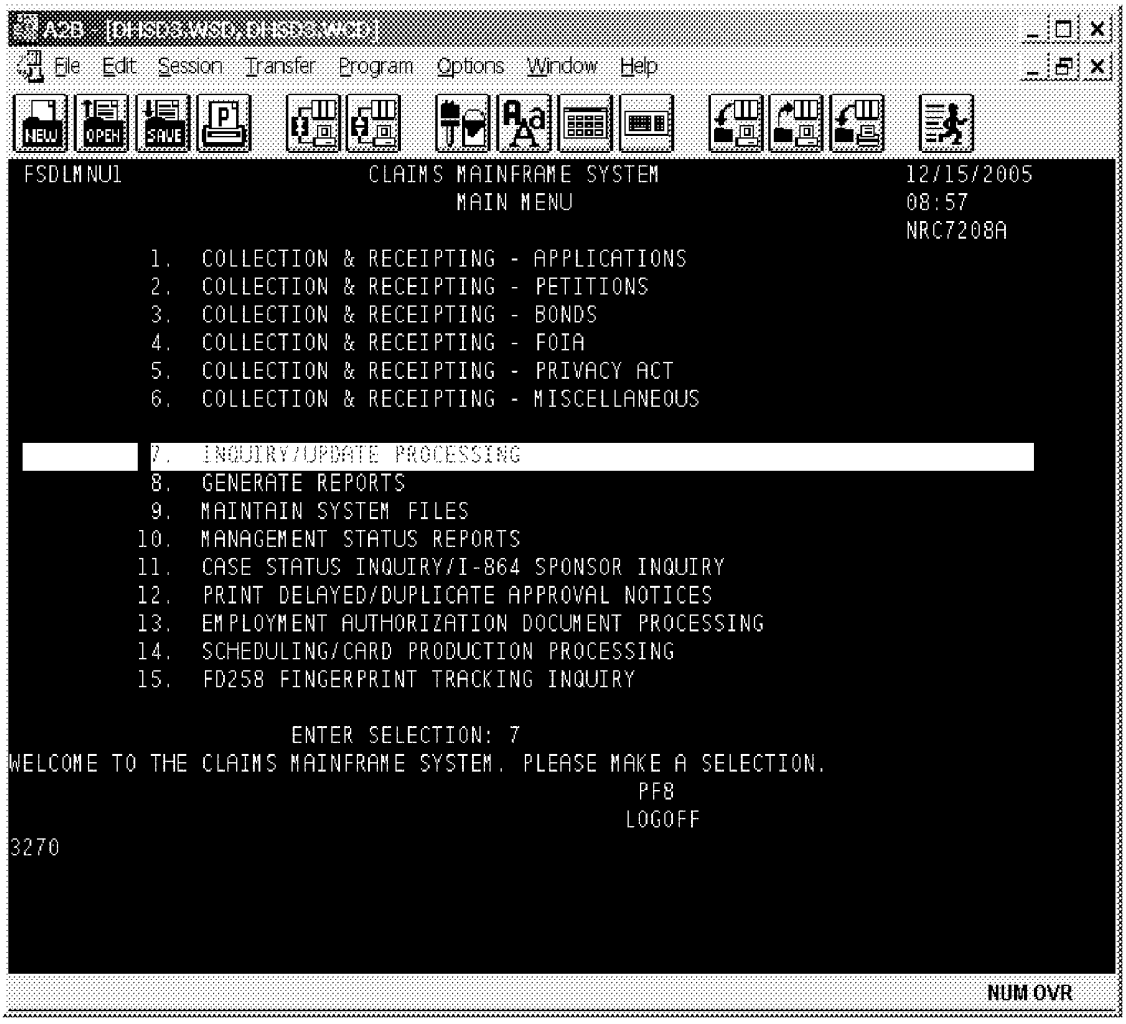
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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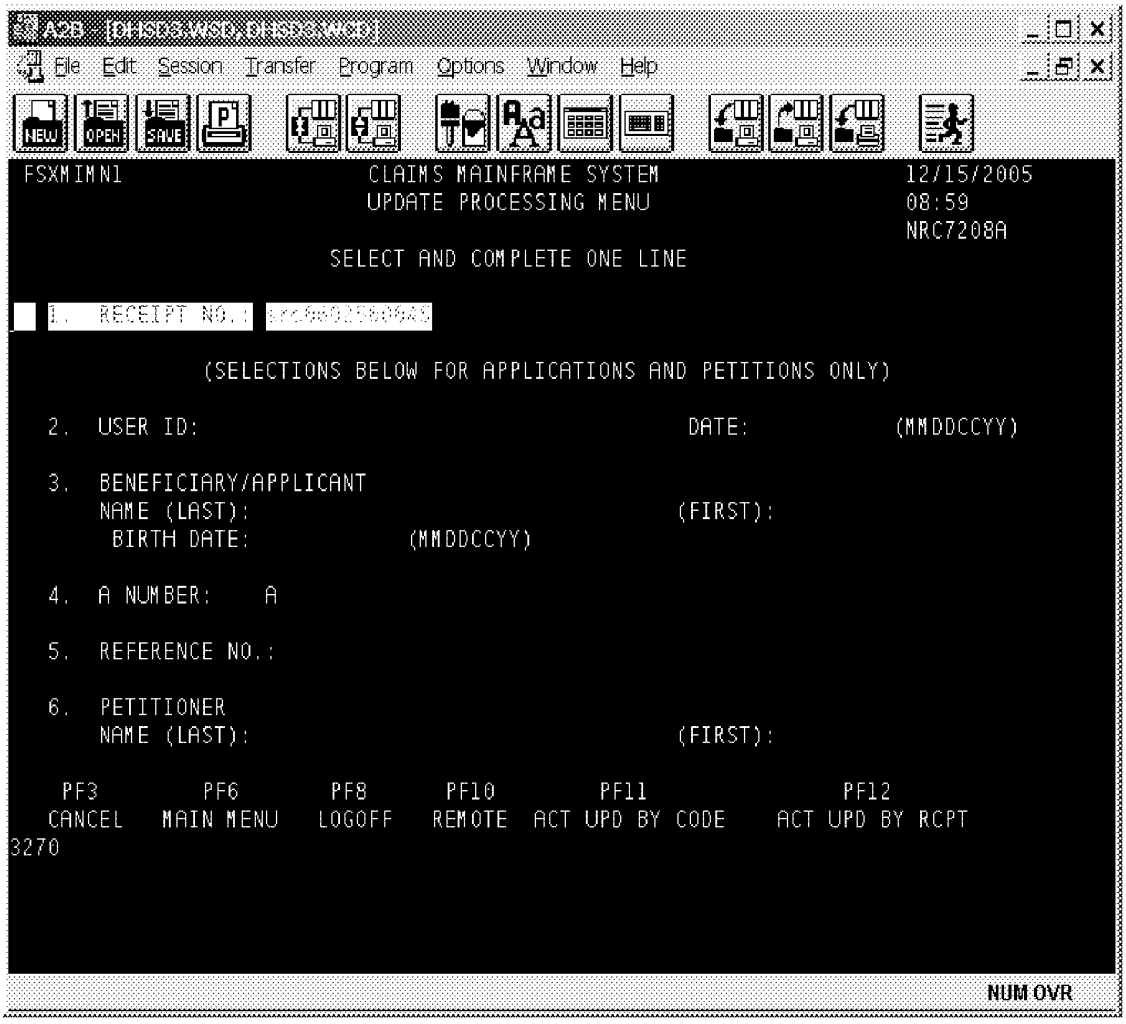
5.2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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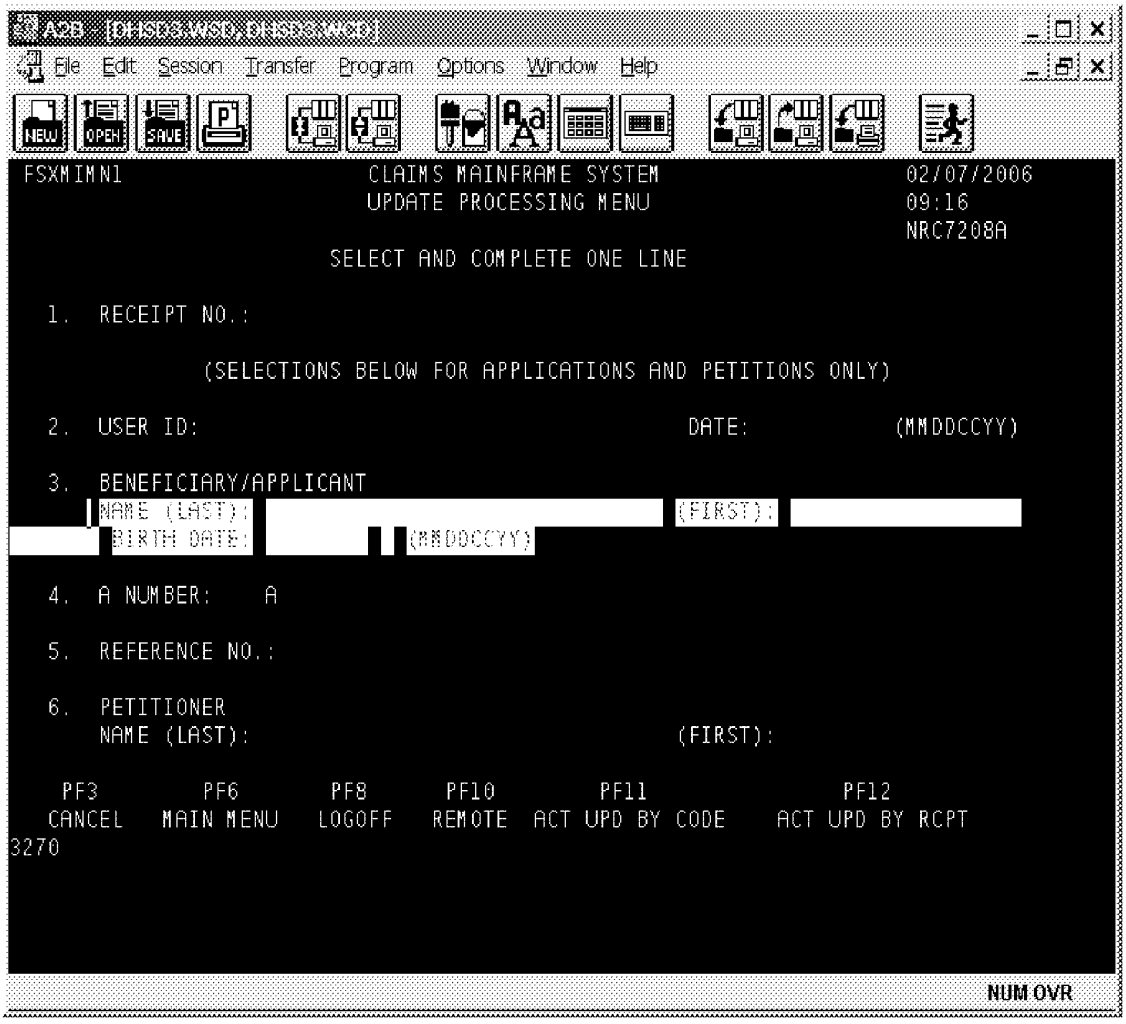
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" or wild card searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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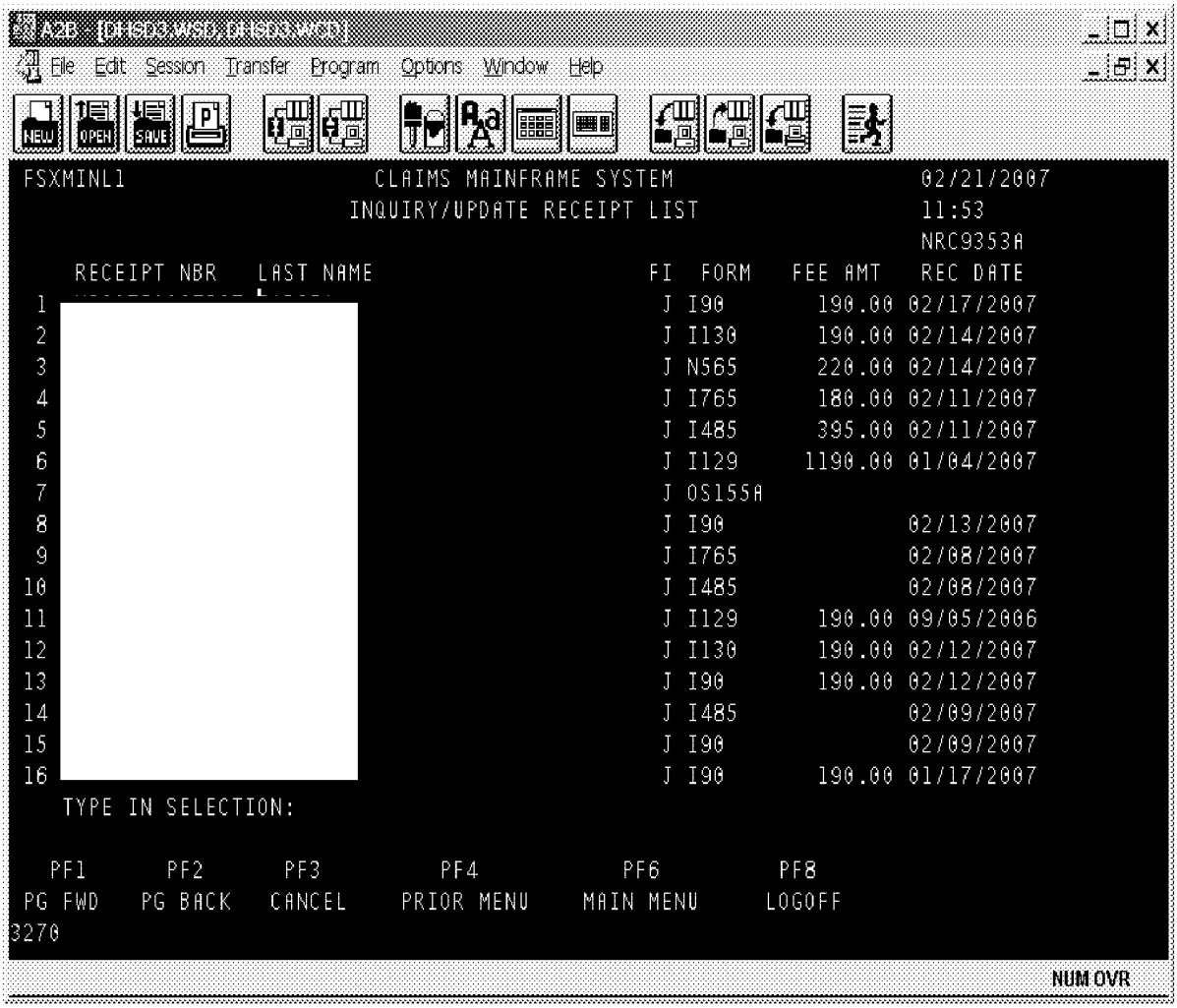

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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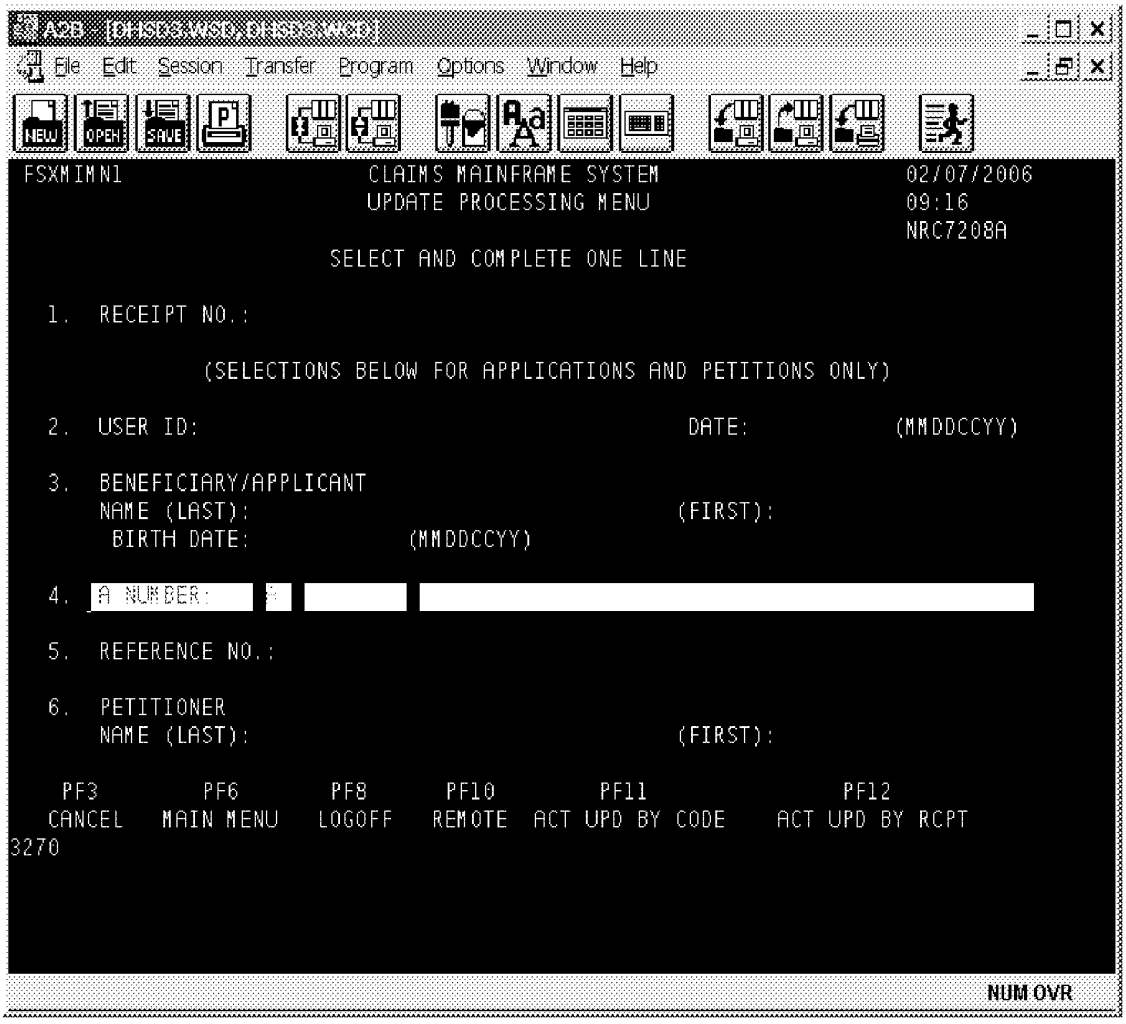
5.2.10 Searching with the A-Number



You may search by A-Number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-Number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-Number, you will not have to worry about it. Note: if you search by A-Number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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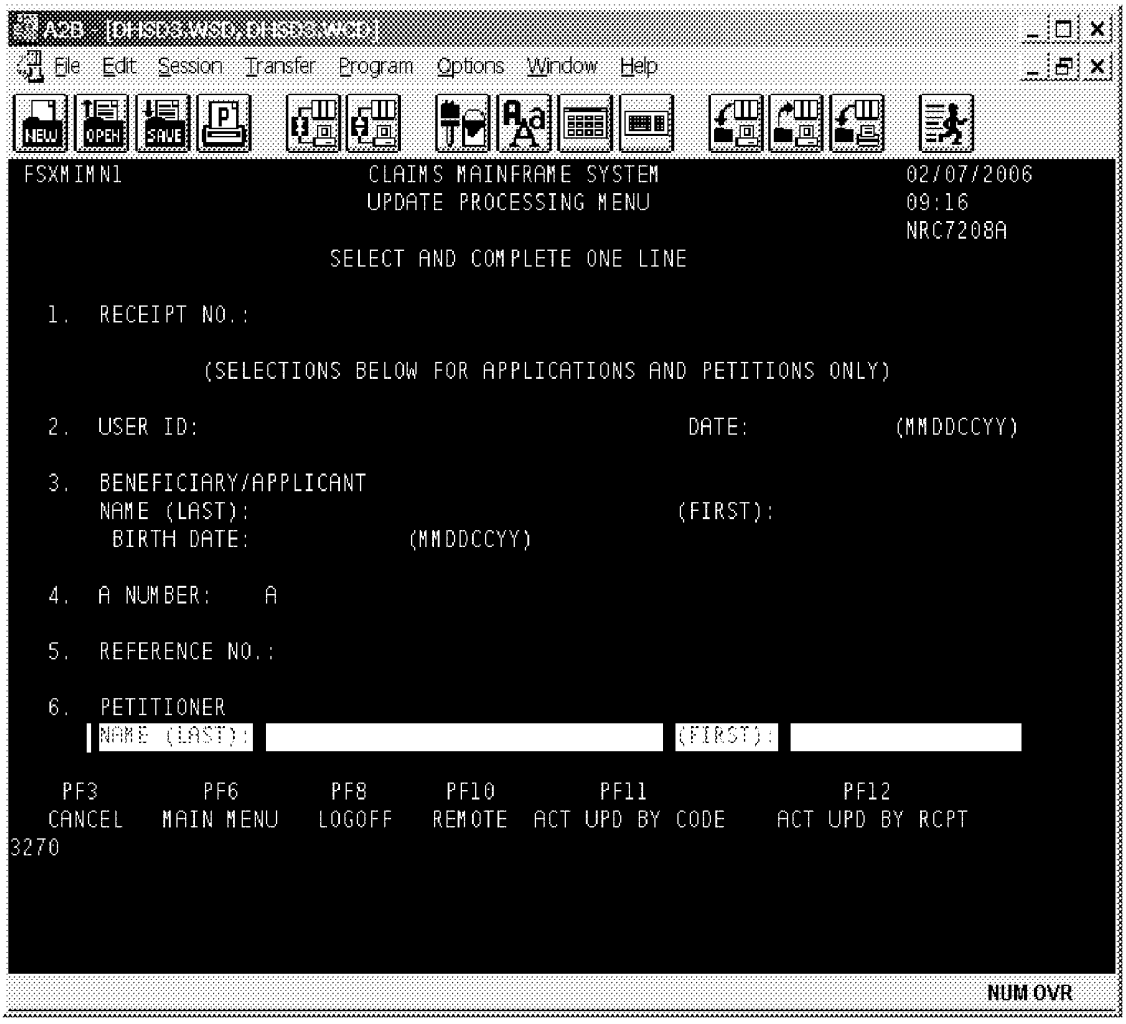
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name the results of this search may be overwhelmingly voluminous.

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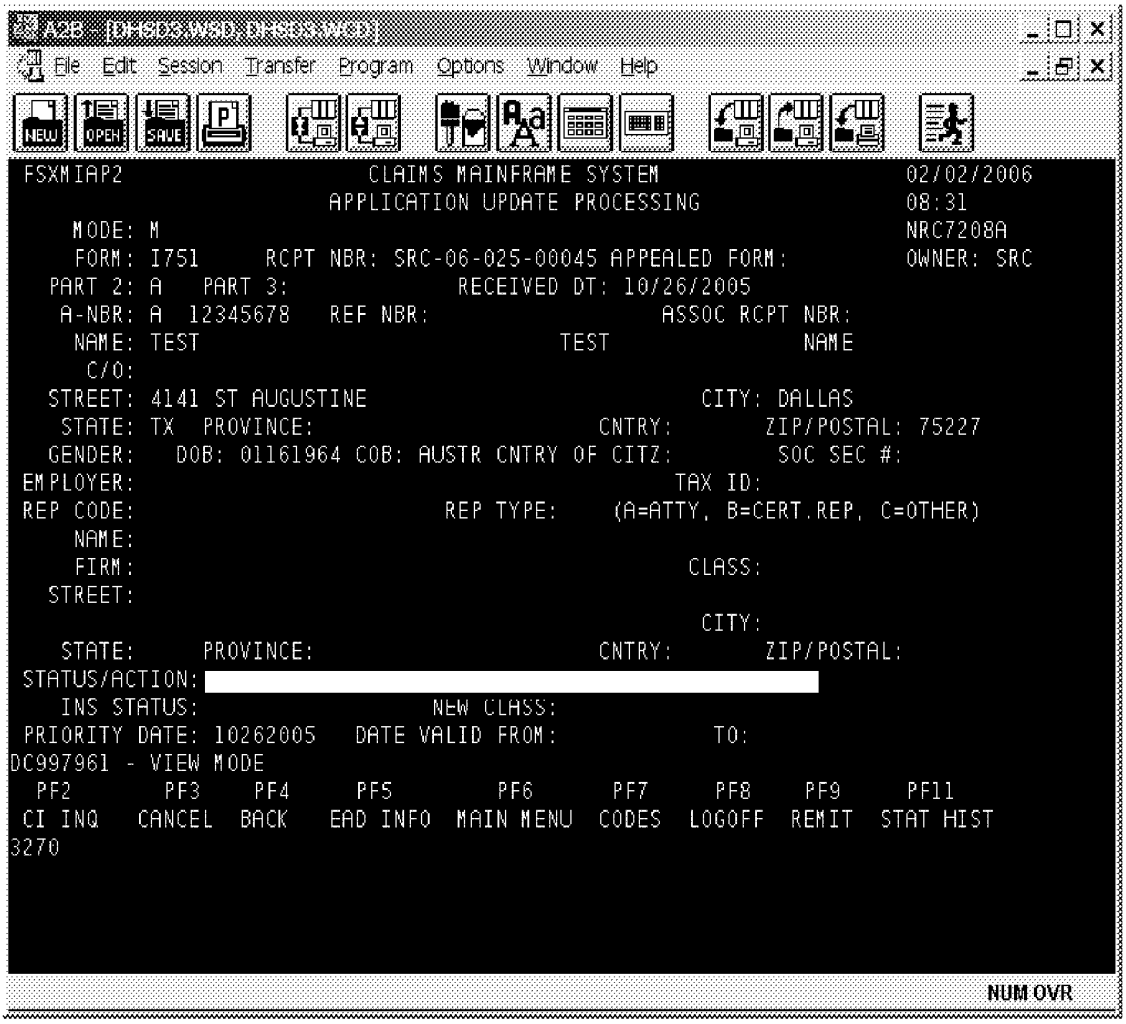
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

(b)(7)(e)



The receipt information gives the name, date of birth, A-Number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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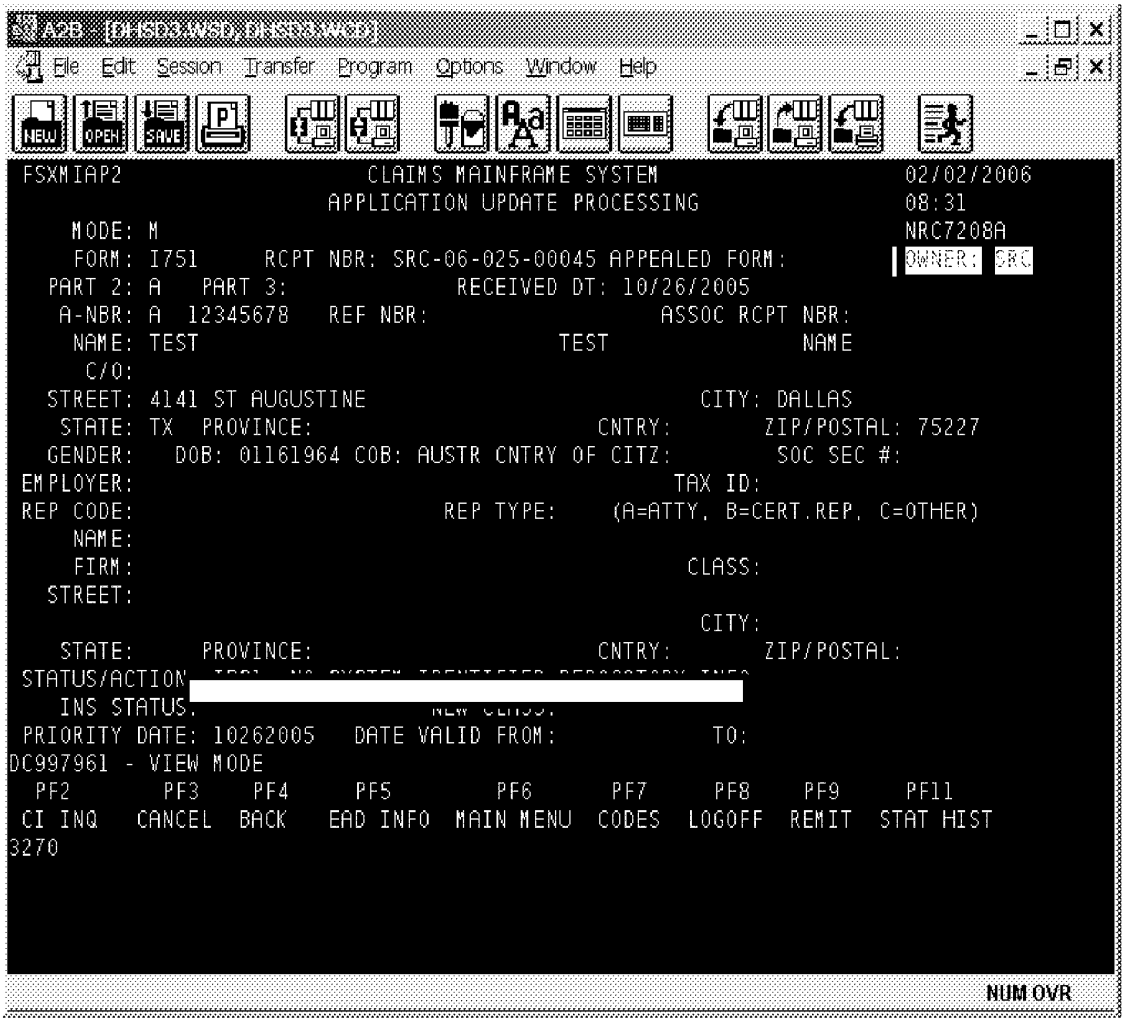

(b)(7)(e)

The top right corner of the screen shows the owner of the file; this may help in determining where to request the receipt file especially if the receipt information is not in NFTS. This receipt begins with SRC but that does not matter for staffing – the OWNER would be where you staff.

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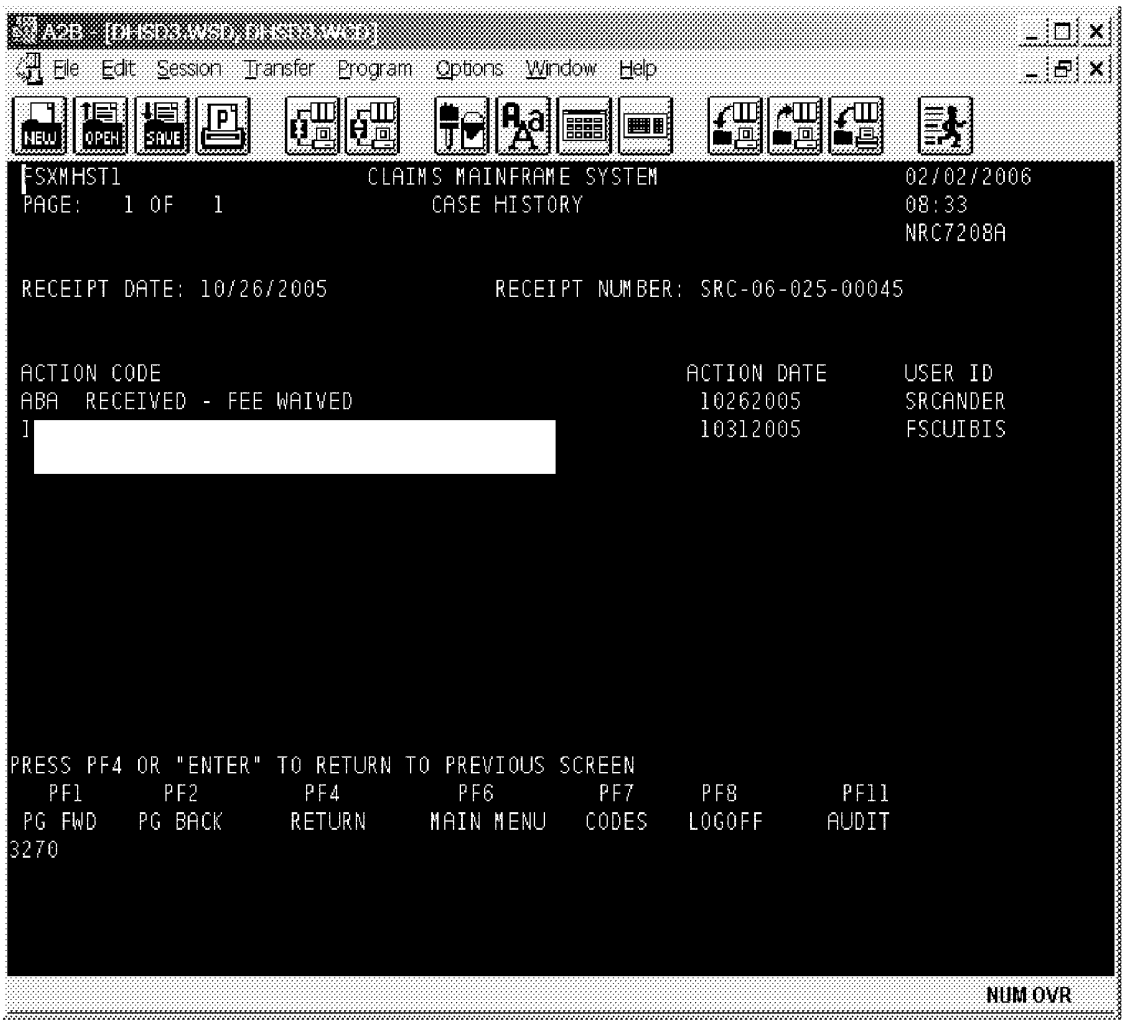

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, rejected or transferred, it may make a difference as to how we staff.

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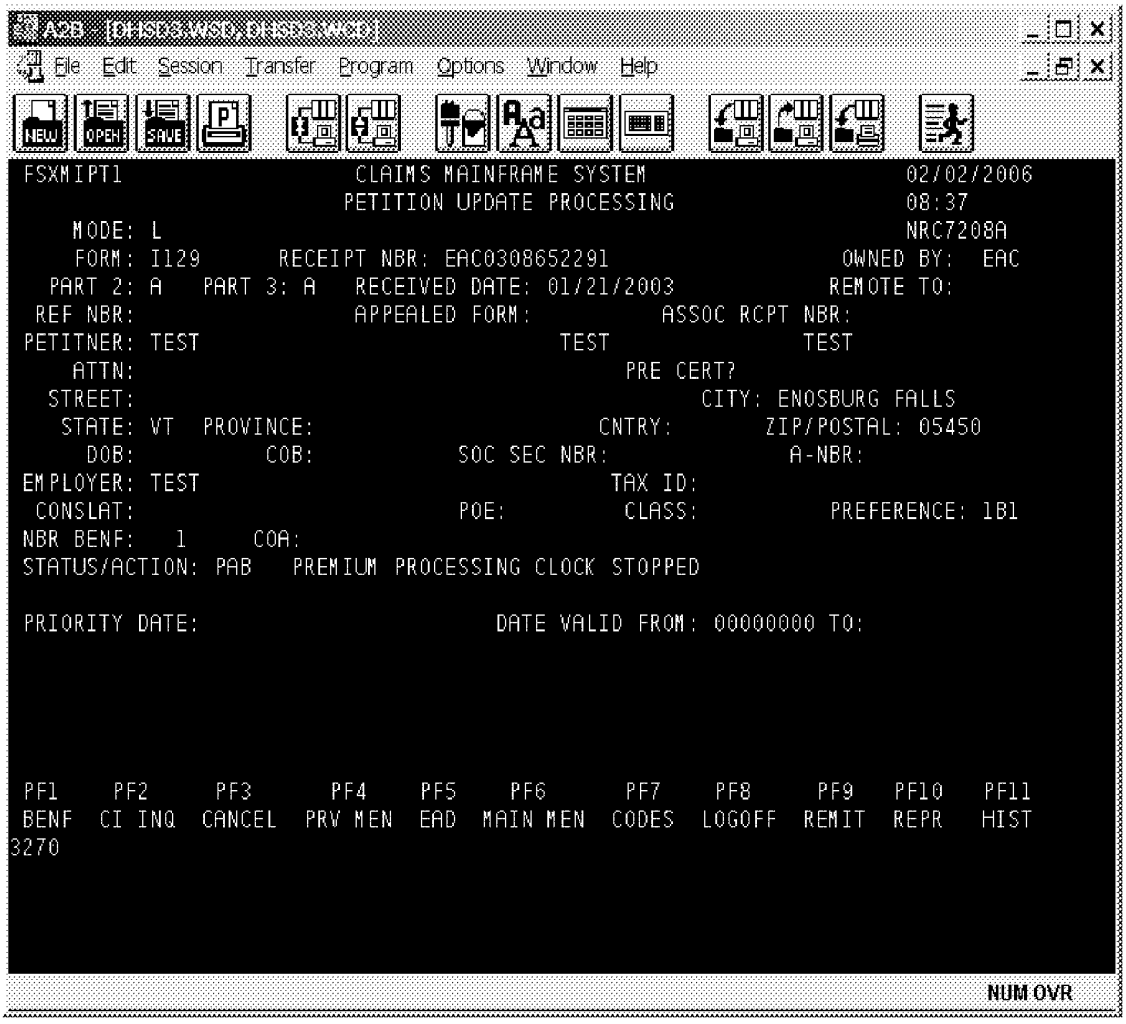
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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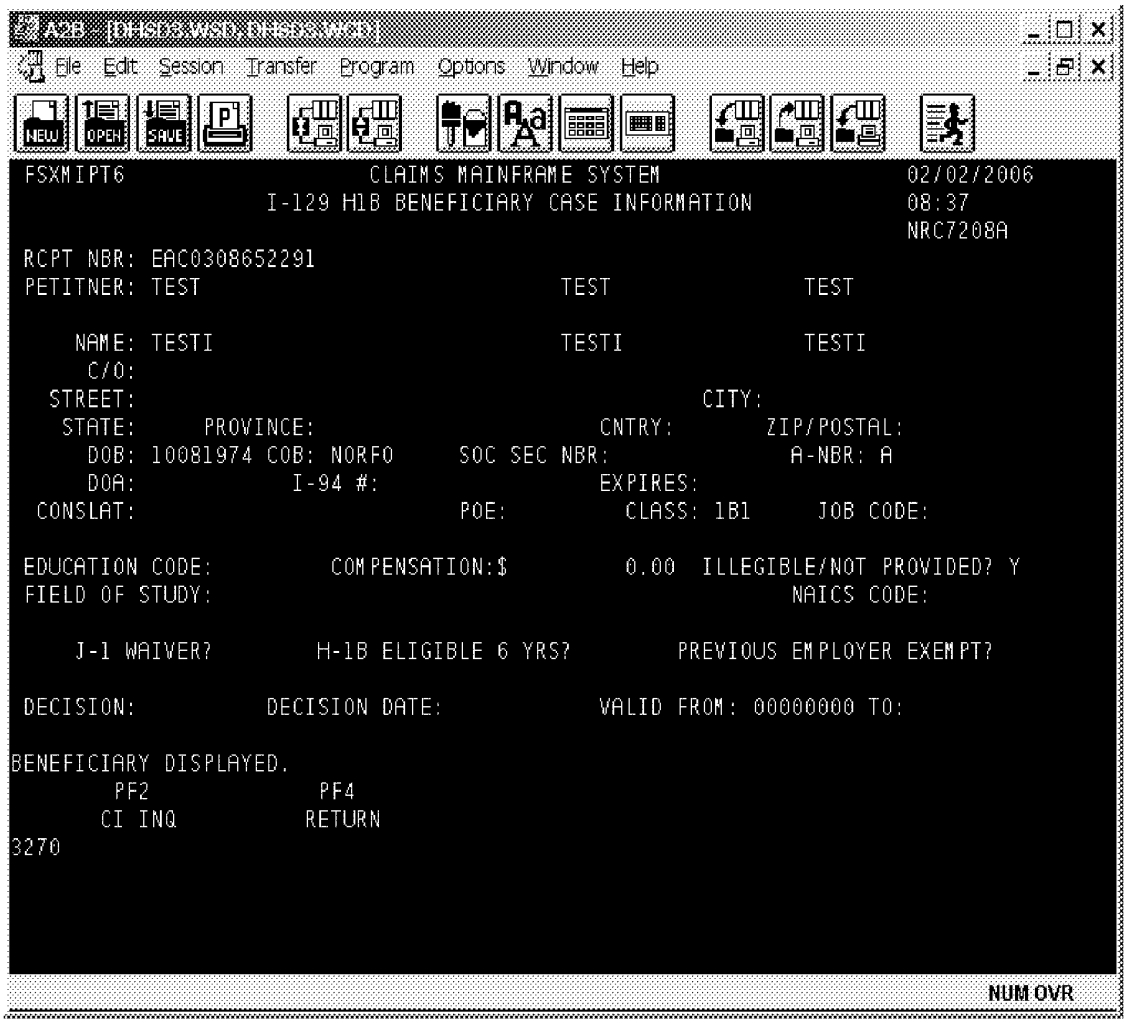
To see the beneficiary information press F1.



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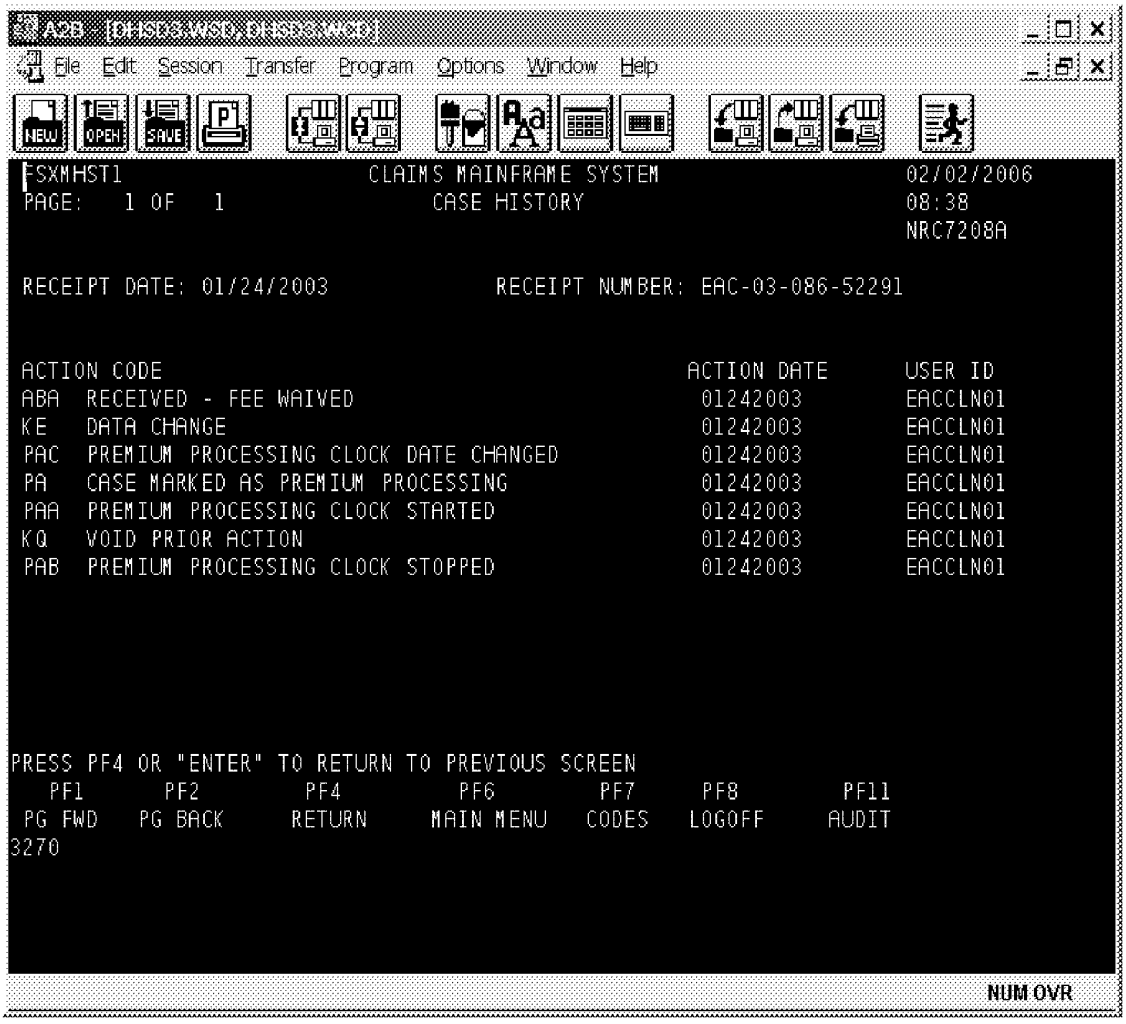
To view the history press the F4 key to return to the previous screen and enter F11.



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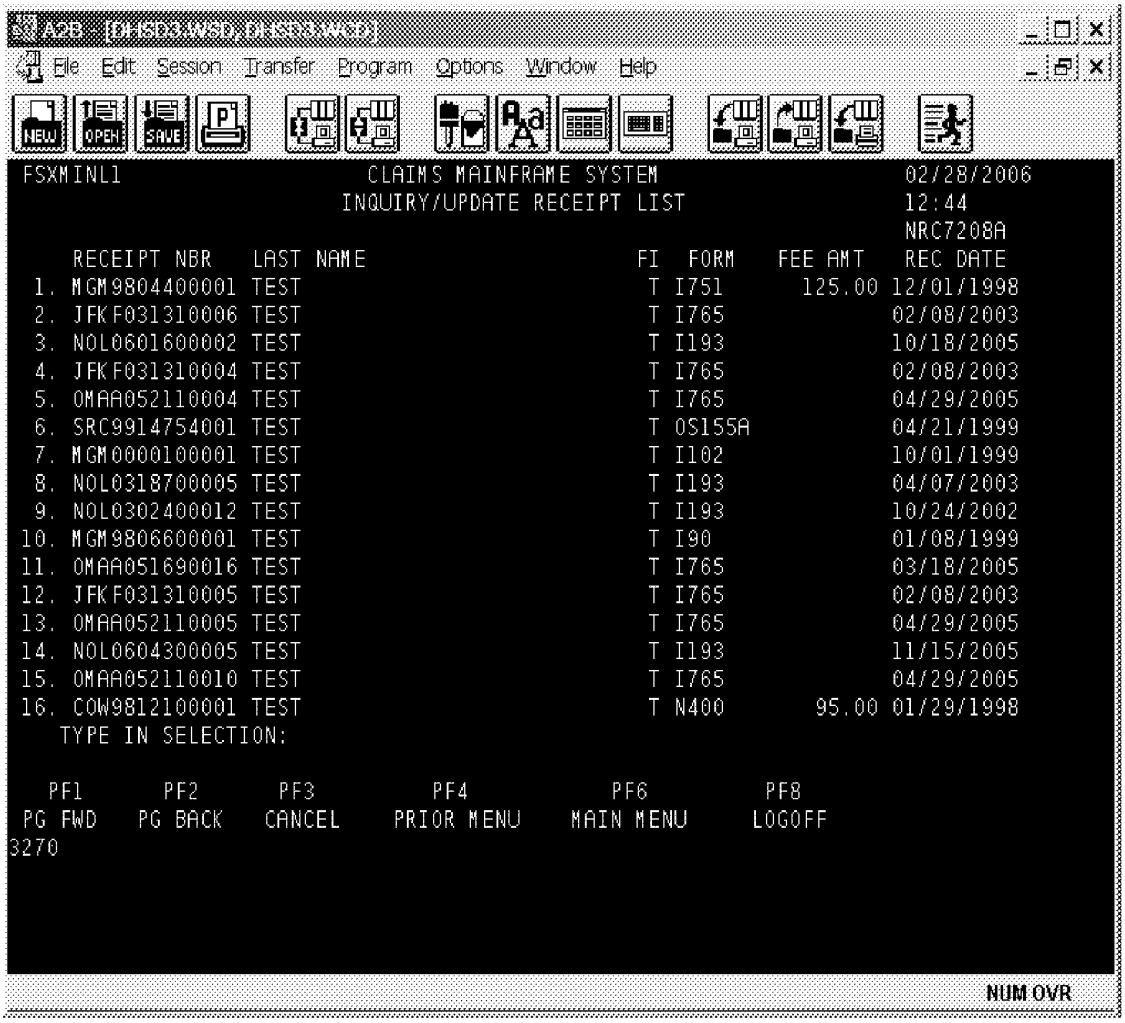

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DOS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq2.esb.uscis.dhs.gov/PCQS/PCQS_User_Guide.pdf

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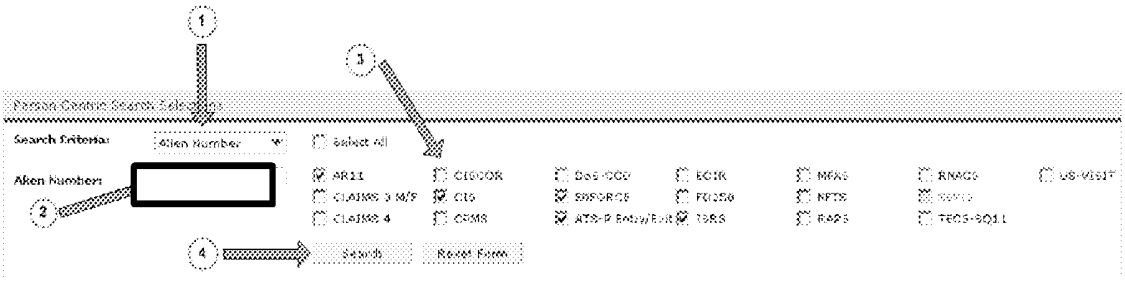

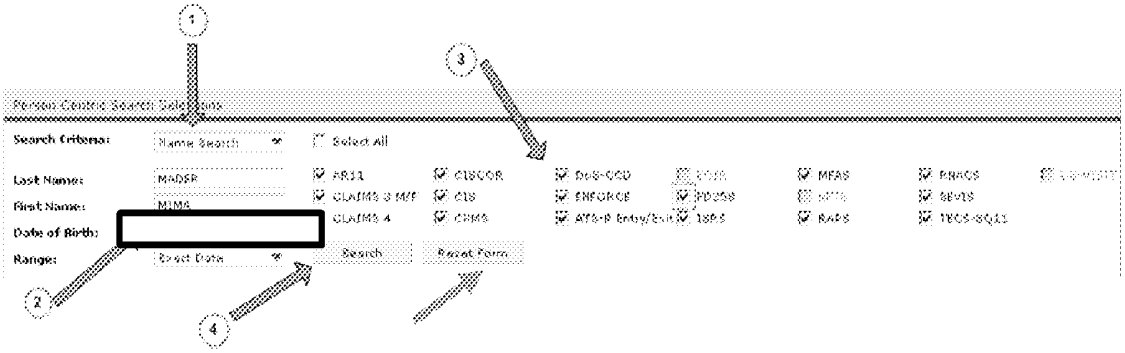

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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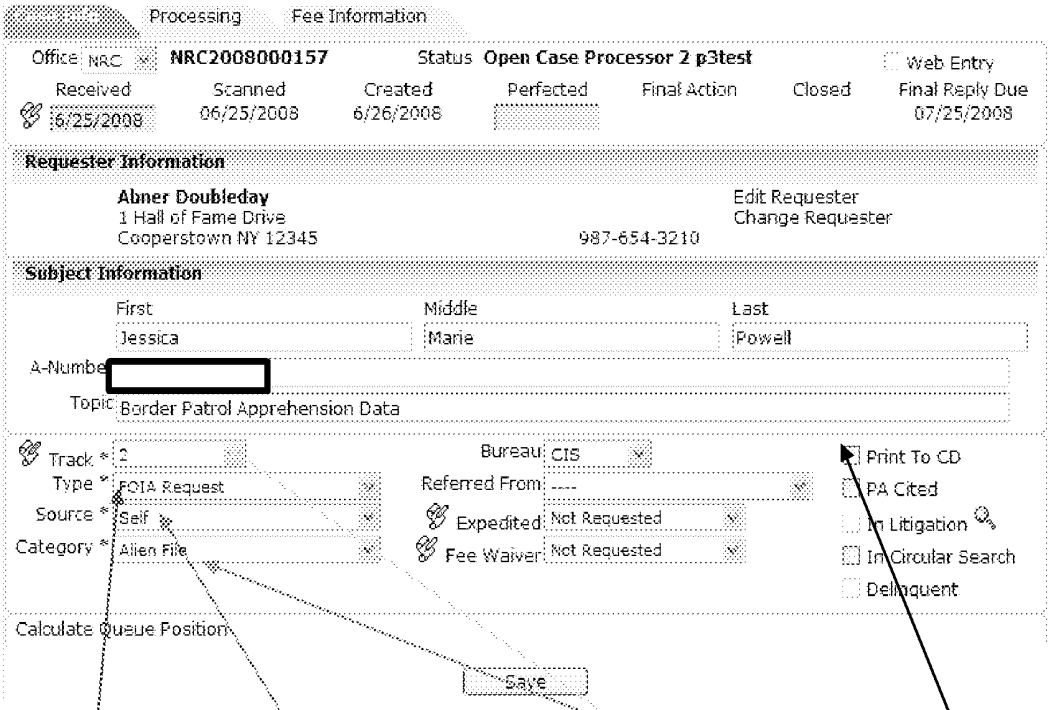

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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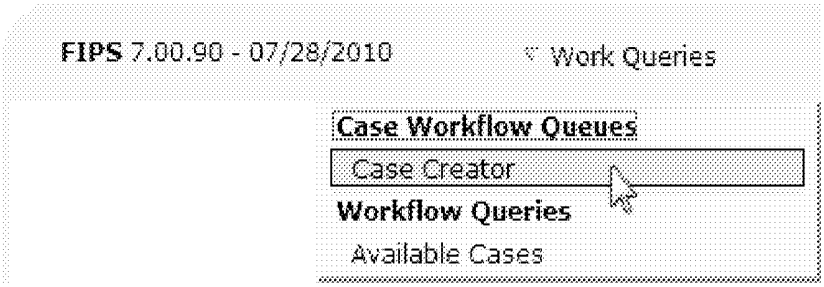
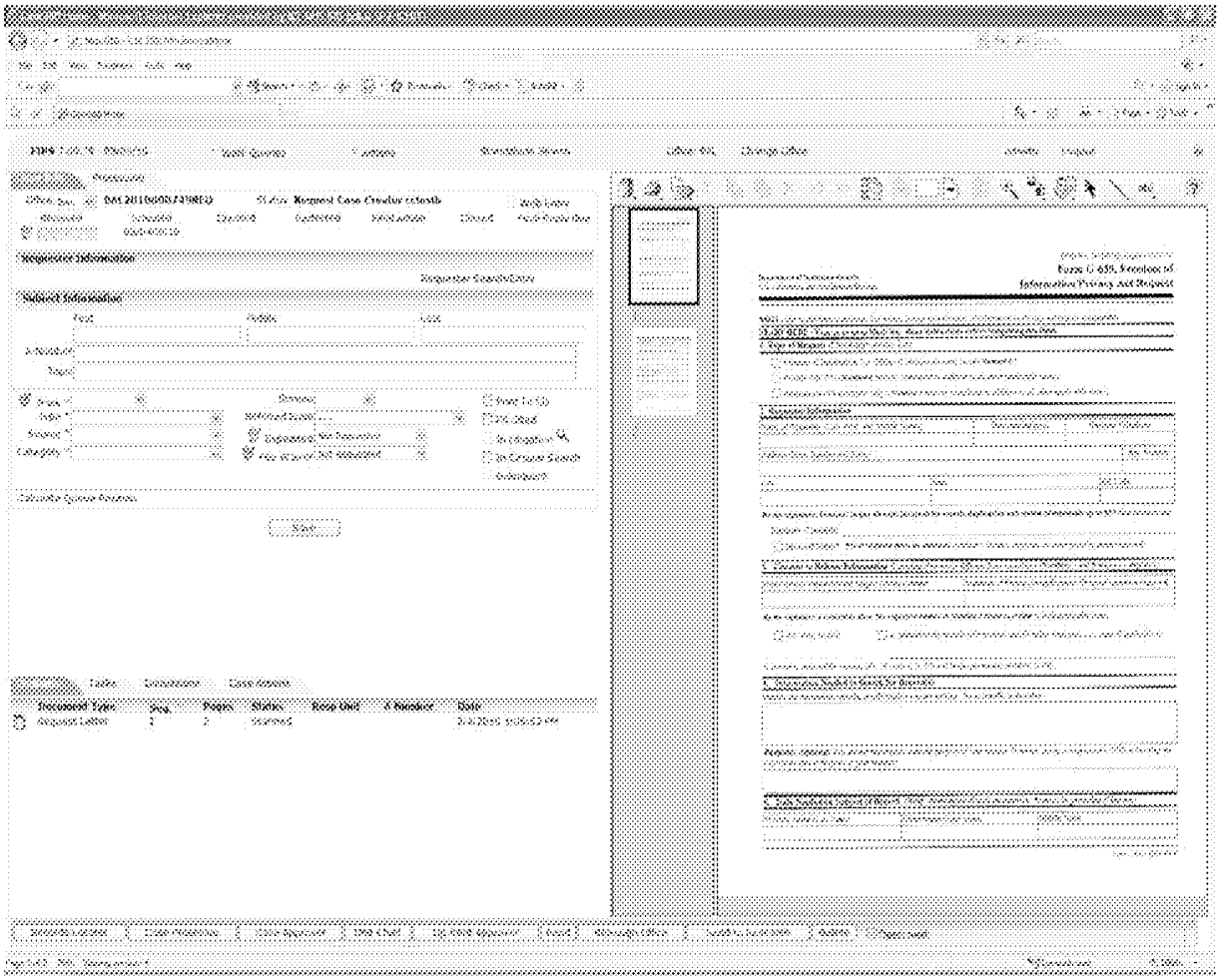
6. CREATING THE CASE





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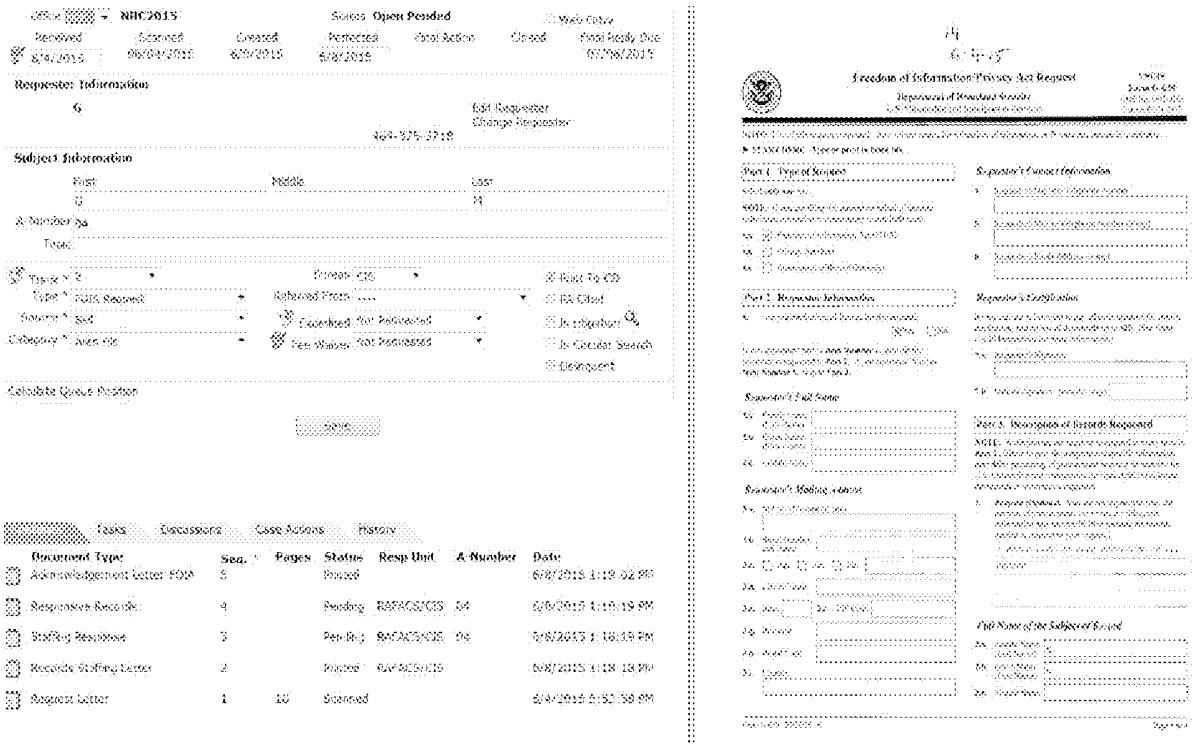

On the FIPS worksheet under the header "Contents," you will notice that usually Seq. 1 is the "Request Letter" and any supporting documents submitted with the request to include the mailing envelope. There will be a date and time in the right column. In older cases, the supporting documents may show in sequence 2 as Request Supporting Documents.

Occasionally requests are submitted on the following forms; the G-639 alone, G-639 and G28 together, or a Power of Attorney. In addition, requests are submitted by letter from an attorney or a representative and a G-28, and finally requests are submitted by letter from an attorney, or from the subject of record. Occasionally, there will be other documents scanned in, such as an alien registration card, driver's license or other types of identification. You may also see miscellaneous screen prints or memoranda. Make sure to view all documents scanned in FIPS, in the Request Letter, and Request Supporting Documents slots before you create the case.

If you find two or more unrelated requests scanned into one request slot:

A. Create one of the cases.
B. Search to see if the other subject has an active case.
C. If you find an active case for the 2nd request, create a Discussion note explaining – no further action required.
D. If you do not find an active case for the 2nd request:
   a. print the request and attach a Scan As sheet noting it is a new request.
   b. take it to OA to be scanned as a new request.
   c. create a Discussion note.

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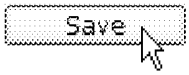
During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case: Requestor name and address, subject name, Track, type, source, and bureau.

If you are going to be away from your desk for 15 minutes or more, it is a good idea to check in your documents and log out of FIPS. It does not usually take very long to log back into FIPS and check your documents out again – in fact, it will save you time and effort. If you forget to log out and come back after a prolonged absence, you might possibly be disconnected from the server and not know it. When disconnected from the server, FIPS sometimes allows you to continue working but as soon as you attempt to save or check in a document, it will send you to the log-in screen and you lose the work you have done.

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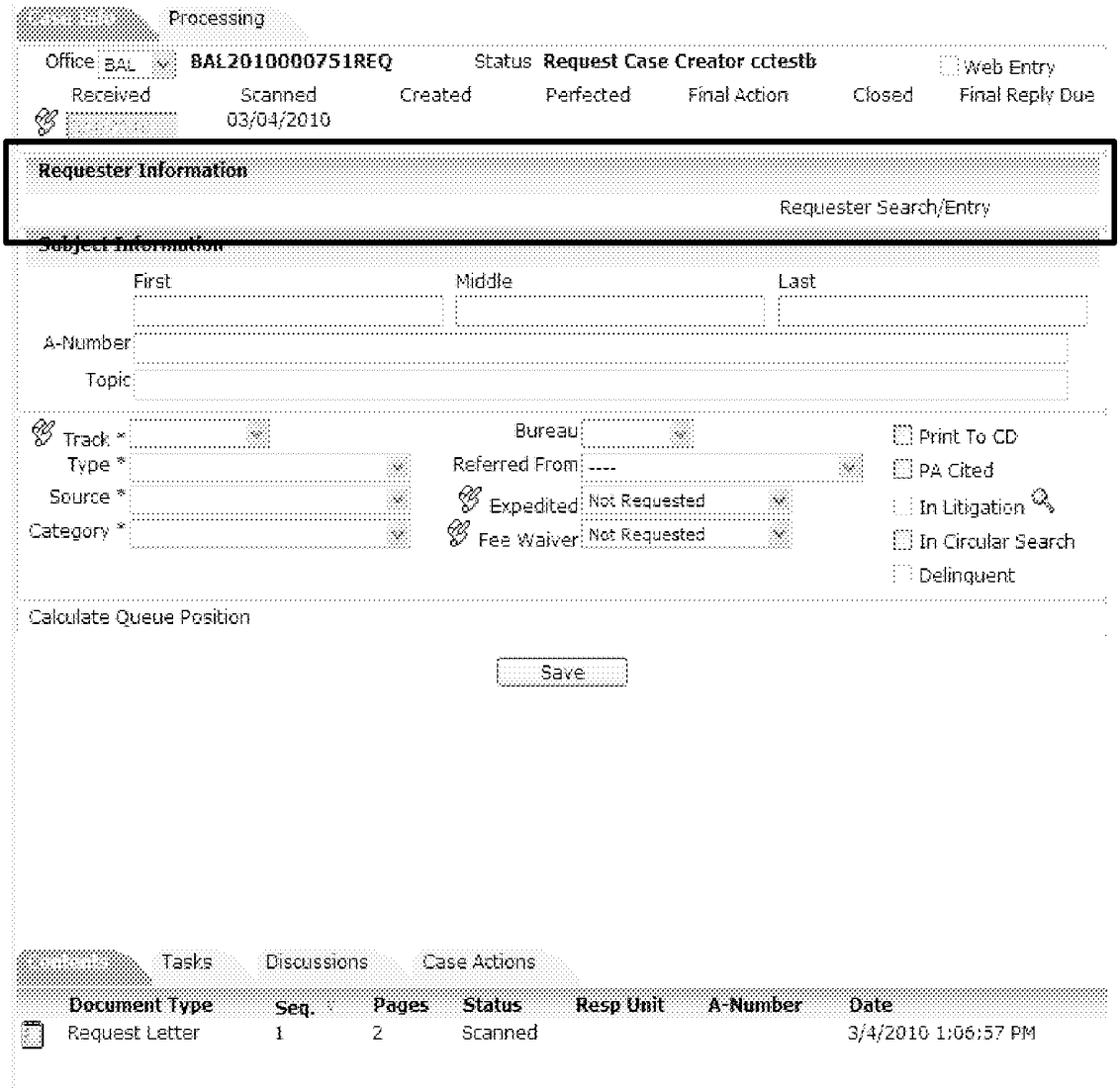
6.1 REQUESTOR INFORMATION



6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 If the Requestor provides an alien number (which we will refer to as "A-Number,") you should first verify that it is the subject of the request and that this is not a duplicate case. After entering the A-Number in FIPS, copy the number you entered and open CIS 9101 screen. Enter 'a' on the number line, paste in the A-Number after the 'a', and press enter. Verify that the subject shown in CIS matches the subject listed on the request. Next, open NFTS, enter 'a' on the number line and paste the A-Number after the 'a', and press enter. This will show you the current location of the file. If the Requestor did not provide an A-Number, you should search by subject name and/or Requestor name by entering the information on the search screen and checking the boxes to use them in the search. If the Requestor provided multiple A-Numbers, you should verify that each is for the subject and

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then search by each file number. You may discover that two A-Numbers have been consolidated. In that case, you use the surviving A-Number only.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the Requestor information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the Requestor or subject uses it on the request. If Jr. or Sr. applies, make sure it ends with a '.' (period).

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the Requestor on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company. For example, if your request comes in on a G-639 and the name of the Requestor is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens and Baker" as the Requestor name.

6.1.1.5 Do not hyphenate names. For instance, if the Requestor has written his or her last name as "Ortega-Ramirez," you should enter that name in FIPS as "Ortega Ramirez," omitting the hyphen. This saves time by permitting a person researching cases to enter "Ortega Ramirez" without having to guess if the case creator hyphenated the name.

6.1.1.6 Double-check the spelling of the names. If the name of the Requestor is not clear on the request letter, check the supporting documents for a Form G-28 for the Requestor name.

6.1.1.7 Please add a period after the middle initial.

6.1.1.8 Rescinded.

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. If you do not find the person by exact spelling, you might look at the mothers and fathers last names, if provided. You may use a percent sign (%) as a wild-card for these searches. For example, if the Requestor's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%que%" and Subject First Name "Jaime." You may also need to search by variations of the first, middle, and last names – they may be in a reversed order in CIS. Some names may be found in CIS with a different sequence or combination of the first, middle, and last names. If you are unsure consult a co-worker, or supervisor.

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6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information*."

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the *Requestor Information* block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

You may use other request documents to verify what is shown as the Requestor address on the request.

We cannot create FOIA cases in the name of a foreign consulate or a congressional office. If the address on the request is a foreign consulate office, or is a congressional office, then you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you do, please create a Discussion saying you did so.

If there is a cover letter or other document specifying that the records should be sent to a different address than the consulate or congressional office, then you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you do, please create a Discussion saying you did so.

Something that is evident to you because you have been creating the case might not be immediately obvious to a supervisor or processor who has just opened the case. Please keep in mind that if you have done something out of the ordinary, adding a Discussion note will clarify your thought process and your decision.

If you can find no useable address, be sure to add a Discussion note to the case and send the case to Unit Chief (which we will frequently refer to as UC). If addresses are difficult to read or unclear, you may call the Requestor or go to

A. http://zip4.usps.com/zip4/welcome.jsp to verify that it is a valid address and the format that should be used.

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B. http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides similar address information for Canadian addresses.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The Requestor's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the Requestor does not provide a valid address use: 123 Main Street, Washington, DC 12345. Close the case as FC, blank out FC letter, then send the case to up front approver. Please add a Discussion note to the case titled "Missing address," explaining the illegible mailing address.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The Requestor's name is always the first line.

6.1.1.17 Why identify the Requestor as an attorney? In addition to being a sign of respect and professionalism, it makes the acknowledgment letter legal mail, which in many states guarantees special confidential treatment. Properly addressing attorney(s) as third party Requestors in FIPS:

Example 1: If the attorney(s) is <u>not</u> affiliated with a law firm, then the first line of the address should be "Attorney at Law."

Requestor **Address**

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Christopher T. Stender, (Esquire)	Attorney at Law 111 Main Street Sample, MS 44444

Example 2: If the attorney(s) name is part of the firm's name, then the first line of the address should be "Attorney at Law."

Requestor	**Address**
Manual Solis, of (Law Offices of Manuel Solis)	Attorney at Law 111 Main Street Borderline, AK 22222

Example 3: If the attorney(s) name is not part of the firm's name, then the firm's name should be the first line of the address.

Requestor	**Address**
Spiro Serras, of (Wilens and Baker)	Wilens and Baker 111 Main Street Aroundthebend, OK 33333

If the address on the request is a residential address under the name of someone other than the subject or Requestor, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the Requestor or subject name on the request as living at that address, the mail will be returned. Using 'c-o' (in care of) allows USPS to deliver the mail to that address as long as the person listed receives mail at that address.

6.1.1.18 If an address is foreign, check the box marked Foreign. This will change the format of the worksheet to include the Province and Country and postal code. You must complete the city and country name fields to ensure proper delivery. Some foreign countries also require postal codes.

This link (http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides address information for Canadian addresses. Also http://bitboost.com/ref/international-address-formats.html#Formats can be used to find the proper format for foreign addresses to ensure you have the needed information in the correct format.

If a foreign address has no postal code and FIPS will not accept the address without it, add an '-'as the postal code. It may also be necessary to view the return address on the

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envelope to see how the address should read because their address formats are different than ours. A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. The following places should use standard U.S. mailing addresses because they are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

6.1.2 Requestor Search/Entry. To locate and select existing Requestors or to enter new Requestors, click the **Requestor Search/Entry** link to open the Requestor Search Form. To search for an existing Requestor, click in one of the available fields in the Requestor Search Form and begin entering pertinent information. When searching for a Requestor whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate Requestors with matching information. Searching by last name and first name brings up more exact matches. Changing the frequent Requestor indicator to 'either' will search for both regular and frequent Requestors. Refer to the rules in section 6.1.1 for any questions on searching for Requestor information.

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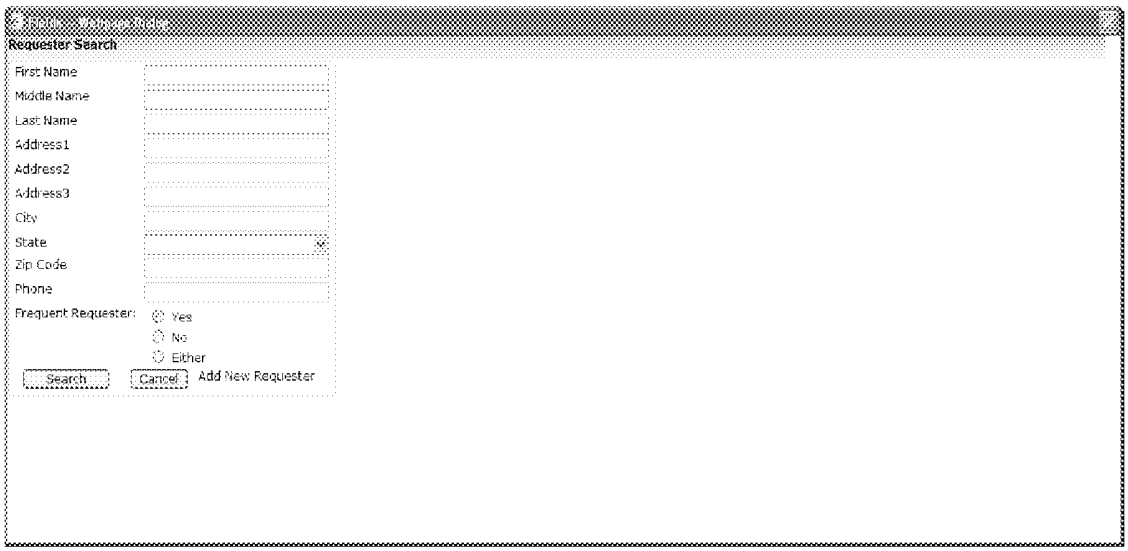
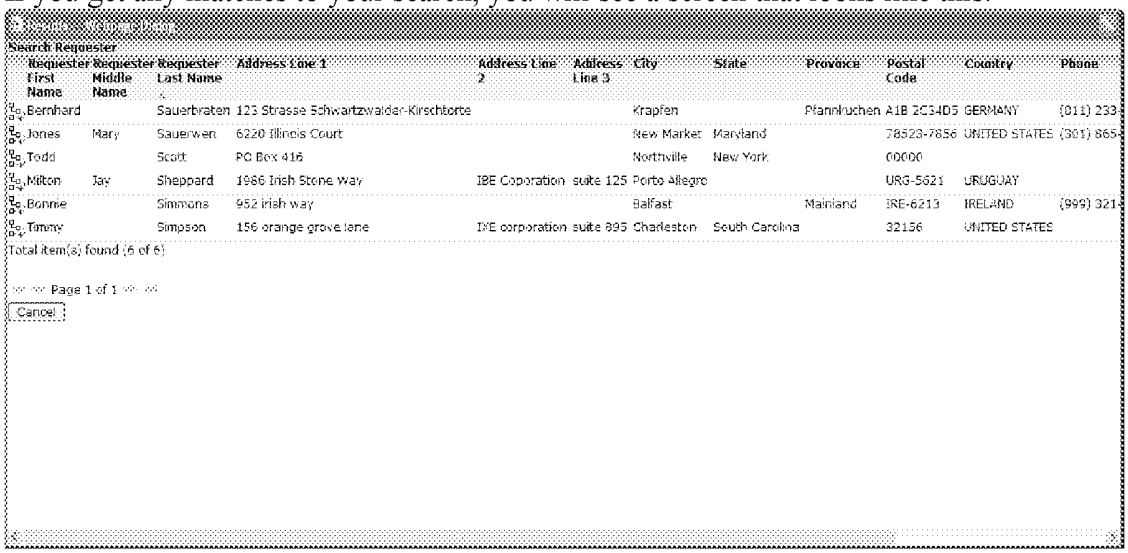


If you get any matches to your search, you will see a screen that looks like this:



If any of those Requestors are a perfect match for your Requestor, you may "Assign this Requestor" by clicking on the icon to the left of the name. Make sure the address is an exact match, including any apartment or suite number – just matching by names causes problems when addresses don't match exactly.

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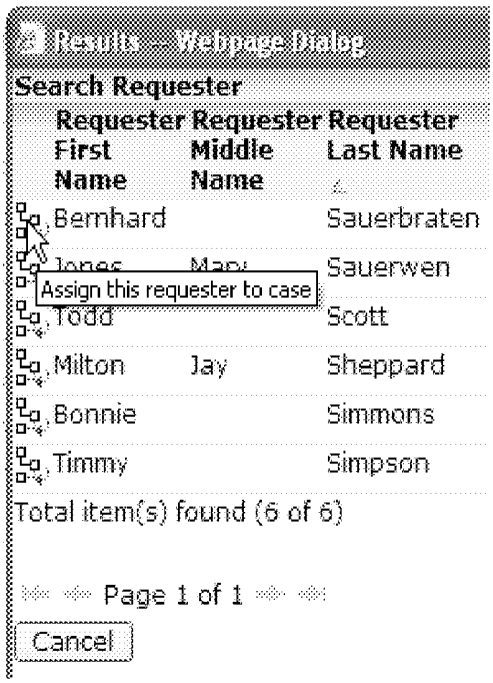
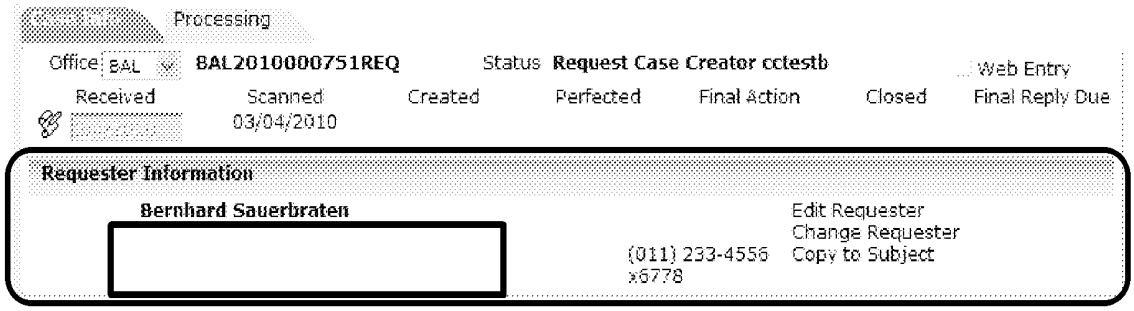


And it will populate the Requestor information like this:

(b)(6)



6.1.3 Add New Requestor. If you do **not** find a match, you will have to add a new Requestor by selecting Add New Requestor:

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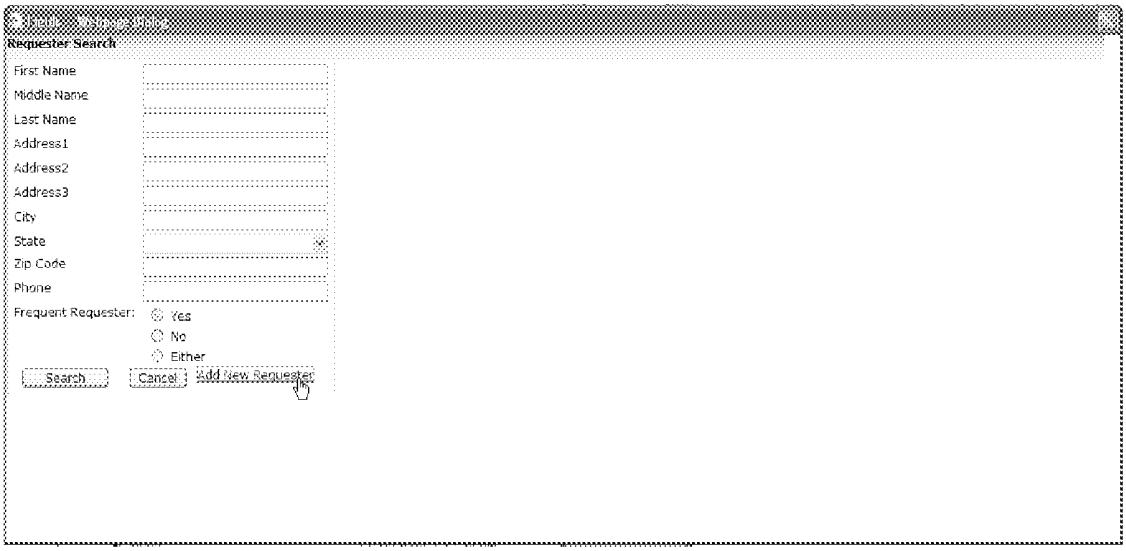
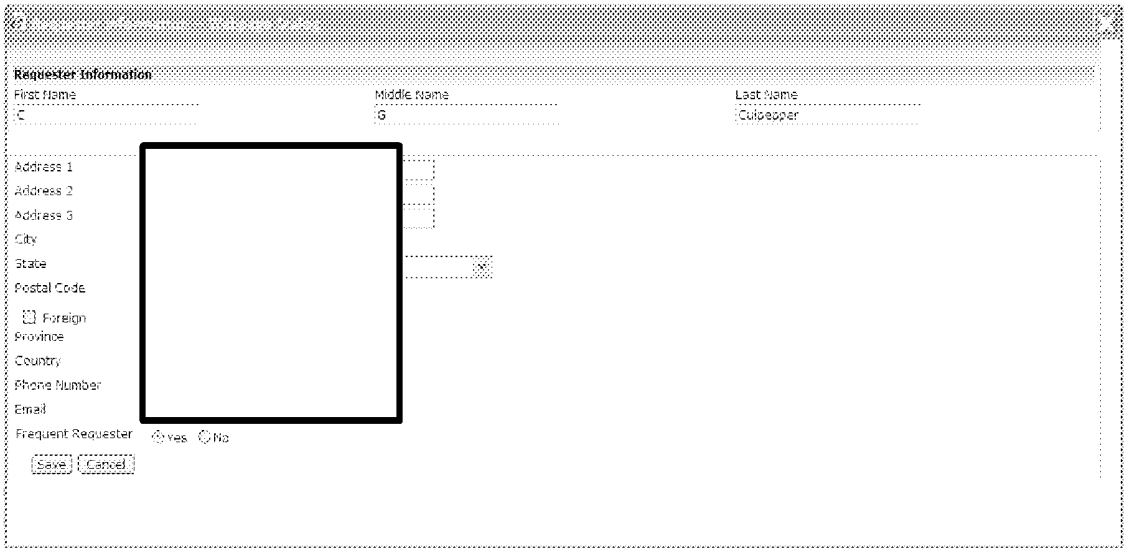


Click on Add New Requestor, you will get a dialog box .

Note: We don't use parenthesis when entering phone numbers

(b)(6)



When you click Add New Requestor, you will get a dialog box that you fill in. You will enter all information and decide if this is a Frequent Requestor. If the Requestor is an attorney or representative who is not already in the system, please save as a Frequent Requestor. Do not create a new frequent Requestor if one already exists with matching name & address information, including apartment or suite numbers (first & last names should match, but first initials or a second last name may be used in some cases and if addresses match, they can be used). Phone number should be entered in the following format: 999-999-9999 for US phone numbers. Extensions are allowed after a space following the phone number. Although you are not required to do so, you may enter the e-mail address if it is provided. Click 'save.'

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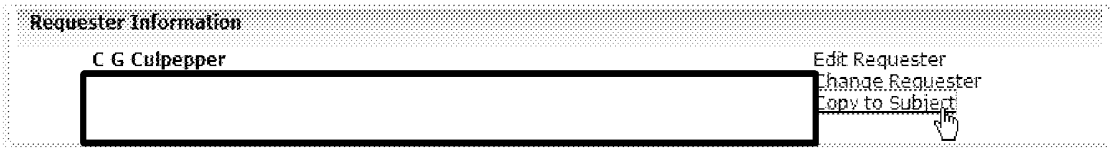
6.2 SUBJECT INFORMATION

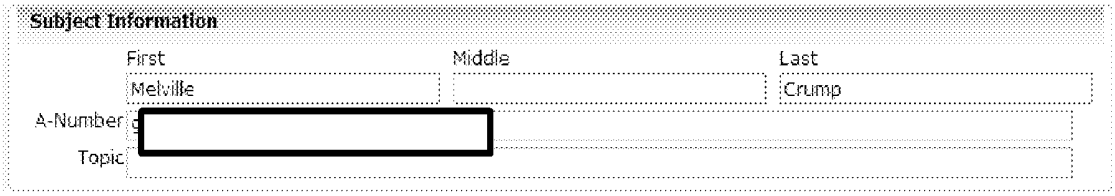
After saving, look to see if this is a self-request. If so, you can copy the Requestor Information to the Subject by clicking on 'Copy to Subject'



Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field. FIPS converts all 'A-Numbers' to 9 digits by inserting leading zeroes.

(b)(6)

Note: We don't use parenthesis when entering phone numbers



6.2.1 Name

Enter the subject's name, as it appears in section "Requestor Information" of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the Requestor is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the Requestor's file. In situations like this, the subject information would be that of the beneficiary, not the Requestor. If a receipt has been consolidated into the beneficiary's A-file, we require certification of agreement from the beneficiary or we will close the case as a Total Denial (TD). *See Section 7 for Certification of Agreement and Verification of Identity*. Watch for identical family names requesting records of other family members. Please verify all A-Numbers and receipt numbers in CIS or CLAIMS to be sure they belong to the person whose records are being requested.

6.2.2 Alien Number

In the alien number field, enter the subject's alien number, as provided on the request, as an eight-digit or nine-digit number. FIPS will automatically convert all A-Numbers to nine digit

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numbers by adding leading zeroes. Do not use the preceding 'A' or 'T' file indicator in FIPS.

6.2.2.1 Always check the A-Number in CIS to be sure it belongs to the correct subject. Copying and pasting the A-Number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma and verify they are all for the subject.

6.2.2.3 If you have created the case and you see less than eight digits in the A-Number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

6.2.2.4 Do not enter the petitioner's A-Number if the request is only for a copy of an unconsolidated petition filed on behalf of someone else. If the request is for all records, we would need to staff for the A-Number and receipt file. If the subject of the A-Number and beneficiary are different people, you must create additional cases.

6.2.2.5 If the Requestor is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-Number of the beneficiary, and change the subject name to that of the beneficiary, since we will request the beneficiary's 'A-file'. We require certification of agreement from the beneficiary or the case will be closed as a Total Denial (TD). For more information about this, please refer to section 7, Certification of Agreement, Verification of Identity and Description of Records.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide
- significant interest requests with a topic unrelated to a subject records request. You may change the Topic field (unlike the A-Number field) after you have created the case.

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Do not use Topic to describe specific documents such as an I-130 or immigrant visa if the receipt number is unknown – you should specify that in the Discussion notes and in the acknowledgement letter. It is always a good idea to read any correspondence you prepare to be sure it makes sense. For more information, refer to section 18, Acknowledgment Letters. When you use Topic, you must check and possibly modify any staffing or acknowledgement letters.

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

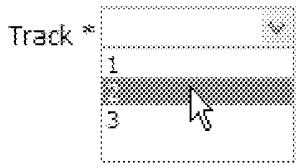
Correct: MSC0412360000
Incorrect: MSC-04-123-60000

6.2.3.2 The format above assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility (for the same subject), you may staff for up to four receipt files on one staffing sheet. See **Staffing Sheet Guide** for more guidance.

6.2.3.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See section 6.3.4.4, Significant Interest Group (SIG) Requests, for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You will need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

6.3.1 Track



6.3.1.1 Track 1 –

Select Track 1 if the request is for:

- a specific document, or
- if your search yields only a receipt file or
- if the only responsive record is screen prints.

Any time you have a RAFACS-only staffing, you should create the case as Track 1. A specific document request consists of three documents or less (except asylum or

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refugee requests, which you must evaluate more carefully – please refer to section 8.24 SITUATION: Requests for Asylum or Refugee documentation).

6.3.1.1.1 If the request is for a specific document, please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the Requestor contains the following paragraph and you must modify it to show the specific documents requested:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). **You specifically requested Specific Doc Information. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.**

You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request. Otherwise, if the request is Track 1, but is not a request for specific documents, please delete both sentences that address specific documents (bolded in the paragraph above). Either way, you should never leave the words "**Specific Doc Information**" in your acknowledgment letter.

6.3.1.1.2 If the request is for a specific document, continue to create the case in Track 1 as Specific Documents. If the Requestor responds that he or she needs the whole file, a FOIA/PA Assistant or Government Information Specialist working in Records Locator (which we will refer to as RL) or the Research queue can change it to Track 2 at that time. See section 34 for instructions on how to change tracks.

6.3.1.2 Track 2 – Requests for entire copy of alien file, detentions, deportations or removals, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and/or lists more than three documents on the G-639, please select the category Alien File, Asylum or SFR cases at NRC and make the case a Track 2. (See section 34 for instructions on how to change tracks.) Track 2 should also be used for cases created for SIG.

6.3.1.1.2.1. Track 1 vs. Track 2 Clarification (G-639 dated 3/31/2015)

We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Part 3 to our decision-making process.

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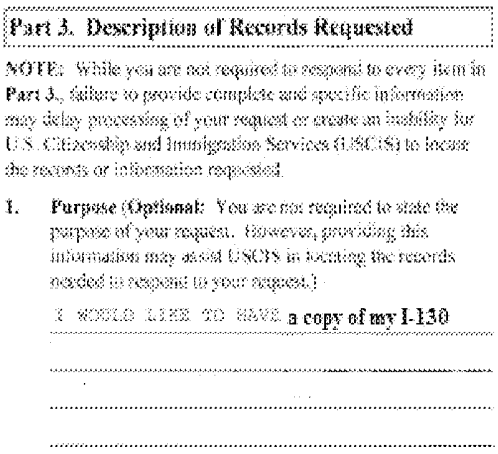
In the latest version of the Form G-639, there is no "Subject of Record Consent to Release Information." You only have Part 3, Description of Record(s) Requested to decide what to release to the requestor.

Part 3: Description of Record(s) Requested:

Part 3 is where the requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The requestor writes in **"I would like to have a copy of my I-130.**

This request will amount to just a few pages. This is a Track 1 case.



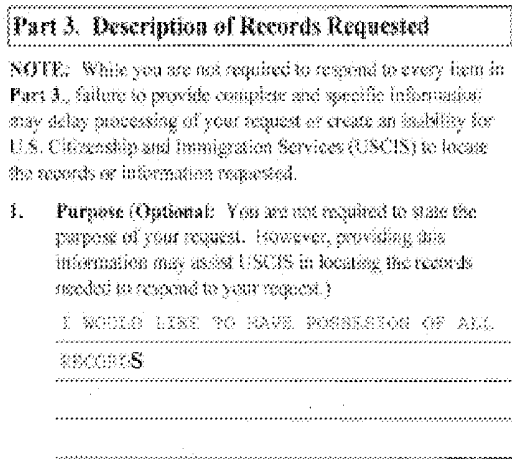
Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE **a copy of my I-130**

In this next Part 3 example, the requestor wants all of his or her records.



Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE POSSESSION OF ALL RECORDS

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Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

However, if the person asks for all records and you find the A-file or more than three documents (Section 6.3.3.2), you are going to make this a Track 2 case.

6.3.1.1.2.1 Track 1 vs. Track 2 Clarification

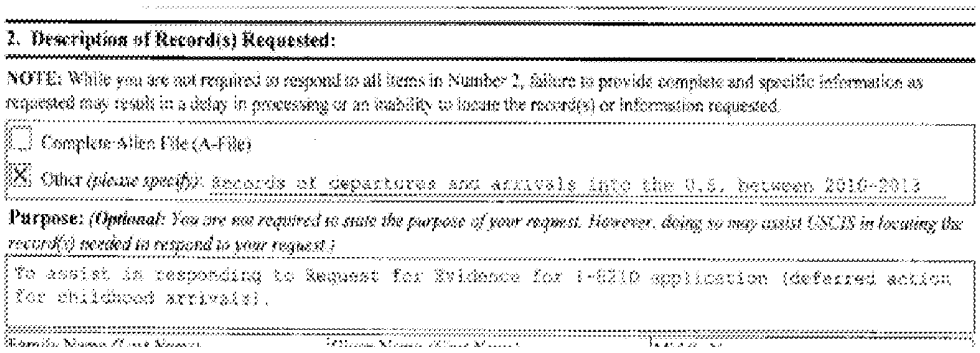
We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Blocks 2 and 3 to our decision-making process.

Block 2: Description of Record(s) Requested:

Block 2 is where the Requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The Requestor selects **"Other"** and specifies **"Records of departures and arrivals into the U. S. between 2010-2013."**

This request will amount to just a few pages. This is a Track 1 case.


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other (please specify): Records of departures and arrivals into the U.S. between 2010-2013

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

In this next Block 2 example, "Complete Alien File" is checked.

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

But if "Complete Alien File" is checked and you find the A-file or more than three documents (Section 6.3.3.2), check the Track 2 block, no matter what is written in the "Purpose" section.

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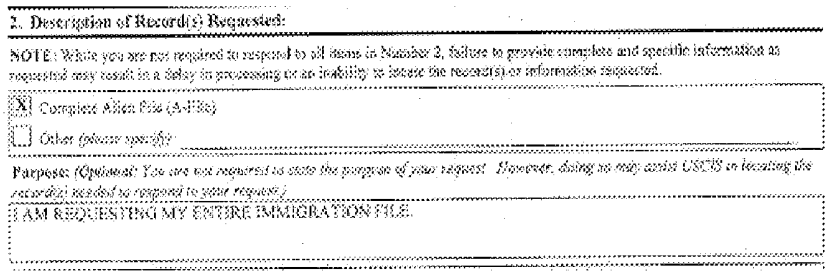

2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☒ Complete Alien File (A-File)

☐ Other (please specify)

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

I AM REQUESTING MY ENTIRE IMMIGRATION FILE.

In Block 3, we see what the Requestor gives consent to release.

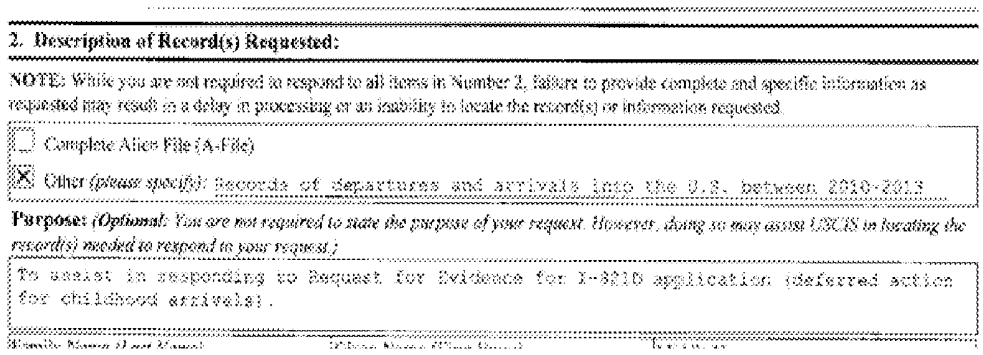
Block 3: Subject of Record Consent to Release Information

You've already selected the track of the case in Block 2. In Block 3, you decide if you have consent. Additionally, you need to consider the following:

1. If your case is a Track 1 (decided in Block 2), the subject of record confirms what information they want released to the Requestor.

2. If your case is a Track 2 (decided in Block 2), Block 3 is only used for certification of agreement if you're releasing to a third-party…nothing else.

For continuity, we'll repeat our first Block 2 example:


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other (please specify): Records of departures and arrivals into the U.S. between 2010-2013

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

Now in Block 3, the Subject of Record tells us specifically (gives consent) how much of what was requested in Block 2 gets released to the Requestor.

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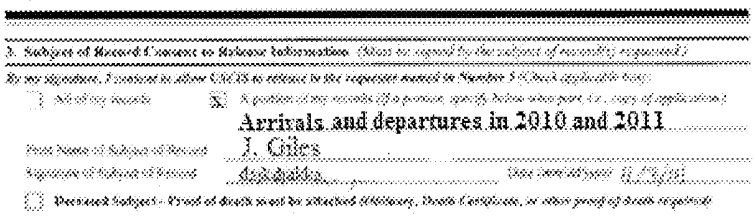
Arrivals and departures in 2010 and 2011
J. Giles

In Block 3, the Subject of Record checked "A portion of my records," and specified that he only wants "Arrivals and Departures in 2010 and 2011" released.
When the records are processed, we will release "Arrivals and Departures in 2010 and 2011" only.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requestors must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge
- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will normally review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Already Approved Requests for Track 3 Processing with Pending Cases

Before you create the case, look at the documentation and/or check for a duplicate. Sometimes you will find a current, open pending case which is ***already approved*** for Track 3. If you find another case and it is not a DP case, simply click "Send to Research" and you are finished with the case. Add a Discussion to the original case, "Research, original case already approved for Track 3 processing please attach as

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CSD". If it is an exact duplicate request to the existing pending case and already approved for Track 3 processing, you will close this case as final action DP: Duplicate. Add a Discussion to the original case, "Research DP Case closed as DP and provide the NRC control number." (See section 6.4 for information on Searching for Duplicates.)

Track 3 Approval on Pending Cases. If you find an ***existing duplicate pending case that was denied*** Track 3, and has now been ***approved*** for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD, change the case to track 3 and send approval notification. Add a Discussion note to original case, "Research, Track 3 upgrade needed". (See sections 34 & 35 for instructions on how to change tracks.)

6.3.1.3.4 Requestors will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A Requestor could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide, section 6.3.6

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with Requestors. Attorneys may refer to Track 3 as "the removal track" or "the immigration hearing track." The key is any reference to deportation or removal. Some attorneys do not know the difference between "Track 3" and "Expedited Treatment," and we should not punish them for that. If an attorney requests expedited processing because his or her client has a removal hearing, we should treat that as a request for Track 3 processing and evaluate accordingly.

- Example 1: if the attorney requested expedited processing because his or her client has a removal hearing and the attorney also provided a Notice to Appear with a future scheduled date, then you will create the case as a Track 3 and our acknowledgment will say that the case will be processed in the accelerated track (Track 3). Of course, if you are not sure, you should contact a supervisor.
- Example 2: if the attorney requested expedited processing because his or her client has a removal hearing but the attorney did not also provide supporting documentation, then you will create the case in the regular track and include the Track 3 denial paragraph in your acknowledgment letter. The attorney then has the opportunity to provide supporting documentation to move the case to Track 3.
- Example 3: if the attorney requested expedited processing and cites a threat to health or physical safety, or if the attorney cites no reason at all, then we

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should treat it as a request for expedited processing. When we deny expedited processing, we have to send a separate letter informing the Requestor of our decision. The Requestor has the right to appeal our decision to deny expedited processing.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no Expedited cover sheet, do not mark either box. Add a Discussion and send the case to Unit Chief. A supervisor will approve or deny expedited requests.

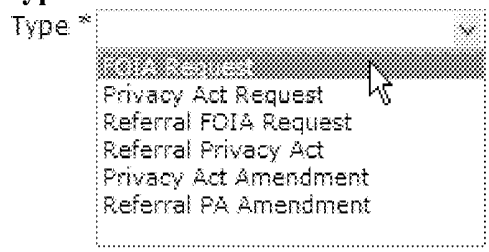
6.3.1.3.7 New FOIA Requests for Track 3 Processing If the Requestor specified Track 3 processing on a new FOIA request but the request does not have a cover sheet, please create the case, evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.8 If the Requestor did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. Entering this information near the center of the page will stop the text box from interfering with the barcode. Check the barcode at the bottom of the staffing sheet anytime you add or modify a staffing sheet. You may have to move the text box up if it interferes with the barcode.

6.3.2 Type



Always select **FOIA Request**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

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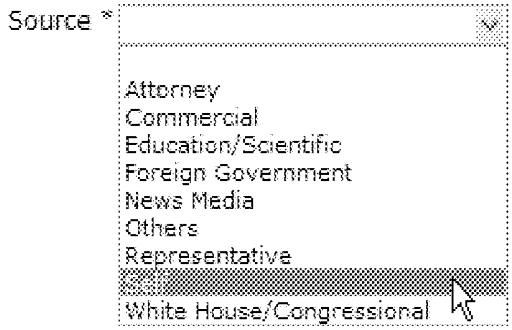
Privacy Act Amendments are requests to correct or amend something on the specific document or file. This type of request is not for a copy of records or the file. If a request is for a 'Privacy Act Amendment' please refer to Section 6.3.4.4.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the Requestor the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party Requestor? Below is a list of possibilities for Requestors:

- Attorney - The Requestor is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The Requestor of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The Requestor is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the Requestor will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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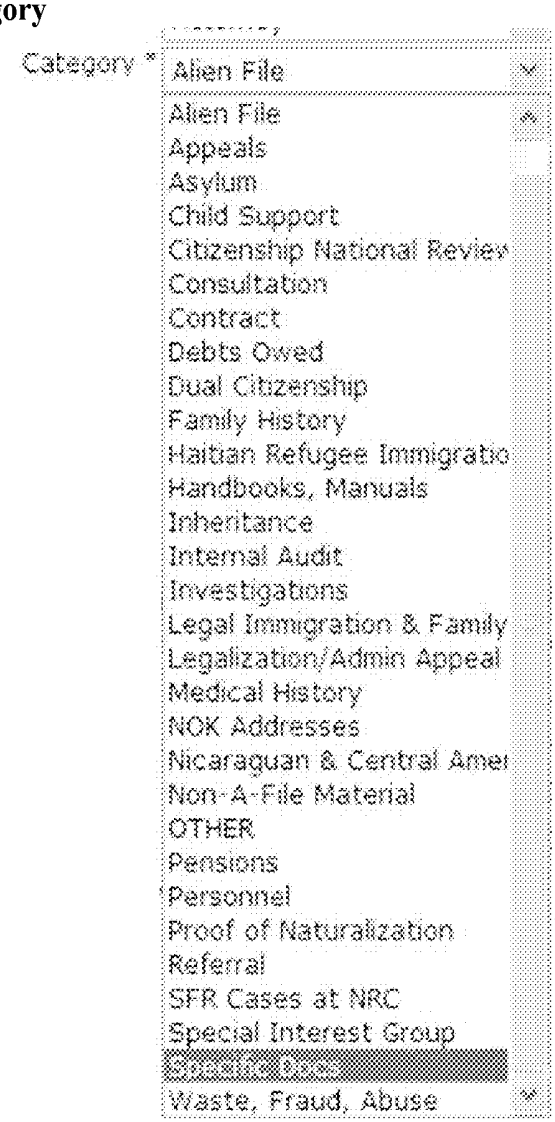
6.3.4 Category



There are 35 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The Requestor is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files
g. Requests for copies of Refugee files/ Asylum files

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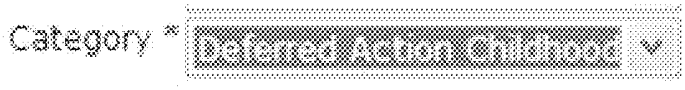
6.3.4.2 Specific Documents – The Requestor is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case. As a rule, you should create a case as Specific Documents if the Requestor is asking for up to three documents. If a Requestor is asking for an asylum application and supporting documents, or refugee documents you should create it as Asylum, Track 2, or a refugee request as Alien file, Track 2.
You must update the language in any Specific Document request to specify what documents have been requested. See section 9 for CBP and ICE referrals.

6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.

6.3.4.4 Significant Interest Group (SIG) Requests – Generally speaking, SIG processes non-A-File FOIA requests with a few exceptions. Please send requests involving A-files belonging to high-profile individuals, along with all A-file requests submitted by the media, to SIG for handling.

6.3.4.4.1 Direct the following requests to SIG for handling if:

a. The FOIA request is for congressional correspondence;
b. The FOIA request is from a member of the media;
c. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.; Such organizations include: AILA, ACLU, CAIR, CREW, EFF
d. The FOIA request is for a vacancy announcement
e. The FOIA request is for personnel records
f. The FOIA request is for records related to an investigation. It may mention:
    a. Report of Investigation
    b. OSI Investigation

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c. Background Investigation (These are not USCIS requests – they are redirected to OPM, however, SIG will handle the redirect).

g. The FOIA request relates to a USCIS contract
h. The FOIA request relates to a USCIS grant program
i. The FOIA request mentions "EB-5" or "Regional Center" records
j. The FOIA request is for data/statistics
k. The FOIA request is a PA Amendment
   a. The Requestor wants to correct information in their records
   b. The Requestor mentions "SAVE"
l. The FOIA request is a hybrid, the Requestor is seeking both A-File material AND non-A-File material (for example: "My child's A-file and all USCIS adjudication policies for Vietnam adoptions")
m. The FOIA request is for emails.

Items listed above are suggestive and not exclusive.

6.3.4.4.2 If you believe a request qualifies as a SIG request, create the case in the NRC queue, but do not staff or create an acknowledgment letter. Create the case as follows: Track 2; Type: FOIA Request; Source: Others; Category: Others. Do not enter subject's name or A-Number. You must enter a short description into the Topic block. Send an e-mail to NRC, FOIASIG and enter a discussion note into FIPS explaining the situation. Send the case to Unit Chief.

When the FOIA request is for both an immigration file and e-mail, please staff for the file. Next, create a RAFACS staffing slot for the e-mail. Send an e-mail to NRC, FOIASIG, explain the situation in a discussion and send the case to Unit Chief.

A SIG processor will review the case and move it to their queue if it is truly a SIG case. A SIG processor will then finish the creation, create the staffing and acknowledgment letter. If you have questions or need to send information regarding a possible SIG case send it to their e-mail address: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.** This category is very important. SFR cases at NRC can apply to cases in any processing Track. It does not matter what Track the case is in – if the FCO is SFR, you must make the Category "SFR cases at NRC."

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6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

A. Naturalization Certificate Files (C-files) from September 27, 1906 to April 1, 1956

B. Alien Registration Forms from August 1, 1940 to March 31, 1944

C. Visa files from July 1, 1924 to March 31, 1944

D. Registry Files from March 2, 1929 to March 31, 1944

E. Alien Files (A-files) numbered below 8 million (A8000000) and documents therein dated prior to May 1, 1951

The case is not Genealogy unless it meets one of the above criteria. If there is a cover sheet with instructions, such as a Hybrid Genealogy cover sheet, please follow the instructions on the cover sheet, rather than the instructions in this paragraph. If the case you are creating does meet the criteria for Genealogy, select Category **OTHER,** then do the following:

a. Create the case.
b. Do not staff for the file or create an acknowledgement letter.
c. Select Final Action Letter and redirect (RD) the case to "USCIS Genealogy Program." Use the "RD –Genealogy" letter unless you have a request for dual Italian Citizenship. If you have a request for dual Italian Citizenship use the "Genealogy form –ItalianCit" letter. Both letters are located on the O drive (O:\Foia\FOIA LIBRARY). Copy and paste the appropriate letter over the default letter.
d. After the case is created and the letter has been generated, prepare a discussion and send the case to Unit Chief.
e. Send an email to NRC, GEN (nrc.gen@uscis.dhs.gov) and copy your supervisor with the control number for review. Please case note accordingly.

If it does not meet the criteria for genealogy it will be returned to you in the Case Create queue to send an acknowledgment letter and staff for records.

If it does meet the criteria, Unit Chief will return the case to you to close.

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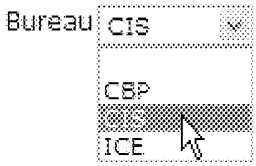
6.3.4.7 Border Crossing Card: Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, and then refer to Section 12.13 of this guide.

6.3.5 Bureau



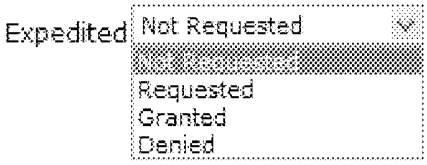
The Bureau selections are used to track cases and apply equally to all processing Tracks. Bureau should be determined by the location of the file at the time the case is created. The three possible selections for Bureau are:

ICE – Select this when the Requestor is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC), based on the NFTS ICE staffing locations. Please set the bureau to ICE if either an A-file or T-file is at an ICE staffing location, regardless of where other files may be.

CIS – This is the default in FIPS. Leave it selected unless it falls under ICE or CBP.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the Requestor/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



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A Requestor may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the Requestor establishes ***either:***

> (1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; **or**
> (2) an urgency to inform the public about an actual or alleged federal government activity, if the Requestor is a person primarily engaged in disseminating information.

A Requestor who seeks expedited processing must explain in detail the basis of the need and submit a separate statement that the facts are certified to be true and correct to the best of his or her knowledge and belief. The Requestor must establish that one of the following situations exists in order to receive expedited treatment of his or her FOIA/PA request. If a Requestor asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 Reviewing Expedited Treatment Requests

The OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet. With *or* without a coversheet attached to the request, you will still need to review the request. ***Helpful review information:***

A. If you search for duplicates and find the case recently closed as FC or NR, refer to the guidelines in 6.3.6.4 or 6.3.6.5, depending on whether expedited processing was granted or denied. In any case, you must read the entire request carefully to ensure it is or isn't a new FOIA request. Sometimes the request will be similar to the closed case but now the Requestor is seeking additional documents or is responding to the closed case.
B. If you find an open pending FOIA request or a case closed as PD or G1 within 6 months, we consider it a duplicate request with a request for expedited treatment. Refer to section 6.4.

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C. If you find a recently closed case with the final action codes of RD, RF, or DP, it may also be a duplicate request with a request for expedited treatment. Refer to section 6.4 if you determine it is, but otherwise refer to section 6.3.6.2.3.

6.3.6.2 Resubmitted for expedited processing: If the requested file has already been scanned because of a *currently open* FOIA request that has now been resubmitted for expedited processing, do not create a new case. You should send the request to Research where they will attach the new request to the existing case as a CSD. ***Helpful steps to reviewing duplicate or currently open expedited treatment requests are:***

A. Search and review any existing duplicate cases.
B. Review the new request documents to ensure it is a duplicate case with Expedited Treatment Requested.
C. Attach the new request as a duplicate (DP) to the current open pending FOIA request case.
D. Enter a Discussion on the original FOIA request case, "To Research, Expedited Treatment Requested, and briefly describe your findings.
E. Send the new request to the Research queue. The Research point of contact (POC) will attach the new request to the existing/pending case as a CSD and complete the expedited approval or denial actions, if needed.

6.3.6.2.1 If expedited processing has been granted based on new information and a duplicate (DP) case exists, follow the guidance listed above in sections 6.3.6.2, (A-E).

6.3.6.2.2 If expedited treatment was already denied or approved in the ***currently open prior case,*** and the supervisor's decision is the ***same***, if you have not already created the case, you may send to Research, where they will attach your request to the original case as a CSD. Follow the guidance listed above in section 6.3.6.2, (A-E), or if the case is a duplicate case (all new expedited request documents that are the exact same FOIA request documents previously submitted at the same time, in a currently open or prior case), follow the guidance in section 6.4, Searching for Duplicate Cases.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case. If in doubt, consult your supervisor. Please refer to the section 6.4 on DP (duplicate) Cases, and the previous guidance listed above on reviewing expedited treatment requests. Create a Discussion with your findings on the original FOIA case prior to sending to Research or closing as a DP case.

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6.3.6.3 Sometimes the OA room will miss an expedited request or there is no coversheet attached. As you are reading the request, you will notice the Requestor has asked for expedited treatment within the body of their letter, and it would not have been obvious to anybody who had not thoroughly read the letter. If this happens, do not select anything (requested, approved or denied) in the drop-down box at this time and do not create the Expedited Denial Letter, the Acknowledgement letter or the Staffing letter.

A supervisor must review newly created FOIA Request cases with Expedited Treatment requests in the ***Unit Chief (UC) Queue***, before selecting expedited processing or addressing the decisions. If the review process was missed and/or the coversheet is missing you must then do the following:

A. Create the case
B. Enter a Discussion prior to sending to the UC (Unit Chief Queue) "Expedited Treatment Requested per page(s) __, denied/approved"
C. Send the request to UC (Unit Chief Queue)
D. E-mail your supervisor with NRC FOIA Request number and the details.
E. Send the request to UC (Unit Chief Queue).

When the case is returned to you from the Unit Chief in the Case Create queue, review the decision, refer to 6.3.6.4 or 6.3.6.5 whichever applies.

6.3.6.4 If the supervisor **granted expedited processing**, you will not create an Expedited Denial Letter, of course. You must select "***Granted"*** in the Expedited drop-down box. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted.

A. Select "Granted" in the Expedited drop-down box.
B. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted. After completing the acknowledgement letter you will then need to create a "Blank Letter" and add the following: "This letter serves to notify you that your case has been approved for expedited processing." Make sure you review both letters for accuracy and complete the selected processes by saving each letter and by checking the letters in.
C. Create a Discussion "Expedited Approved by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request as approved per the Unit Chief/Supervisor's guidance.

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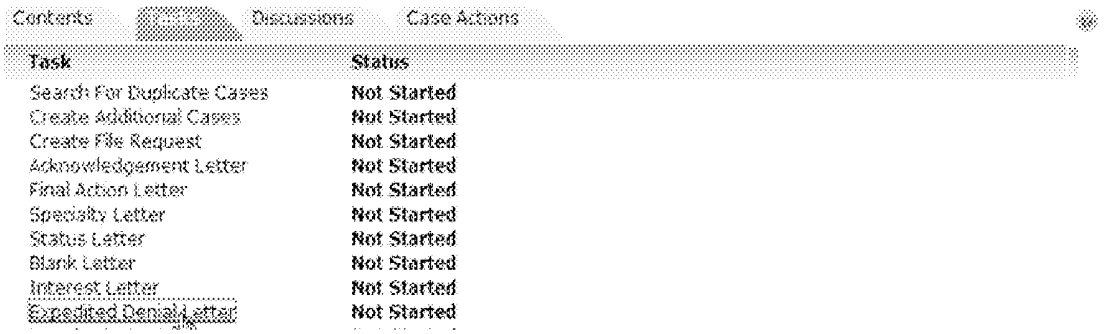
USCIS denies most requests for expedited treatment because the Requestor fails to establish either of the necessary criteria.

6.3.6.5 If the supervisor **denied expedited processing**, you must select "***Denied"*** in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If the supervisor denied expedited processing, we must advise the Requestor of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor also has the right to appeal the decision to the USCIS FOIA Appeals Office.

A. Select expedited denied by clicking on the Expedited drop down box.
B. Advise the Requestor in this denial letter of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor also has the right to appeal the decision to the USCIS FOIA Appeals Office. Select the Expedited Denial Letter. A Word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.
C. Enter a final Discussion note "Expedited Denied by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request, denied per the Unit Chief/Supervisor's guidance.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the Requestor has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in section 6.3.1.3.

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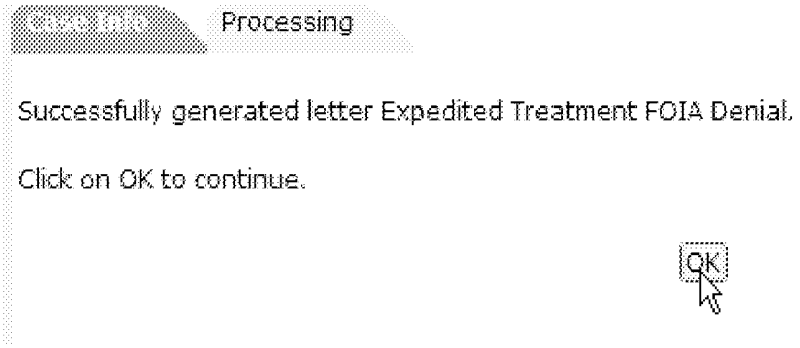
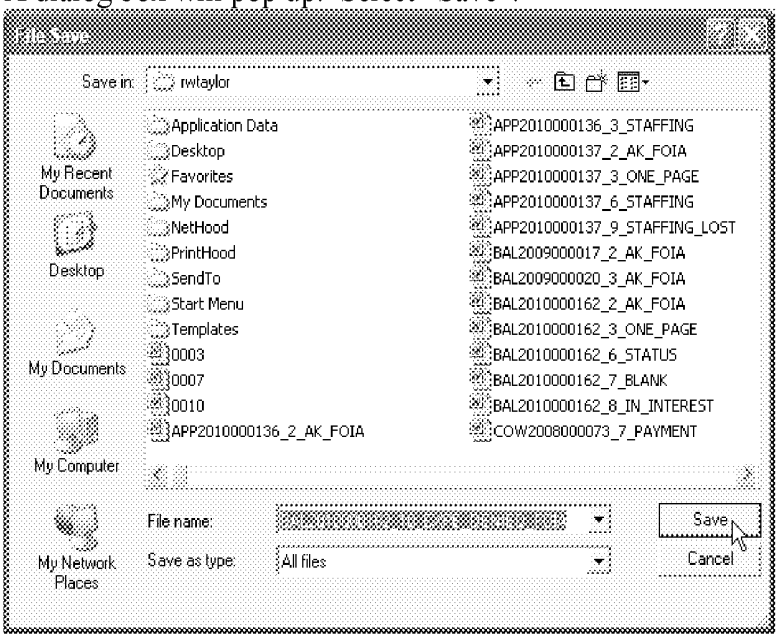


A dialog box will pop up. Select "Save":



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it in.

If you have made expedited granted selection, your acknowledgement letter will not address expedited treatment granted. Refer to section 6.3.6.4, for granted letter guidance.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that you must create additional cases, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The Supervisor will make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests. Send the case to the Unit Chief Queue (UC) if an approval or denial is needed. Refer to section 6.6 of this guide when creating additional cases.

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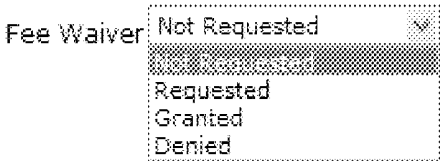
6.3.6.8 If there is an Expedited Treatment Requested cover sheet, but for any reason, the disposition of the case is to Up-front Approver, then please change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

6.3.7 Is there a request for fee waiver?



The Requestor may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A Requestor must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the Requestor. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

If there is no coversheet, how will you recognize a fee waiver request? Please follow these guidelines:

1. If the Requestor mentions fee waiver at all, treat it as a request for fee waiver.
2. If the Requestor says anything about not being required to pay, treat it as a request for fee waiver.
3. If the form is titled "Fee Waiver Request," treat it as a request for fee waiver.
4. You may call the Requestor to verify that it is a fee waiver request. If you call, please insert a Discussion. If you tried to call but were not able to speak with the Requestor, please insert a Discussion saying so.
5. If the Requestor provides some statement of financial insolvency but makes no mention of fee waiver request or does not mention inability to pay, then it does not constitute a fee waiver request, and we ignore it.
6. Contact a supervisor if you are unsure. If you have specific guidance from a supervisor, please insert a Discussion saying so.

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6.3.7.1 When a Requestor has asked for a fee waiver, there should be a ***cover sheet*** advising you of approval or denial. The supervisor may determine to deny based upon the two criteria listed above. If the supervisor marked denied, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

Fee Waiver Denied with Coversheet

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

6.3.7.2 When you are finished creating a case with a fee waiver denial, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the Requestor meets the requirements for fee waiver (and there was ***no cover sheet***) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

Fee Waiver Request Without Coversheet

A. Do not select anything in the Fee Waiver Request drop down box
B. Create the case, but do not staff or create acknowledgement letter
C. Add a Discussion note and send to Unit Chief
D. Send an e-mail to your supervisor
E. After a decision is made, the case will be returned to your Case Create queue
F. Then use 6.3.7.4 for denied or 6.3.7.5 for granted, whichever applies.

6.3.7.4 Fee Waiver Denied

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

6.3.7.5 Fee Waiver Granted

A. Select "Granted" in the Fee Waiver drop-down box. After the case has been created as normal,

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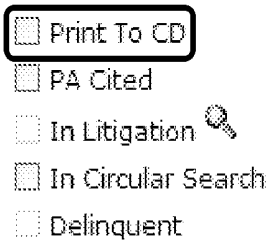
B. Create a Blank Letter with the following sentence included, "This is to inform you that your request for a fee waiver has been granted."

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to ***close the case RD, RF, DP or ER***, then change the Fee Waiver drop-down box to "Not Requested" and click Save before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested." If you are closing the case Up-front, do not generate a letter regarding whether the Fee Waiver was denied or granted. If you are not sure, please consult your supervisor.

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all Requestors (with two exceptions). When we send out the acknowledgement letter to the Requestor, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format.

RULES FOR UNCHECKING "PRINT TO CD"

6.3.8.1 Unchecking the Print to CD Box
Uncheck the "Print to CD box" on any case where the mailing address of Requestor is to a correctional facility or unless the Requestor specified paper in the initial request letter.

6.3.8.2 If the mailing address is foreign, it does not matter if they ask for paper. We are sending it on CD. If you are unsure, please consult your supervisor.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the Requestor we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the sentence that begins with "This office will be providing your records on a Compact Disc (CD)" and replacing it with a paragraph that reads "This office will be providing your records on paper."

6.3.8.4 If the Requestor is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

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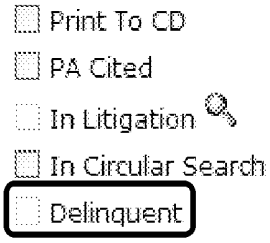
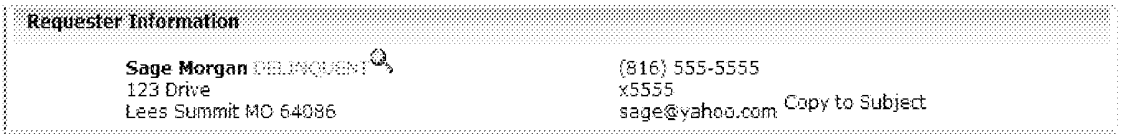
6.3.8.5 If a Requestor in the United States specifically asks for his or her records on paper, uncheck "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the Requestor we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)" and replace it with a paragraph that reads "This office will be providing your records on paper."

6.3.9 Is this a delinquent Requestor?

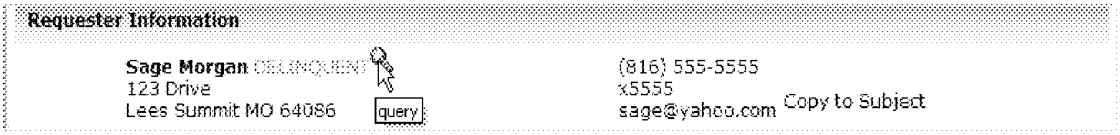


The Delinquent Requestor search helps FIPS users identify Requestors who have unpaid bills in the system. Requestors are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the Requestor, FIPS will automatically conduct a search for delinquent fees owed by that Requestor, using the last name of the Requestor. If the Requestor is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same Requestor, click the **Query** icon next to the delinquent notice.



The query results appear in a separate window.

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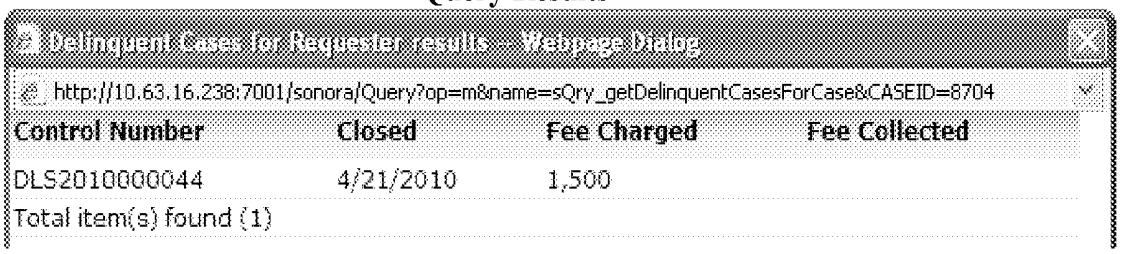
Query Results



If a Requestor/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/Requestor submits a new FOIA request, the Delinquent Requestor notification is going to pop up. Your Requestor may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent Requestors.

DELINQUENT REQUESTOR RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent Requestor and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent Requestor from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the Requestor of the case you are creating is the same Requestor that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent Requestor matches your Requestor, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your Requestor and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the Requestor is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating additional cases, you should do so before you prepare the Acknowledgment Letter and File Request(s) for the original case. For instructions, please refer to section 6.6 of this guide.

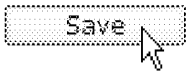
NOTE: A FOIA/PA Assistant or Government Information Specialist working in Records Locator queue may need to cancel pending Requestor documentation for cases pending payment of fees due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant or Government Information Specialist working in Records Locator queue does cancel pending Requestor documentation, he or she should generate a new acknowledgement letter and staff the case as usual.

If the Requestor has more than one delinquent case, you will have to add up the total and modify the delinquent Requestor letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter, save the letter and check it in

We will take no further action until the delinquency is resolved. Please pend.

Before you move to another part of the case create process, click:



6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed. To be considered a

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duplicate, a request must be from the same Requestor, include the same request documents dated on or about the same date and is seeking the same information about the same subject. If there is a request with an ICE or CBP referral letter, the letter should have been attached to the ***open pending original case*** as a CSD. Please do not close this case ER. Send the case to research.

Sometimes a Requestor will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, send these requests to NRC. These are true duplicate cases when an office has ***already processed*** this request with a final action code of either ***PD or G1.*** If the original case is ready to be processed, send to research to attach as a CSD. If we closed a previous case FC and the Requestor is now providing additional information, it is not a duplicate.

This does not include instances in which the Requestor has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Set this case as a DP (duplicate) case to the open pending original case and modify (insert the "Upon review" statement…) your Final Action Letter.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the Requestor did not provide an alien number, you may search by the subject's last name and first name, or even by the Requestor's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the Requestor's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%quez" and Subject First Name "Jaime." We may have created a case for him before using either the name Vasquez or Vazquez, and we may have included his second last name, Hernandez. If you search "Va%que%" it will find all three of those variations, but be careful – if the subject has a very common name, you might get hundreds of matches. If the subject has multiple A-Numbers, you must search for each one. Sometimes they will provide an A-Number that has consolidated into another file. You may stop searching if you determine that those A-Numbers have been consolidated. Staff only for the survivor file – never a consolidated file.

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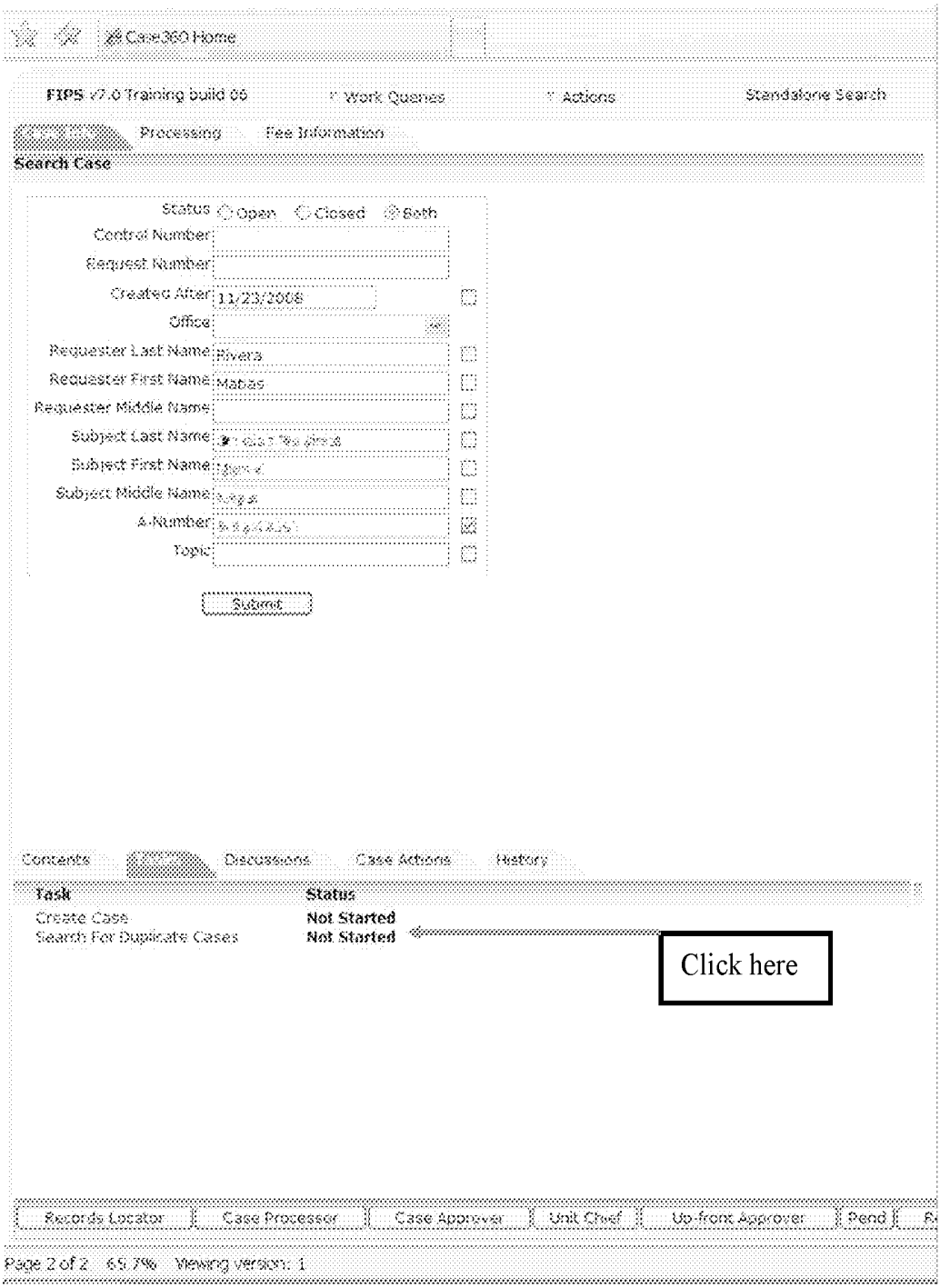

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requestor Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate. To be a

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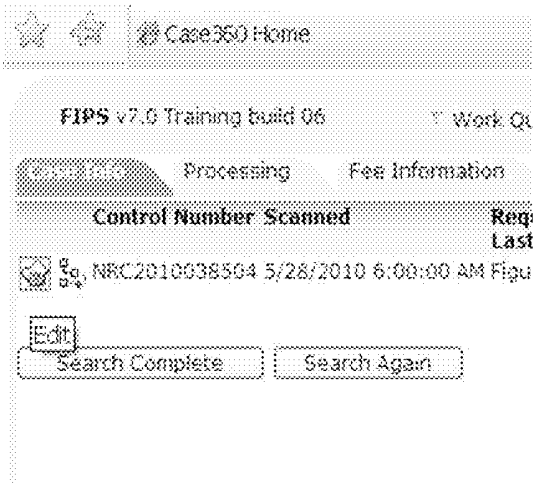
"true duplicate," it needs to be the same Requestor, seeking the same information about the same subject. Also, duplicate would not apply if the original case closed FC unless we are still missing the same information that caused the case to close.



By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

A. If there has been a case that was closed G1 or PD within six months from same Requestor – close the case with final action code DP. Modify the final action letter as follows:

   Upon review of the FOIA/PA Tracking System, we discovered that your request had been duplicated within the system. This request has been closed out. The original request NRC201xxxxxxx, was closed on (insert case close date) and a copy of the requested records were mailed to you on that date. Please contact us if you have not received a copy of the records.

B. This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a "true duplicate" of another case and closed G1 or PD within six months from same Requestor, you will select "Set this case as duplicate to original case" as follows:

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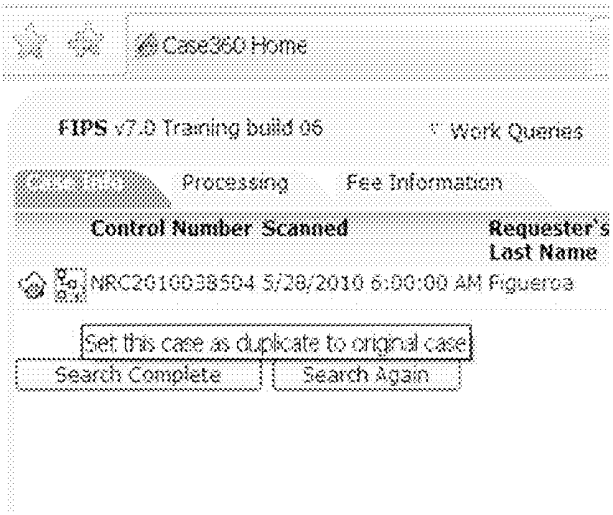

If you determine that it is not a *true duplicate*, please insert a new Discussion entitled "Similar Case" with the case number of the other case in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

A. The Requestor is the same, and
B. The information being requested is the same in both requests,

Close this case as a duplicate. Attach the case as a duplicate case by selecting "Set this case as duplicate to original case", next select "Create Case" and close the case with a final action code of DP and modify (insert the "Upon review" statement…) your Final Action Letter. Next, enter a case Discussion and send the case to the Up-front Approver.

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

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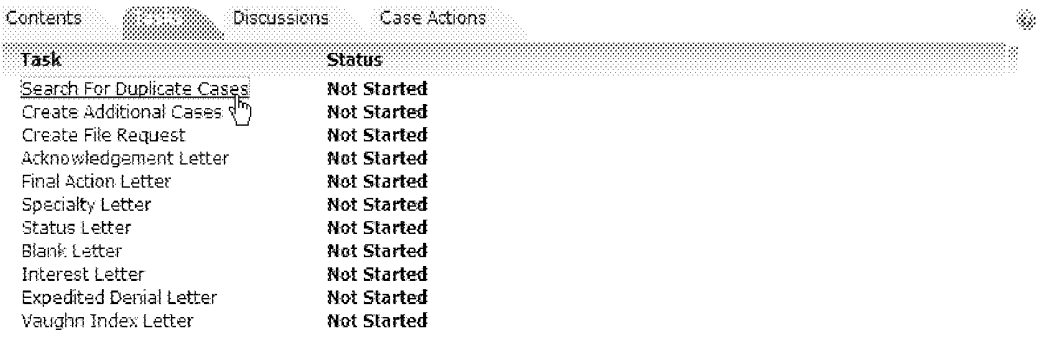
If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

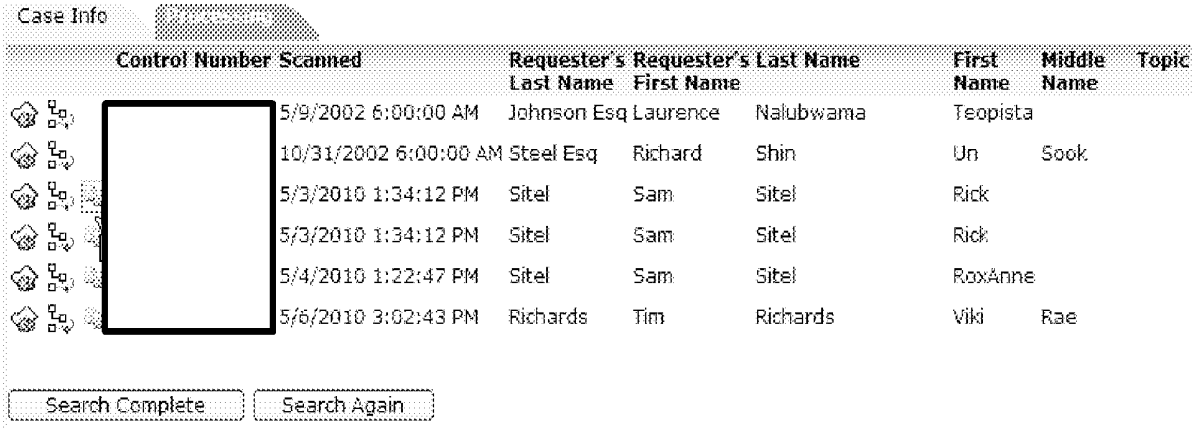
To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.



Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When you have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:

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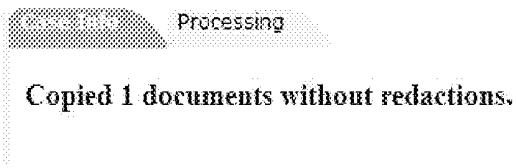
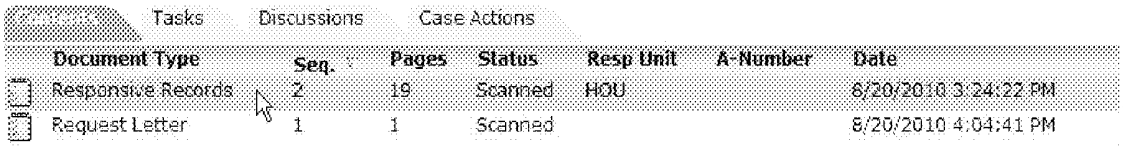


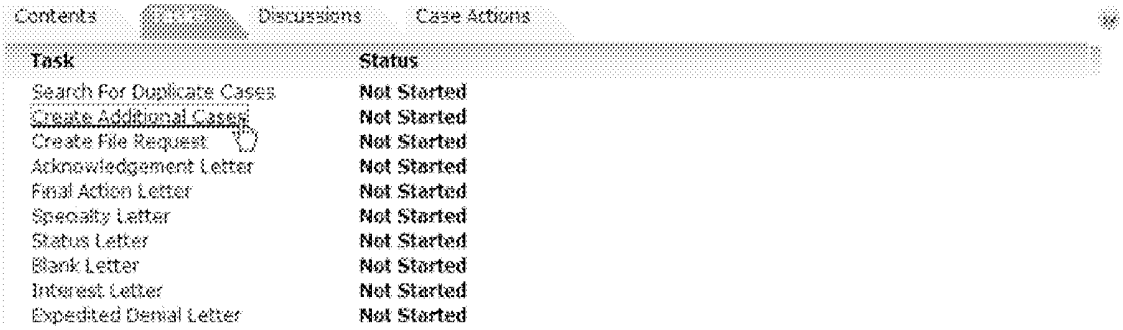
The responsive records now appear in the Contents List of the new case:



6.6 CREATING ADDITIONAL CASES

At times, you may have to create additional cases. For instance, a Requestor might send in one G-639 and ask for "all petitions filed for my three children, whose birth certificates are attached." Those petitions may be consolidated into the children's A-files, or they may be unconsolidated. When the Requestor is seeking information relating to more than one person on one FOIA request, you must create an additional case for each individual. This is true even if you are going to close all of the cases FC.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases.



FIPS will ask how many cases need to create and will then create them.

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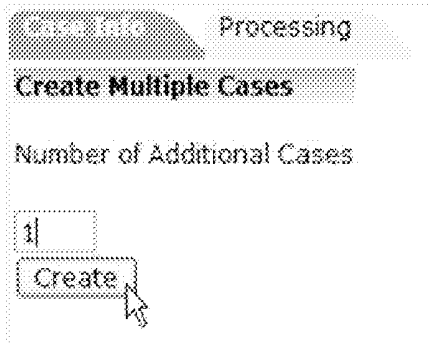

The first case created from the request becomes the "Parent case;" all subsequent cases created (one case for each subject) become the "Child cases." FIPS assigns consecutive case control numbers to the Parent case and all related Child cases, and the cases are given higher priority in the queue so that the Case Creator can process all related cases together. Requestor data from the Parent case is automatically added to all related child cases, as are the initial request letter and any related case supporting documents.
If you forget to create additional cases before you create acknowledgment letters, those documents will carry over into the Child cases. All is not lost. You may simply change the acknowledgment letters and save them in the Child cases. Unfortunately, you will have to cancel the staffings. Go to the Contents tab, click on "Staffing Response" or "Responsive Records," click on "Manage Document," maximize that screen, click on "Cancel Request," and then go back to the Tasks tab and create a new file request based on the correct set of responsive records.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases. FIPS will ask how many cases need to create and will then create them semi-sequentially. That is to say, FIPS will number the cases in sequence, but if another person creates a case while the process is ongoing, that case will take the next available number, so your additional cases might not have exactly sequential numbers. FIPS has the ability to create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the Requestor is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine certification of agreement and PII.

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7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS (G-639, dated 3-31-2015)

Note: On this version of the Form G-639, Certification of Agreement (consent) and Verification of Identity are combined. For Verification of Identity you still need a name, current address, date of birth, place of birth, and a signature.

However, you only need **one** signature, either notarized or signed under Penalty of Perjury. If the any of the above items are missing, close the case as a failure to comply.

Do not close any cases as Total Denials based solely on the Form G-639 (3-31-15).

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Part 3. Description of Records Requested (continued)

Other Names Used by the Subject of Record (include nicknames, aliases, and maiden name, if applicable)

3.a. Family Name (Last Name) Nana

3.b. Given Name (First Name)

3.c. Middle Name

Full Name of the Subject of Record at Time of Entry into the United States

4.a. Family Name (Last Name)

4.b. Given Name (First Name)

4.c. Middle Name

Other Information About the Subject of Record

5. Form I-94 Number Arrival-Departure Record

▶

6. Alien Registration Number (A-Number) (if any)

▶ A-

7. Application, Petition, or Request Receipt Number

▶

Information About Family Members that May Appear on Requested Records

For example, provide the requested information about a spouse or children. If you need extra space to complete this section, use the space provided in **Part 5. Additional Information.**

Family Member 1

8.a. Family Name (Last Name)

8.b. Given Name (First Name)

8.c. Middle Name

9. Relationship

Family Member 2

10.a. Family Name (Last Name)

10.b. Given Name (First Name)

10.c. Middle Name

11. Relationship

Parents' Names for the Subject of Record

Father

12.a. Family Name (Last Name)

12.b. Given Name (First Name)

12.c. Middle Name

Mother

13.a. Family Name (Last Name)

13.b. Given Name (First Name)

13.c. Middle Name

13.d. Maiden Name (if applicable)

Part 4. Verification of Identity and Subject of Record Consent

NOTE: The information requested in **Part 4.** is **REQUIRED.** Complete all applicable **Item Numbers.** In addition, the Subject of Record **MUST** sign **Part 4.** of this request.

Full Name of the Subject of Record

1.a. Family Name (Last Name) Orbit

1.b. Given Name (First Name) Gum

1.c. Middle Name

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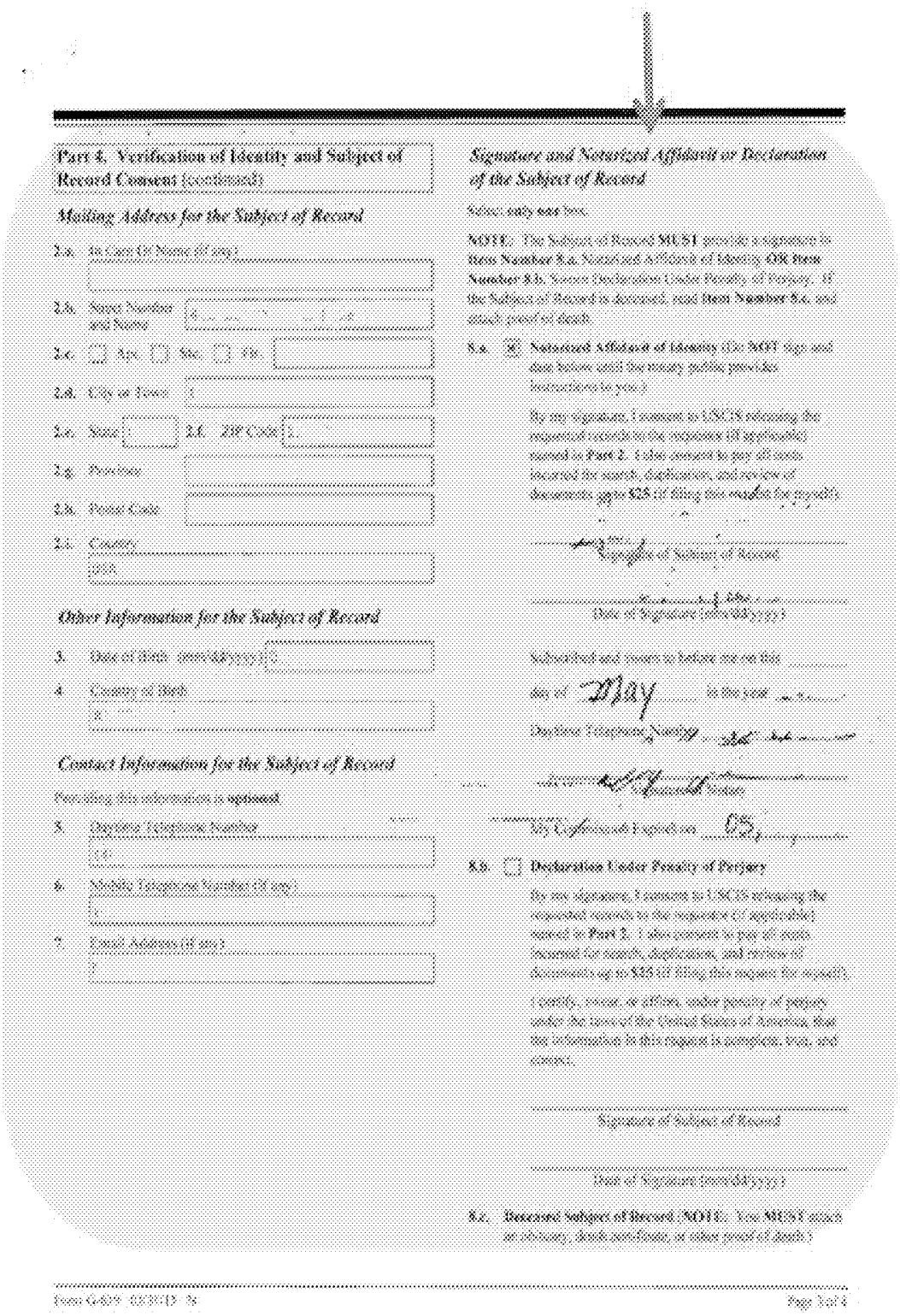

Part 4. Verification of Identity and Subject of Record Consent (continued)

Mailing Address for the Subject of Record

2.a. In Care Of Name (if any)

2.b. Street Number and Name

2.c. Apt. Ste. Flr.

2.d. City or Town

2.e. State 2.f. ZIP Code

2.g. Province

2.h. Postal Code

2.i. Country

Other Information for the Subject of Record

3. Date of Birth (mm/dd/yyyy)

4. Country of Birth

Contact Information for the Subject of Record

Providing this information is optional.

5. Daytime Telephone Number

6. Mobile Telephone Number (if any)

7. Email Address (if any)

Signature and Notarized Affidavit or Declaration of the Subject of Record

Select only one box.

NOTE: The Subject of Record MUST provide a signature in Item Number 8.a. Notarized Affidavit of Identity OR Item Number 8.b. Sworn Declaration Under Penalty of Perjury. If the Subject of Record is deceased, read Item Number 8.c. and attach proof of death.

8.a. Notarized Affidavit of Identity (Do NOT sign until you have met the notary public provider instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in Part 2. I also consent to pay all costs incurred for search, duplication, and review of documents up to $25 (if filing this request by paper).

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this

day of May in the year

Daytime Telephone Number

Signature

My Commission Expires on 05/

8.b. Declaration Under Penalty of Perjury

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in Part 2. I also consent to pay all costs incurred for search, duplication, and review of documents up to $25 (if filing this request by paper).

I certify, verify, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

8.c. Deceased Subject of Record NOTE: You MUST attach an obituary, death certificate, or other proof of death.

Form G-639 (03/30/12) Y

Page 3 of 4

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A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

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In any third party request for a Privacy Act Record, we need either:

- Verification of Identity to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

Certification of agreement, for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the *competent* individual to whom the record pertains. The case creator must review the request and supporting documents to determine if proper certification of agreement is present.

> 5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.
>
> 6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Any petition filed for another person creates special requirements for certification of agreement. Sometimes the VOI and certification of agreement the Requestor provided is sufficient, but sometimes not. If the Requestor is asking for a petition, please refer to section 12.16 of this guide.

A person does not need to sign certification of agreement to request his or her own file.

Certification of agreement could be:

A. Block 3 on Form G-639, or

B. A properly executed Form G-28, or

C. A separate declaration by the subject, such as:

> Pursuant to the Privacy Act of 1974 and DHS policy, I hereby agree to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

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Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised (03/04/2015). As of **May 15, 2015**, USCIS no longer accepts prior versions of the G-28.

As a FOIA/PA Assistant, this may affect your decision on certification of agreement in the following instances:

• If certification of agreement is provided on no other place except Form G-28,
• Then the attorney must use a *properly executed* new Form G-28 (revision of 03/04/2015).
• If the Form G-28 is an older version than the revision of 03/04/2015, then you will close the case FC, not TD. Please refer to section 16b of this guide.
• If the new Form G-28 (revision of 03/04/2015) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

The G-28 might not matter. If there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, the version of Form G-28 or if it was properly executed does not matter.

A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor. We refer to that as "certification of agreement."
A subject of record is not required to provide a certification of agreement signed by himself or herself giving us permission to release information to himself or herself.

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Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity or Certification of Agreement. Non-Privacy Act Record requests frequently fall under SIG. Such a request may arrive by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

In any third party request for a Privacy Act Record, we need either:

- A certification of agreement to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

If none of those elements are present, VOI becomes irrelevant. We will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

Who is the Requestor?	Certification	VOI	Close?
Self	Not needed	If adequate	No close - staff
Self	Not needed	If inadequate	FC – Sec. 16b
3rd Party (incl Atty)	If adequate	If adequate	No close - staff
3rd Party (incl Atty)	If inadequate then	Does not matter	TD – Sec. 16a
3rd Party (incl Atty)	If adequate	If inadequate	FC – Sec 16b
3rd Party (incl Atty)	Other proof (death cert, proof of guardianship)	Must establish identity of subject of record	No close - staff

7.1 Certification of agreement of parents or guardians

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If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming the Requestor as a legal parent. If guardians file on behalf of their wards, they must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent if the Requestor is the parent or guardian, however the parent or guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6C.F.R. § 5.21(e)].

Please note: if the request references a baby from Vietnam, Cambodia, Guatemala, Nepal or Ethiopia, please refer to section 8.23 of this guide. If the Requestor is a prospective adoptive parent, we will provide any documents concerning them. If unsure, please consult a supervisor.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent as long as the Requestor has proven parentage or guardianship [6 C.F.R. § 5.21(e)].

If the Requestor asserts parentage or guardianship but does not provide proof, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

Minors may request their own files; they do not have to have the certification of agreement from their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

If a requestor is asking for a Privacy Act record, he or she must provide verification of identity. A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 6 CFR § 5.21(d), we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the requestor does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

If we have verification of identity, but are unable to confirm a match because of multiple matches or a possible match, we may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional

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information, the information they send back to us does ***not*** have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The requestor may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639.

6 CFR § 5.21(d) ***Verification of Identity***, says the requestor must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A requestor who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the subject has not signed under Penalty of Perjury or Verification of Identity. Close as a failure to comply.
C. If the requestor is asking for records concerning a *living* individual and it has not been signed under penalty of perjury nor notarized, close as a failure to comply.

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8.a. ☐ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this _____

day of _____ in the year _____.

Daytime Telephone Number _____

_____

Signature of Notary

My Commission Expires on _____

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8.b. ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Closing as Failure to Comply (FC) for inadequate Verification of Identity: Please refer to section 16 of this guide.

More information about VOI: The signature of the subject of record must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

A. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
B. If a requestor has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.
C. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
D. DOJ-361, Certificate of Identity: we may not suggest or require that a requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
E. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID can be used for verification of identity.

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"Verification of Identity" for purposes of FOIA/PA ***does not include*** a Form ***G-28*** with a ***statement made under penalty of perjury by the requesting attorney or representative*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United State s or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).(Signature)".

(2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).(Signature)".

7.2 Verification of Identity (VOI)

If a Requestor is asking for a Privacy Act record, he or she must provide verification of identity. Do not confuse verification of identity with certification of agreement.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 6 CFR § 5.21(d), we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the Requestor does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

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If we have certification of agreement and verification of identity, but are unable to confirm a match because of multiple matches or a possible match, We may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional information, the information they send back to us does *not* have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The Requestor may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the Requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639.

6 CFR § 5.21(d) ***Verification of Identity***, says the Requestor must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the Requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A Requestor who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the *subject has signed only the first page* and the second page does not contain the signature of the subject but has been notarized. The Verification of Identity section was not signed. Close as a failure to comply.
C. If the Requestor is asking for records concerning a *living* individual and if there is only one signature and it is not signed under penalty of perjury nor notarized, close as a failure to comply.

Closing as Failure to Comply (FC) for inadequate Verification of Identity: Please refer to section 16 of this guide.

More information about VOI: The subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

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F. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
G. If a Requestor has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.
H. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
I. DOJ-361, Certificate of Identity: we may not suggest or require that a Requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
J. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID can be used for verification of identity.

"Verification of Identity" for purposes of FOIA/PA ***<u>does not include</u>*** a Form ***G-28*** with a ***<u>statement made</u> <u>under penalty of perjury by the</u> <u>requesting attorney or representative</u>*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:
>
> (1) If executed outside the United States:
>
> > "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> > Executed on (date).
> > (SIGNATURE)".
>
> (2) If executed within the United States, its territories, possessions, or commonwealths:
>
> > "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).

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(SIGNATURE)".

7.3 Reasonable Description of Records Being Sought:

7.3.1 Finding a Single Match

If the Requestor provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request (*staff for*) the Alien file if there is only one match and there is no other indicator that it may not be the correct subject of record. If the Requestor provided the required information and we do not find a match or a possible match, and the subject of record would have entered the United States after 1975, we do not send out for additional information. You will prepare a No Record (NR) final action letter and close the case (see section 12.18.6, No Record).

If the Requestor believes we have records, he or she may provide additional information in order to open a new request and have us conduct a second search. Always create a Discussion addressed to the case processor (CP), justifying why you sent for additional information and whenever you staff for a possible match based on best available information.

7.3.2 Finding Multiple Matches

Sometimes a requestor provides complete Verification of Identity, but you still cannot locate the Subject of Record. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need additional beneficiary and/or petitioner PII to find a petition. In situations like this, we do not have a reasonable description of the records the requestor wants. We will have to ask for additional requestor documentation, specifically:

A. Alien Number (if known)
B. Application/Petition Receipt Number (if known).

Additionally, we may ask for items of information such as names of the mother and father. If you have found more than one possible match, and those matches have parents' names in CIS, we can narrow our search or confirm we have the right A-Number. The requestor is not required by law or regulation to provide that information, but if the requestor does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. Check all relevant boxes on the requestor documentation worksheet, save the letter, and check it in. Do not staff for a file if you are sending for requestor documentation. In the "Contents" tab, you will see a Pending slot for Requestor Documentation. Send the case to Pend. After we receive a response from the requestor, a FOIA/PA Assistant or Government Information Specialist working in Records

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Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requestor entered "unknown," or "none" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter. For example, if the requestor entered "unknown," "none" or "N/A" under Alien Number, it does not make sense to ask for their A-Number. You may have to use discretion. If you found parents' names in CIS and it would help to match the person to the A-Number, you may ask them for parents' names, even though the requestor may have entered "unknown," "none" or "N/A" under Father's Name and Mother's Name. If in doubt, please consult a supervisor.

7.3.3 Researching Considerations

7.3.3.1 If you do not find a confirmed match, refer to Section 8, CASE CREATE SITUATIONS/OTHER PROBLEMS.
7.3.3.2 Verify the Requestor is not asking for specific documents we would normally refer (RF) or Redirect (RD) and is not a part of the "Bracero Program" (section 8.6), or entered into the United States prior to 1975 (section 12.7.5), Genealogy (section 6.3.4.6), etc.
7.3.3.3 After you make sure none of the above situations apply, you will then need to close the case as a No Record, (NR) final action code. Please refer to section 12.18.6, No Record.
7.3.3.4 Always create a Discussion to document your findings and the reason you decided to request the additional information. If you do not enter a Discussion, the Records Locator (RL) and Case Processor (CP) will not know what you found in your searches.

If you send an acknowledgment letter requesting additional information, please do not request a file. This is to avoid having to pay for the file scan if the Requestor does not respond with additional information. Also, if we have to ask for additional information, we probably do not have enough information to staff for a file.

7.3.4 Requesting Additional Information with the Acknowledgement Letter

7.3.4.1 Go to the "Tasks" tab and select "Acknowledgement Letter"
7.3.4.2 After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.
7.3.4.3 We then click on "Generate Letter." Our only option at that point is to click OK
7.3.4.4 As soon as you do, a File Save pop-up window will appear. Click "Save."
7.3.4.5 The acknowledgment letter will pop up

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7.3.4.6 The acknowledgement letter has a third page. Do not change the wording on the acknowledgement page without specific supervisory instruction to do so unless it is a Specific Document request. For Specific Document requests, we modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need. You save the document, exit Word, and check the document in, click "Open" and you will notice that there is now a slot for "Requestor Documentation" and the Responsive Unit is "Requestor."

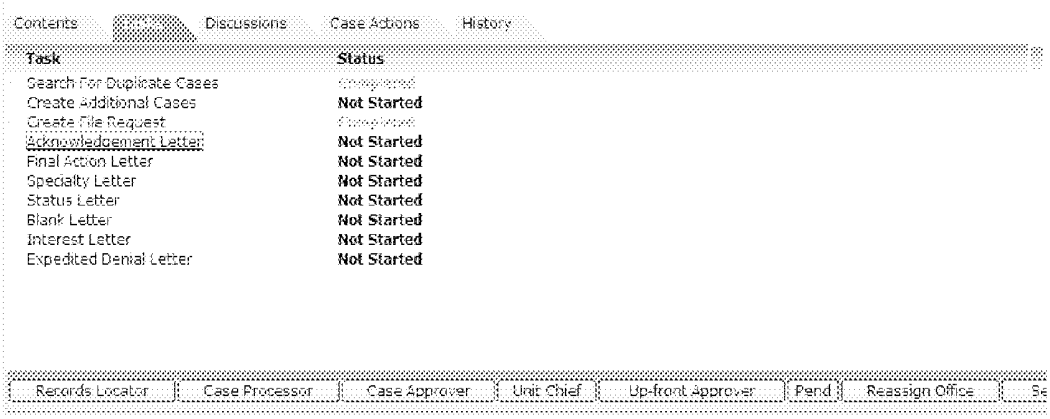
7.3.4.7 Create a Discussion explaining why you needed to request additional information

7.3.4.8 Pend when you are finished.

7.3.4.9 When the Requestor provides the additional information, A FOIA/PA Assistant or Government Information Specialist working in Records Locator queue will request the records.

Screen shots including step by step guidance follow.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

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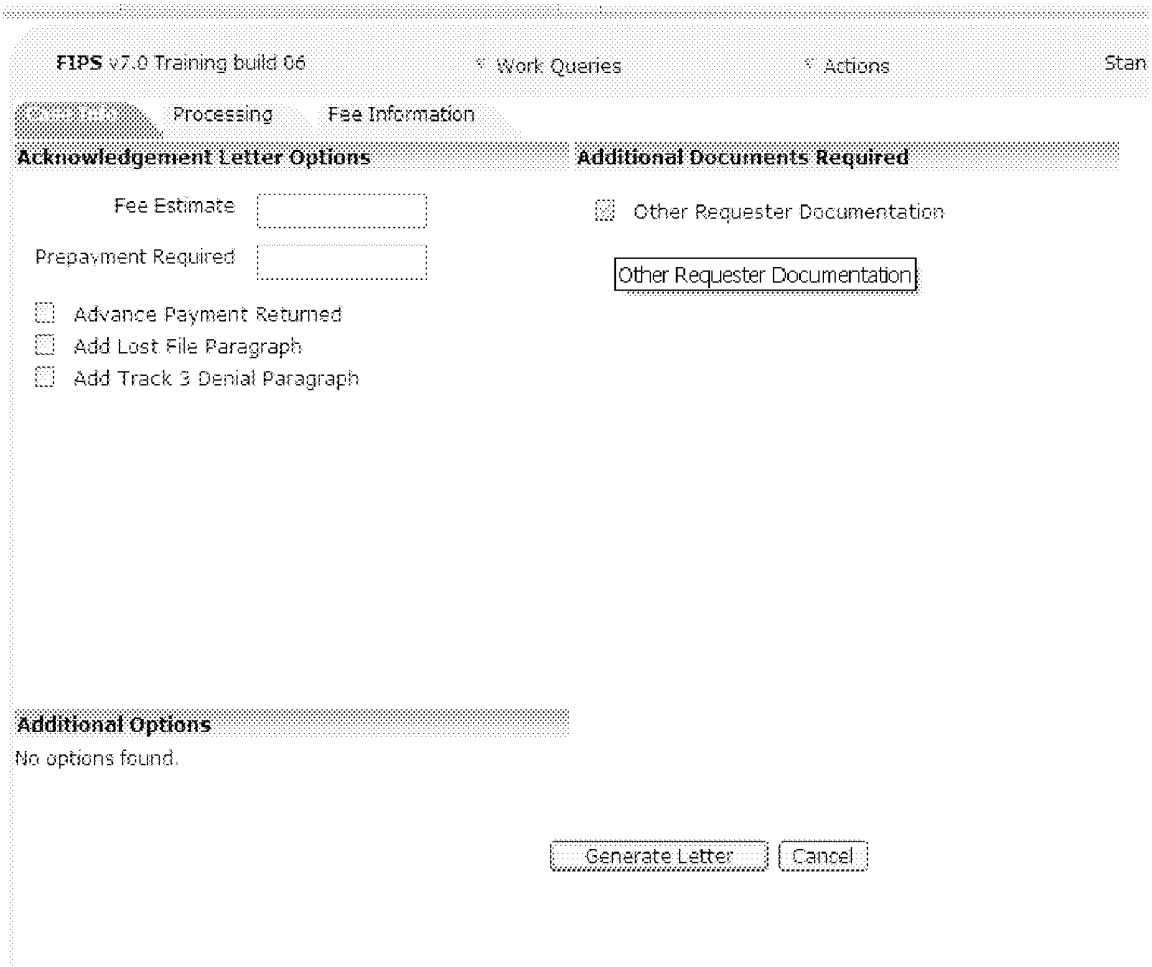
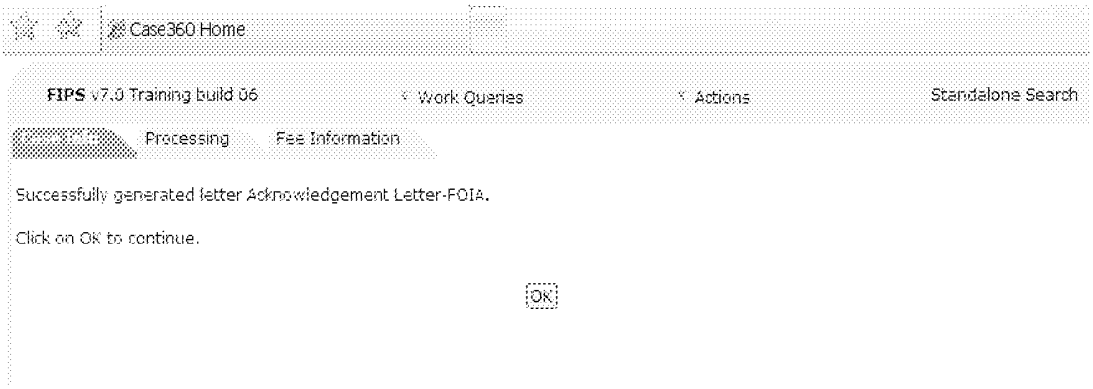


We then click on "Generate Letter." Our only option at that point is to click OK.



As soon as you do, a File Save pop-up window will appear. Click "Save."

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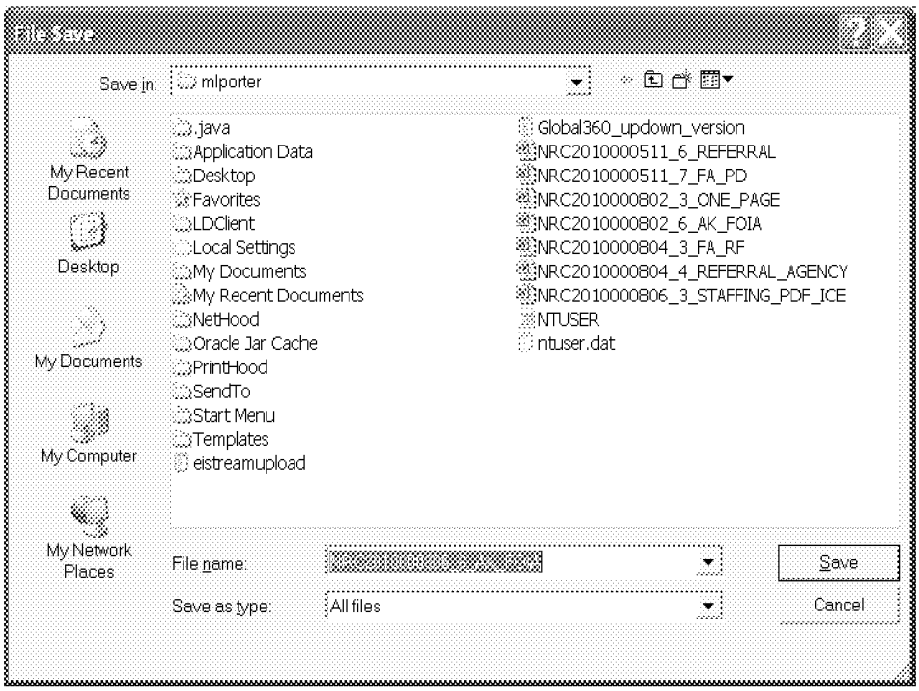

The acknowledgment letter will pop up.

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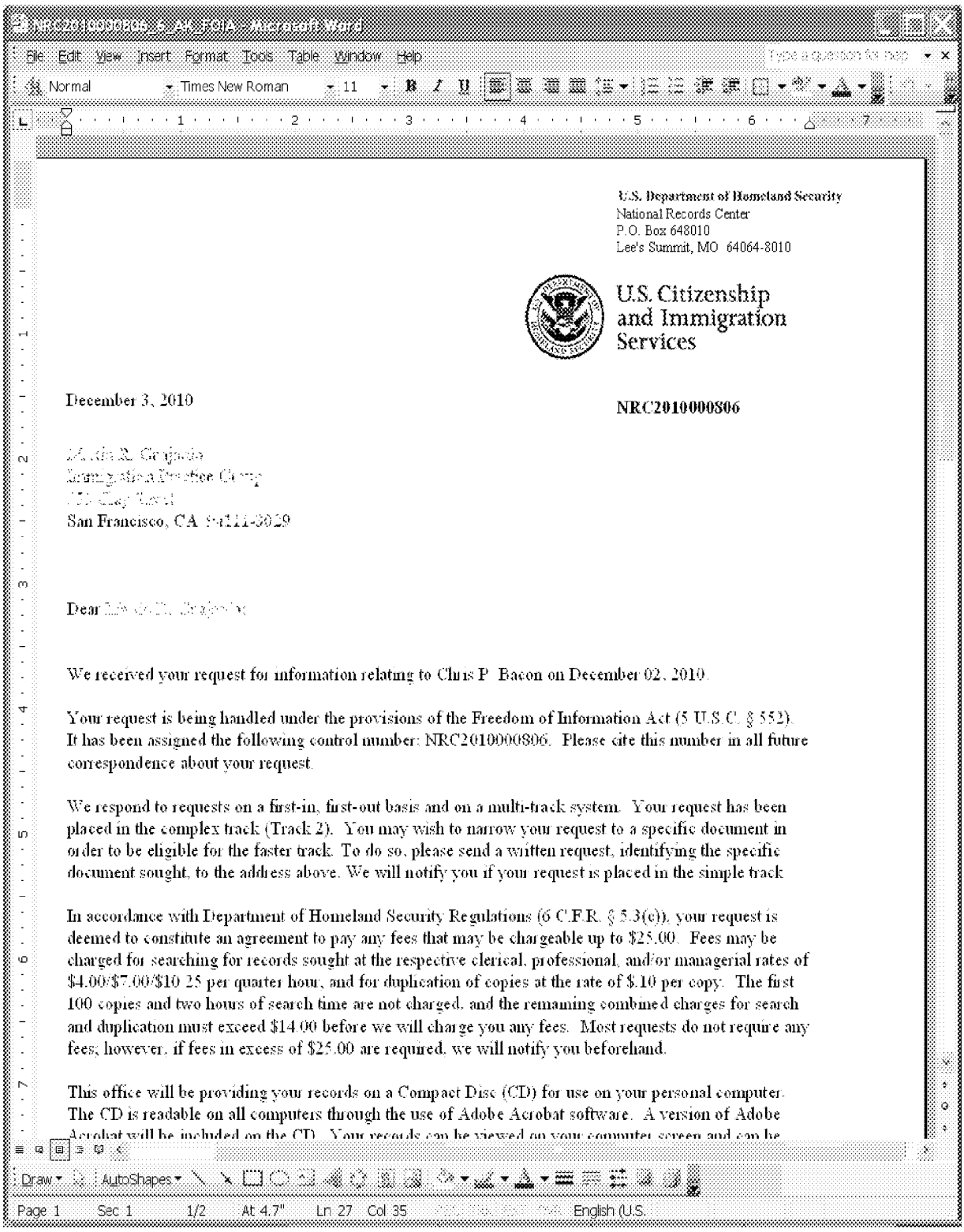

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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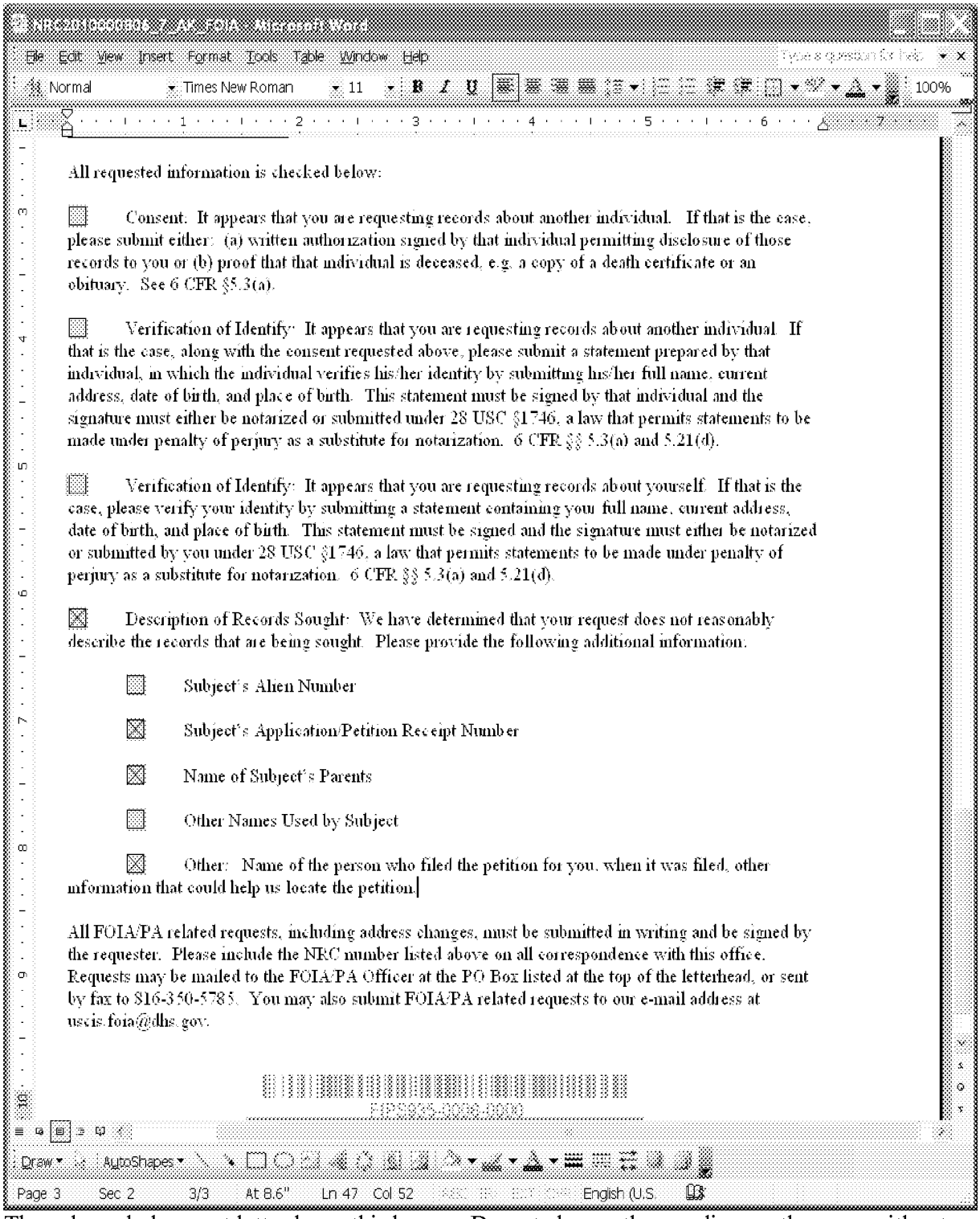

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. In Track 1 cases we must modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need

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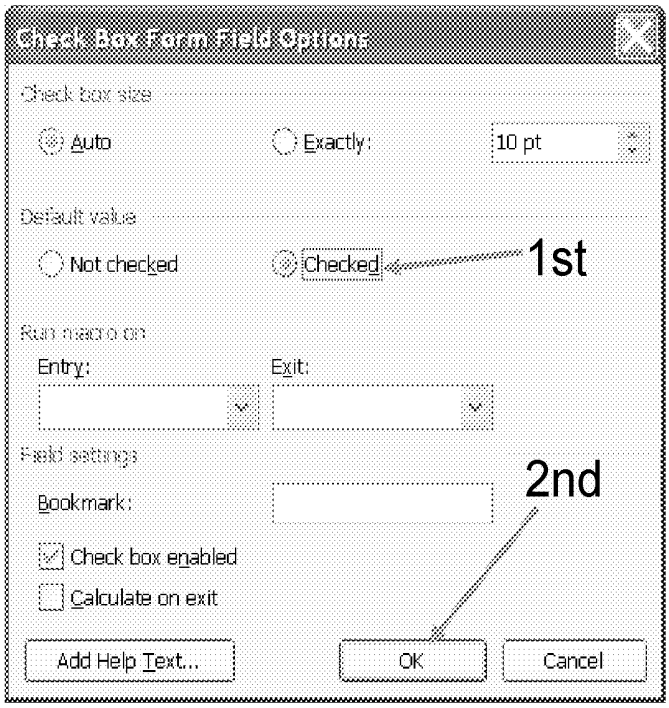
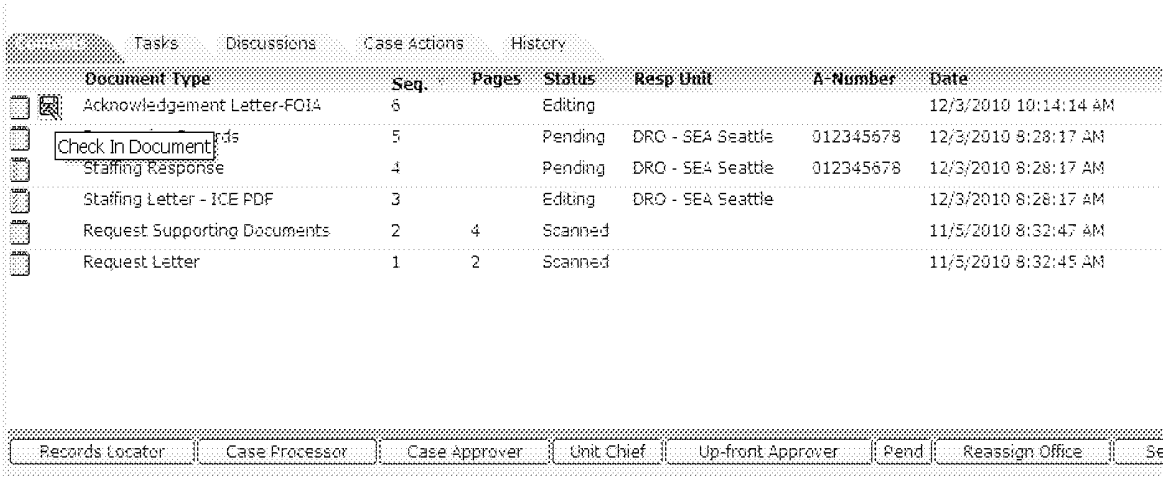
additional information, select the radio button marked "Checked" and then click OK for each item of information you need.



The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in.



Click "Open".

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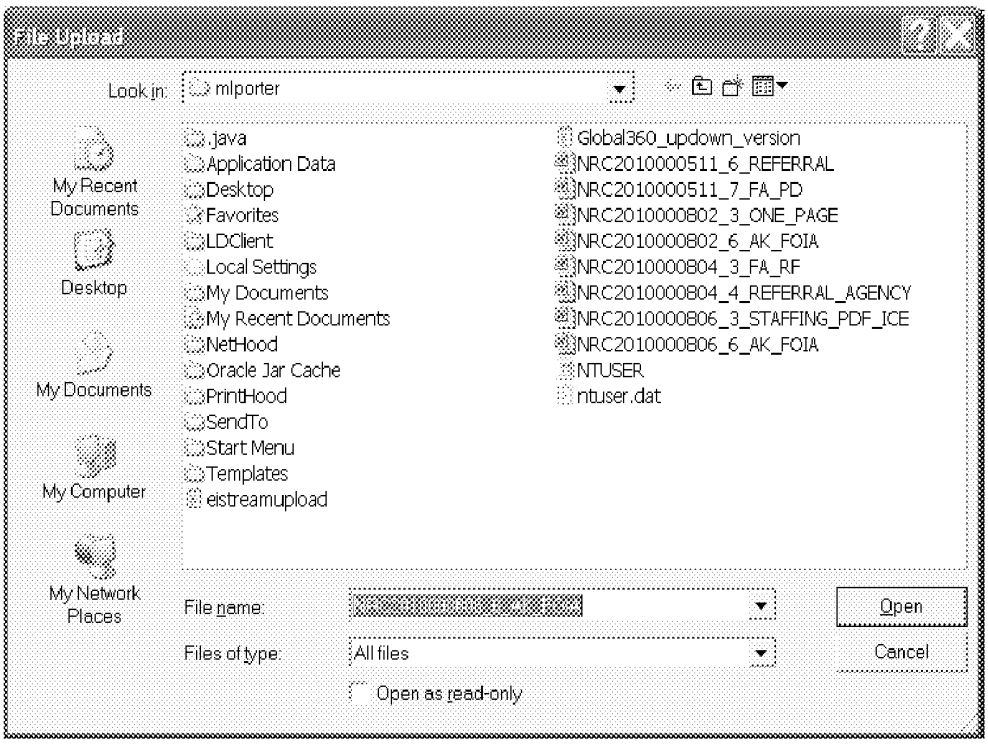
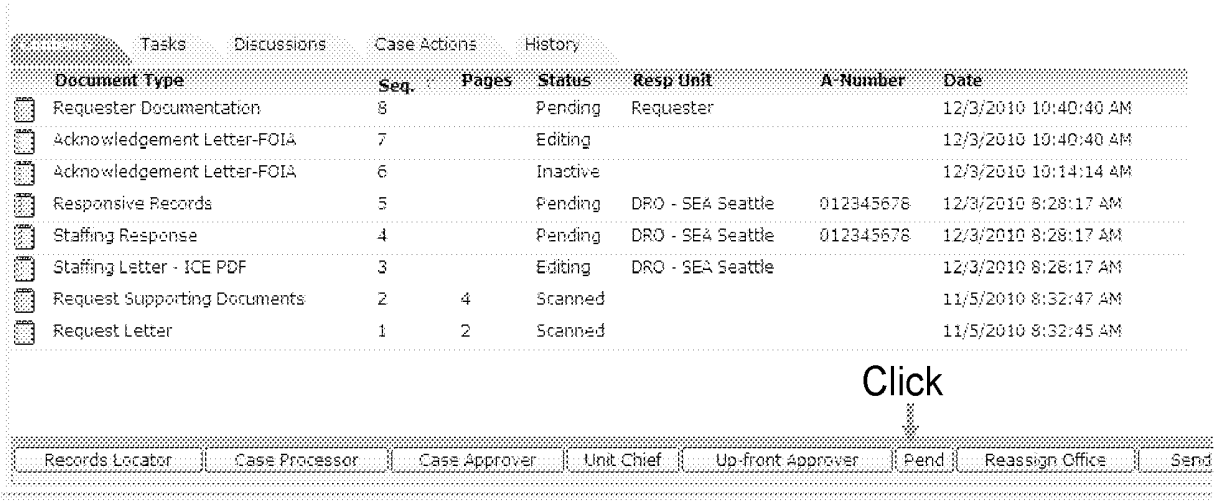


You will notice that there is now a slot for "Requestor Documentation" and the Responsive Unit is "Requestor." After this, create a Discussion and send the case to "Pend."



When the Requestor provides the additional information, a FOIA/PA Assistant or Government Information Specialist working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes certification of agreement is not necessary. For instance, a Requestor asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide certification of agreement. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without certification of agreement. If the Requestor is asking for records concerning an individual and does not provide certification of agreement, nor does it appear likely that the Requestor is going to get certification of agreement, close the case as a total denial (TD). It may be obvious from the request that the Requestor will not be able to obtain certification of agreement from the subject of record. If you have a doubt, consult your supervisor.

Third party Requestors are not entitled to any public documents that may be in the file they are seeking, nor documents that they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his certification of agreement, do, close the case as a Total Denial. Please refer to Section 16a, TD (total denial) Case Closings.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the Requestor to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; ~~or~~
- Photograph of headstone; or
- Screen print from the Social Security Death Index

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

If the Requestor says the subject is deceased and did not provide proof of death, but the subject is not over 100, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

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7.6 Power of Attorney

A power of attorney is a document in which one person appoints another person to act as an agent on his or her behalf. A Requestor may submit a power of attorney with a request, and we may consider it.

The Requestor may have provided adequate certification of agreement on the Form G-639 or elsewhere in the request, and if so, we do not need to evaluate the validity of the power of attorney.

A power of attorney cannot override either the requirement for verification of identity in 6 CFR § 5.21(d) or the requirement for certification of agreement in 6 CFR § 5.21(f).

The subject of record must have signed the power of attorney. In order to meet the 6 CFR § 5.21(d) requirement, the power of attorney must list the subject of record's name, date of birth, place of birth and address, and the subject of record's signature must be notarized or made under penalty of perjury.

If the Requestor did not provide certification of agreement on the G-639 or on some other document, only then we should look for certification of agreement on a power of attorney. The wording on the Power of Attorney must meet the 6 CFR § 5.21(f) requirement, for example:

> "By this Power of Attorney, I agree to the disclosure to (the named person) of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE."

If you are unsure if the wording is sufficient to meet the requirement, please contact a supervisor.

If the subject of record is not alive, a power of attorney is irrelevant. If the Requestor states that the subject of record is deceased, please refer to section 7.5 of this guide.

We cannot consider a power of attorney describing blanket authority without specific mention of delegated authority to request USCIS records. We cannot consider a power of attorney with no expiration date or a power of attorney with an indefinite expiration date.

If it is expired, the power of attorney is invalid, even if it met all the § 5.21 requirements. We are not legally covered if we honor an expired power of attorney.

If the Requestor provided adequate certification of agreement and verification of identity elsewhere in the request, such as on Form G-639 or on a separate document, any attached power of attorney is irrelevant, whether or not it is valid.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their co-workers and then supervisors. If the problem cannot be resolved, the creator should create a Discussion and send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, please refer to section 23 of this guide.

8.1 REQUESTS: Foreign Consulate

Please verify it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports).

After you've verified that the request is from a consulate, please do the following:

1. Print out the entire request.
2. Attach a cover sheet ("Request from Foreign Consulate")
3. Take the printout to your supervisor.
4. Add a discussion, "Request from Foreign Consulate."
5. Send an email to NRC, FOIAOA with the case information.
6. Create the case and close it, ER.
7. Send to Up-front Approver.

A person may be using the consulate's address, and that is not the same thing as a request from a foreign consulate. If the subject mailed the request and wrote the consulate's address on the G-639, then you should use the subject's address from the envelope and set it up as a self-request. If you are unsure about which address to use, please consult your supervisor.

8.2 REQUESTS: Non-immigrant visa material

If the Requestor specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS, do not close the request as NR. If the Requestor is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the Requestor specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, or if they are asking for an I-20 which is a student visa, then you should refer (RF) the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information

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System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska." See section 9, Referral and Redirection.

Otherwise, redirect (RD) the Requestor to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport." See section 9, Referral and Redirection.

8.3 Routine use requests

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Certification of agreement is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, you will close this case as "Created in Error"(ER). The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

If you are not sure if the case is a routine use case, do not close the case as ER. Seek supervisory guidance. If you are not able to seek guidance, create a Discussion and send the case to the Unit Chief (UC) and e-mail the supervisor.

Closing as ER- Routine Use cases

A. Select the "Final Action Letter" from the Tasks tab. Select "ER" from the final action codes list. FIPS will not generate a letter.

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B. Print the request and place a cover sheet on the request with the comment "Supervisor: Routine Use. Not a FOIA-Request. Do not scan into FIPS."
C. Create a Discussion with your findings for the Up-front Approver, "UFA-This case is a Routine Use case" and explain why.
D. Move the case to the Up Front Approver queue.
E. Give the printed copy to your supervisor and follow up by sending an e-mail with the NRC control number and Requestor name to your supervisor

8.4 REQUESTS: Bond obligor, no certification of agreement, closed as a Total Denial

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law.

Immigration bond obligors are surety companies who have posted an immigration bond (Form I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond.

These requests previously were processed by Immigration and Customs Enforcement.

We will now create bond obligor requests under FOIA.

Since there is no certification of agreement provided with bond obligor cases, we will close these as a TD.

Please refer to Section 16a (TD (total denial) CASE CLOSINGS.

8.5 REQUESTS: A-Number Only

If a Requestor/subject is asking for his or her alien number **only**, follow these steps:

A. Search CIS with the information provided on the request to locate an A-Number.
B. If you locate an A-Number, compare the information provided on the request with the information in CIS to make a positive ID.
C. You must have VOI and possibly certification of agreement in order to proceed. If it is a third-party request and you do not have certification of agreement, VOI does not matter. Close the case as Total Denial (TD). Reference section 16a, TD Case Closings. If VOI is inadequate, close as Failure to Comply (FC). Reference section 16b, FC Case Closings.
D. If you do have adequate agreement to release (if needed) and VOI:
E. Print a copy of CIS 9101 screen.
F. Create a File Request to RAFACS and leave the "Customize Letter" button selected.
G. Create a Discussion "CP, A-file number only requested".

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H. Attach a "Scan As" cover sheet to the screen print, mark the box "Responsive Records" and take to a person designated to scan RAFACS-only responsive records.
I. You will not staff for the Alien file. When the alien is requesting A-number only, the CP will be using the 9101 screen print as responsive records.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records (9101, CIS Screen Print) are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

A. Begin with a thorough search of CIS, CLAIMS and PCQS.
B. If you find a record, please staff for the file. If you do not find a record, you will be requesting a manual search.
C. Create a Records Indexing Staffing and enter all information provided by the Requestor.
D. Enter a Discussion note
E. Pend for the manual search.

From the Records Locator Queue, if the manual search staffing response produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case. Reference Section 12.18.6 No Record (NR) for Final Action NR.

For the Records Indexing letter which is used to paste onto the FIPS staffing Sheet, O:\Foia\FOIA LIBRARY\Case Create References\Case Create References.

Or Enterprise Collaboration, ECN Network /Case Create Library
http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx
Select the "RECORDS_INDEXER" letter and copy paste the Records Indexing staffing sheet onto the end of the FIPS request letter. Press Ctrl+Enter at the bottom of the FIPS letter to insert a page break and paste in the letter.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

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The Requestor can request a search by writing directly to NARA. In their letter, the Requestor should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information. Create a Discussion asking the CP to provide this NARA contact information, if no other records are found in the Records Indexing search.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations Received From Other Agencies

Other government agencies' and DHS components' FOIA/PA offices will make the determination to refer a FOIA request to the USCIS FOIA office at the NRC for a direct response to the Requestor. The referral can be complete or partial.

8.7.1 Complete Referrals

A complete referral comes from another government agency or DHS component in which either the entirety or a segregable portion of the request falls under the purview of USCIS. If the referral is a request for an A-File or A-File material (petition, application, etc.) create the case as if the request came directly to the NRC. If the referral is a request for anything else please see section 6.3.4.4 as the request may fall under SIG.

8.7.2 Partial Referrals

As other agencies process FOIA/PA requests, they will sometimes find USCIS documents within their files. These documents will be referred to us for processing. The majority of partial referrals come from the Office of Personnel Management (OPM), Department of State, and the Federal Bureau of Investigation (FBI). SIG processes all partial referrals. Follow the procedures in section 6.3.4.4.2 for partial referrals.

We process a consultation when another government agency or DHS component has found USCIS equities within their documents and then forwards those documents to the USCIS FOIA office to make any recommended withholdings or disclosures. The USCIS FOIA office processes only that specific portion of the document that contains USCIS equities and upon completion returns it back to the original agency/component. SIG processes all consultations. Follow the procedures in section 6.3.4.4.2 for consultations.

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8.8 Deleted

8.9 Deleted

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross. Create a Discussion identifying the case as a Red Cross request.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the **routine use** category. Reference section 8.3 REQUESTS: Routine use.

8.12 REQUESTS: Return of original documents

Requestors will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted ***on a G-639, we are required to provide the Requestor with a copy*** of the specific documents requested. Create the case as normal and insert the language in the acknowledgement letter. For return of original documents, the Requestor must submit a G-884 to the SAVE Unit of their local district office. Insert the following language in the acknowledgement letter:

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

A. If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, close the case as "ER" (created in error). To close a case ER, please refer to section 15 of this guide.

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B. When you close a case ER, FIPS does not create a Final Action letter. You will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter.
C. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the Requestor.
D. Include a detailed Discussion note on your findings.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

The Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution. Print a copy of the request. Attach a coversheet to the copy of the request and write "OA- Do Not Scan, G-884 Request for Return of Original Documents." Deliver the copy to the OA Room. They will forward it to the Case Resolution team if they have not done so already.

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

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A. Insert a Discussion titled "Untranslated Documents" and the reference page numbers
B. Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB
C. Send the case to Unit Chief
D. After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional Correspondence

Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.
When the unit receives correspondence from a member of Congress, we may need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to congressionalnrc@uscis.dhs.gov advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject is not in the request, please contact a member of the FST for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The Requestor will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo used to print the request.

A. Select "Print." FIPS will then print out all the pages of the request.
B. Retrieve those pages and take them to the designated appeals point of contact (currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

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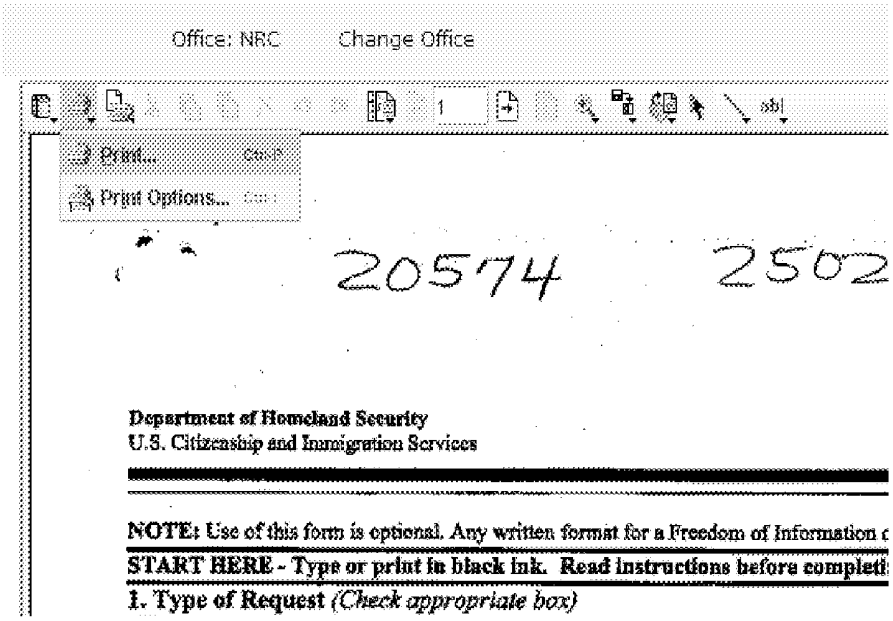
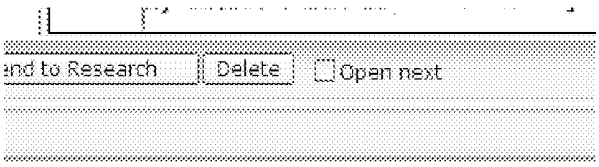


Before you press Delete, you should have the printed request *in your hands* and not still on the printer. Once you press Delete, there is no way to get the information back.



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this I-694 request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. There should already be responsive records in the case.

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A. Create the case.
B. When you prepare the acknowledgment letter, request VOI and/or certification of agreement if needed. Most often, you will have to request adequate VOI. *Please take note:* We do not close an I-694 request TD or FC for not providing all the required elements of Certification of Agreement or VOI with the original request.
C. Create a Discussion for the case processor.
D. If VOI or certification of agreement is not necessary and there are responsive records already scanned in, send the case to processor.

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER.

A. Create the case.
B. Create a Discussion with findings for the Up-front Approver to close as ER
C. Send a message to NRC, FOIA PROGRAM and the current OCC Paralegal, providing the NRC control number and information indicating the request was a subpoena or court order. The Chief Counsel's Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.
D. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "certified documents requested."

Create the case as normal. If you are closing the case as no record, total denial or failure to comply, there is no need to address certification of record in the final action letter. If you are not closing the case NR, TD or FC, and if the Requestor does not want a copy of the whole file, but specifically requests only a certified copy of a particular document, you will be closing the case NB. According to the situation, please add the following paragraph(s) into your final action letter:

NB Situation 1: If a request is only a request for a certified copy of a Name Change document, insert the following paragraph:

> Regarding your request for a certified copy of Name Change document, you may check with the Court that issued and certified the Name Change document.

NB Situation 2: If a request is only for a certified copy of Certificate of Naturalization of a living person and not a request for the whole file:

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This is in response to your request for a certified copy of your Certificate of Naturalization.

To request a "Certified True Copy" of your Certificate of Naturalization, and if you have the original document, you must make an appointment at your local USCIS office by using the on-line InfoPass Appointment Scheduler. If you do not have the original document, to request a replacement of your Certificate of Naturalization, you must fill out Form N-565, Application for Replacement Naturalization/Citizenship Document. Please see www.uscis.gov for more information about these processes and the downloadable Form N-565.

If you have additional questions, you may contact your local USCIS Office or call the National Customer Service Center at 1-800-375-5283 (TTY 1-800-767-1833).

If the request is for a copy of the whole file, and there is a request for certified copy of a naturalization certificate of a deceased person (but not Italian dual citizenship – if it is an Italian dual citizenship request, please go to section 8.20 of this guide), or if it is a request for any other documents that may be within the file, you will not close the case
NB. Please staff for the file and add this paragraph to your acknowledgment letter:

You requested a certified copy of a U.S. Citizenship and Immigration Services (USCIS) record. The National Records Center does not certify documents and is responding with a copy of these records as required under the Freedom of Information Act/Privacy Act.

8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship.

A. Evaluate if the request qualifies under the Genealogy Program. Refer to section 6.3.4.6.

B. If the Requestor's relative does fall under the description of genealogy records as described in section 6.3.4.6, he or she must submit the request to Genealogy.USCIS@dhs.gov. You may direct them to USCIS.gov for more information. The link for Genealogy requests is in the left column, listed under "Services."

C. If the Requestor's relative does not fall under the description of genealogy records described in section 6.3.4.6, please include the following paragraph in your acknowledgement letter:

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This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC routinely transfers the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, a Requestor writes with the following request:

"Please send the records of Giuseppe Granchio, born March 22, 1899 in Italy. Mr. Granchio naturalized in 1957, changed his name to Joe Granchio, and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in section 6.3.4.6 of this guide.

Mr. Granchio meets one of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the criterion of section 6.3.4.6 E, because he would have documents in his file dated after 1951.

If you are creating a case and the subject of the request is 100 years of age or older, **but** the person **DOES NOT fully meet the criteria for a genealogy case**, please pay special attention to NFTS.

A. NFTS may show that the file has been retired and is at a Federal Records Center. If that is true, create the case and request the file.

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B. It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

If the subject meets the criteria listed in section 6.3.4.6, continue with the steps listed below:

A. If NFTS shows that the A-Number has been retired to NARA, it means we have turned the records over to NARA permanently. The Requestor will have to send a request to NARA.

B. Please select Final Action Letter and select NA: FOIA or PA not applicable. Please refer to section 14 of this guide.
Replace the body of the Final Action Letter with the National Archives Letter located at O:\Foia\FOIA LIBRARY\Case Create References\National Archives.doc

C. Create a Discussion with findings for the Up-front Approver.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

A. Create the case
B. When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the Requestor explaining that the records being requested are older than those maintained by the agency.
C. Create a Discussion for the Up-front Approver
D. After generating the final action letter, send the case to Up-front Approver.
E. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without certification of agreement of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

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Normally if we cannot verify certification of agreement or prove parentage in a case, we do not send out for additional information, we close as TD or FC for no certification of agreement and Verification of Identity, but this situation is an exception. You should create the case as you normally would. Please do not send out for additional information in pending (not finalized) adoption cases and do not close as TD or FC for the following reasons:

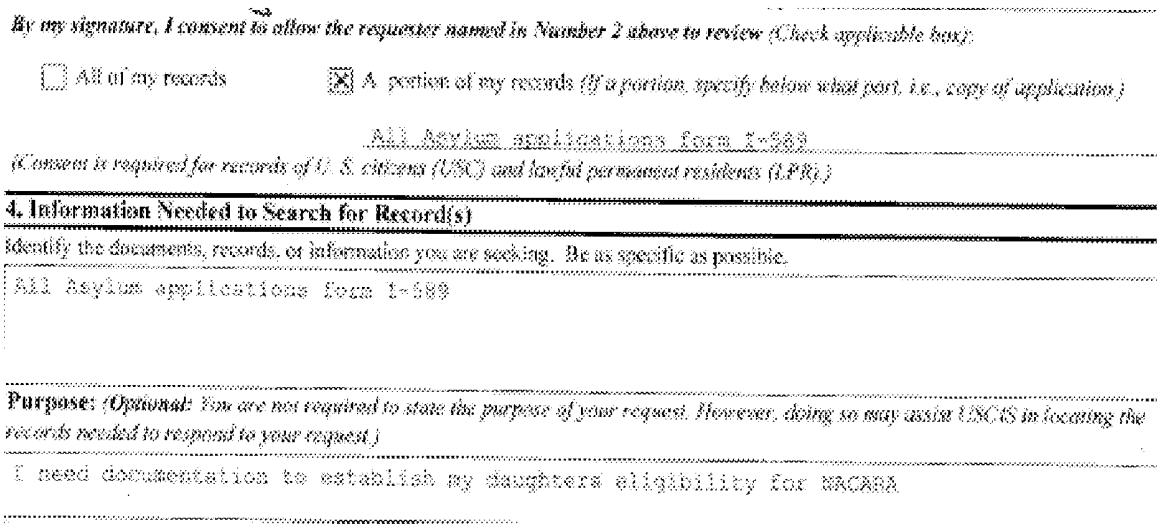
A. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship
B. The child is usually too young to give certification of agreement
C. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please create a Discussion and send your case to the Unit Chief (UC) for supervisor review.

8.24 SITUATION: Requests for Asylum or Refugee documentation

Asylum and refugee A-Files can be very large. We frequently see voluminous evidence of past persecution or conditions that would jeopardize the life or safety of the applicant. Because of this, we do not adhere strictly to the "three documents or less" rule when deciding whether we have a Track 1 or Track 2 case. The two examples below show first, a Track 1 and second, a Track 2:

Example 1, Track 1:



By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ All of my records ☒ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

All Asylum applications form I-589

(Consent is required for records of U. S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

All Asylum applications form I-589

Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)*

I need documentation to establish my daughters eligibility for WRCRSA

An asylum application and a Form I-589 are the same thing. They are usually about 10 pages. There are some things we might do to help decide whether this is Track 1 or Track 2. For

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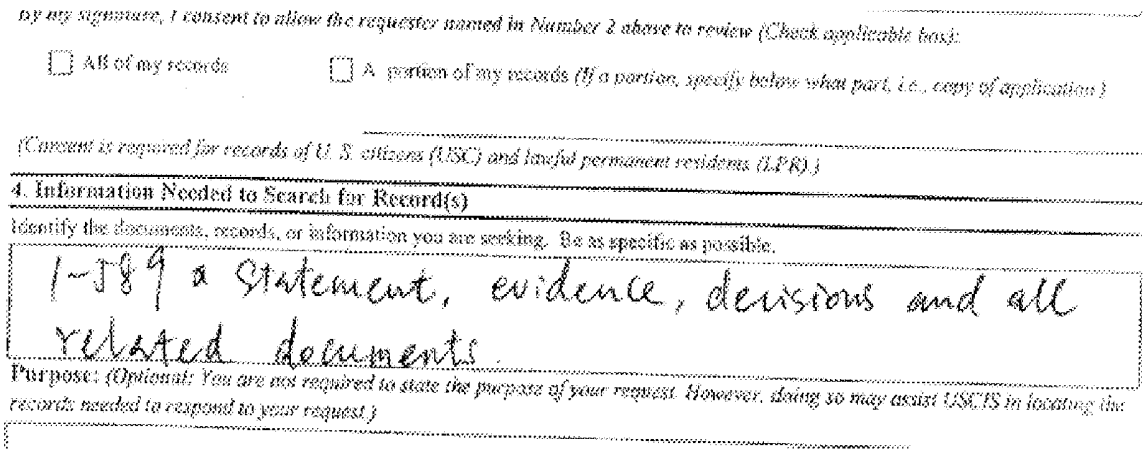
instance, we might want to ask a more experienced creator what it takes to establish eligibility for NACARA. For NACARA, if the Requestor can produce a Form I-589 that was accepted by the service and lists the daughter on it, the Requestor can establish eligibility. We could conclude that all the Requestor needs is the Form I-589. Alternatively, we might call the attorney's office to ask if they mean only the Form I-589 and nothing else. In either case, you would create a Discussion explaining what you did and why, and modify the acknowledgment letter, using language as close as possible to the request while remaining grammatically correct, stating, for example, "you specifically requested all Forms I-589, Asylum Applications." If we fail to state it that specifically in the acknowledgment letter, the processor will be forced to process the case as if it were a request for the entire file. An example of such a failure would be "you specifically requested asylum documents."

Example 2, Track 2:



by my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ *All of my records* ☐ *A portion of my records (If a portion, specify below what part, i.e., copy of application)*

(Consent is required for records of U.S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

I-589 a statement, evidence, decisions and all related documents

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)

This may as well be a request for the entire file. Even if this request had only listed three things: "I-589, evidence and decisions," we should still create this as a Track 2 rather than a Track 1 because of the word "evidence," which could imply hundreds of pages.

There are other times that the decision to assign the case to Track 1 or Track 2 is not easy, and at those times it helps to speak with more experienced creators, your supervisor, or as a last resort, create a Discussion and send the case to Unit Chief.

9. Referral and Redirection

9.1 Referral (RF)

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of

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Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the Requestor to write to FBI (that is redirection). They must send the request to the FBI and advise the Requestor they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Referring the Case to another Agency or Unit (RF)

If you find no A-file or responsive receipt file for the subject, follow the referral guidelines set forth below. The list below includes examples of when to Refer (RF) to CBP and or ICE.

What is a "responsive" receipt file? If a Requestor checked "All of my records" and you find a receipt file, then it is responsive. If a Requestor said "A portion of my records" and specified "Incident July 25, 2014 at Blaine, Washington, all documents related to apprehension and questioning," and you find a receipt file, that receipt file is not responsive to the request.

If you find an A-file, you should create the case and staff for the file. Please refer to the flow charts at Appendix H. Before you refer the case, you must verify we have no record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. In your Discussion, you should also name the systems you searched and state that you have sent the documentation to OA for scanning as CSD.

Note: We may sometimes need to refer to CBP for Entry and Exit as an example, and include the ICE contact information on the Final action letter for Drug smuggling. It depends on how the Requestor worded the specific documents needed. For example, you could not find any A-file or receipt file and the Requestor specified one of the following:

- Entry exit / Departure information
- Copy of an I-877
- Any reports or incidents at the airport.
- Copy of I-94 card
- Arrests at the border

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- Voluntary departures
- Border stops

Note: If receiving a request for the entire records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you find no records, you will then refer to ICE or CBP as needed.

RF to ICE (Please note: refer to ICE if you found no other record and this is not a Records Indexing Staffing situation – see section 12.7.5)

- Information about SEVIS
- F, J, or M Visa requests

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Referring the Case

A. Create the case as normal
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit."
D. FIPS will automatically create two documents: a final action letter to the Requestor and a referral memorandum to the DHS component.
E. FIPS then generates the two Word documents
F. You will need to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for both documents, enter a case Discussion with your RF findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

The following screen shots provide views of steps B-G in FIPS:

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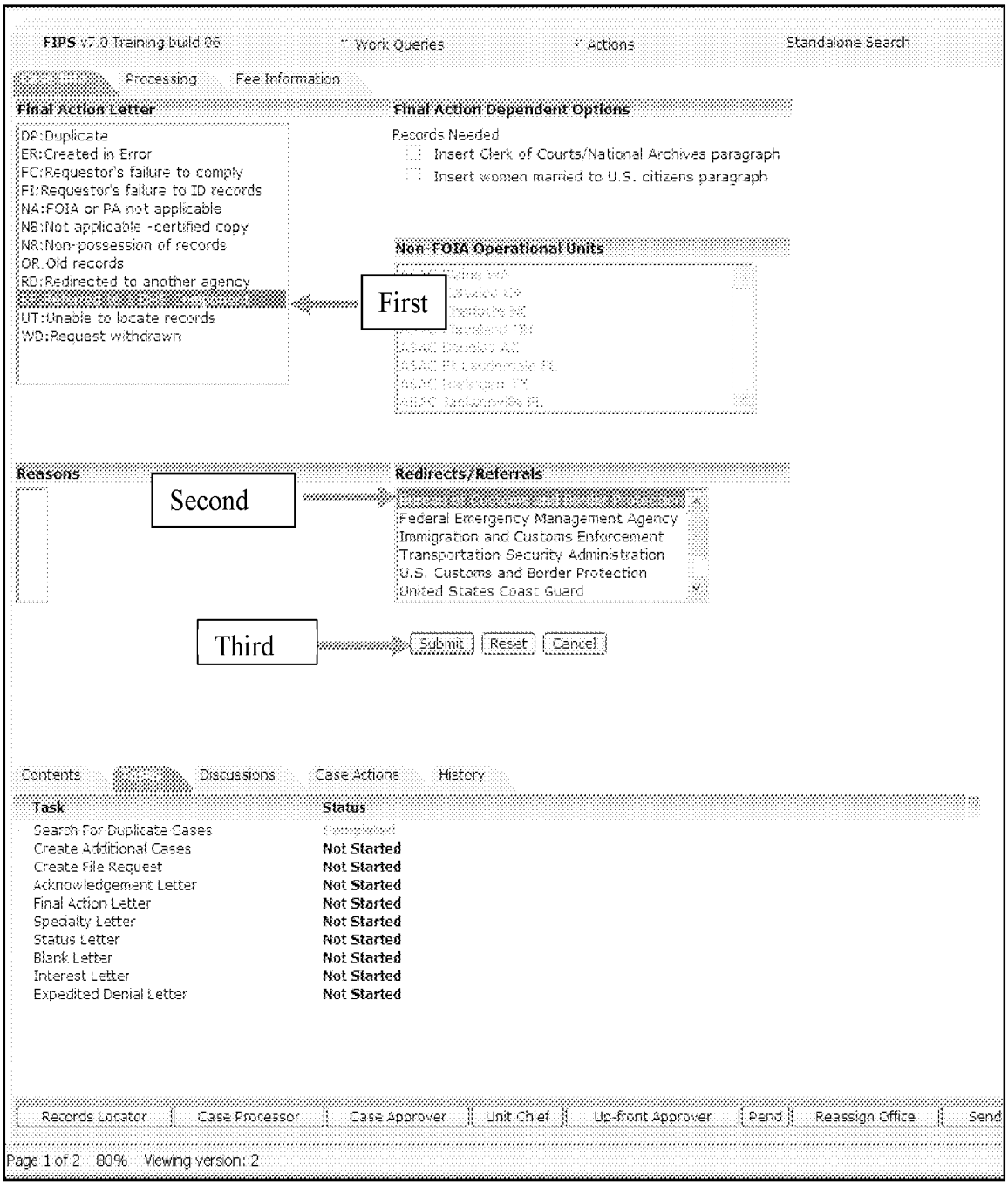

FIPS will automatically create two documents: A final action letter to the Requestor and a referral memorandum to the DHS component.

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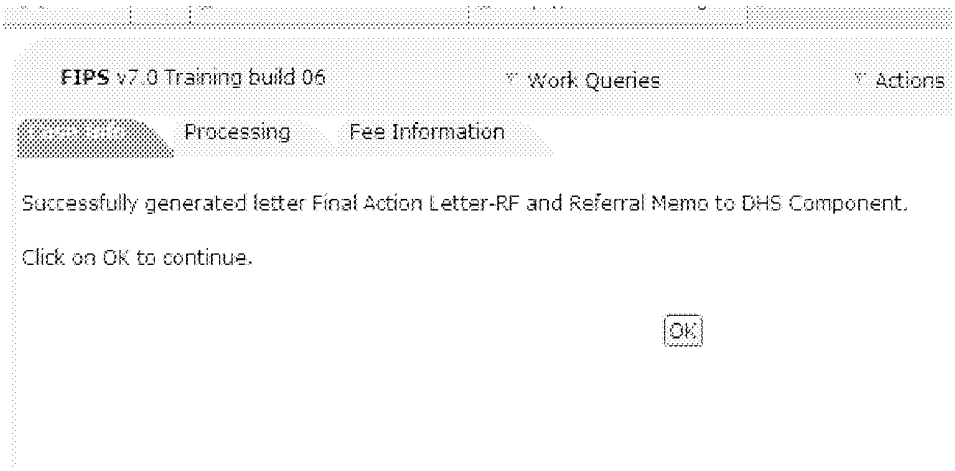
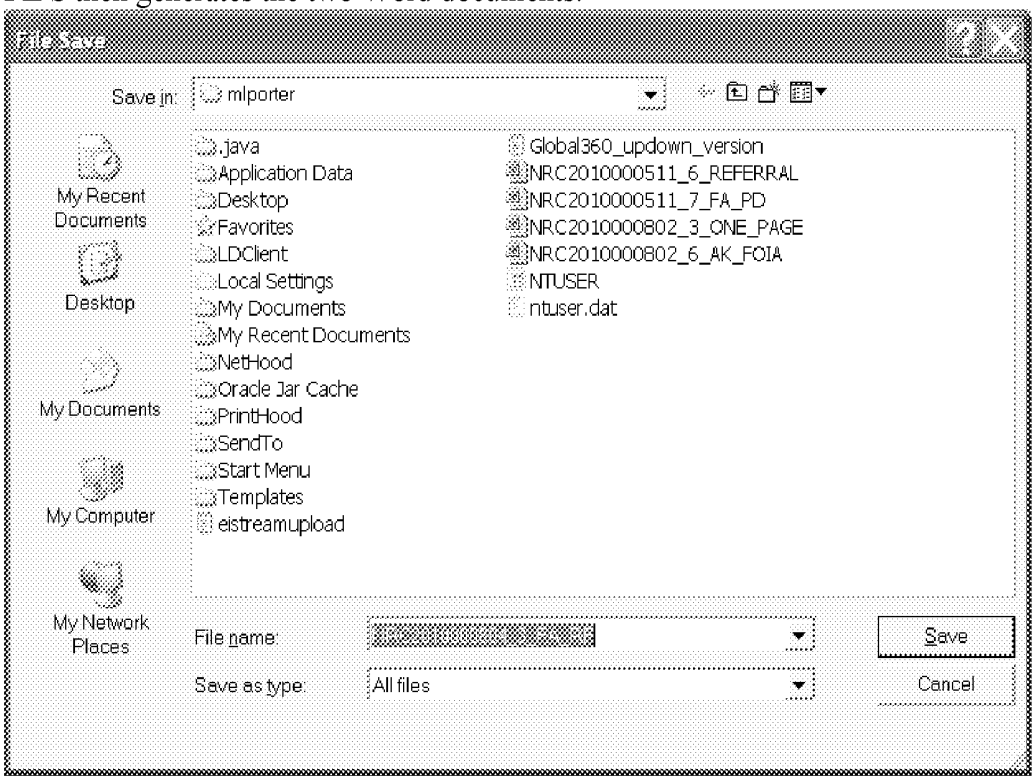


FIPS then generates the two Word documents.



You will have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.

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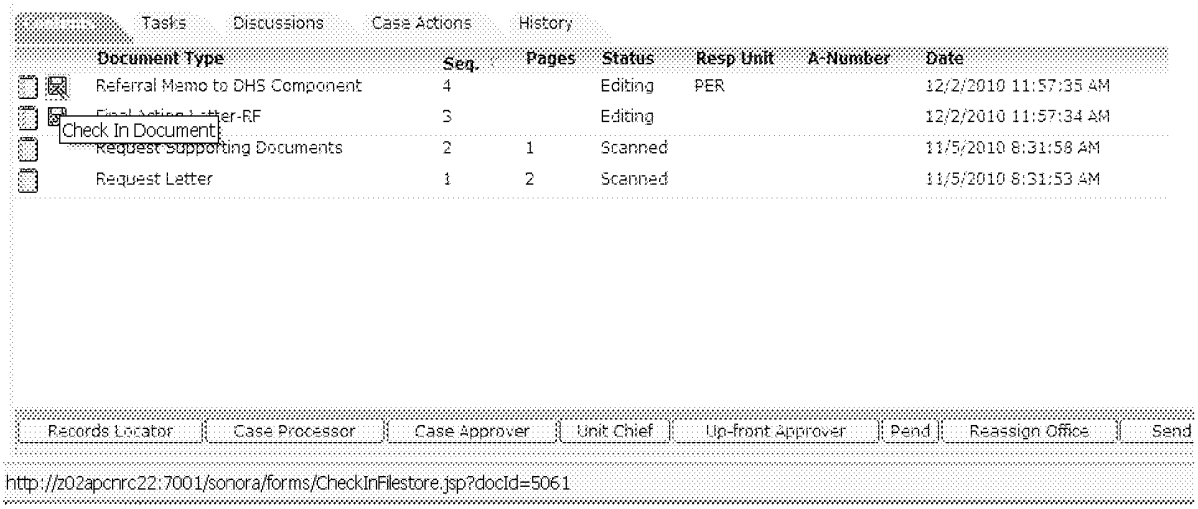
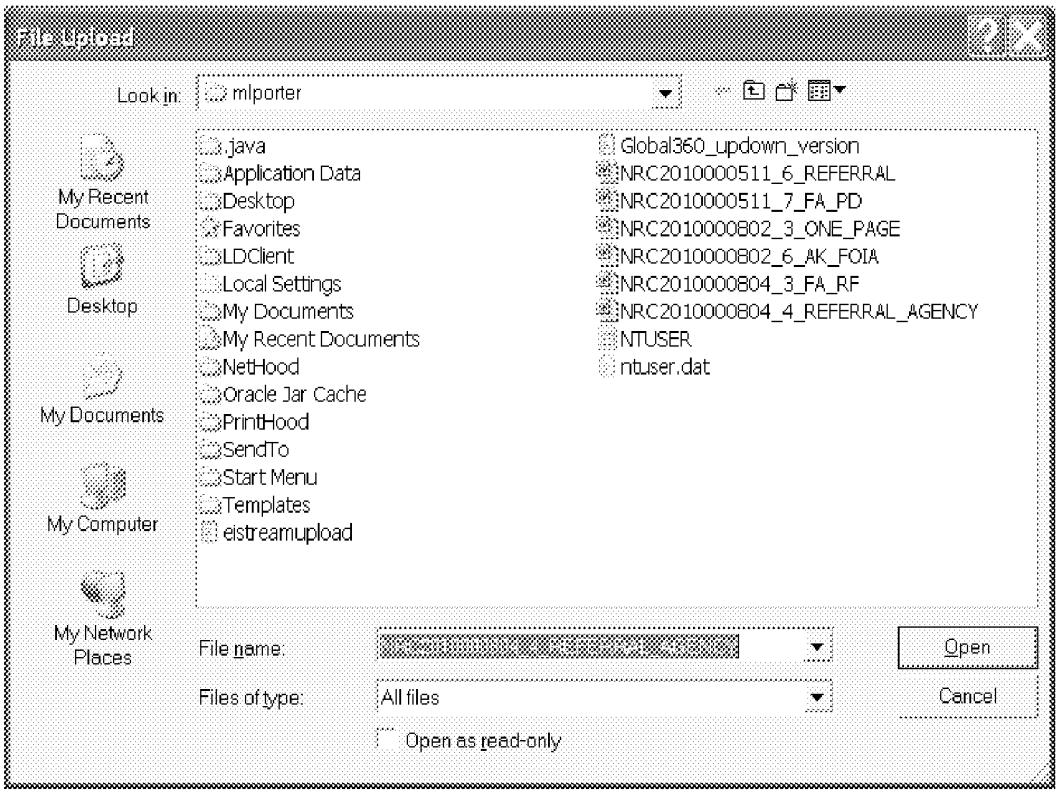


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection (RD)

9.2.1 If we receive a request for specific records that belong to an agency outside of DHS (except NVC), we close it and write a "redirect letter." Always make sure we have no responsive records

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before redirecting to another agency. **For example, if someone requests a Visitor Visa, but we cannot find a record, we can redirect the request to the U.S. Department of State.** The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the Word document is the same as for referrals. You may have to edit the letter to add needed information.

9.2.2 If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

In your Discussion, you should also name the systems you searched.

9.2.3 If it is not a request for all records, but a request for a specific receipt, then you should research where that receipt is now, and if we have it, you should staff for that receipt. You do not have to provide the same print-outs as you would when you are conducting research for "All my records," but you should provide print-outs to show the receipt is with NVC, if available. The rest of this section has instructions concerning what to do if we do not have the receipt.

9.2.4 The following are examples of requests we would redirect to State Department if we find no matching records:

A. B1/B2 Visa information
B. Visitor Visa
C. U – Visa
D. US Citizens born abroad
E. 6 Million A-Numbers that are not in CIS

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Note: RD to DOS when they specifically ask for the above information. We do not RD to DOS just because you find a Visa control number in PCQS.

9.2.5 Deleted

9.2.6 Deleted

Redirecting the Case to another Agency or Unit

A. Create the case
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RD: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are redirecting the request and click "Submit."
D. FIPS will automatically create a document: a final action RD letter to the Requestor.
E. FIPS then generates the Word document.
F. You will need to edit the RD letter/document to add needed information. After you exit from the Word document, it will appear under the "Contents" tab.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for the document, enter a case Discussion with your RD findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

9.3 Entry/Exit Information and Border Apprehension referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982 but no earlier, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
90 K Street, NE, 9th Floor
Washington, DC 20229-1181

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You will need to modify the referral letter; any information you can provide as to what the Requestor is asking for will be helpful to CBP. For instructions on Referrals (RF) see Section 9.1.

Border apprehension referrals are treated differently. If the Border apprehension date is 1998 or earlier, do a thorough search. If you cannot find a record, please close the case NR and add the following paragraph to your NR letter:

"You may wish to contact Customs and Border Protection, WWW.CBP.GOV. Their website offers information on filing your FOIA request electronically. Please be sure to include dates and locations of any encounters. Please note they do not have complete records for incidents prior to 2000."

Note 1: If the request is for entry/exit, the date was prior to 1982 and you cannot locate a record, do not refer the case to CBP. Do a thorough search and then close NR.

Note 2: If the request is for entry/exit information and the Requestor/subject provided an alien number, request the file.

Entry exit / Departure information
Copy of an I-877
Any reports or incidents at the airport.
Copy of I-94 card
Arrests at the border
Voluntary departures
Border stops

Note 3: If the request is for all records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you do not find any record, you will then refer to ICE or CBP as needed.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints. For instructions on Referrals (RF) see Section 9.1 and Section 9.3

Exception to this rule; if the Requestor provides an A-Number or you locate an A-Number through a search of the systems, please request the A-file.

9.5 Deleted

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9.6 Deleted

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the Requestor has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. Create a Discussion explaining that you staffed based on best information available. The Discussion will alert the Case Processor.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

12. REQUESTING THE RESPONSIVE RECORDS

12.1 Resources

If the Requestor provided adequate VOI, reasonable description of records, and certification of agreement if necessary, your next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the Requestor will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

The Staffing Sheet Guide, the RPC Reference for Staffing and the FOIA FCO List are available on the FOIA Operations ECN intranet page to help you request the file. The web address is as follows:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

12.2 FOIA Support Team

If you are unsure about the proper way to create a file request, it is much better to ask a person in FST for guidance than to create a staffing based on a best guess.

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12.3 Request for Alien File

If the Requestor asked for Complete Alien File and provided an A-number, we will staff for that A-number only, unless

- The number they provided was wrong, or
- The A-number they gave us is for a file that has been lost for more than sixty days, or
- The number they provided was between 80 million and 86,999,999, or
- The number they provided was a 100 million series.

12.4 Specific Documents

If the Requestor is seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You must also mention those specific documents in your acknowledgment letter to the Requestor, using language as close as practical to the Requestor's words. You should never leave the words "Specific Doc Information" in your acknowledgment letter.

12.5 Service Centers

The Service Centers scan the responsive records into FIPS when they are the FCO for that file. Please see the Staffing Sheet Guide for more instructions on requesting these types of Service Center files.

12.6 Best Available Information

If the Requestor did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. In this situation, add a Discussion stating how you found the record and that you staffed on best available information. If you are unable to find a record, please refer to section 7.3 of this guide.

12.7 S and W files

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

12.8 RPC of RK

If the file is located at COW with the Responsible Party Code (RPC) of RK, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the

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Discussion should read "File is at RK," and there is no need to enter any further comment in that Discussion.

General Inquiry For A30000001				
File #	Seq	Office	Status/Last Action	Location
A30000001	000	COW	**Status:** In Use **Audit Date:** 05/09/2011 01:55:40 PM **Last Action:** 05/09/2011 01:55:40 PM Batch Audit	**Sect:** RK - Adjudications **Resp:** 0117 - Adjudication II - - 0117

12.9 RMOB Program

If the file is located at NRC with the Responsible Party Code (RPC) of MD 2100 through MD 2221, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the Discussion should read "RMOB Program," and there is no need to enter any further comment in that discussion.

General Inquiry For A300000001				
File #	Seq	Office	Status/Last Action	Location
A300000001	000	NRC	**Status:** INTERNAL ACTIVE REQUESTED **Audit Date:** 12/21/2012 12:08:50 PM **Last Action:** 12/21/2012 12:08:50 PM Batch Audit	**Sect:** MD - ADMINISTRATION **Resp:** 2100 - MD2100-RMOB Program

12.10 FOIA Safe

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. In the example below, you would create one staffing to MSC/NBC and one staffing to NOR. If you see an RPC code ZW and the Office is NRC, you should staff: FOIA Safe. Whenever you see a file location ZW, always check the Comments – see the examples below:

General Inquiry For A000000000				
File #	Seq	Office	Status/Last Action	Location
A000000000	000	NBC	**Status:** AVAILABLE IN RECORDS **Audit Date:** 07/25/2013 05:32:17 PM **Last Action:** 07/25/2013 05:32:17 PM Audit	**Sect:** AC - MAIN FILEROOM **Resp:** 0167 - AC167 MAIN FILEROOM
T000000000	000	NOR	**Status:** EXTERNAL ACTIVE REQUESTED **Audit Date:** 07/12/2013 02:19:46 PM	**Sect:** ZW - CLASSIFIED SAFE **Resp:** 0304 - CLASSIFIED SAFE

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General Inquiry For A000000000				
File #	Seq	Office	Status/Last Action	Location
			Last Action: 07/19/2013 06:08:59 AM File Request	

Comment Inquiry For A000000000					
File #	Seq	Date	Office	Name	Comment Text
A000000000	**000**	01/23/2012 11:05:18 AM	NOR	PADDY O'FURNITURE	A & T file can't be combined because Temp file is classified
A000000000	**000**	12/13/2011 08:35:47 AM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
A000000000	**000**	06/08/2011 03:27:29 PM	ESC	BEA O. PROBLEM	CANCELLED PER NOR REQUEST
T000000000	**000**	08/11/2011 02:15:05 PM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
T000000000	**000**	04/28/2011 02:52:11 PM	NBC	HELEN A. HANDBASKET	A positive Name Check Response exists on the Homeland Secure Data Network (HSDN). Be sure to retrieve and review this document prior to taking any adjudicative action. For assistance, e-mail 'NBC LHM'
T000000000	**001**	07/20/2012 11:14:05 AM	NOR	LONN MOORE	A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'.
T000000000	**001**	08/11/2011 02:15:05 PM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
T000000000	**001**	05/06/2011 10:13:21 AM	NOR	PADDY O'FURNITURE	mel has a carrp t-file in her office

Though you will create the case normally and still staff for the file at its location, you will also email the NRC, FOIA Safe mailbox (copy your supervisor), providing the case number and the name of the subject of the request, stating that the case shows the code ZW in NFTS. View the comments. If there is HSDN commentary (A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'), please paste that into the e-mail. Create a discussion stating that you did send the email to NRC, FOIA Safe mailbox.

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You may have an instance where NFTS shows an A and T-file at the same location, but only one of the files is classified.

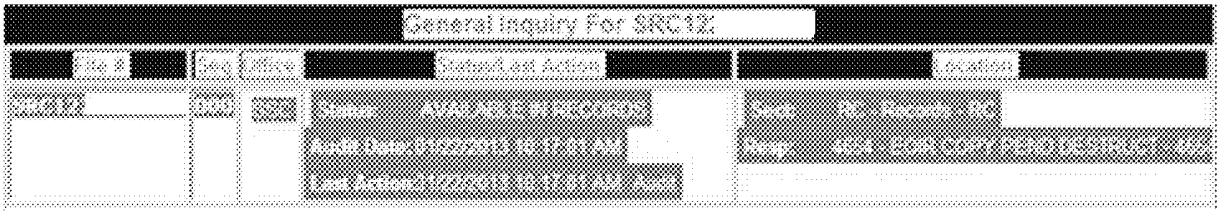
In a regular case, you would create one staffing for both files.
However, classified and regular A (or T) files are most often sent to us at separate time frames.
Therefore you'll need to create two separate staffings for the same location.
In the example below, you would create two staffings, both to KND.

General Inquiry For A02000000				
File #	Seq	Office	Status/Last Action	Location
A02000000	000	KND	**Status:** AVAILABLE IN RECORDS **Audit Date:** 10/20/2009 10:28:19 AM **Last Action:** 10/20/2011 10:28:19 AM Batch Audit	**Sect:** ZW - Classified Files **Resp:** 0 - Classified Files
T02000000	000	KND	**Status:** RECORD IN USE **Audit Date:** 10/09/2009 08:04:13 AM **Last Action:** 10/09/2010 08:04:13 AM Batch Audit	**Sect:** NC - Decisional **Resp:** 00 - N-400

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. If the staffing request is overdue you will need to review the due date and re-pend. See section 33, Re-pend Cases in Records Locator Queue.

12.11 Pend Destruct

Do not staff for a receipt if the responsible party is "PEND DESTRUCT." If you find a receipt file, but NFTS shows it is in "PEND DESTRUCT," depending on the type of request, you may simply be staffing for the A-file and disregarding the receipt or you may be printing the electronic record from PCQS and creating a RAFACS staffing for those pages. If you are unsure, please consult a supervisor.



12.12 Staffing by Alien Number

12.12.1 One A-Number provided on the request (with example staffing)

If an A-Number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, place of birth, name, mailing address and

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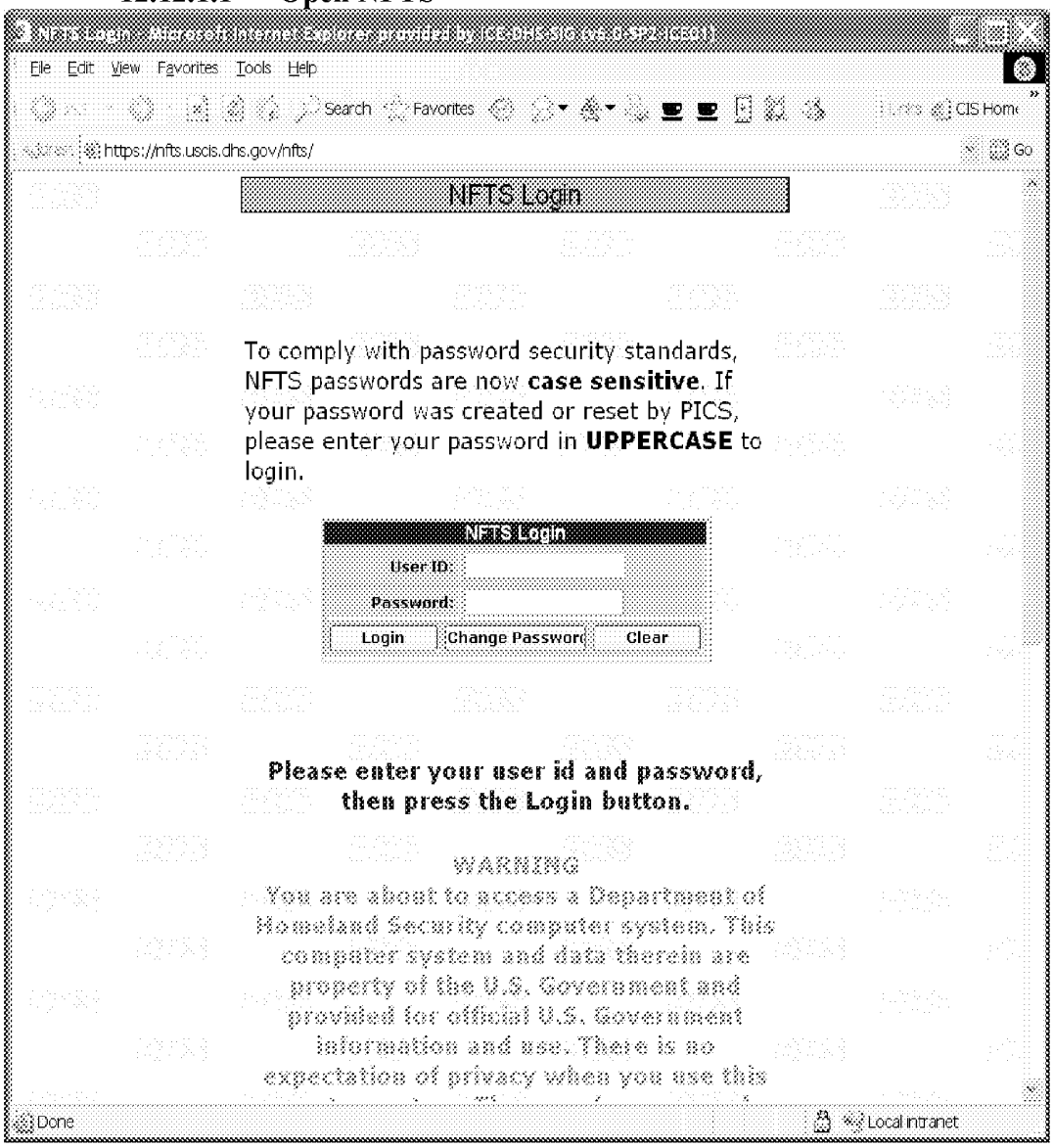
signature under perjury or notarized) to complete the case create. If any of the required elements are missing, we will close the case FC under normal circumstances. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide. The section that follows is a systematic example of staffing by A-Number when the Requestor has provided one.

12.12.1.1 Open NFTS



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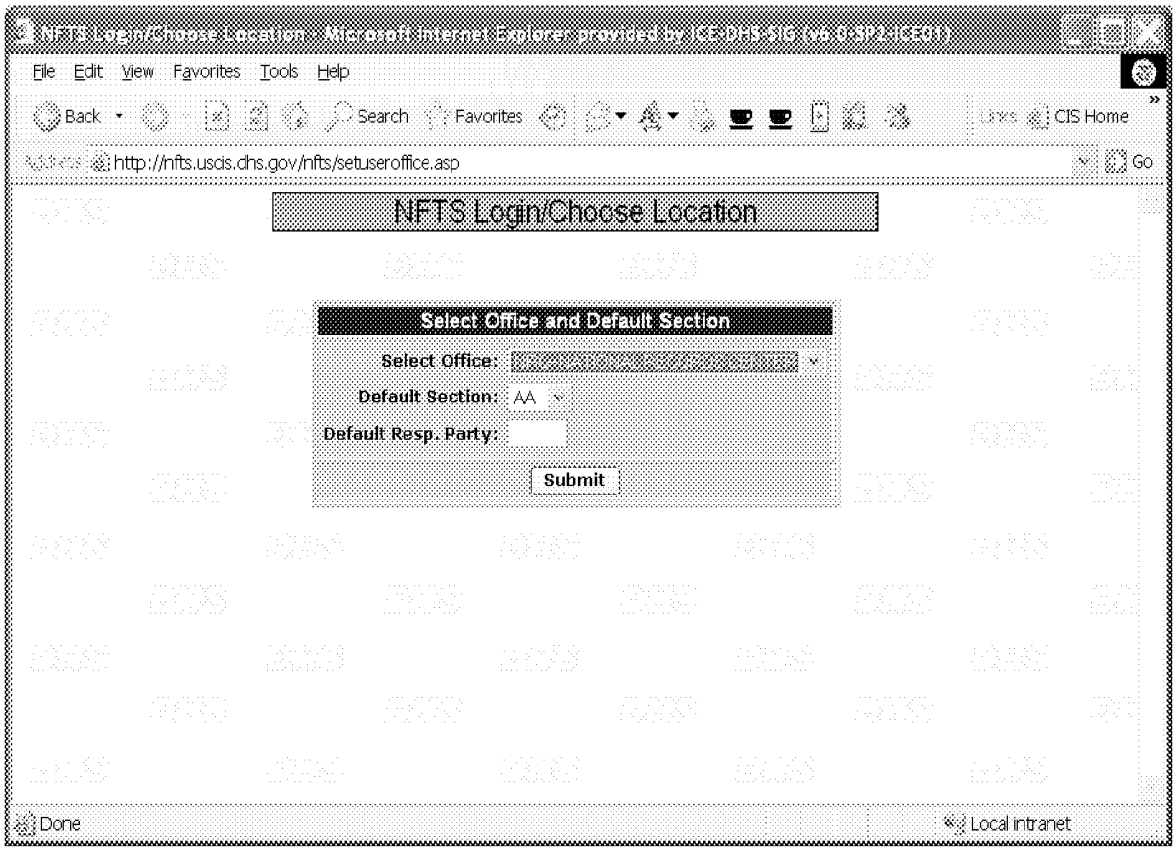
12.12.1.2 Submit your location



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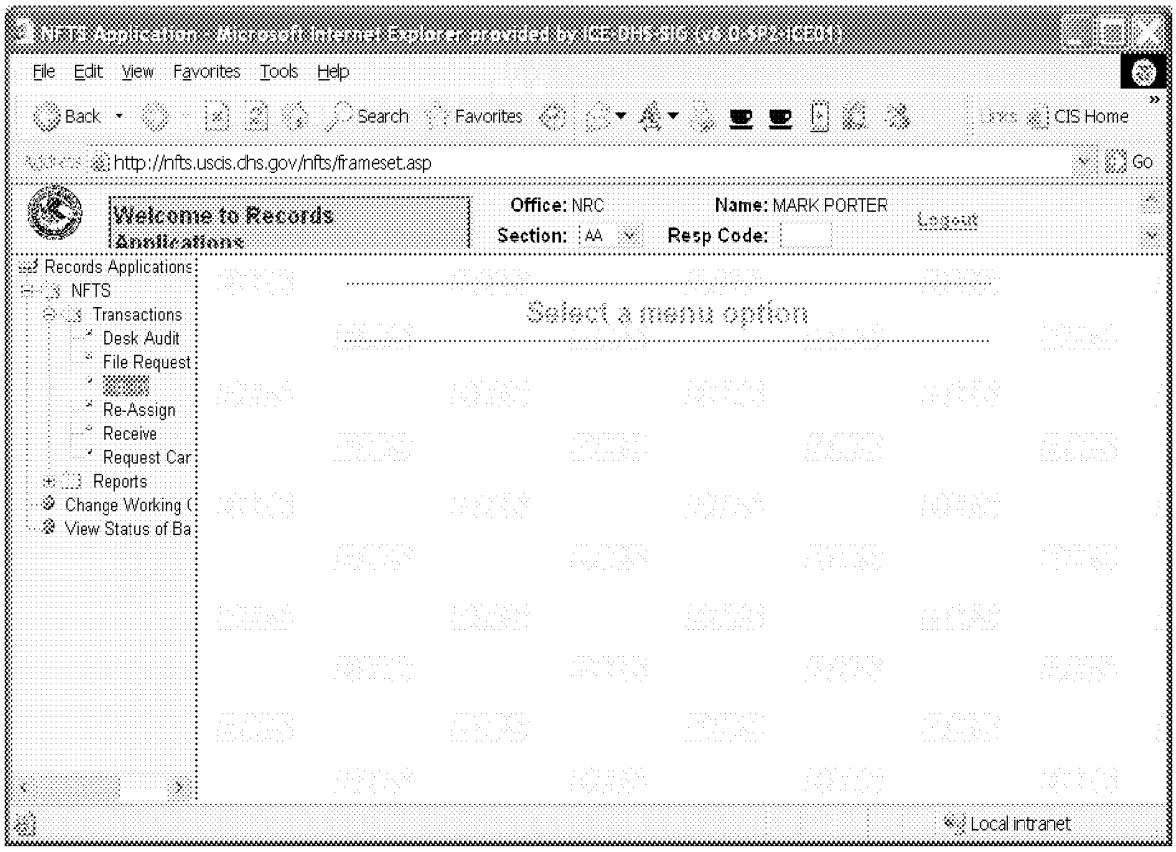
12.12.1.3 Select "Inquiry"



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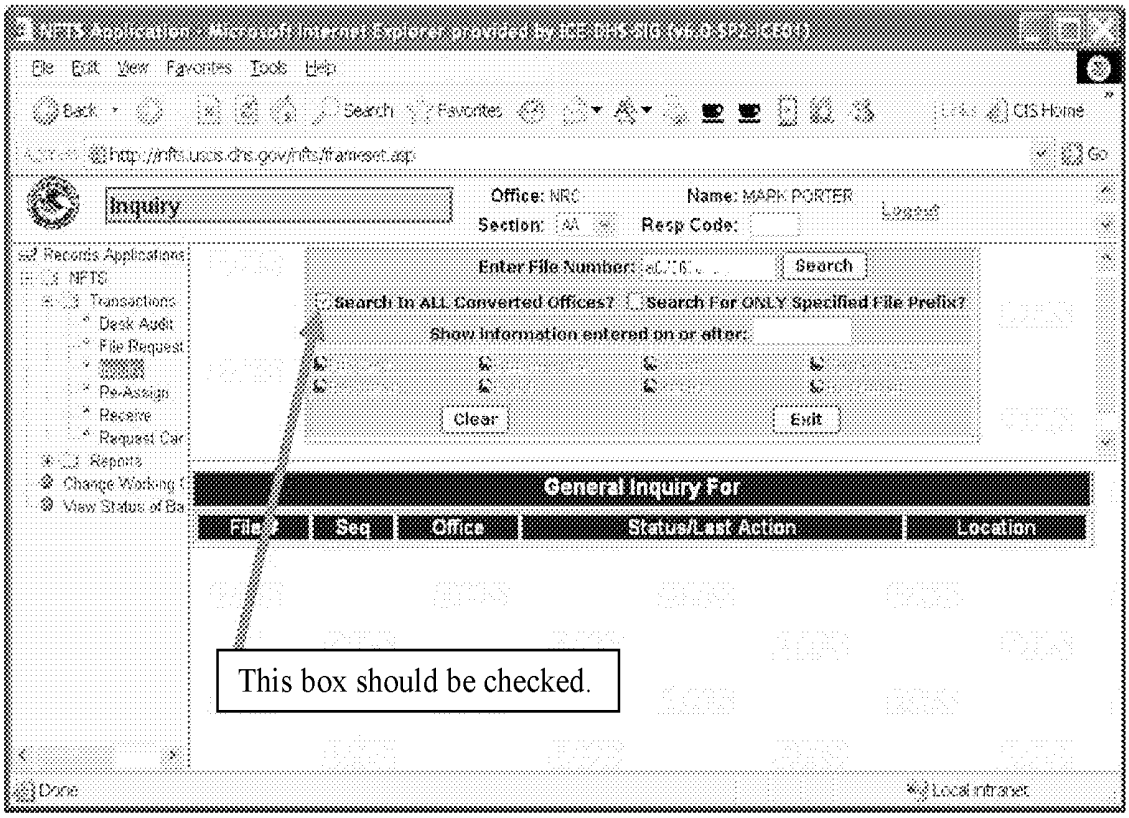
12.12.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-Number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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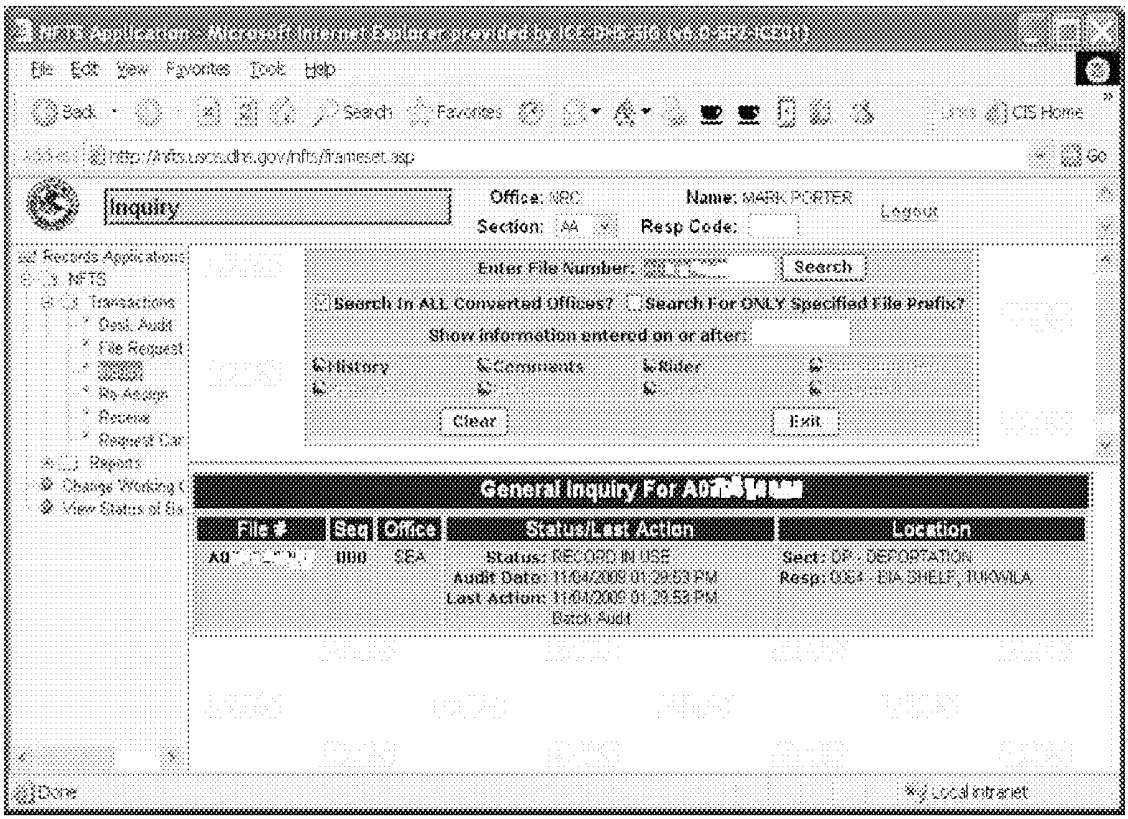
12.12.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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12.12.1.6 "Blued in" information

A. If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than the Kansas City area, staff to Non-FOIA for the FCO. Release 6.1.1.0 of NFTS expanded the Kansas City FRC to three locations – Lee's Summit, Lenexa and North Kansas City. All three of those locations are FRC staffings unless the file is digitized.
B. For any FRC other than those three locations, you should create a Non-FOIA staffing to the FCO listed under "Office." It can be confusing. Please refer to the example at the bottom of this section, in which you would staff to Non-FOIA Office, BAL.
C. If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
D. If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
E. "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
F. If "Request" is blued in, it does not change how we staff for the file. In this situation, we have to create a staffing for where the file is.
G. Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

Example - the file below is retired to the Washington FRC, but you should not staff to WAS. The FCO is BAL, so you should staff to Non-FOIA Office, BAL. The same principle applies if a file is retired to the SFR FRC - if the FCO is LVG, then you should staff to Non-FOIA Office, LVG, and paste in the screen shot of the Retired Inquiry.

Staffed to:
REQUESTED FILE

Office Code: NRC Control Number: NRC30130 Date: February 12, 2013

Alien Number: 0 Subject:

Retired Inquiry For A0

File #	Seq	Office	Retired Date	Accession Information	FRC Location	Box #
A0	000	BAL	5/29/1992 12:00:00 AM	Accession: 91-0125 Center: W - WASHINGTON FRC Sub Group: BAL	18201144	0011

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12.12.1.7 The FOIA Operations Division Intranet Page

An RPC beginning with "DP" should be easy because NFTS usually shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. A file could be available in records at NRC on shelf DP – and that is not an ICE staffing. Sometimes it is not clear. If that's the situation, we need to look at the FCO List, the Staffing Sheet Guide and the RPC Reference Guide. Those are available at the following address:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

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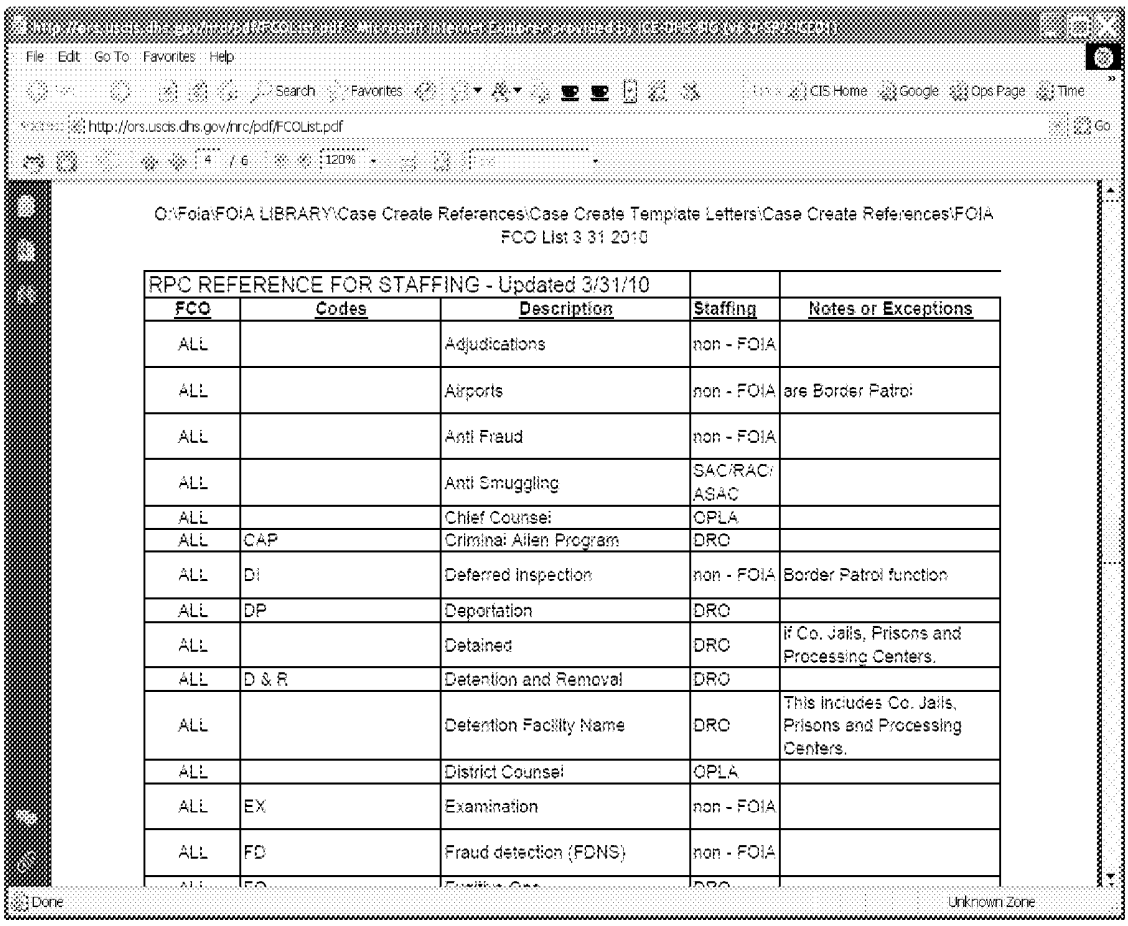
12.12.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. That is ordinarily true, and NFTS will usually say DP-Deportation, so you will have no doubt. Ordinarily, DP means Deportation, and the Staffing column says to staff to DRO. SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing. When you staff for any file that is for one of the ICE functions, be sure to change the Bureau to ICE and click Save.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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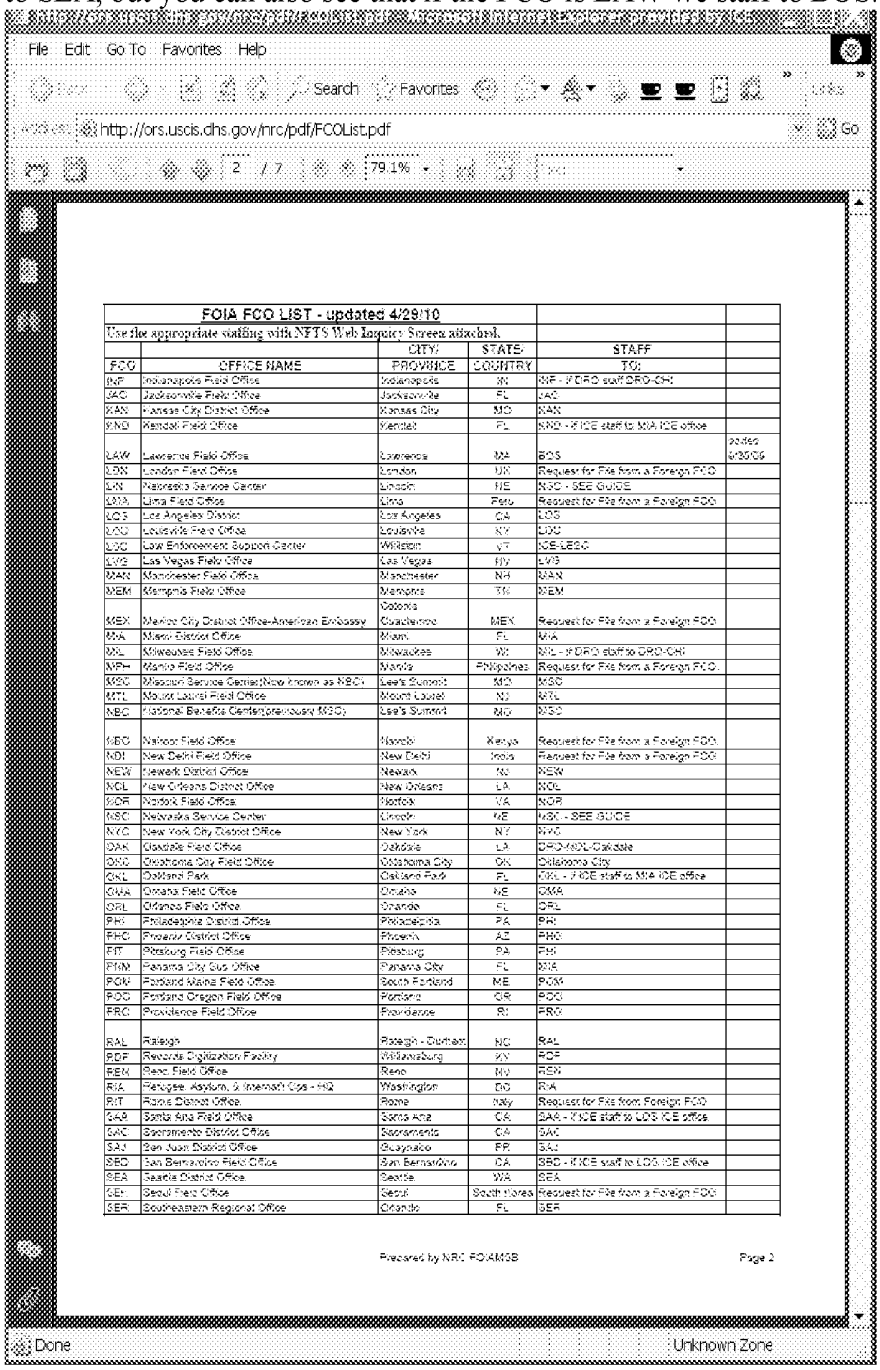
12.12.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

2 / 7 79.1%

FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	posted 6/30/05
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKL	Milwaukee Field Office	Milwaukee	WI	MKL - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/PA

Page 2

Done Unknown Zone

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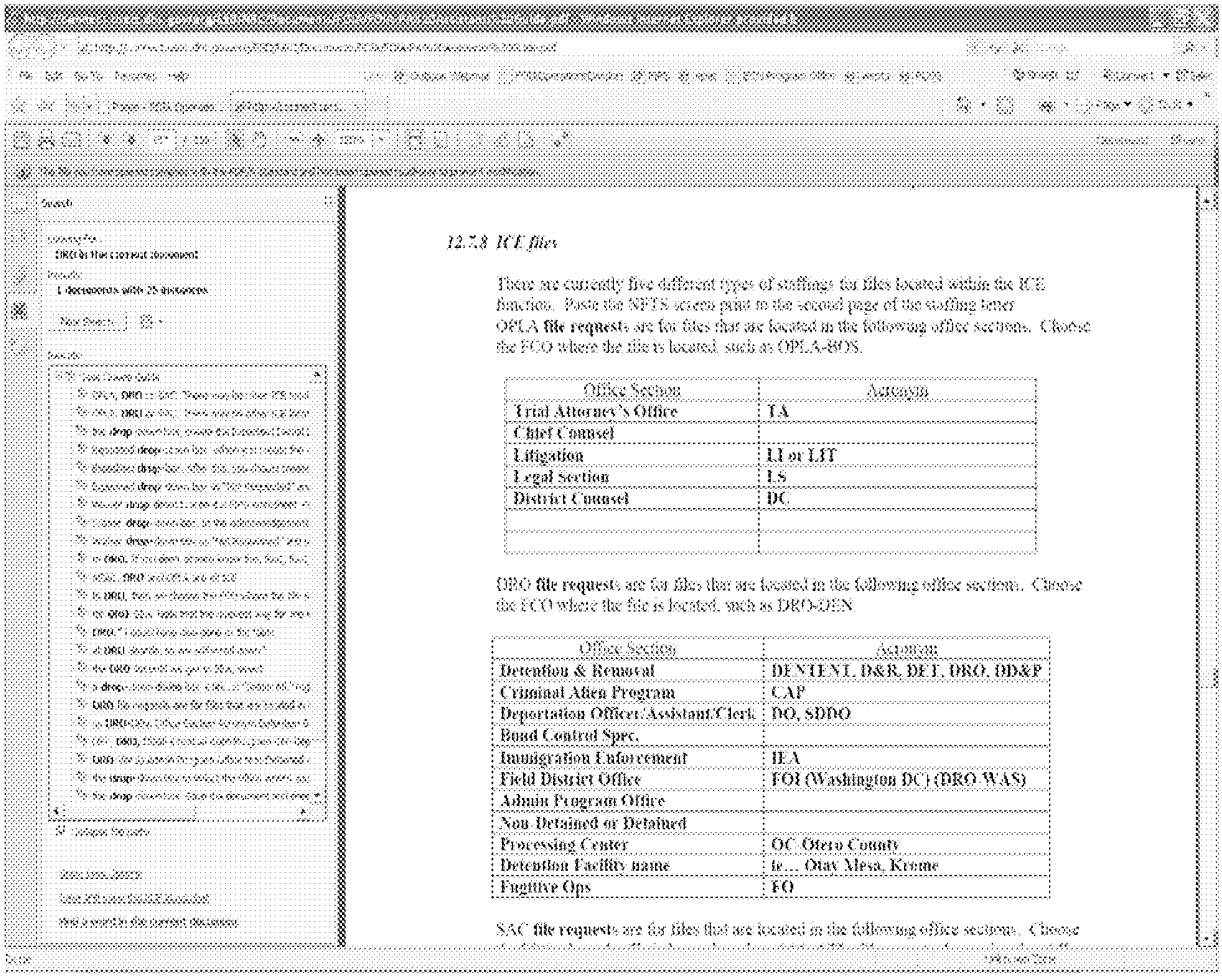
12.12.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios. If I *ever* have a doubt, I go talk with FST, because if I staff it correctly the first time, FST won't have to send it back to me and I won't have to do it over.



12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

DRO **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DEN UNL, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC Otero County
Detention Facility name	ie.... Otay Mesa, Krome
Fugitive Ops	FO

SAC **file requests** are for files that are located in the following office sections. Choose

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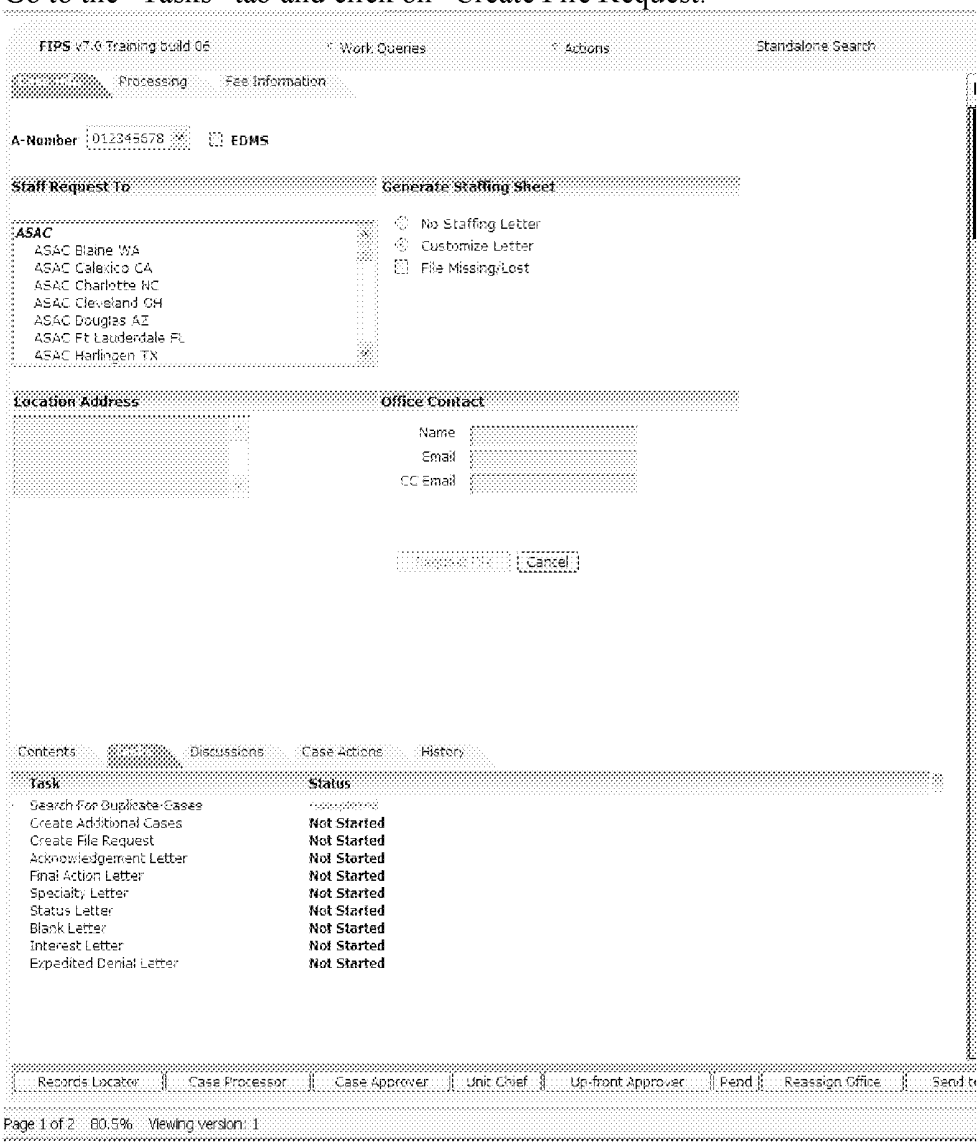
12.12.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it. You may save time by knowing what to type. Typing "DRO" will take us to the DRO list. If you had typed "SEA," it would have taken you to Non-FOIA Office, Seattle. If you had typed "SEAT," it would have taken you to Seattle OPLA. The "Request File" button may stay "grayed out" after you click on the office you want (see the example above). If that ever happens, click on an office you do not want, then click back on the office you do want, and "Request File" will not be grayed out anymore (see the example below).

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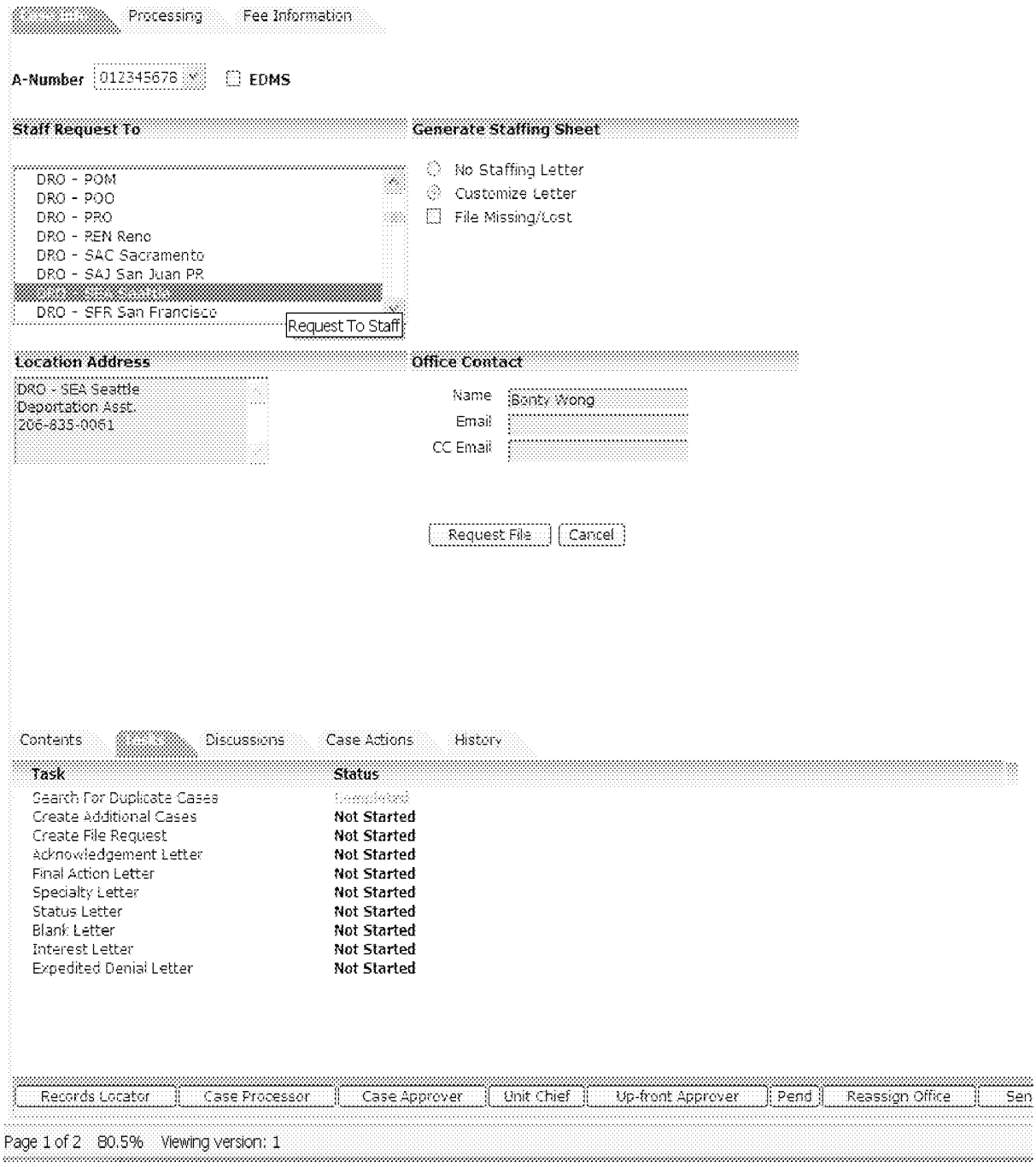
12.12.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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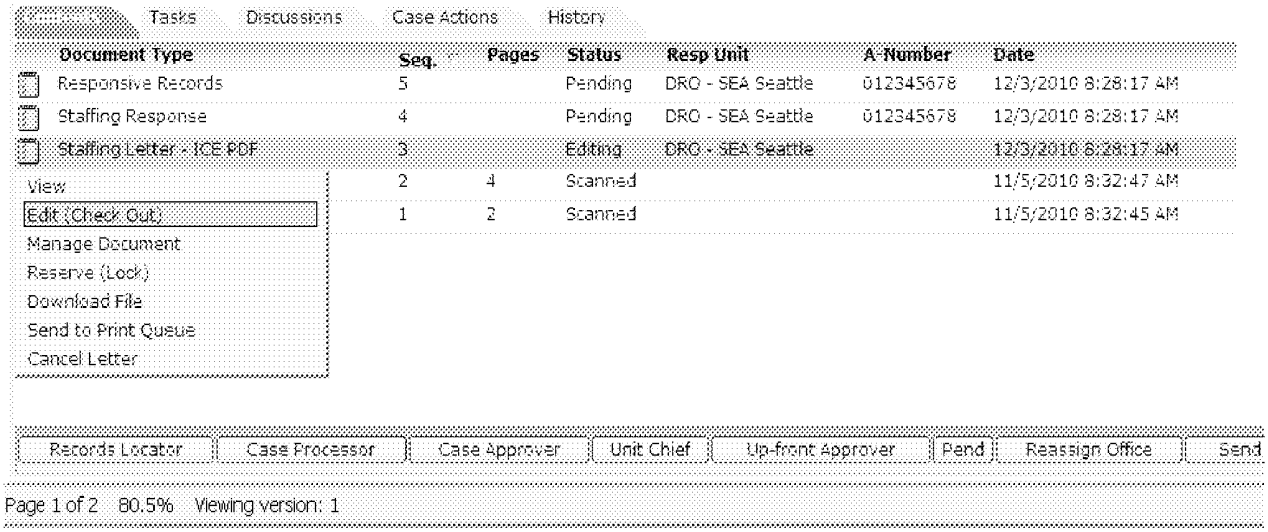
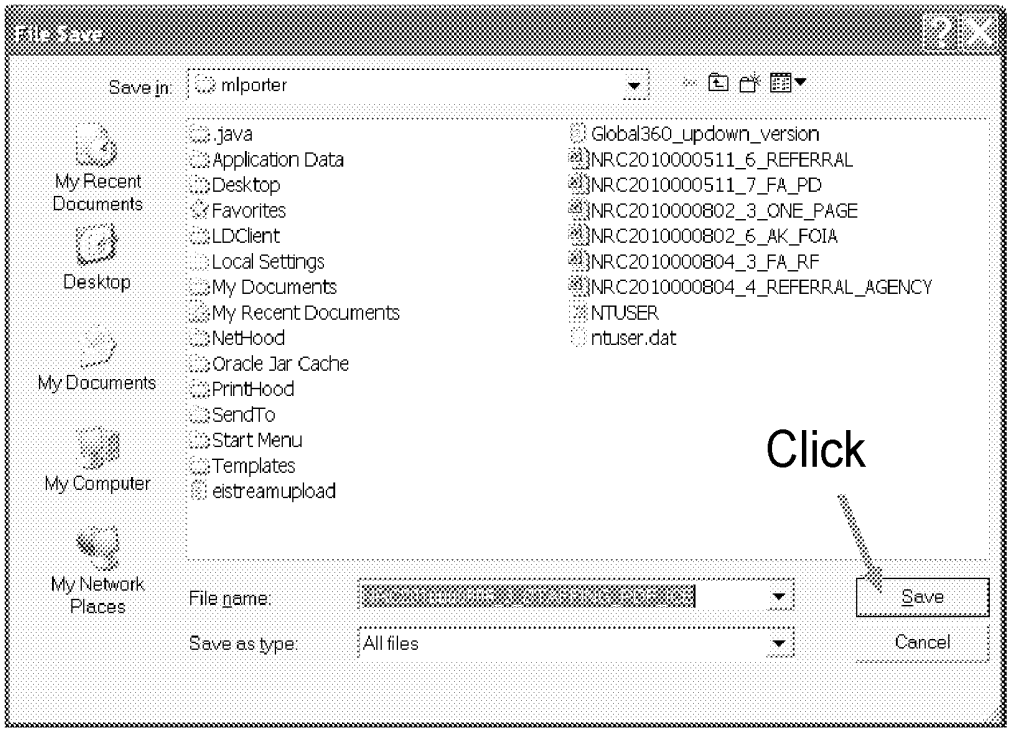
12.12.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." The File Save screen will appear and you click the Save button and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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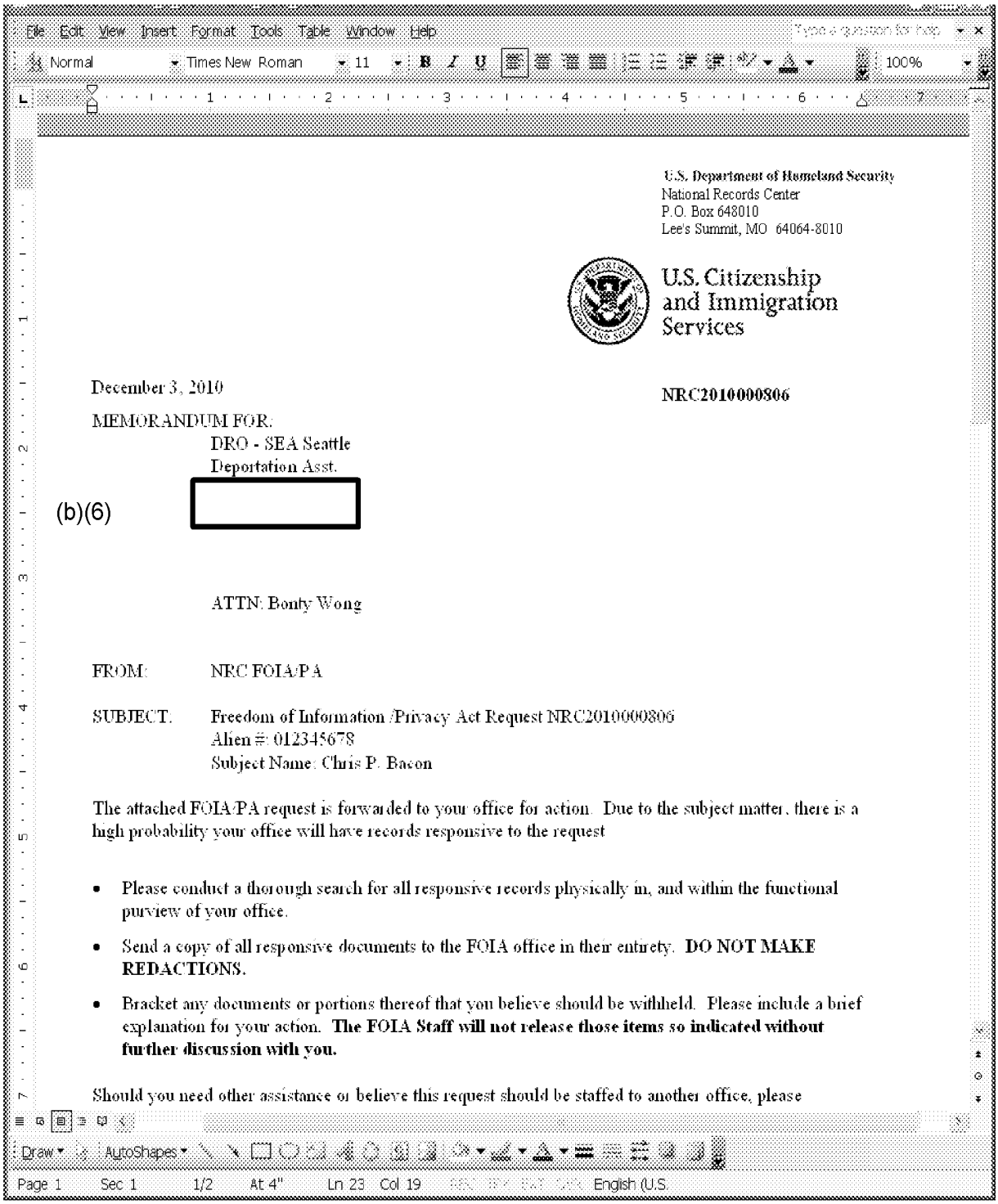
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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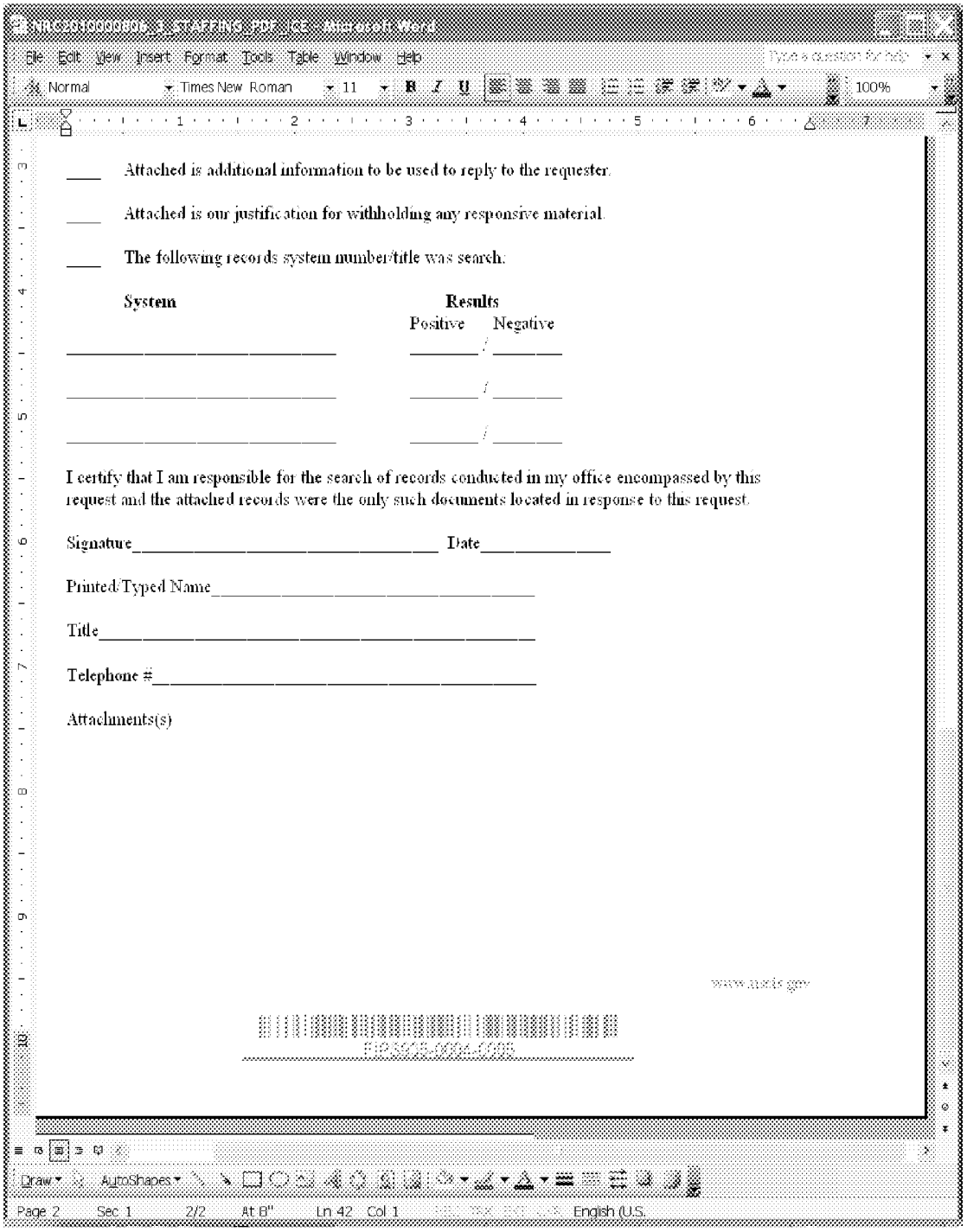
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____ /	_____
_____	_____ /	_____
_____	_____ /	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

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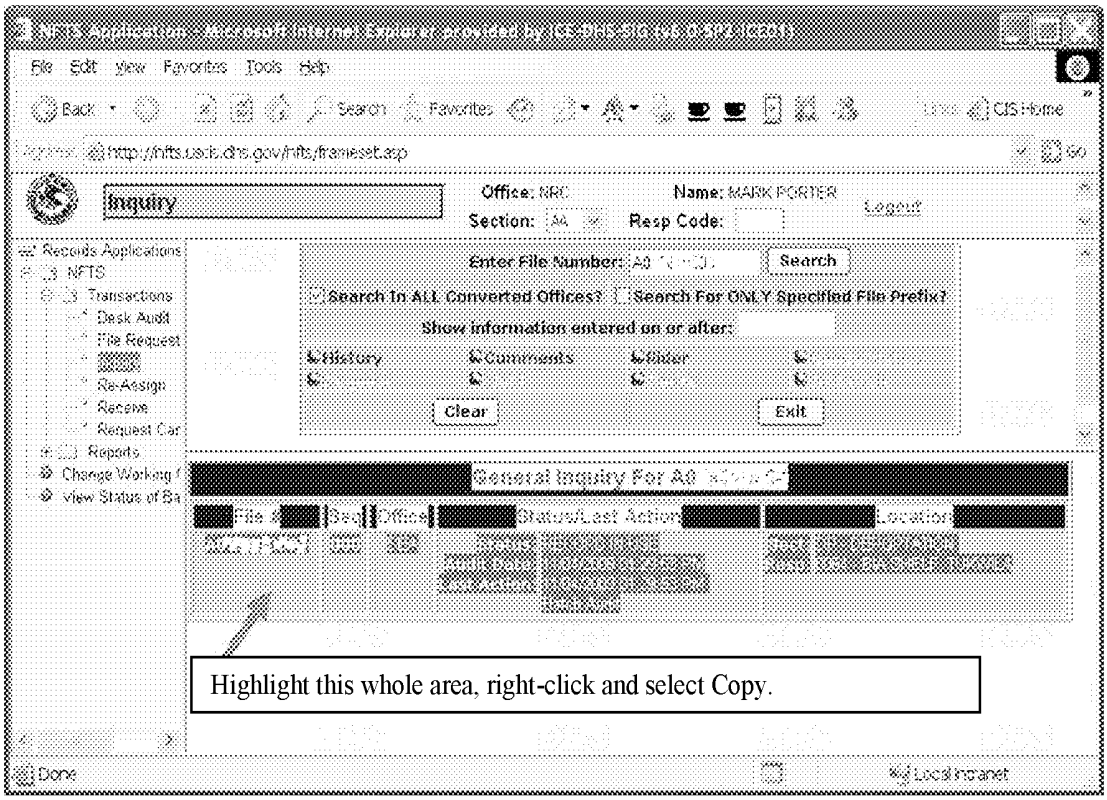
12.12.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Highlight the whole area, then right-click and select "Copy." Now we will paste the information into the staffing letter.



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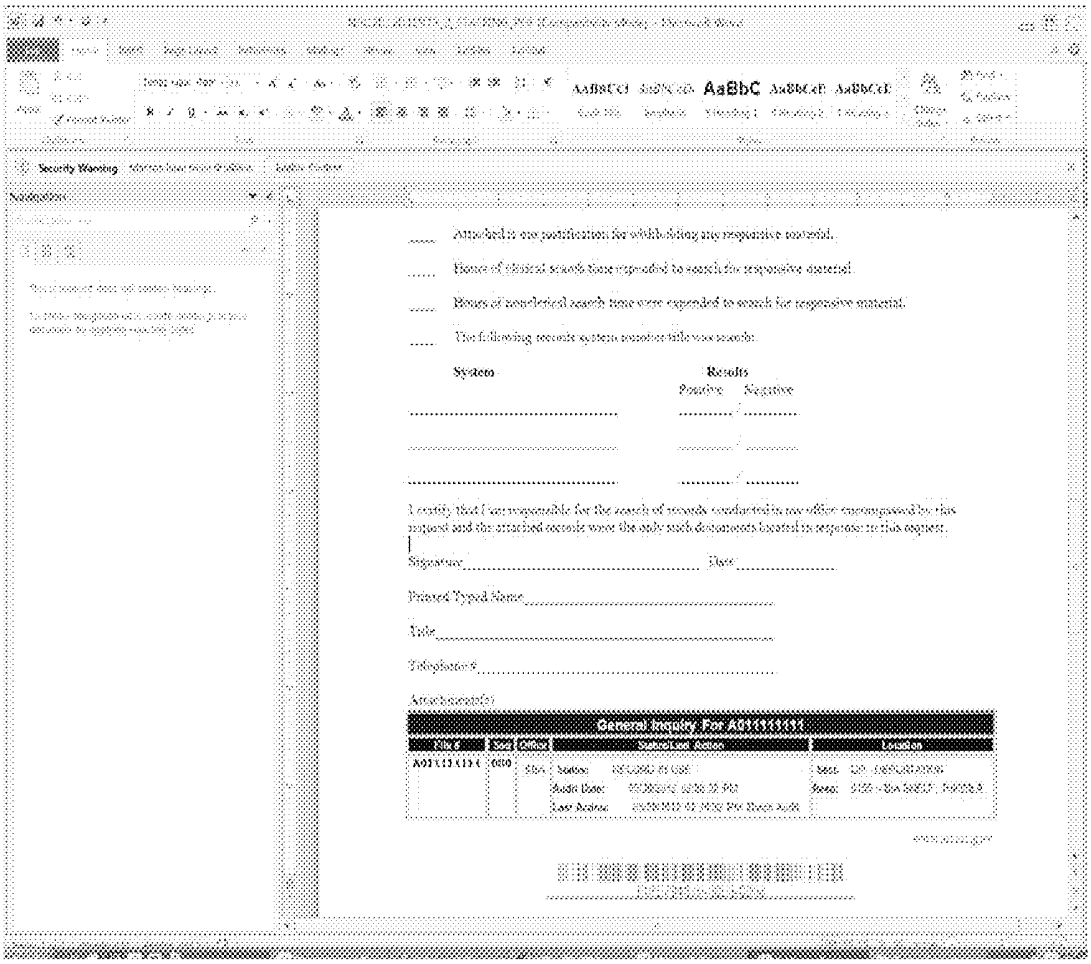
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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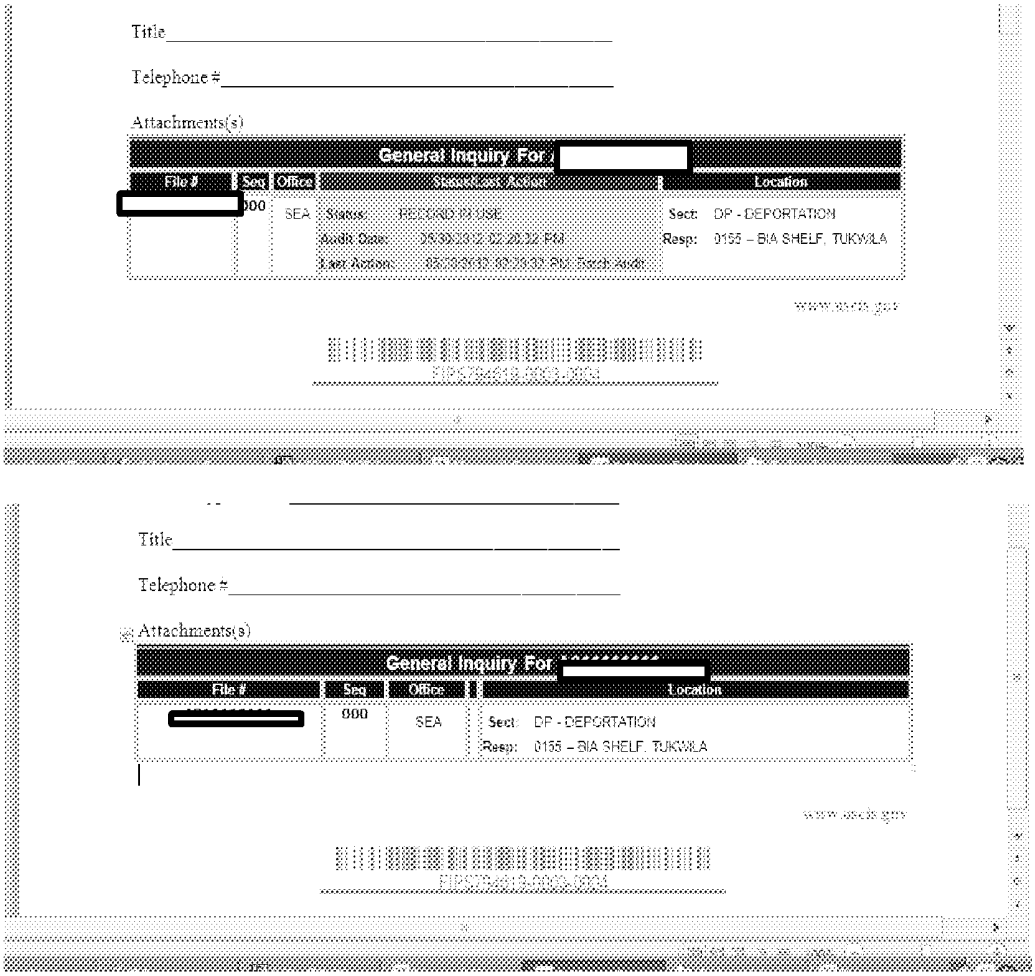
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.

(b)(6)



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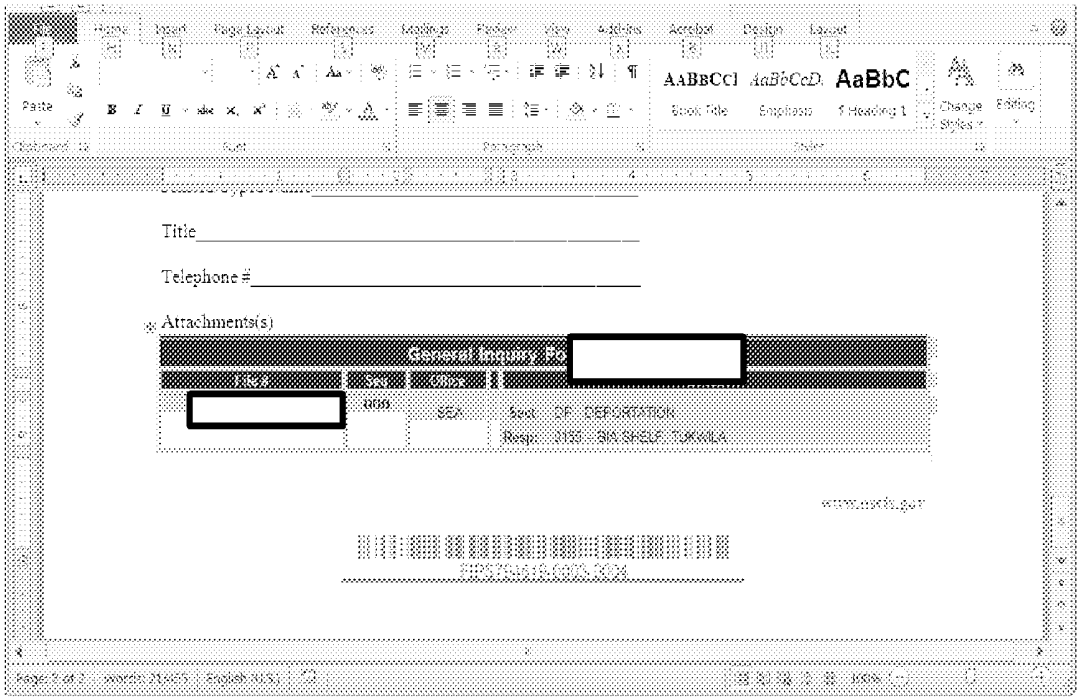
Next, highlight the whole area and change the font size to 12.

(b)(6)



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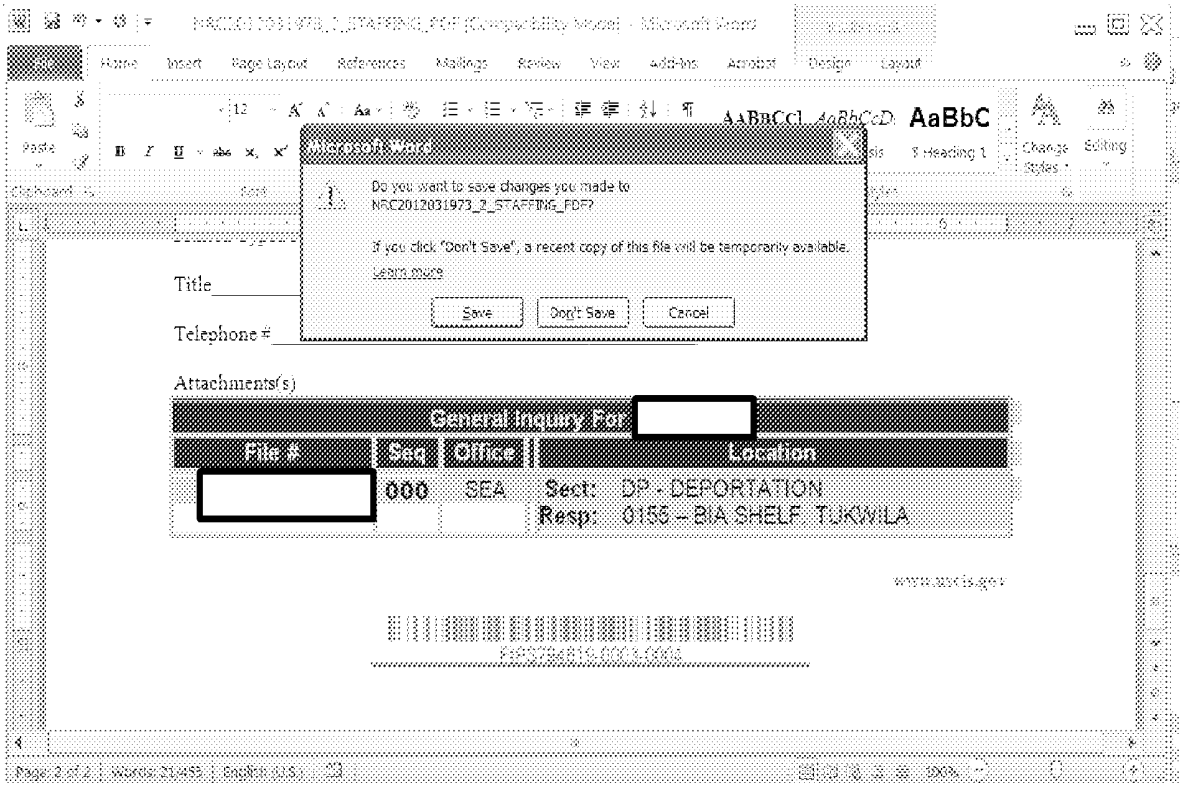
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

(b)(6)



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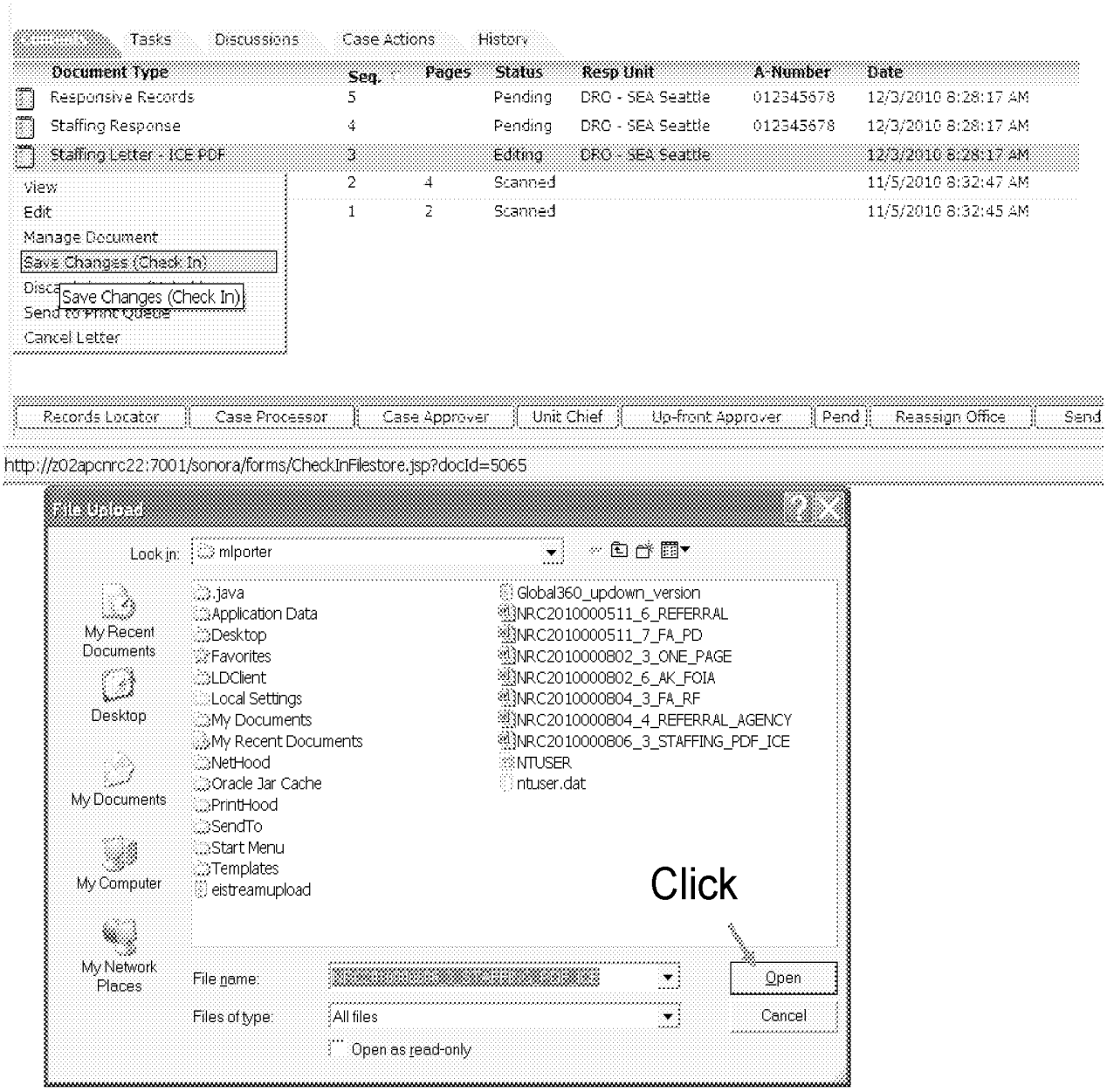
12.12.1.15 Save changes and check it back in

Click on the "Contents" tab and wait for it to refresh. You will then see a box icon that looks like a 3.5 inch disk to the right of the notepad icon. A single click on that will check your document in. If you do not see the box icon, click the contents tab again to refresh, and it will appear. Alternatively, you may click on the icon that looks like a notepad beside "Staffing Letter" and wait for the drop down box. You can then move to "Save Changes (Check In)." The screen shot below shows the person clicked on the notepad and waited for the drop-down box. In this example, when the drop-down box appeared, the creator clicked on Save Changes (Check In).



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After this, send the case to "Pend." If you are staffing for a file, you will always click "Pend."

12.12.1.16 Highlight the Correct File for Scanning

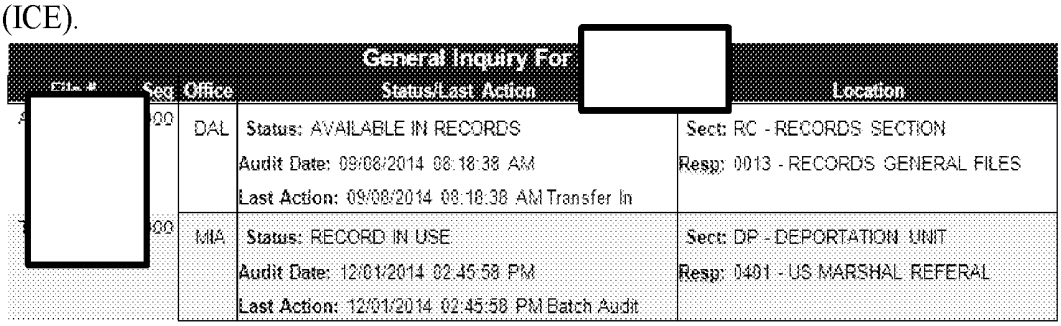
Section **12.18.11, T-files,** tells you never to crop the NFTS screen print.

However, if your screen print has more than one file, and you are requesting files from different locations, it can pose a problem for the contractor.

How will the contractor know which file(s) to scan? We have to make the correct file stand out to erase any doubt.

Consider the screen print example below. Here we have an A file and a T file at different locations. You will require two separate staffings, one to Dallas, the other to Miami – DRO (ICE).

(b)(6)



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First, we will staff for Dallas. You find DAL under the Non FOIA section; click Request File, and the staffing sheet pops up. Next, highlight the DAL A-number, **bold** and increase the size to 10-font.

(b)(6)

General Inquiry For [redacted]				
File #	Seq	Office	Status/Last Action	Location
A0[redacted]	0 000	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
T[redacted]	000	MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

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The first of your two staffing letters should look like this:

Staffed to: DAL
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2015000000 **Date:** June 4, 2015

Alien Number: [redacted] **Subject:** Happy G.

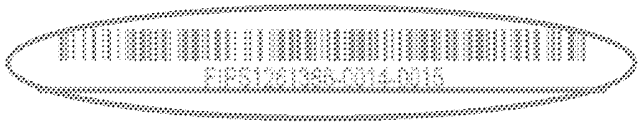
(b)(6)

File #	Seq	Office	General Inquiry F[redacted] Status/Last Actio	Location
A0[redacted]	000	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
T[redacted]	000	MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
_____ is attached
_____ could not be located.

_____ _____
Printed Name Phone

_____ _____
Signature Date



Make sure nothing interferes with the barcode at the bottom of the page. Click and drag the "This is to certify…" section up and away from the barcode if you need to.

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Now we will prepare the staffing sheet for Miami – DRO (ICE).

Since this is an ICE staffing, the staffing sheet will be in letter format. Place the entire screen print just below the word "Attachments" but above the barcode.

Highlight the MIA - DRO A-number, **bold** and increase the size to 10-font.

____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

(b)(6)

General Inquiry For [redacted]

File #	Seq	Office	Status/Last Action	Location
[redacted]	000	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
TC	000	MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

www.uscis.gov

FIP5128138S.0017.0018

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If your screen print is too large to fit between "Attachments" and the barcode, place the cursor before the screen print and then click "Ctrl + Enter." This will move your screen print to the next page.

12.12.2 Two or more A-Numbers

Multiple unconsolidated A-Numbers - If the Requestor has provided more than one A-Number, you must research CIS for each A-Number to determine if they relate to the subject. If the subject has multiple A-Numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must include the words **"MULTIPLE STAFFINGS"** near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. FST will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-Numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at O:/Government_Contractor Shared Folder/files to consolidate.xls You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.12.3 Consolidated A-Numbers

If the alien has a consolidated A-Number, then please enter only the lead (or surviving) A-Number on the worksheet in FIPS and request that file. Consolidated A-Numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-Number listed first is the primary A-Number; the other A-Numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-Numbers to the "files to consolidate" spreadsheet.

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12.12.4 Empty Jackets

General Inquiry For A300000000				
File #	Seq	Office	Status/Last Action	Location
A30000000	000	HAV	**Status:** EMPTY JACKET **Audit Date:** 05/09/2010 01:55:40 PM **Last Action:** 05/09/2010 01:55:40 PM Batch Audit	**Sect:** ADJ - Adjudications **Resp:** 0000 - Adjudication II - - 0000

If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.18.12.

.

12.13 Border crossing card number

If the alien number provided by the Requestor is an 80,000,000 through 86,999,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. Please research CIS, PCQS and CLAIMS to see if there are any other A-files/receipt files associated with this alien, because you will staff for those files, if you find any.

Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, then do the following:

a. Create the case.
b. If you have access to PCQS, search PCQS and print any data you find. It is better to provide PCQS screen prints, so if you do not have access to PCQS, please locate a person who has PCQS to print those screens. If that is not possible, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223.
c. Prepare the screen prints for scanning into this slot as responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned, and then take the responsive records to the designated person. (The current designated person will be posted by FOIA Operations on the ECN page.)
d. Open a RAFACS (not RAFACS/CIS) staffing slot. Make sure "Customize Letter" is selected. You do not have to modify the staffing letter.
e. Prepare a discussion explaining what you did, prepare any correspondence, and then pend the case.

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Note: Alien numbers from 87,000,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections 12.16 and 12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in 12.18.14.

12.15 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

12.16 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the Requestor provides a receipt number on their request, log into CLAIMS or PCQS and verify the information.

If the Requestor provides only a receipt number, and that receipt number is from a service center, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files with a prefix from other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work authorizations, but we cannot request those. For instance, you cannot request receipt number

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LOS0530775120, no matter where it is. However, if you find an unconsolidated receipt file LIN0530775120, and it is at LOS, you can request it.

A receipt could be either an application or a petition. For example, Form I-90 is an Application to Replace Permanent Resident Card. The applicant is requesting a benefit for himself or herself. Form I-360 is a Petition for Amerasian, Widow(er), or Special Immigrant. It is a "self-petition." With form I-360, the petitioner and the beneficiary are the same person and so VOI and consent requirements are the same as for an A-file.

With many other petitions, the "petitioner" and the "beneficiary" are not the same person. That petition will always belong to both parties – both the petitioner and the beneficiary, except that sometimes the petition has been consolidated into another Privacy Act record: the beneficiary's file. The Alien File is stored and retrieved by a unique identifier belonging to only one person: the subject of record (SOR). We need SOR consent to open the A-file, even though the A-file could contain information that belongs to another person.

The following is a list of petitions in which the petitioner and the beneficiary are not the same person:

I-129F	Petition for Alien Fiancé(e)
I-130	Petition for Alien Relative
I-140	Immigrant Petition for Alien Worker
I-600	Petition to Classify Orphan as an Immediate Relative
I-730	Refugee/Asylee Relative Petition
I-800	Petition to Classify Convention Adoptee as an Immediate Relative

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

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This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

- If the Requestor wants a copy of a petition or supporting document,
- and the petition has been consolidated into the beneficiary's A-file,
- and the Requestor did not provide certification of agreement from the beneficiary,
- close the case TD.

When the Requestor needs a copy of a petition or supporting documents:

Where is the PETITION?	Who is the Requestor?	
Unconsolidated	Petitioner	Staff for the petition.
Unconsolidated	Beneficiary	Staff for the petition.
Beneficiary's File	Petitioner	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. We need either certification of agreement from the Beneficiary or we close the case TD.
Beneficiary's File	Beneficiary	Staff for the A-file.
NVC	Petitioner or Beneficiary	If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the Track is TRACK 1. Create the request using

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	RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints in OneNote and send an email to FOIAPROGRAM@uscis.dhs.gov On the subject line, put the control number and the SOR's name. Pend the case.

Special Cases:

NFTS shows petition has been destroyed in accordance with records retention schedule.	**Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it was destroyed.**
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does not provide certification of agreement from beneficiary.	Prepare RAFACS staffing. Provide screen prints from PCQS.
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does provide certification of agreement from beneficiary.	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. Staff for the beneficiary's A-file.
NFTS shows "Deleted."	First, check history in NFTS. If it shows transferred to NVC, do not redirect to the NVC. Have the screen prints scanned in as responsive records. Make sure the track is TRACK 1. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints in OneNote, and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov On the subject line, put the control number and the SOR's name. If they do not have it, prepare a RAFACS

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	staffing. Provide screen prints from PCQS.
NFTS shows "No record of the receipt"	Look to see if there is information in the history.
NFTS shows the petition is at HBG pending destruction.	Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it is pending destruction.
NFTS shows the petition is at HBG, but the RPC starts with XX, XY, ZG, ZY, or ZZ.	It's digitized. Refer to the Staffing Sheet Guide. If unsure, consult FST.

For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.17 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

12.18 Staffing Scenarios

12.18.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a red-letter banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

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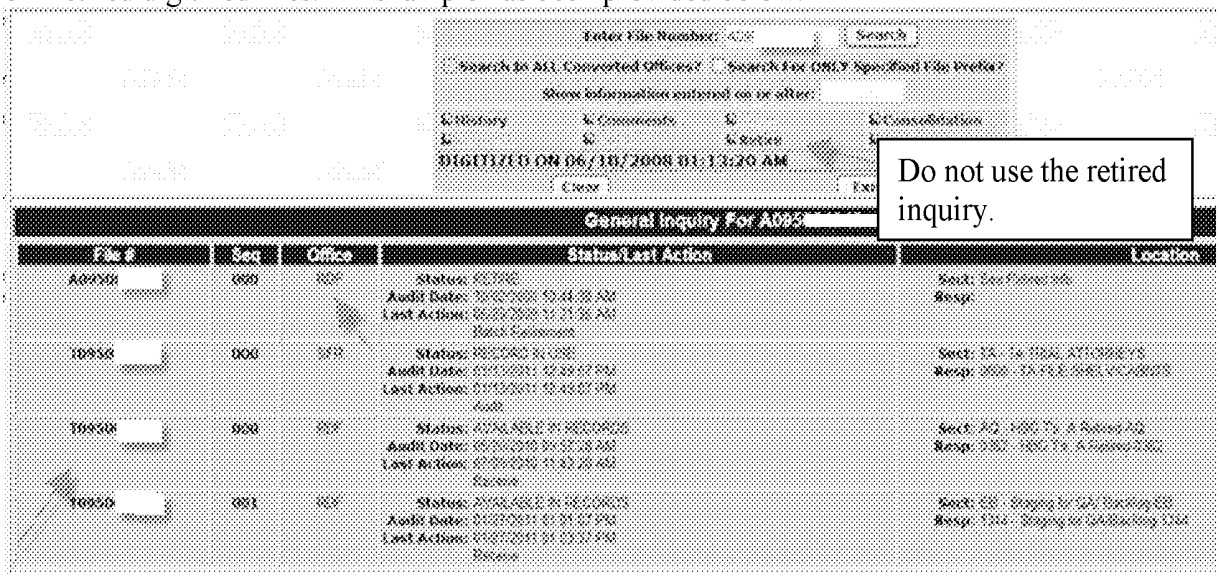
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.

Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. FST will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.



In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

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12.18.2 Files Lost or Not Found LESS THAN SIXTY DAYS (Flowchart at Appendix H)

12.18.2.1 Verify that the A-file is lost less than sixty days in NFTS and CIS-9504. A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "File located IND." Print the 9504 Screen print.

12.18.2.2 Search and staff for any additional non-consolidated T-files or receipt files. If you find no related T-files or receipt files, input the lost A-Number into PCQS. Open a RAFACS staffing slot and have the screen prints added as responsive records along with a CIS-9101 screen print.

12.18.2.3 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the lost A-file. Print the screen prints and attach as a CSD.

12.18.2.4 Complete the lost file worksheet. Fill out as much information as you can. Attach the lost file worksheet, the CIS 9101 screen prints, and the 9504 screen print as a CSD.

12.18.2.5 Click "In Circular Search" and click Save. Staff using the Lost File at FCO;_____ File request (include the FCO that shows the file is lost). Under "Create File Request" mark the box "File Missing/Lost". Select Lost file at FCO:____. Click request file. Modify the letter by attaching a copy of the 9504 screen.

12.18.2.6 To determine a numerical value for days the file shows Not Found, you may refer to the Julian calendar in Appendix H of this guide. From NFTS General Inquiry, use the date of "Last Action" or from CIS 9504 use the Date FTI. Calculate the number of days remaining until the case reaches lost for sixty days and manually repend the lost A-file. If the number of lost days is more than 60, go to paragraph 12.7.3. For example: A-file shows Not Found in CIS for 35 days, 60 days – 35 days = 25 days remaining. You would set the new number of days to pend to 25.

12.18.2.7 Generate the acknowledgment letter. Click add lost file paragraph. FIPS will insert the lost file paragraph right after the CD paragraph.

12.18.2.8 Verify "In Circular Search" is still clicked. Include Discussion to note all systems searched and date the file was lost. You are done.

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References

- Enterprise Collaboration, ECN Network /Case Create Library

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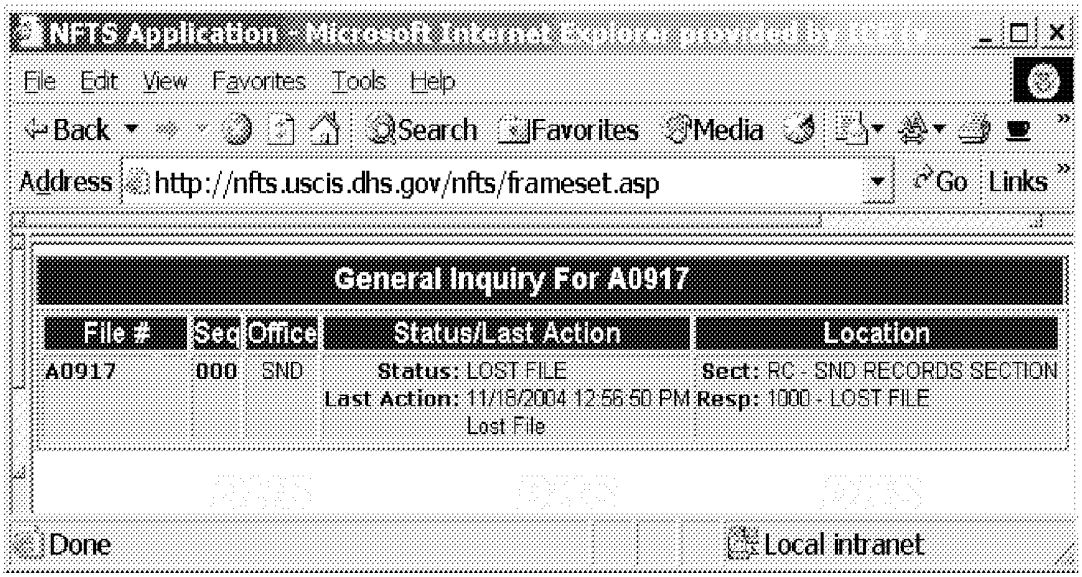
http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than sixty days ago, move to the next section of this guide, Files lost or not found MORE THAN SIXTY DAYS.

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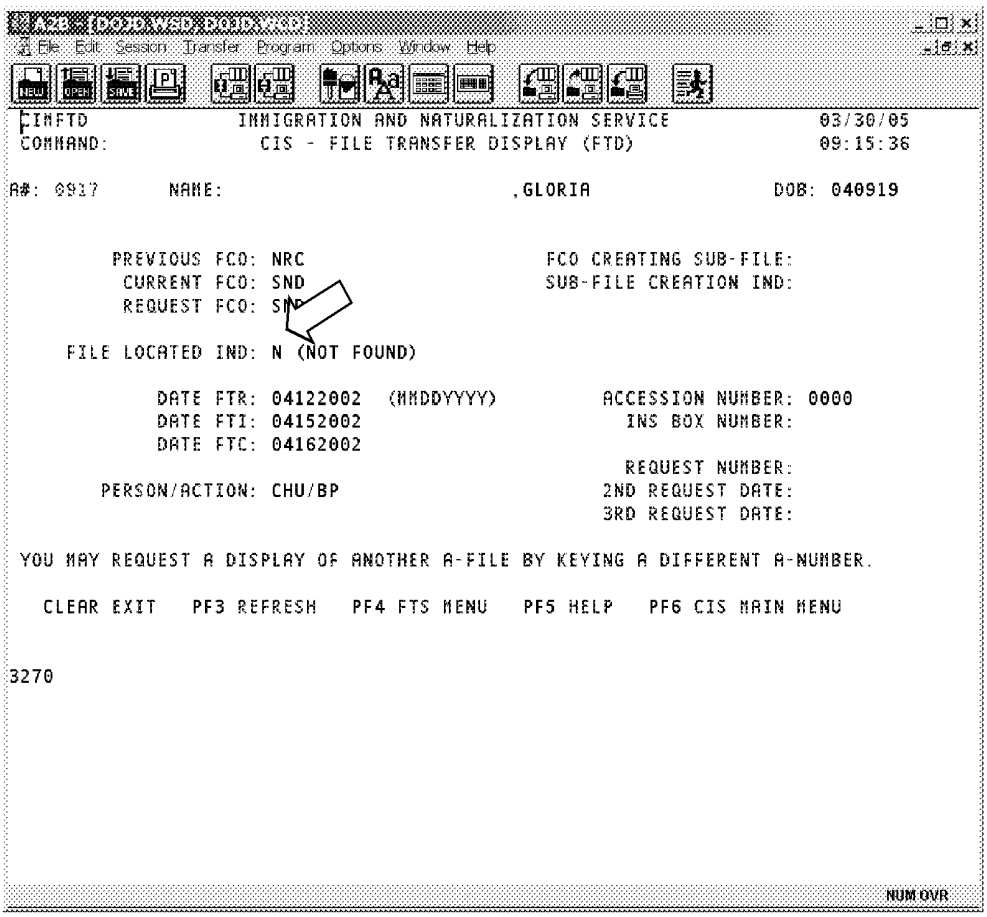

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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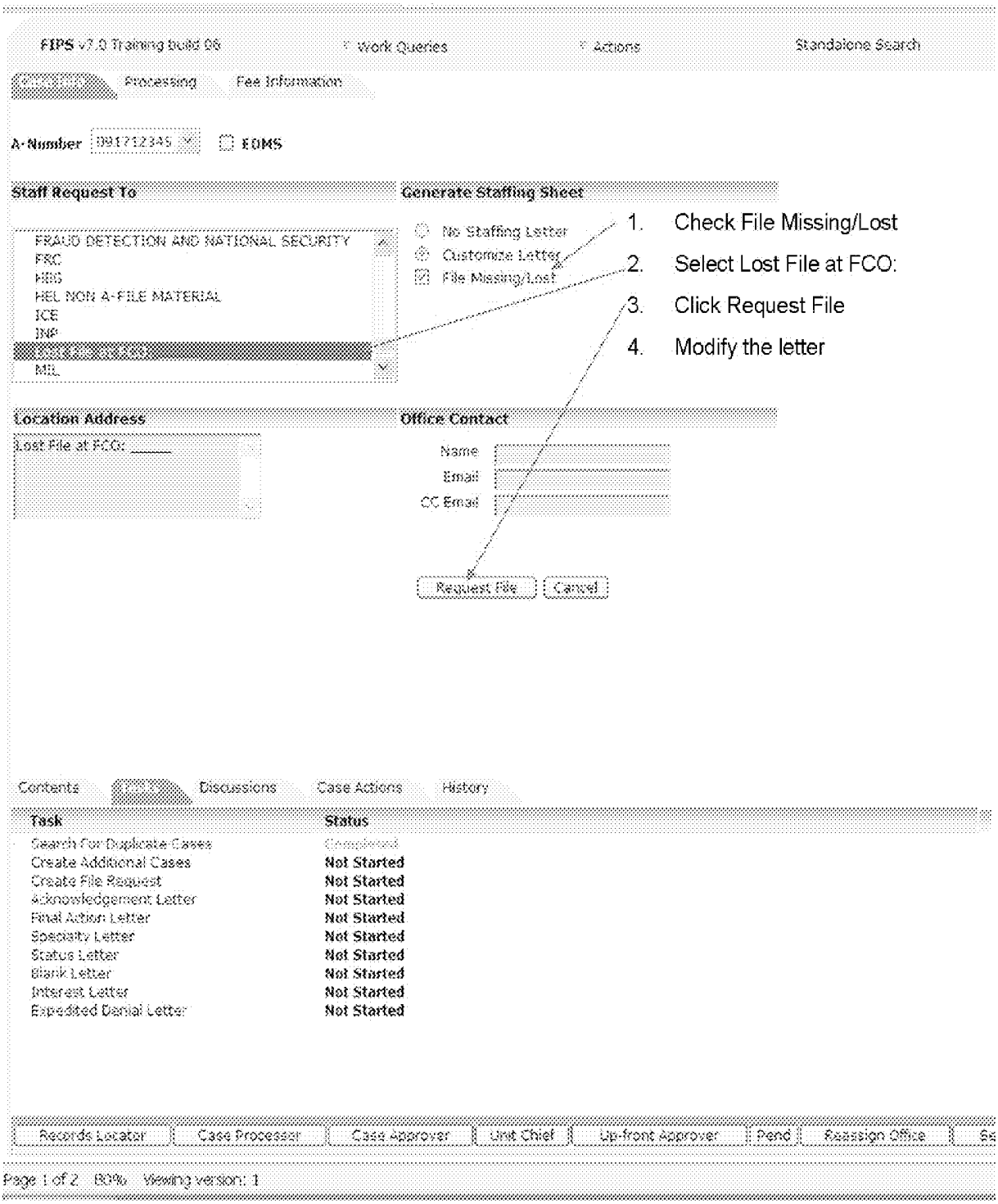

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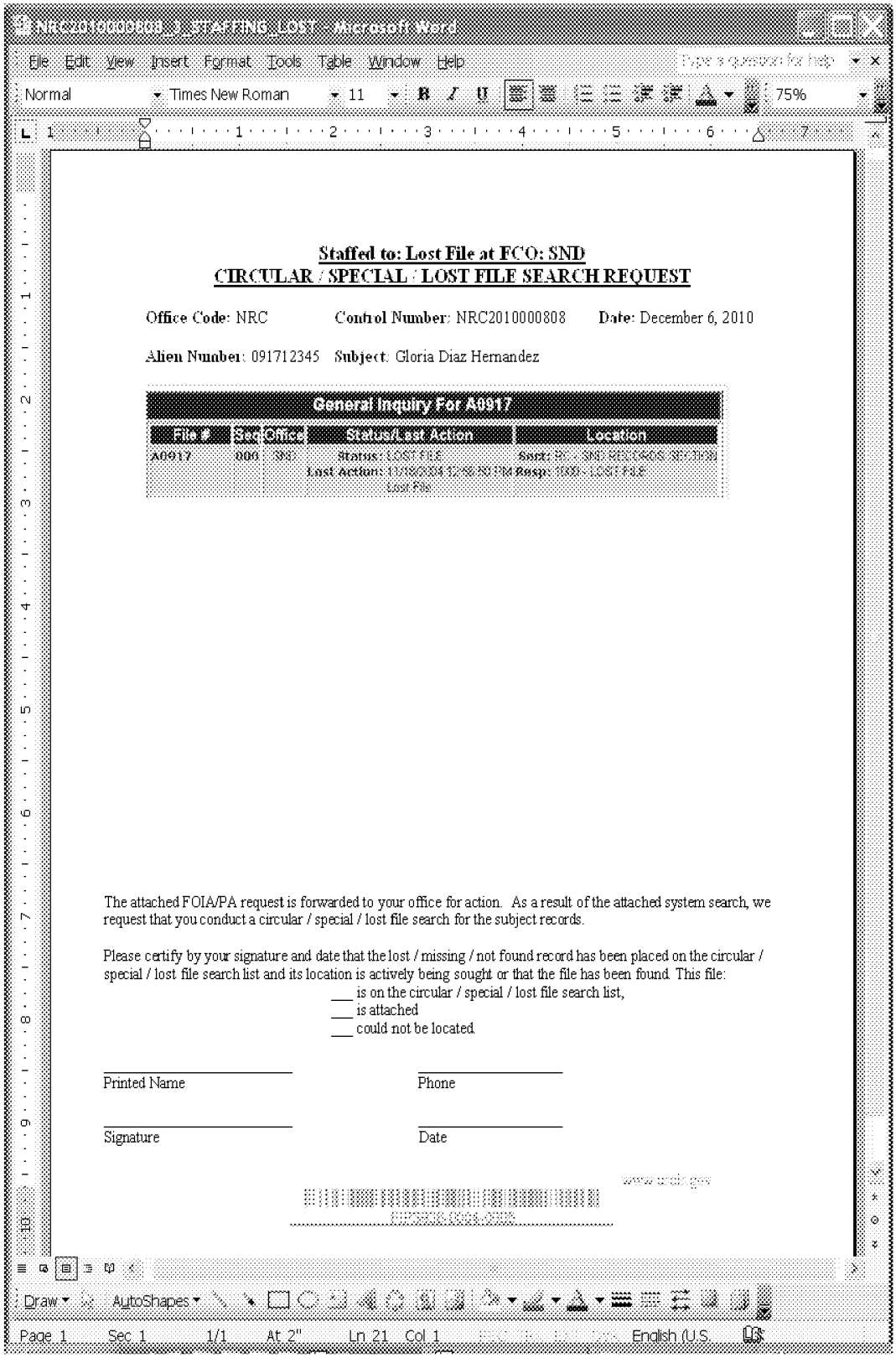

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number:** NRC2010000808 **Date:** December 6, 2010

Alien Number: 091712345 **Subject:** Gloria Diaz Hernandez

General Inquiry For A0917

File #	Seq	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:00:00 PM Lost File	Sent: 09/... SND RECORDS SECTION Resp: 0000 - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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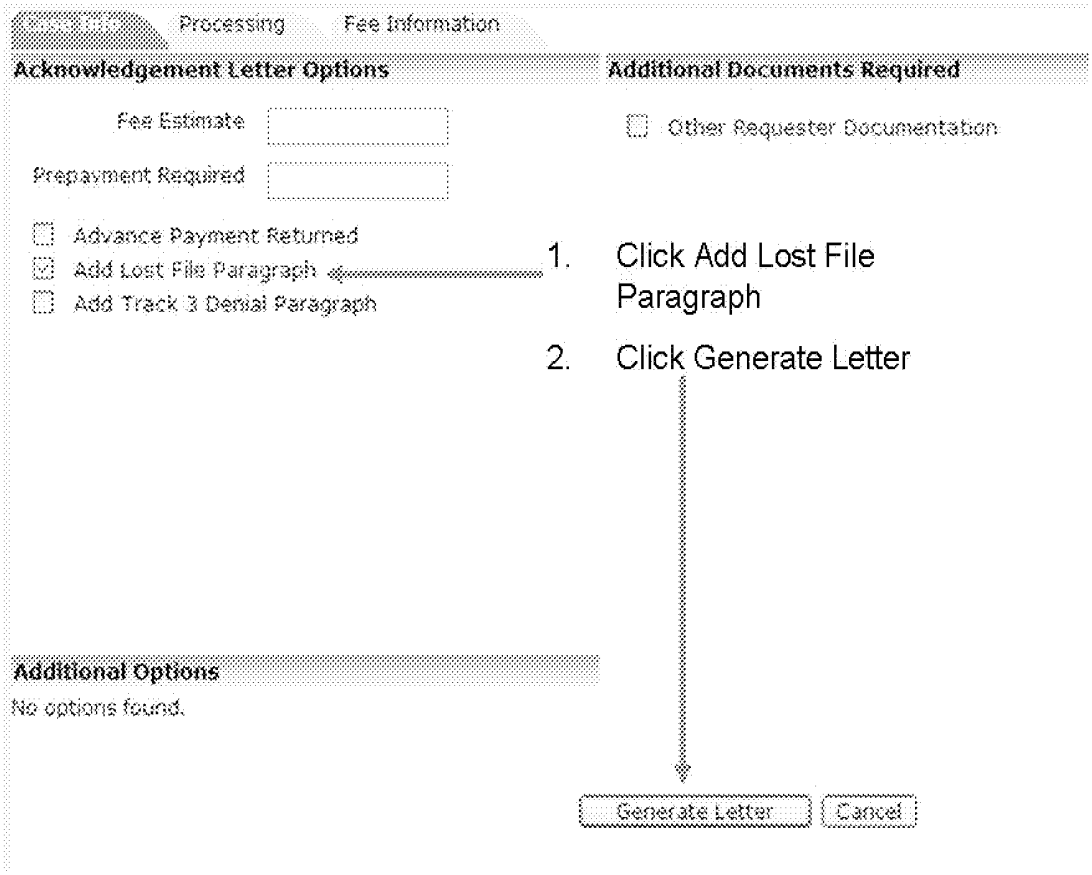

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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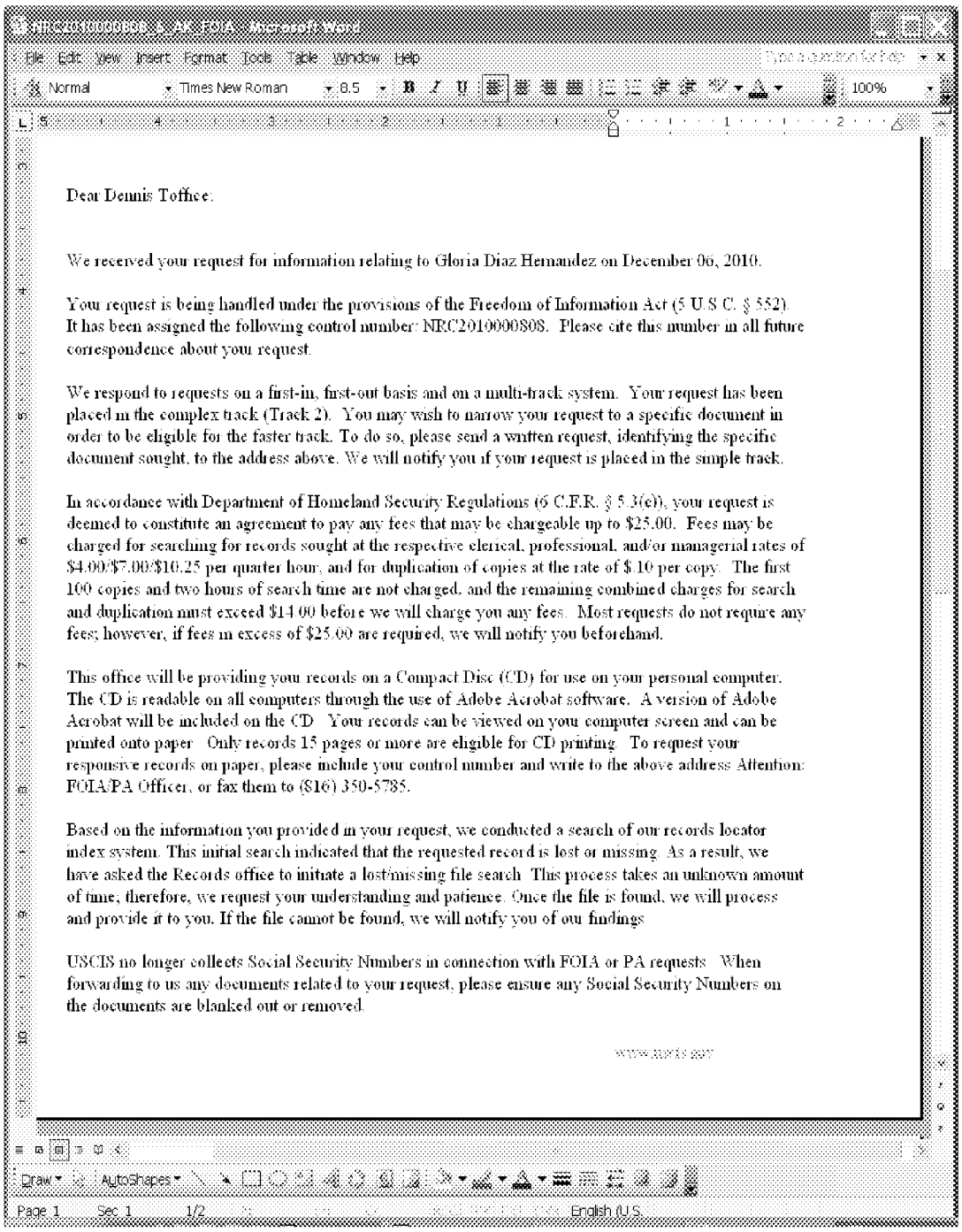

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about you request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing you records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

www.uscis.gov

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

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12.18.3 Files Lost or Not Found MORE THAN SIXTY DAYS (Flowchart at Appendix H)

12.18.3.1 Verify that the A file is lost in both NFTS and CIS 9504. If either CIS 9504 or NFTS has a lost date less than 60 days, you must use the less than 60 day process. DO NOT staff for the A file.

12.18.3.2 Search for any non-consolidated T-files and receipt files. If you find something, insert the following case note. "A-file number XXXXX is currently showing as lost. Staffed for the following files: XXXXXX. Once received, please review. Please also verify that the original a-file is still lost. Please process as a PD and advise the Requestor that the original a-file is lost." Pend case for responsive records. You are done.

12.18.3.3 If you do not locate any additional A-files, T-files or receipt files, input the lost A-Number into PCQS, open a RAFACS slot, print all available screen prints and scan into case as responsive records.

12.18.3.4 Complete the lost file worksheet. Fill out as much information as you can. This along with the screen prints helps prove that we conducted a duly diligent search, which becomes important if the Requestor appeals.

12.18.3.5 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the Lost A-file. If you find any A-Files that may be related, insert the following case note and send to Unit Chief. "A-Number has the same last name as the subject. Possible related A-File. Sending to Unit Chief for further investigation." A supervisor will review the case and send back with further instructions.

12.18.3.6 If you do not find any related A-Files, print the CIS 9101 screen prints, CIS 9504 Screen print, the 2 up and 2 down screen prints and the lost file worksheet. Have them scanned as CSD.

12.18.3.7 Generate the Acknowledgement letter. Click "Add Lost File Paragraph" button so the lost file paragraph will be inserted into the ack letter.

12.18.3.8 Include note to Case Processor: "A-file has been lost for more than 60 days. Unable to locate any additional A-files, T-files or receipt files and provided a copy of their electronic record. Please advise the Requestor that the original a-file is lost, but we have provided them an electronic copy of their record."

12.18.3.9 Pend the case for responsive records.

12.18.3.10 Include in your Discussion all systems you checked and specify the date the file was lost in CIS and NFTS.

Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References
- Enterprise Collaboration, ECN Network /Case Create Library
  http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

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LOST FILE WORKSHEET

NRC_____

A-Number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second A-Number and/or consolidation
    a. Second A-Number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.18.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically an NFTS screen. If the receipt is archived in CLAIMS and not found elsewhere, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address.

12.18.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-Number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the Requestor/subject will provide an A-Number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure Requestors provide the minimum information to allow a positive identification (i.e., full name, date and place of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS, PCQS and/or CLAIMS for a record. If you find no record, please

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refer to section 12.18.6. It is important that you provide as much as possible on the Records Indexing file request. The name of the subject, year of birth and information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create References. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

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Records Remarks:

TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.18.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.

When conducting "no record" research, do the queries of all CIS and PCQS or CLAIMS searches as directed. Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched. Send to Up-front Approver.

When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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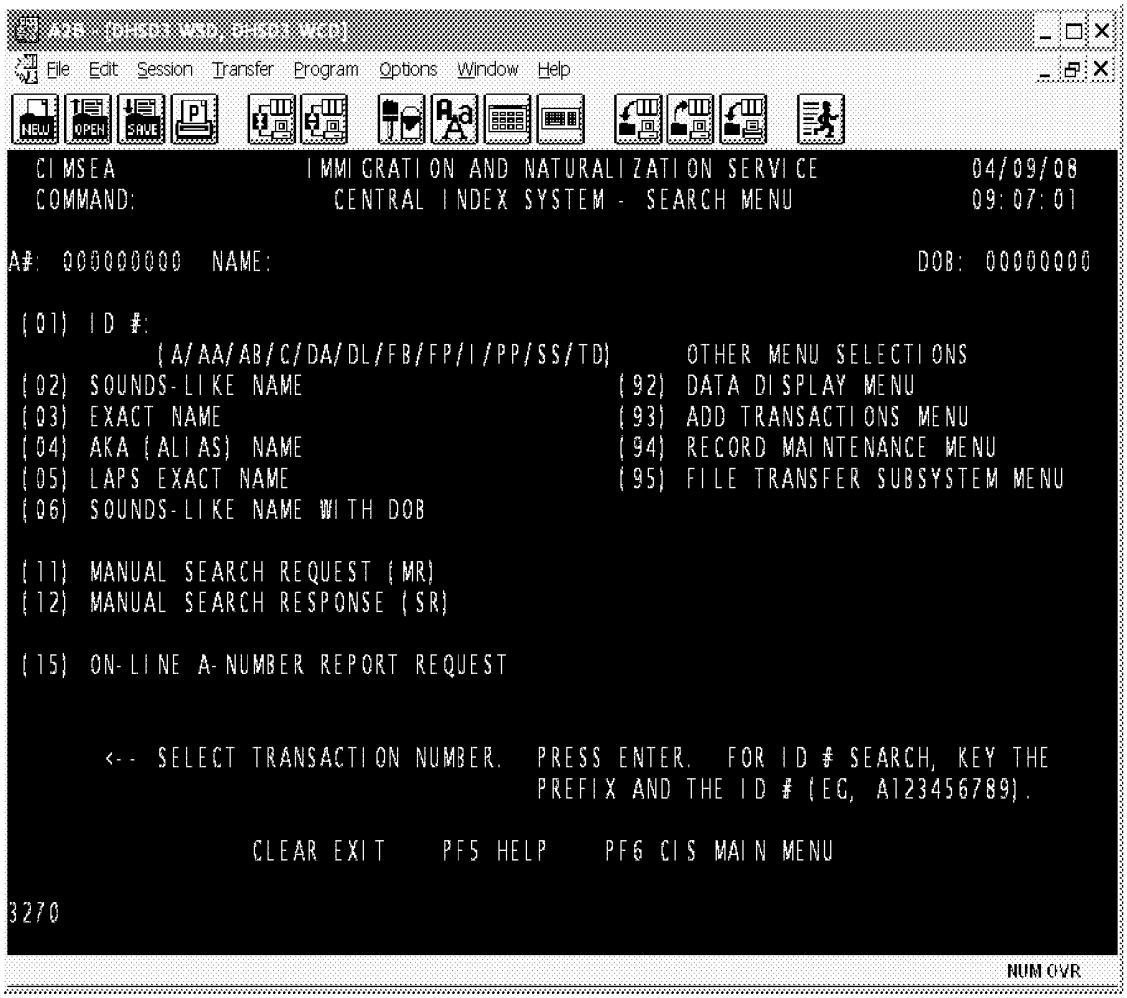

If you do not have PCQS, perform following searches in CLAIMS. Otherwise, go to PCQS and search using last name with an asterisk and first name with an asterisk. Select <> 90 days in relation to the DOB unless this provides too many responses. If you get too many responses select <> 30 days or exact date. If subject has two last names search each one with an asterisk.

> When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

Genealogy is exempt from this process.

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12.18.7 A-Number in CIS but not in NFTS

If there is an A-Number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.18.8 ICE files

When you staff for any file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE.

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

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OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.
Refer to the latest versions of RPC Reference for Staffing and FOIA Staffing List in O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\FOIA FCO List and O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\RPC Reference for Staffing.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**i.e.… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

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12.18.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.18.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.18.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX, ZG, XY or ZY.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC, NBC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. This includes any digitized files. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.18.12 Receipt files

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12.18.12.1 Do not request receipt files with a prefix from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work authorizations, but we cannot request those. For instance, you cannot request receipt number LOS0530775120, no matter where it is. However, if you find an unconsolidated receipt file LIN0530775120, and it is at LOS, you can request it.

12.18.12.2 If the Requestor does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.18.12.3 If the Requestor does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. You may also check the status of a petition or application on USCIS.gov, and you may use that information justify referring the case to Department of State, or you may add that information to RAFACS responsive records (as described in this paragraph). Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section

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7 of this guide. If the receipt is not available in records, please refer to sections 12.18.6 or 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

If the receipt has been consolidated into an alien file, the situation is different. If you have VOI (and certification of agreement, if necessary) from the person whose alien file the receipt has been consolidated into, then you should verify the alien number belongs to the subject and staff for that alien file. If there is no certification of agreement from the person whose alien file the petition has been consolidated into, you will close the request as TD. Refer to section 16a, "TD (total denial) CASE CLOSINGS."

12.18.12.5 Forms I-526 and I-829 are petitions filed by an Alien Entrepreneur. If, while researching the receipt file, you discover in CLAIMS or PCQS that the receipt is either a Form I-526 or Form I-829, please take the following actions:

1. Send an e-mail to NRC, FOIASIG and CC your supervisor stating that NRC201XXXXXXX (your case number) is requesting copies of an I-526 or I-829 receipt file.
2. Copy the body of the e-mail and paste it into a discussion.
3. Send the case to Unit Chief.
4. SIG will then reassign the case to the COW queue for action.

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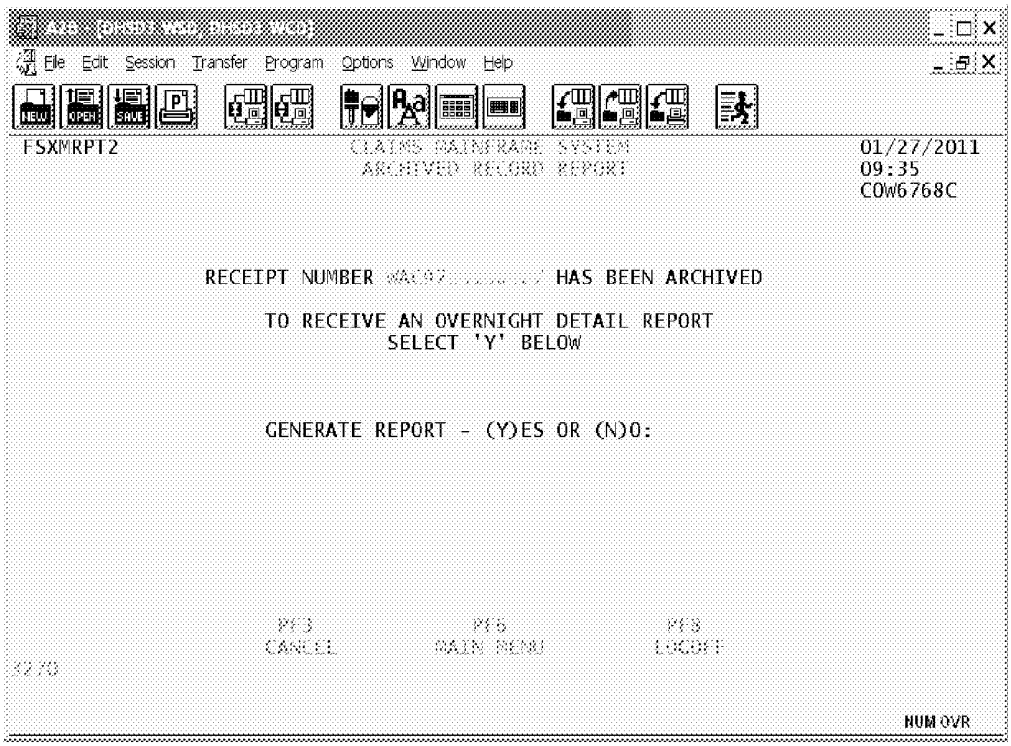
12.18.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file do one or all of the following as necessary:

A. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov . On the subject line, put the control number and SOR's name. Pend the case.

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B. On the USCIS website (http://www.uscis.gov/portal/site/uscis) enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC.

C. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.

D. If there is no evidence in PCQS, add a note on the staffing sheet "Receipt is archived." A designated clerk will receive the staffing request, have the archived report created, and get it scanned in as Responsive Records.

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following language; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE" or if the receipt was rejected, create as Track 1, category OTHER.

Create a file request to RAFACS (*not RAFACS/CIS)*. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS or PCQS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a "Scan As" cover sheet to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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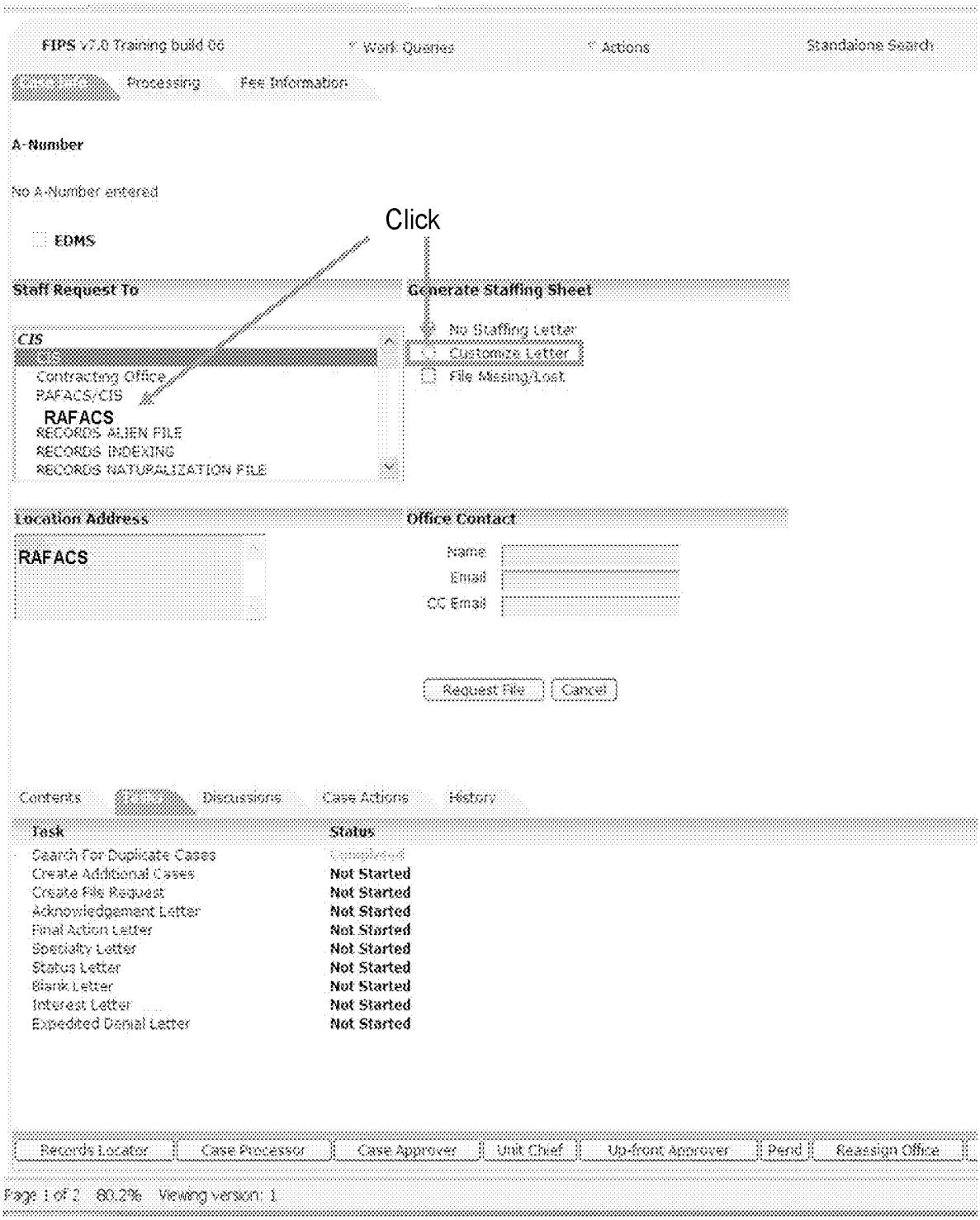

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate." This is what the response will look like:

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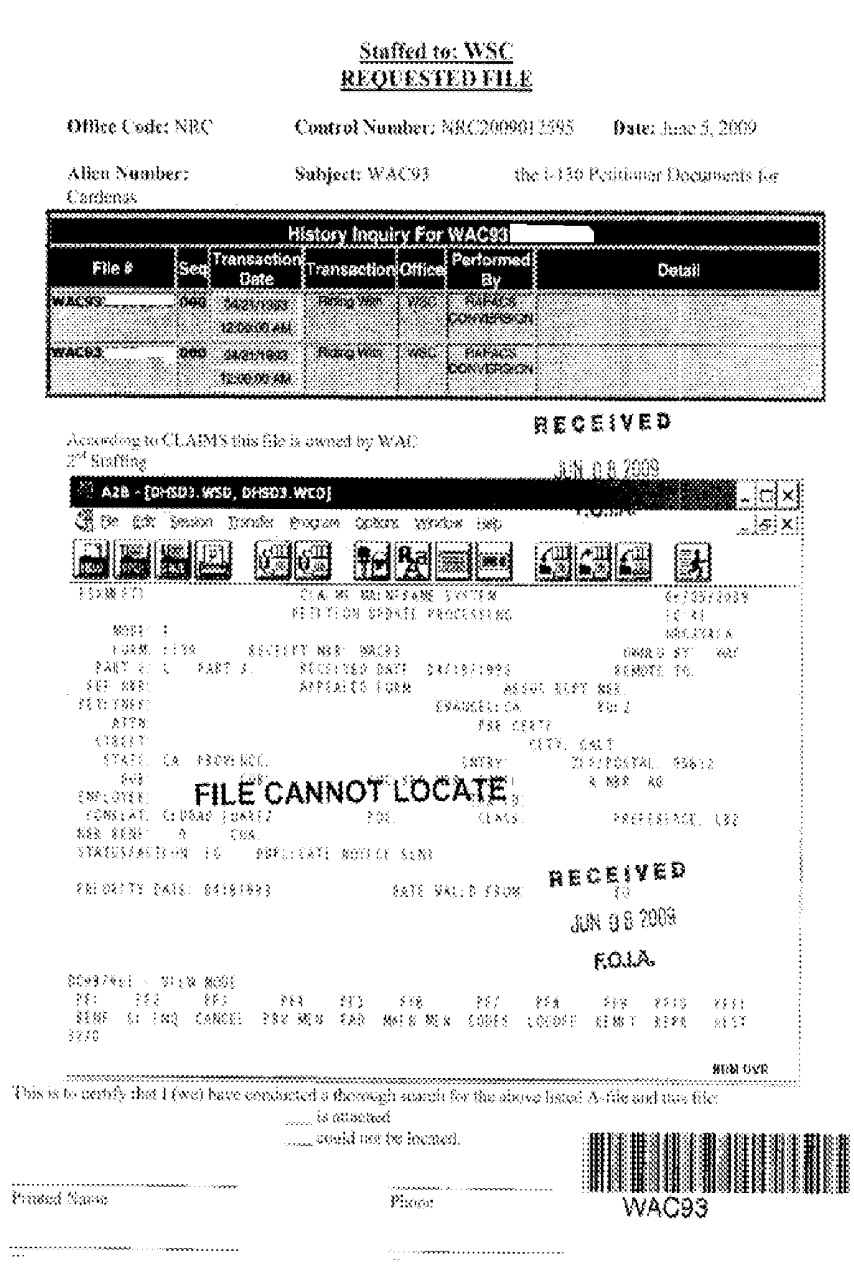

12.18.15 Hidden Patriot Investigation Case

(b)(7)(e)

When you enter your file number into NFTS and the result of the search shows the FCO location is WAS, the code is IX, and the description i[redacted] please do the following: Staff for the file at Non-FOIA Office: WAS and create the following discussion note: [redacted] **nvestigation case. Staffed for file at Non-FOIA Office WAS. Once file is scanned**

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into responsive records, please forward case to the current designated processor for processing." Refer to screen print below.

(b)(7)(e)

General Inquiry For A*********			
File #	**Seq**	**Office**	**Location**
A*********	**000**	WAS	**Sect:** IX - [redacted] **Resp:** 000

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

NOTE: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS.

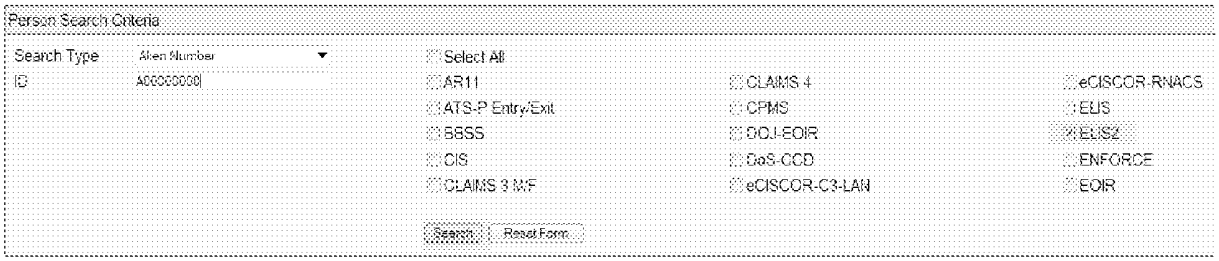
Any references from this point on refer to ELIS2.

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy Tracy Bellisime. The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

Whenever you create a case, please check the ELIS2 block in PCQS to search for the IOE Receipt number.



If you get a response of "Person Found In: ELIS2," please check the box and click "Search Selected Persons" to get your IOE Receipt number.

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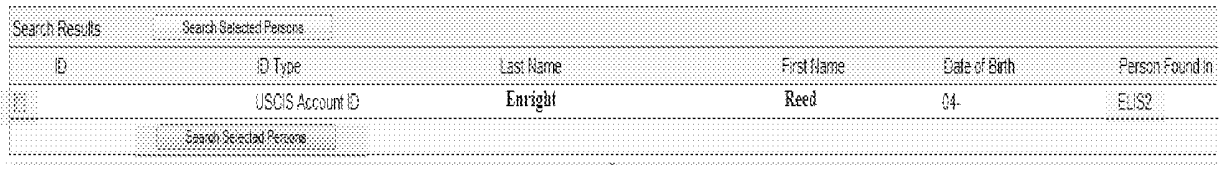
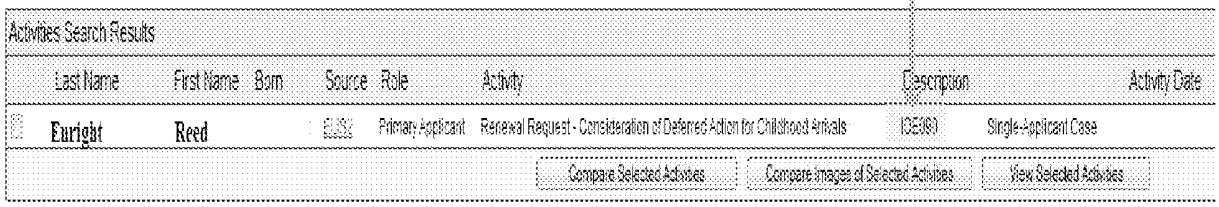


You will come to the page below. Please copy the IOE number.

You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

Copy IOE Receipt number



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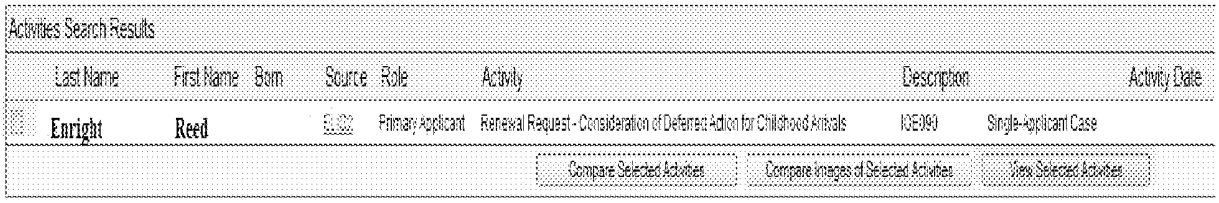
Step 2: Is the case open or closed?

Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

If the case state is accepted, optimized or reopened, your case is open.

Account Header	
Name	Reed Enright
Alien Number	A2

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Account Header	
Account ID	0
Date of Birth	0
Country of Birth	
Place of Birth	
Gender	
Case ID	
Case State	Accepted
Case Status	
Case Sub Status	Pending Prior Case Card Expiration

NOTE: The Case State can also be found in the Case Details section of your screen print.

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Accepted
Case State Date	0

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

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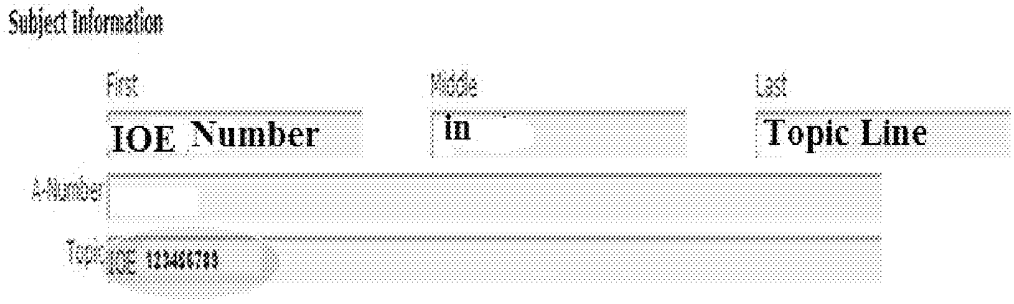

NOTE: Putting the IOE number in the Topic line is the only way we have to track ELIS2 cases.

Next, create a staffing to the correct File Control Office.

12.18.16.4 Deleted

Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Closed
Case State Date	0

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Step 5a(1): Staffing letter

Open cases from Attorney/Representatives or self-requests:

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS."** Leave it at the end of the second bullet.

Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

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After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- **Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5a(2): Acknowledgement letter

Open cases from Attorney/Representatives or self-requests:

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

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Example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Step 5b(1): Staffing letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

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SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC20160
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- There is no change to the Acknowledgement letter

ELIS FAQ's

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

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12.18.16.b.2 Deleted

12.18.16.b.3 Deleted

12.18.16.b.4 Deleted

12.18.16.b.5 Deleted

12.18.17 RAFACS Staffings

Occasionally when someone requests a file, we are unable to find it. Do we just close it "NR?" In certain cases, we can.

However, if we can find something that belongs to the Requestor, such as a Border Crossing Card, CLAIMS or PCQS screen prints, we cannot close the case "NR."

Staff to RAFACS all requests that you can't find what the Requestor is asking for, but you can find other documents that relate to the subject of record. After doing so, please change the case to Track 1.

13. REASSIGN OFFICE

A case creator may sometimes have to move a case that was scanned in the NRC queue to another queue for processing. Before you create a case, you can click the drop-down box and select a different office. You will be able to do this even if you do not have that queue assigned to you.

Accidentally reassigning the office: Before you create the case, make sure the Office is correct. When you click Save after you have filled in the case information, FIPS' focus will go to the Office drop-down box. If you have inadvertently touched the mouse wheel while it is saving, you may inadvertently "reassign the office." That is to say, when you create the case, it could have a BLR number, for example, instead of an NRC number. It is always a good idea to re-

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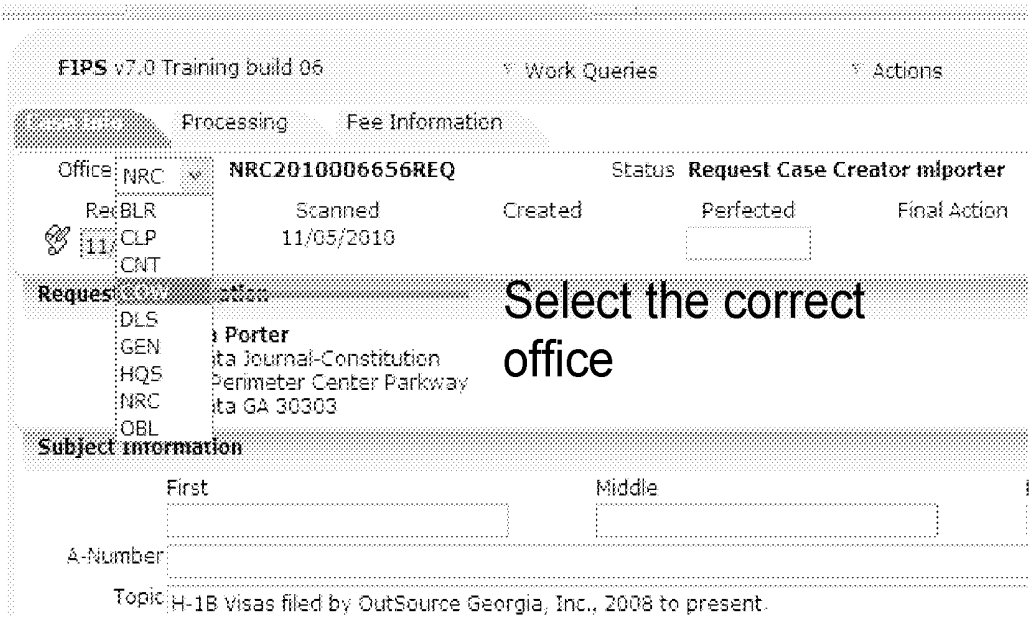
check that NRC is selected before you create the case. If you have accidentally reassigned the office, you must print out all pages of the request, attach a Scan As sheet, and take it to OA to be scanned in as a new case.

There are times you intentionally reassign the office prior to creating the case:
Reassign the office to CNT if the request is for a contract.
Reassign the office to HQS if the request is for CIS Personnel Information.
Reassign any SIG case to COW.

After you have reassigned an office, you must click "Save" again before you create the case. If you are not sure about reassigning an office, it is a good idea to discuss it with a supervisor first.

First you must select the correct office. In this example, we have a request from a newspaper, which makes it a SIG case, so we want to reassign the office to COW. Use the drop-down box to select the office where you want the case to go, click Save.



Next, search for duplicate cases and then create the case. The case will have a COW number. You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, Requestor or reason you reassigned the office. If you spoke with somebody in SIG before reassigning the office, mention that in the discussion as well.

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As soon as you click on "Reassign Office," the case will go away and you will be ready for your next case:

14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

A. Create the case if you have not done so already.
B. Select the "Final Action Letter" from the Tasks tab. Select "NA" from the final action codes list. You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director.
C. FIPS will generate two letters; you will need to blank out the NRC Director Referral letter and type "Do not send."
D. Make the appropriate edits in the Final Action Letter, depending upon the situation.
E. Create a Discussion explaining why you closed the case as final action NA.
F. Send the case to Up-front Approver. The supervisor will review and close the case.

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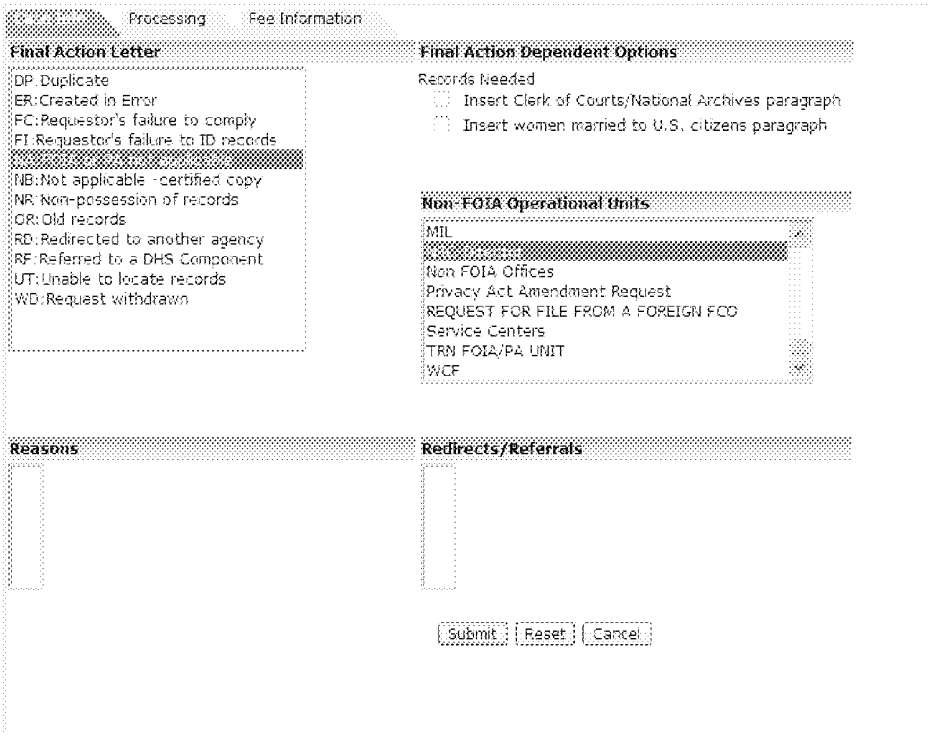

15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Code using the "ER" option for cases when the following situations arise:

- When a G-884 Return of Original Documents is scanned in FIPS.
- When a routine use/child support request has been scanned in FIPS.
- When subpoenas/court orders have been scanned in FIPS.
- When a Bond Obligor request has been scanned in FIPS.
- Requests from Foreign Consulates (no letter required)

Procedure:

A. Create the case if you have not done so already.
B. Select "Final Action Letter" from the Tasks tab.
C. Select ER from the list of options click "Submit."
D. FIPS will not create a letter. Prepare a detailed Discussion.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

16a. TD (total denial) CASE CLOSINGS

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- Create the case as Track 1.
- Change the case category to "Third Party No Consent" and save.
- Select the "Final Action Letter" from the Tasks tab. Select "TD" from the final action codes list.
- Paste in the body of the "TD No Agreement language" onto the FIPS TD final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
- Review the letter to ensure the pasted content is in the correct format, save it and check it in.
- Uncheck the Print to CD box.
- Create a Discussion: "Third Party, No Agreement."
- Send to Up-front Approver.

16b. FC (failure to comply) CASE CLOSINGS

A. Create the case if you have not done so already.

B. Select the "Final Action Letter" from the Tasks tab. Select "FC" from the final action codes list.

C. Paste in the body of the appropriate "Unperfected Request Letter" onto the FIPS FC final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.

D. Select the "Unperfected Letter for Older G-639 version" for all requests submitted on a G-639 date prior to the revision dated 01/29/12 or

E. Select the "Unperfected Letter" for all new requests and requests submitted on the newly revised G-639 revision date 01/29/2012 or

F. Select the Unperfected Letter for G-639 dated 3/31/2015.

G. Review the letter to ensure the pasted content is in the correct format

H. Create a Discussion to the Up-front Approver with your findings and reasons for closing as a FC case.

Replace the contents of the letter using
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter_for_G-639_dated_3_-_31_-_15

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Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter
Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter for Older G_639 version if an older version of the G-639 was submitted.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe with the case number, A-number and name of subject of record. The classified document control point of contact maintains the files in the FOIA Safe until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address request and any cases going to FOIASIG. The example in this guide shows how to do a standard acknowledgment letter if we have verified certification of agreement and identity, the Requestor has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"

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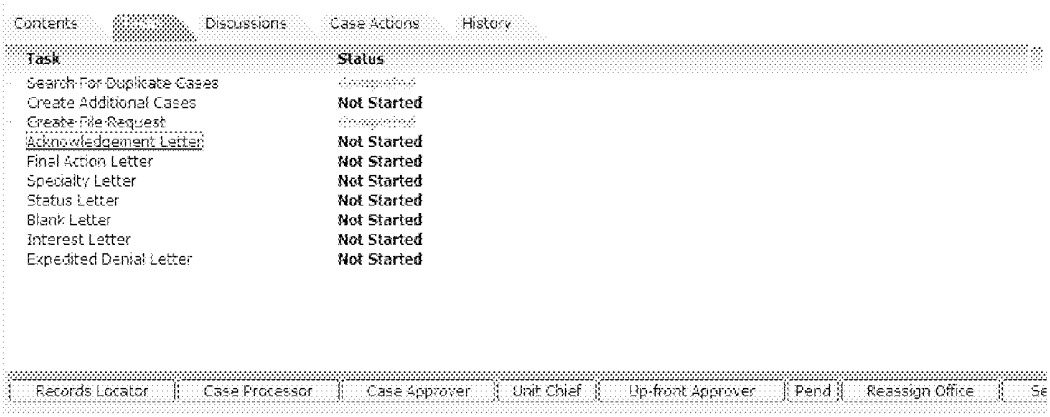
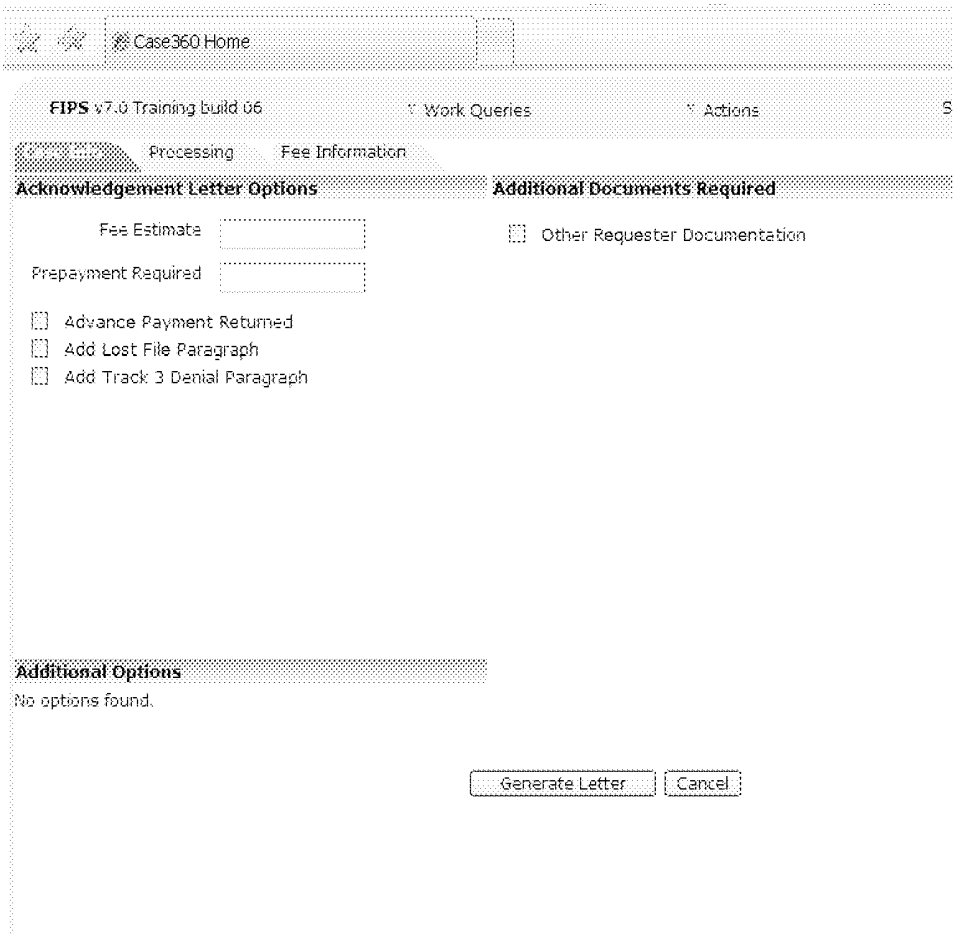


After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:



Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:

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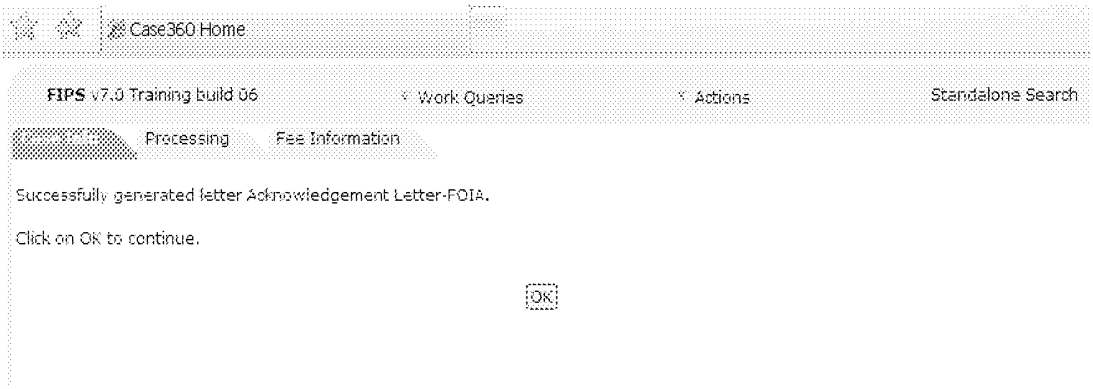
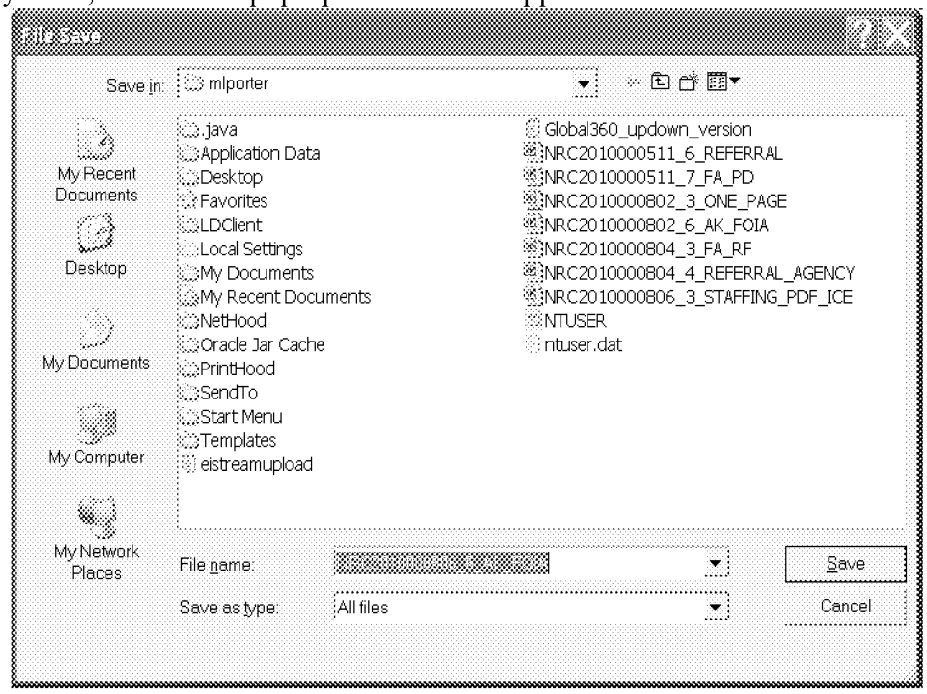


As soon as you do, a File Save pop-up window will appear. Click "Save."



The acknowledgment letter will pop up:

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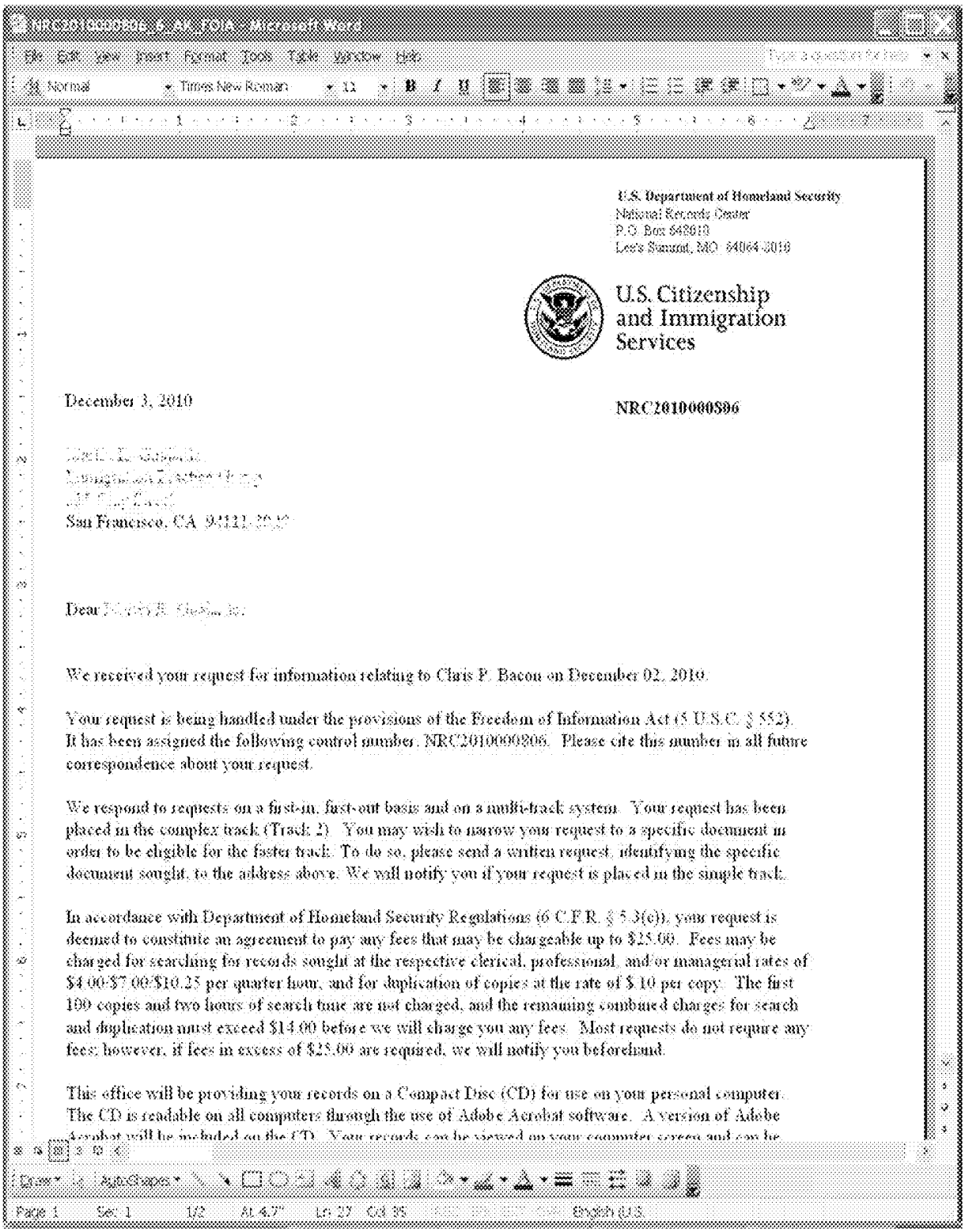

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National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. If it is a request for Specific Documents, please delete the words "Specific Doc Information" and specify what they are

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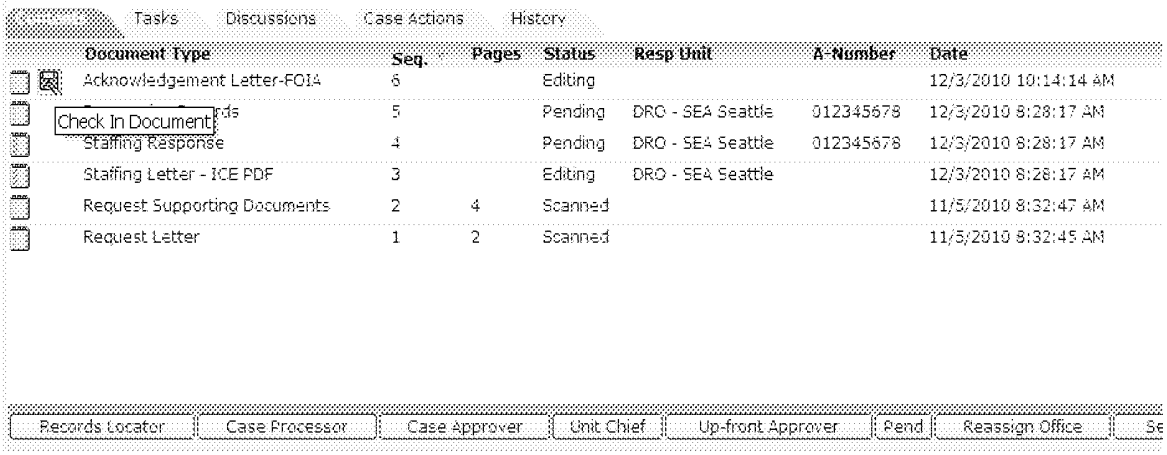
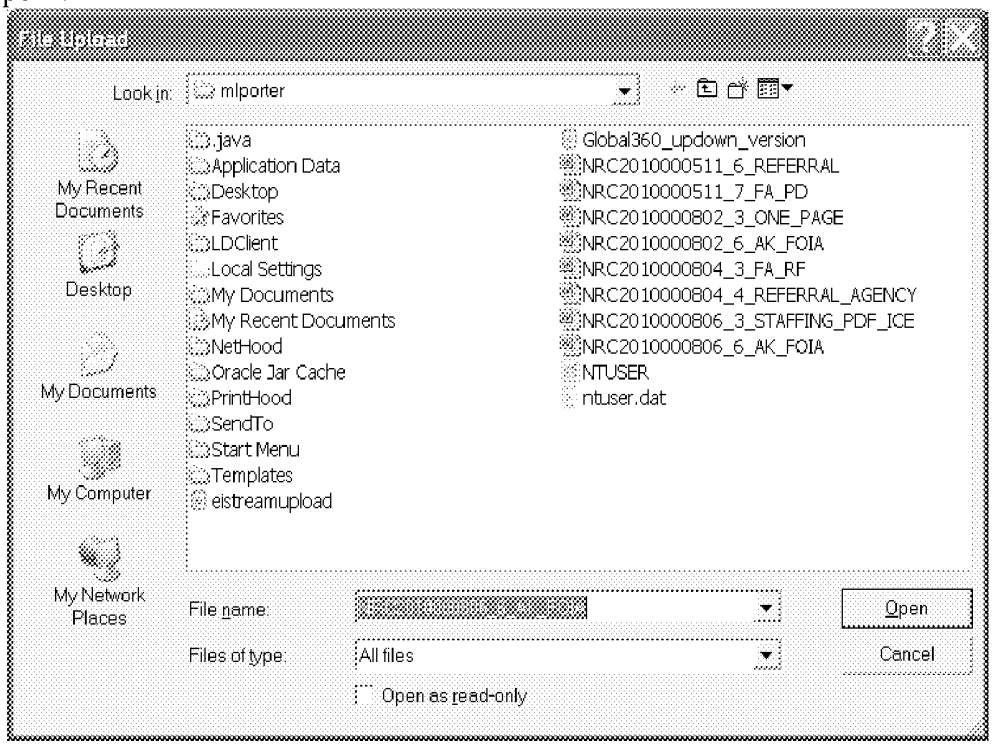
requesting. Word it as closely to their description as possible while maintaining proper grammar and punctuation.

After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.



Click "Open":



In this example, we are now ready to send this document to "Pend."

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19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS creates entries in the Case Actions tab for all activities and creates a display on the Case Info screen when a duplicate is attached, but does not explain why.

FOIA/PA Assistants or Government Information Specialists *must* create Discussions:

- for any Up-front Approver case,
- anytime they are moving a case to Unit Chief,
- anytime they are reassigning the office,
- anytime they are staffing based on best available information, and
- any time there is a need to explain something unusual.

Because Discussions become a permanent part of the case in FIPS, you should not use Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant or Government Information Specialist should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally Requestor documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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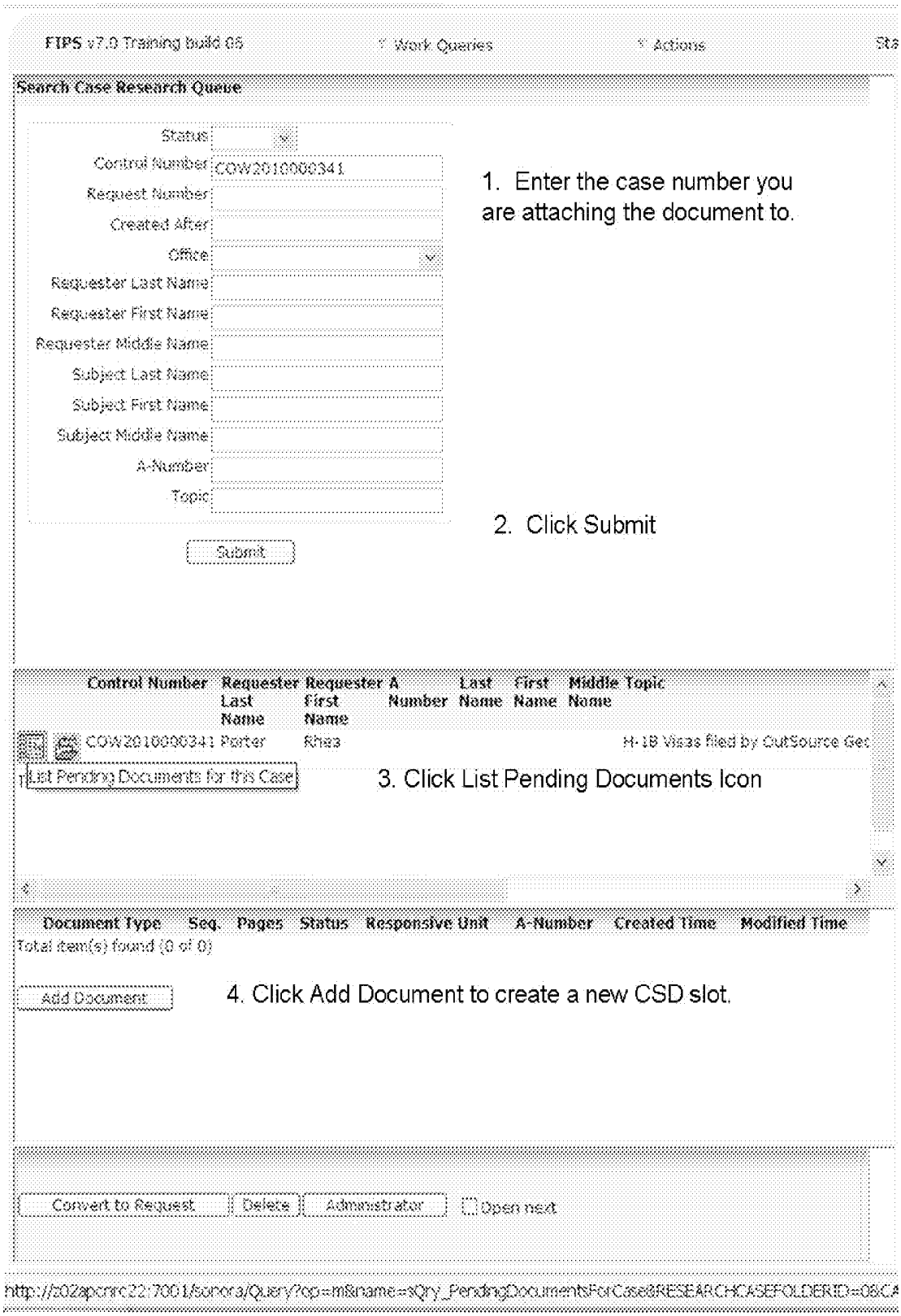

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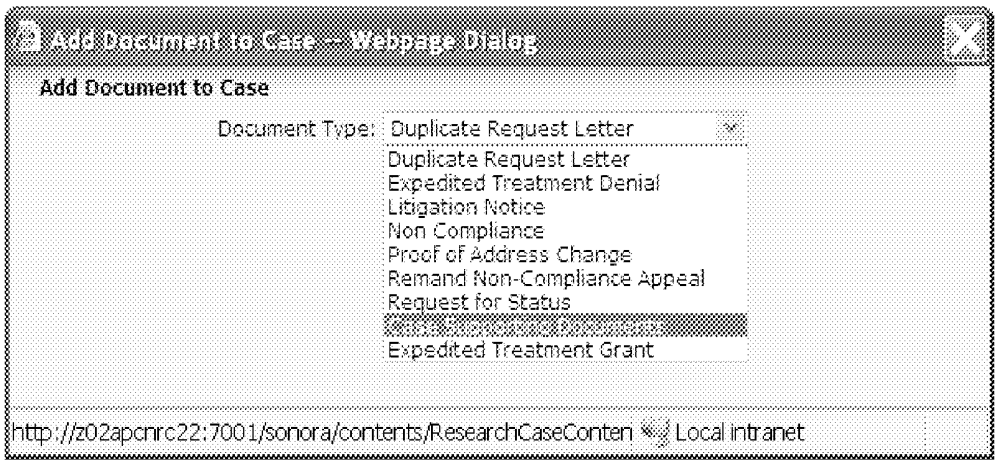

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned If the fax needs to be scanned in before reviewing, the OA Room clerks can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking Requestor documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requestor Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

23.1 THE OA ROOM **(NRC, FOIAOA)**

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When you review all the scanned in CSDs and request documents which have been scanned into the case, you may find issues needing attention. Send e-mails to the OA Room when:

A. The original Final Action Letter and responsive records were mailed but the Requestor never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

B. The responsive records need to be re-printed to CD due to the Requestor receiving a broken CD.

C. The Requestor has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the Requestor. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

D. The first or second page of the new request is missing. Ask them if they can check to see if the page was missed by the scanning department. Include the REQ#, and the data handwritten on the first page of the request. If the first page is missing, include the REQ# and the date the case was scanned. Send the case to Unit Chief until the OA Room sends a response. Then have the case returned to you and create as usual.

Note: sometimes we find documents that do not belong in the case we are working on and belong in another case or need to be created as a new case. Attach a coversheet and deliver it to the CSD bin in the OA Room when the request letter and supporting docs need to be printed and scanned into another case. Include instructions to the OA Room or the case creator, if necessary. You will need to attach a coversheet as a CSD when documents need scanned into create a new request attaché a NEW REQ (new request) coversheet and deliver to the New Requests bin in the OA Room. Do not send an email.

Don't forget to add a Discussion to the original case.

23.2 FST **(NRC, NRCFOIAMSB)**

Send e-mails to the FST mailbox when you encounter an appeal in case create that was not previously addressed. See section 8.16

All e-mails to the FST mailbox should contain the control number, the A-Number or subject of the case, and specific instructions relating to the case.

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23.3FIPS PROBLEM

Send e-mails to **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor**:

A. If you are receiving FIPS errors, including if FIPS spontaneously closes
B. If responsive records need to be copied from one case to another
C. If records are incorrectly scanned in a case and need to be removed
D. If FIPS is running unusually slow.

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor.**
Include the following in the subject line of your e-mail:

- If you are at a Work Stoppage and cannot do any work in FIPS, please title your subject line: **WORK STOPPAGE**, control number and issue.
- If the case you are working on has a problem that is preventing you from completing it, please title your subject line, **CASE NEEDS CORRECTION**, control number and issue
- If the message deals with a problem you can work around, please title your subject line: **FYI ONLY**, control number and issue.

In all cases, in the body of your message, please follow the same format listed below. Attach sanitized screen prints if applicable.

All e-mails to **FIPSPROBLEM, NRC, FOIA PROGRAM, Tracy Bellisime and your supervisor** must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

- Are you teleworking or at the office?
- Temporarily: What operating system are you using? XP or Win7?
- What is your cube number?
- What is you work extension number?
- If there are errors in FIPS or FIPS is running slowly, include the following information in the e-mail:
    - What were you doing when the problem began?
    - Did you get an error message? If so, include the message or a screenshot of the message.
    - Is it slow or not responding at all?
    - What other Internet sites do you have open?

- If you are viewing or editing Responsive Records:
    - How many pages of responsive records are there?
    - Do you have thumbnails on?
    - Were you checking in a document, image file or letter?

- If you were doing a search:

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- If you were using a wild card, which field(s) and what criteria?
- If you were searching on one field or more, which fields (e.g. first and last name)?

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the NRC, NRCFOIAMSB outlining what we need to say. The FST supervisor will generate the e-mail to the Requestor and transmit. Include all information in the e-mail that the FST supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to FST. If you are asking for more information from the Requestor, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the Requestor.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requestor Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

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A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click "Save" to update FIPS.
2. Correct the acknowledgement letter and resend letter.
3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a Requestor document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

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1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

Title of Discussion: CD Returned for Additional Postage
Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

   Shred the CD.

2. If another address is found in the CSD's:

   a. Make a copy of the CD and returned envelope.

   b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

   c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

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This is mail sent directly to NRC from Requestors, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see section 25.2.3).
- Status Request (see section 25.2.4).
- Withdrawal of Request (see section 25.2.5).
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested (see section 34).
- Correspondence about delinquent payments, including checks (see section 25.2.2)
- Responses to Track 3 denial or Expedited Treatment denial (see section 25.2.1)
- Responses to requests for additional information (see section 25.2.2)
- Requestor asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. The OA Room Clerk assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the FOIA/PA supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny.

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FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the Requestor responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the FOIA-PA supervisor, who will make the determination.

If a FOIA/PA Assistant or Government Information Specialist working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; that person should insert a Discussion. If it is regarding a Track 3 request, approve or deny the request. If it is regarding an expedited request, send the case to Admin or Unit Chief and send an e-mail to the supervisor handling the expedited requests and include the control number of the case. See section 6.3.1 for Track 3 and 6.3.6 for and Expedited processes.

25.2.2 Requestor documentation / additional information

This consists of documents or more information that we have asked the Requestor/subject to provide. When the information is received it is scanned into the Requestor documentation slot. Use the additional information provided to continue creating the case. If the Requestor/subject did not provide the alien number, use the information provided to search CIS 9103 and PCQS or CLAIMS to locate any responsive records, or receipt files. If the subject of record entered before 1975 and may possibly have had no business with INS or USCIS after 1975, you may have to staff to Records Indexing (see section 12.7.5, *Records Indexing/Manual Requests*). If you cannot locate any records relating to your person, you may have to close the case as NR (see section 12.18.6, *No Record*). Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the Requestor failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the Requestor docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the Requestor a letter advising them that their case has been closed as a FC. If the Requestor still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the Requestor docs, and before the case closes, you may repend.

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See section 7.3, Reasonable Description of Records being Sought, and follow the steps in section 7.3.4, Requesting Additional Information with the Acknowledgement Letter
See Section 16b, FC (Failure to Comply) Case Closings and if needed NR, No Record section 12.18.6

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, click on the "Check your Case Status" icon.

Clicking the icon mentioned above will take you to the "My Case Status" page. Enter the Control or Receipt number, and click "Check Status."

The online status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

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If the request was processed or closed within the last six months the Requestor will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the Requestor will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the Requestor accurate information. In order to better serve our customers Teams should paste in the online status check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online status check. Do not provide status to the Requestor using the Calculate Queue Position button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from the Tasks tab in FIPS.

Note: The Status Letter will always state the track as "Track One." If you are not processing a Track one case, please make sure you change the track.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A Requestor must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe. The classified files POC will keep the files in the FOIA Safe until the case is closed. Once notified the file is no longer needed, he or she will return the file to the original FCO.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to FST, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the Requestor.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to FST when their scanning is complete. The FST staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the FST mailbox with the case number and the page(s) number where the media can be located. FST will pull the media and process/make any necessary redactions. The media will be mailed to the Requestor separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

Most FOIA/PA requests with congressional correspondence are written on behalf of a constituent and are actually a FOIA/PA request for an individual's records. These cases should also have an instruction sheet from Congressional, NRC. Simply create the case according to the directions. If you open a case with congressional correspondence, but there is no instruction sheet, please create the case as you normally create any other case, including staffing for the file and creating the acknowledgment letter or final action letter. After you have created the acknowledgment letter and staffing, or the final action letter, as appropriate, please send an e-mail to Congressional, NRC. The subject of the e-mail should be "Congressional Correspondence and the body of the e-mail should be the control number. Please CC your supervisor. Next, create a discussion entitled "Congressional Inquiry" and state in the comment field that you have sent an e-mail to Congressional, NRC. Finally, pend the case. However, true congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. The case should have an instruction sheet from Congressional, NRC. SIG processes true congressional requests. Simply create the case according to the directions and pend the case.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action

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needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

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Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended (please refer to section 33)
- Additional PII needed to verify the correct file (please refer to section 32.7)
- Requestor docs have been received (please refer to section 32.8)
- The wrong records were scanned into the case (please refer to section 32.9)
- We need to send an interim interest letter to an incarcerated individual (please refer to section 32.10)
- The file is lost or we got a response of not found or consolidated from a service center (please refer to section 32.11)
- Requestor writes to request the record on paper (please refer to section 32.12)
- Requestor wants to change the track of their case (please refer to section 34).

32.1 Start by reading Discussions. It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.2 Always check the alien number(s) in CIS to verify its accuracy before proceeding.

32.3 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the Requestor to see if that petition has already been addressed.

32.4 Read and follow directions in any Discussion found in the case regardless of the age of the case or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.5 Any time you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.6 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel the pending T-file staffing, because the T-files no longer exist. Send the case to the processor.

32.7 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII is needed from the requestor/subject. You will have to create another Acknowledgement Letter and check the other documentation box. The Requestor Documentation Attachment will automatically be added to the Acknowledgement Letter. Check the boxes required and pend the case for Requestor Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them

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to the slot where the information is currently contained. Send the case to Unit Chief with a Discussion.

If the request was for specific documents, please remember to add the specific documents sentence to the new acknowledgement letter the same as in the original acknowledgement letter. If the specific document information sentence was done incorrectly in the original acknowledgment letter, please add an appropriate specific document information sentence to the new acknowledgment letter. That sentence gives us our legal basis for providing only the specific document requested. It also gives the Requestor an opportunity to clarify if the request was poorly worded or if we misunderstood. If we do not add the specific document information sentence to the new acknowledgment letter, the processor must process the entire file.

32.8 If we have received pending Requestor Documentation: Review the information provided. If the Requestor/subject adequately provided the requested PII and/or certification of agreement, request the file.

32.8.1 The Requestor/subject may respond negatively to the request for PII. For instance, we might have asked for A-Number and/or Petition/Receipt number, and they responded "none" or "unknown" to both. If we receive a negative response, please attempt to locate an alien file and staff, matching as much of the PII as possible. If you find a file, pend the case for responsive records based on best available information and create a Discussion saying you did so. If you are unable to find a file, close as FC. For the procedure, please see section 16b, Failure to Comply Case Closings.

32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_ Unperfected Letter for Older G-639 version

32.8.3 If a request for certification of agreement is returned but the Requestor says he or she is a third party Requestor (they have no relationship to the subject of the record and cannot or will not get certification of agreement), do not request the file.

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Create a Discussion with your findings and close as TD. Please refer to section 16a, TD (total denial) CASE CLOSINGS.

32.9 Wrong Records. Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.9.1 Did the Case Creator use the wrong alien number? If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and Tracy Bellisime and ask that the wrong records be removed.

32.9.2 Did the Requestor ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the Requestor. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff only if you have the beneficiary's PII and VOI. If not, close as FC. For Procedure, please see section 16.

32.9.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.9.3.1 Look for a pending case for the records that were scanned into your case.

32.9.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.9.3.3 If the responsive records are not scanned into the case, send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and Tracy Bellisime and ask them to move the responsive records from your case over to the correct case. Also ask them to remove the responsive records from your case and staffing response to "pending."

32.9.3.4 If the pending case already has records scanned in, review those records.

32.9.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

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32.9.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.9.3.4.3 Send an e-mail to NRC, FIPS Problem asking them to remove the wrong records from the staffing response and responsive records slots and re-set their status to "pending."

32.10 Mailing address is a detention facility. If you open a case in Records Locator queue and there is a Discussion instructing you to create an interim response letter because the individual is incarcerated:

32.10.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.10.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. For the procedure, please refer to section 16. **Do not close out the case FC without the returned mail.**

32.10.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.11 If you open a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

32.11.1 If you are creating a case and the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*.

32.12 Paper. If a Requestor in the United States asks for his or her records on paper, uncheck "Print to CD" box create a Discussion citing the reason. Next, go to the Tasks tab and create a Status letter. In the Status letter, write, "This letter serves to notify you that we will be providing your records on paper."

33. REPENDING IN RECORDS LOCATOR QUEUE

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33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary. FIPS automatically sets a new due date at 60 days. If it is an RDF staffing, please change the new due date to 365 days.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

33.6 Not used.

33.7 When repending a case in Records Locator, please follow these steps:

33.7.1 Search for any duplicates

33.7.1.1 If you find a duplicate, refer to section 6.4, Search for Duplicate Cases.

33.7.2 If you do not find a duplicate:

A. Under the Contents tab, on the Staffing Letter to which you want to repend.

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B. Left-click on either the Staffing Response or Responsive Records and do not move the mouse to another location on the page until the drop-down menu appears.
C. Click on Manage Document from the drop-down menu.
D. On the right side of the pop up screen, you will see Days to Pend with a box showing 60. Leave the number of days 60 unless it is an RDF or a Lost File Staffing-please refer to sections 12.7.2 and 12.7.3 for Lost File Instructions.
E. If repending an overdue RDF staffing, type 365 in the Days to Pend box before you click on Update Due Date.

34. CHANGING THE TRACK OF A CASE

We do not change the track of a case except in the following instances:

34.1 The Requestor is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the Requestor that their case is now on the simple track.

34.2 The Requestor has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the Requestor that their case is now in the complex track.

34.3 The Requestor has a Track 1 or 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the Requestor that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. If this occurs, send an email to NRC, FIPSPROBLEM, copy NRC, FOIA Program, Tracy Bellisime and your supervisor. Please insert a Discussion explaining the problem and send the case to Unit Chief.

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Sometimes the case has not come up for processing yet and you encounter this situation in Records Locator queue. If that happens, create a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to NRC, FIPSPROBLEM with the following information:

A. The NRC control number of the case,

B. The A number or Receipt Number of the records,

C. The staffing sequence they are scanned into, and

D. The number of pages scanned in.

Finally, send the case to Unit Chief so that the problem can be resolved.

36. Deleted

37. RE-STAFFING

There should be a discussion directing you to re-staff. If you are unsure about what to do, please contact a member of FST. The two most common re-staffing scenarios are:

- The file moved to another office – and we have to cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- The current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing). In that scenario, we must cancel the pending slot and re-staff properly. If you are unsure, consult a member of FST.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

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39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. FST DIRECTED PROJECTS

Occasionally, FST may have special projects that require your assistance.

FST paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:
U.S. Customs and Border Protection
FOIA Division
90 K Street, NE, 9th Floor
Washington, DC 20229-1181
MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
Freedom of Information Act Office
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

U.S. Department of State
Attn: Sheryl Walter
Office of Information Programs & Services, SA-2
A/GIS/IPS/RL/RC
515 22nd Street, NW
Washington, DC 20522-8001

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asunción (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

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FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

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KWT – Al Kuwait aka Kuwait City (Kuwait)

LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

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NHA – Naha

NMY – Niamey (Niger)

NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haïti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

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SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

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TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error (see section 15).

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable (see section 14).

NR – The case was closed as no record. We have conducted a thorough search of all databases for any files relating to the subject and found no results. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. We know there is a record, but it is lost. We may close cases if the alien file is marked as lost and it has been more than one year, but we must be able to prove we conducted a thorough search of all systems.

FC – Case closed for failure to comply (see section 16b).

FP – Cases close failure to pay when Requestors fail to submit payment.

RD – Advise Requestor to contact another government agency to acquire records. We tell the Requestor whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the Requestor the name of the agency we referred their request to.

TD – Total Denial (see section 16a).

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APPENDIX E: FORMS

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Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F

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Title	Form Number
Nonimmigrant Petition Based on Blanket L Petition	I-129S
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E

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Title	Form Number
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Privileges, Exemptions, and Immunities	I-508F
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request – A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694

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Title	Form Number
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881

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Title	Form Number
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACLU	American Civil Liberties Union
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director for Examinations
ADDD	Assistant District Director for Deportation
ADDI	Assistant District Director for Investigations
ADIS	Arrival Departure Information System
AFM	Adjudicators Field Manual
A-File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms

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AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
Bene	Beneficiary
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BORSTAR	Border Patrol Search, Trauma and Rescue team
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection

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CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CP	Case Processor
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSD	Case Supporting Documents

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CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State

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DP	Duplicate
DRO	Detention and Removal Office
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAD	Employment Authorization Document
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
ECN	Enterprise Collaborative Network
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFF	Electronic Frontier Foundation
EFOIA	Electronic Freedom of Information Act (initiative)
EIR	Entrepreneur in Residence
ELIS	Electronic Immigration System
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ER	Created in Error
ERO	Eastern Regional Office

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ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FC	Failure to Comply
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act

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FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
FST	FOIA Support Team
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GIS	Government Information Specialist
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account

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HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)

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I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge

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IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known or Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident

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LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NARA	National Archives and Records Administration
NBC	National Benefits Center
NCIC	National Crime Information Center

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NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NR	No Record (we are not able to find any record)
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NVC	National Visa Center
NWIRP	Northwest Immigrant Rights Project
OA	Office Automation
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement

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OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs

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PA	Privacy Act
PAIC	Patrol Agent in Charge
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PCQS	Person-Centric Query System
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POC	Point of Contact
POE	Port of Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RD	Redirected to another agency outside DHS
RDF	Records Digitization Facility
RF	Referred to a DHS component other than USCIS
RL	Records Locator

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RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer
SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Significant or Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)

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SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SOR	Subject of Record
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UC	Unit Chief

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UFA	Up-front Approver
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
US-VISIT	United States Visitor and Immigrant Status Indicator Technology
UT	Unable to locate (we know a record exists, but it is lost)
VA	Department of Veterans Affairs

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VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WA/NTA	Warrant for Arrest/Notice to Appear
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written certification of agreement of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any

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subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-Numbers for a person, we combine the two files. One of the A-Numbers becomes the "survivor" and the other becomes the "consolidated A-Number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written certification of agreement of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requestor - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of Requestors and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for certification of agreement unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

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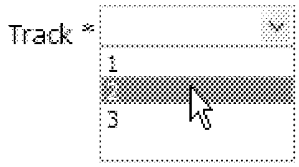
- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

Track Drop-Down List



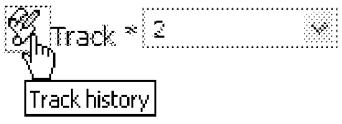
- Track 1 is used for the less complex cases. These are cases where only one Two or three. specific documents are being requested from the file.

- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.

- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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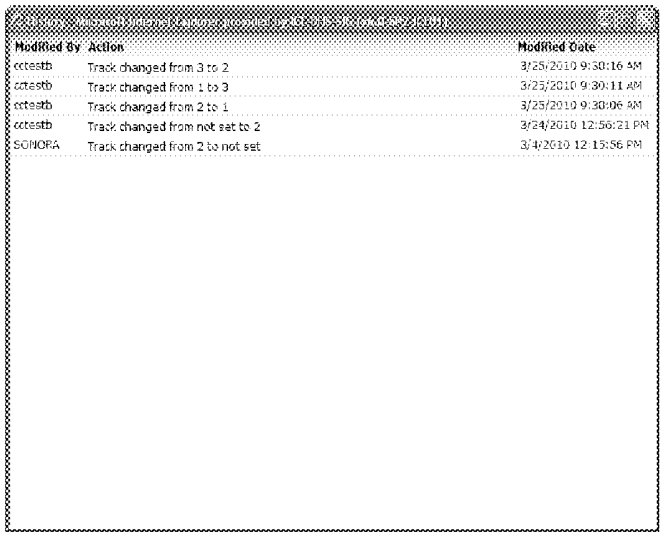
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the Requestor or other personal identifier. Requests are received from:

- A USC or LPR for access to his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA Requestor. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written certification of agreement of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written certification of agreement. The identity of a third party Requestor and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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APPENDIX H: CASE CREATE FLOW CHARTS

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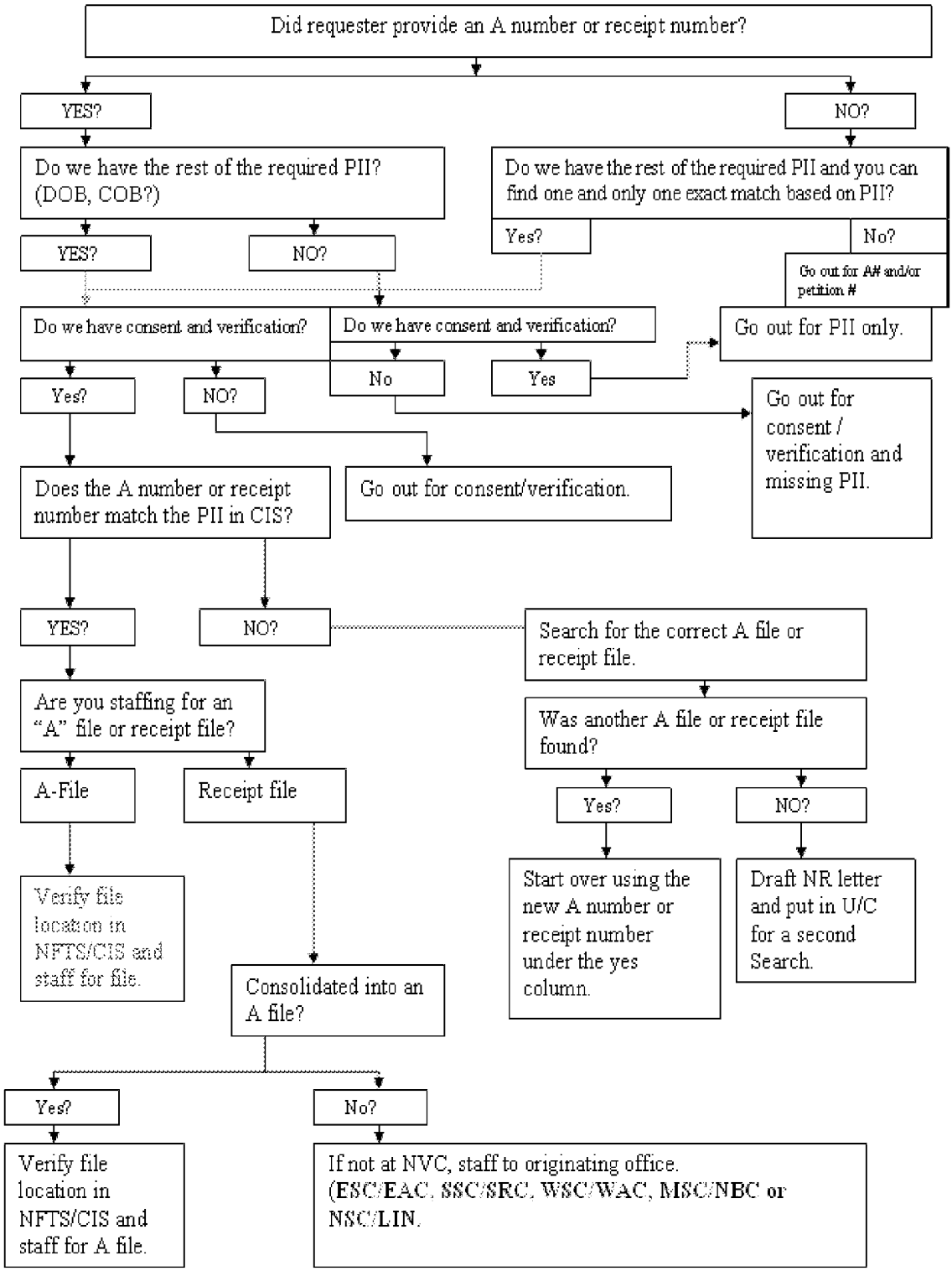
Case Create Flow Chart for All my records.



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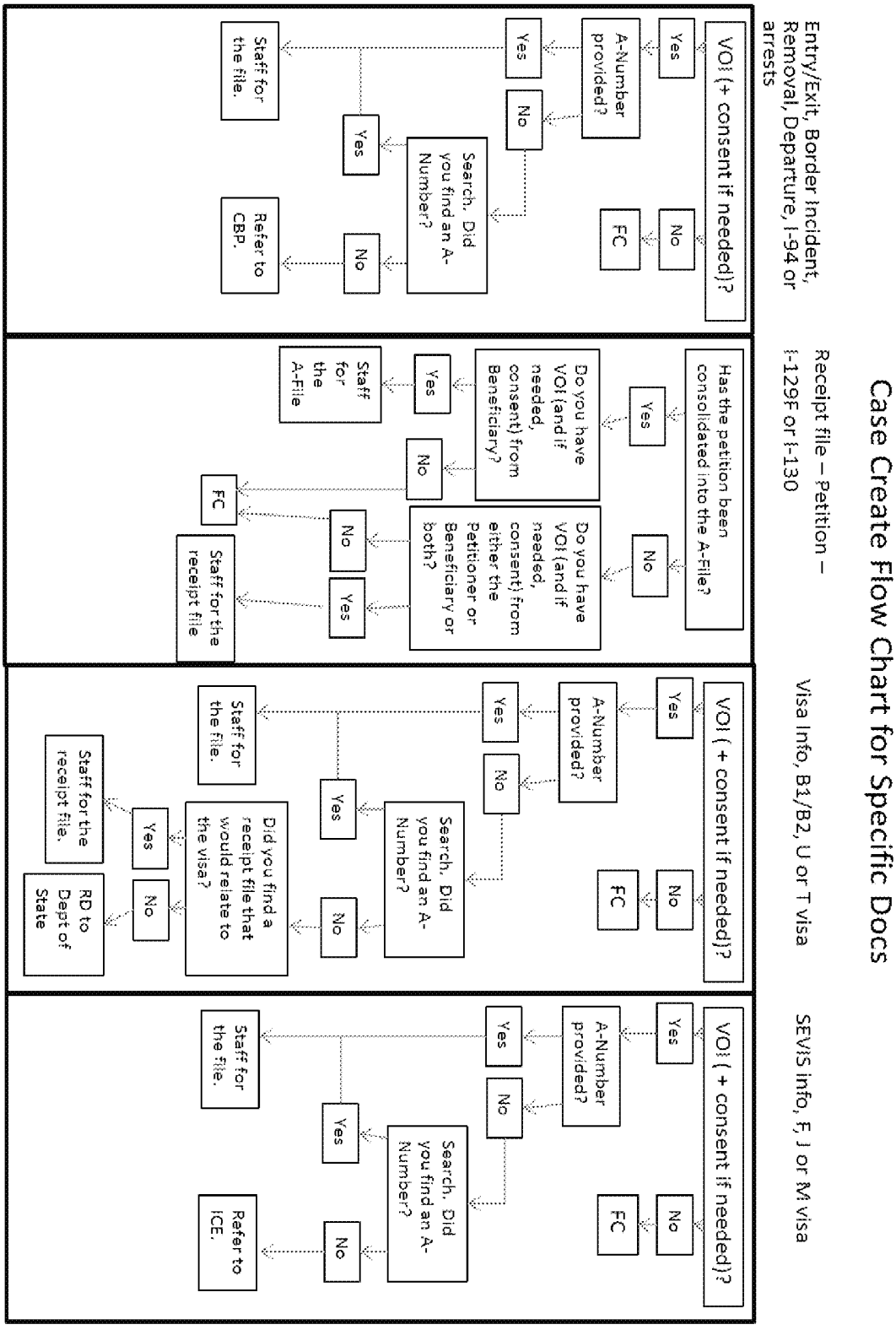

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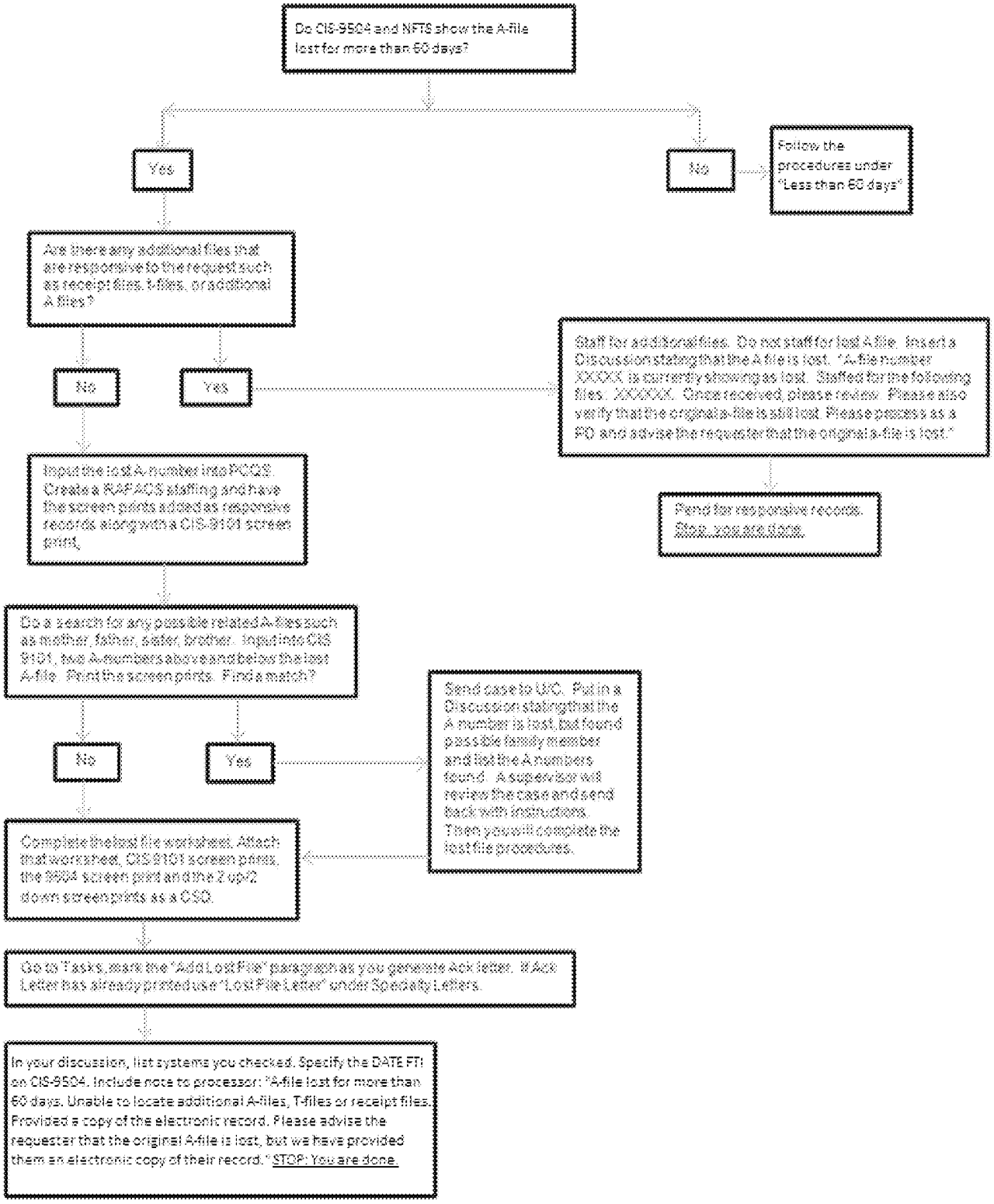
LOST FILE FLOWCHART - MORE THAN 60 DAYS



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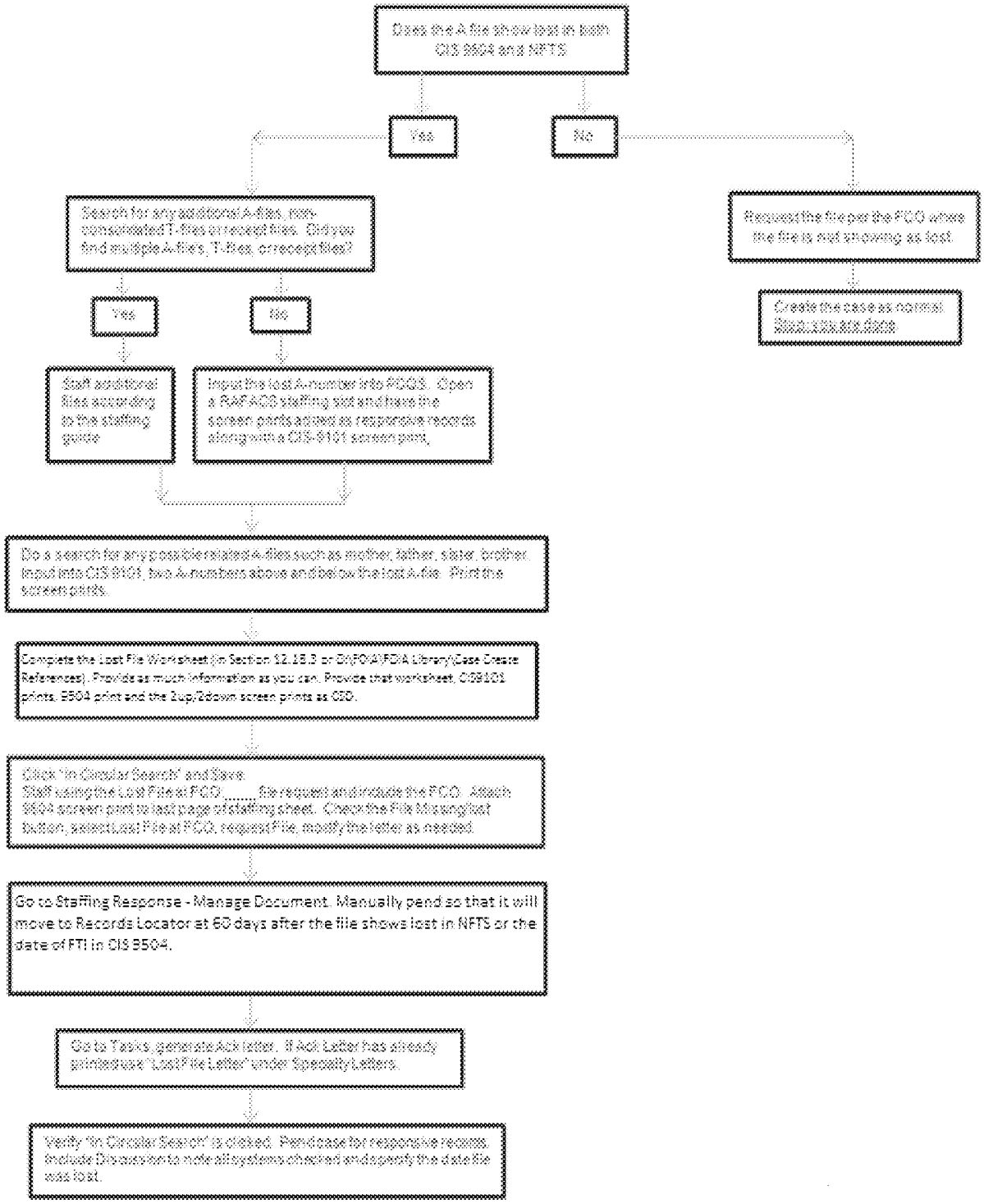
LOST FILE FLOWCHART - LESS THAN 60 DAYS



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JULIAN DATE CALENDAR

PERPETUAL

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	060	091	121	152	182	213	244	274	305	335	1
2	002	033	061	092	122	153	183	214	245	275	306	336	2
3	003	034	062	093	123	154	184	215	246	276	307	337	3
4	004	035	063	094	124	155	185	216	247	277	308	338	4
5	005	036	064	095	125	156	186	217	248	278	309	339	5
6	006	037	065	096	126	157	187	218	249	279	310	340	6
7	007	038	066	097	127	158	188	219	250	280	311	341	7
8	008	039	067	098	128	159	189	220	251	281	312	342	8
9	009	040	068	099	129	160	190	221	252	282	313	343	9
10	010	041	069	100	130	161	191	222	253	283	314	344	10
11	011	042	070	101	131	162	192	223	254	284	315	345	11
12	012	043	071	102	132	163	193	224	255	285	316	346	12
13	013	044	072	103	133	164	194	225	256	286	317	347	13
14	014	045	073	104	134	165	195	226	257	287	318	348	14
15	015	046	074	105	135	166	196	227	258	288	319	349	15
16	016	047	075	106	136	167	197	228	259	289	320	350	16
17	017	048	076	107	137	168	198	229	260	290	321	351	17
18	018	049	077	108	138	169	199	230	261	291	322	352	18
19	019	050	078	109	139	170	200	231	262	292	323	353	19
20	020	051	079	110	140	171	201	232	263	293	324	354	20
21	021	052	080	111	141	172	202	233	264	294	325	355	21
22	022	053	081	112	142	173	203	234	265	295	326	356	22
23	023	054	082	113	143	174	204	235	266	296	327	357	23
24	024	055	083	114	144	175	205	236	267	297	328	358	24
25	025	056	084	115	145	176	206	237	268	298	329	359	25
26	026	057	085	116	146	177	207	238	269	299	330	360	26
27	027	058	086	117	147	178	208	239	270	300	331	361	27
28	028	059	087	118	148	179	209	240	271	301	332	362	28
29	029		088	119	149	180	210	241	272	302	333	363	29
30	030		089	120	150	181	211	242	273	303	334	364	30
31	031		090		151		212	243		304		365	31

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Updated on March 28, 2016

JULIAN DATE CALENDAR

FOR LEAP YEARS ONLY

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	061	092	122	153	183	214	245	275	306	336	1
2	002	033	062	093	123	154	184	215	246	276	307	337	2
3	003	034	063	094	124	155	185	216	247	277	308	338	3
4	004	035	064	095	125	156	186	217	248	278	309	339	4
5	005	036	065	096	126	157	187	218	249	279	310	340	5
6	006	037	066	097	127	158	188	219	250	280	311	341	6
7	007	038	067	098	128	159	189	220	251	281	312	342	7
8	008	039	068	099	129	160	190	221	252	282	313	343	8
9	009	040	069	100	130	161	191	222	253	283	314	344	9
10	010	041	070	101	131	162	192	223	254	284	315	345	10
11	011	042	071	102	132	163	193	224	255	285	316	346	11
12	012	043	072	103	133	164	194	225	256	286	317	347	12
13	013	044	073	104	134	165	195	226	257	287	318	348	13
14	014	045	074	105	135	166	196	227	258	288	319	349	14
15	015	046	075	106	136	167	197	228	259	289	320	350	15
16	016	047	076	107	137	168	198	229	260	290	321	351	16
17	017	048	077	108	138	169	199	230	261	291	322	352	17
18	018	049	078	109	139	170	200	231	262	292	323	353	18
19	019	050	079	110	140	171	201	232	263	293	324	354	19
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21	021	052	081	112	142	173	203	234	265	295	326	356	21
22	022	053	082	113	143	174	204	235	266	296	327	357	22
23	023	054	083	114	144	175	205	236	267	297	328	358	23
24	024	055	084	115	145	176	206	237	268	298	329	359	24
25	025	056	085	116	146	177	207	238	269	299	330	360	25
26	026	057	086	117	147	178	208	239	270	300	331	361	26
27	027	058	087	118	148	179	209	240	271	301	332	362	27
28	028	059	088	119	149	180	210	241	272	302	333	363	28
29	029	060	089	120	150	181	211	242	273	303	334	364	29
30	030		090	121	151	182	212	243	274	304	335	365	30
31	031		091		152		213	244		305		366	31

USE IN 2004, 2008, 2012, 2016, 2020, 2024, ETC.

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Updated on March 28, 2016

APPENDIX I: ALIEN NUMBER ASSIGNMENT

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-350-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-638-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program.

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all Requestor documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, Requestor documents, or track changes) to the Research queue.

3. Make sure we have valid certification of agreement, and VOI (DOB and COB). If not, close as TD or FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. If we have everything in rule 3, we do not send for Requestor documentation except in cases that do not meet Reasonable Description of Records Being Sought (section 7.3 of the guide). If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. If you do not immediately find a person, search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. If you do not find Juan Rodriguez Martinez, try reversing the last name to Juan Martinez Rodriguez. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. If you do not immediately find a person, always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing the whole request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

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9. Use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases, except in asylum or refugee cases. You must add the specific language on the request (or as close as possible to their language) to the acknowledgment letter if it is a request for Specific Documents.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. If there is no cover sheet, you must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as expedited, or fee waiver request. If there was an expedited or fee waiver request that was approved or denied, change it back to "Not Requested" and save it before you send the case to Up-Front Approver.

12. Do not staff for A-Files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart at Appendix H of the guide. A-Files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as T-Files and unconsolidated receipt files. Always unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. The only time you do not have to create a Discussion is when you have all VOI and certification of agreement, it's a straightforward request, an ordinary staffing, there are no unusual circumstances, and you pend for responsive records. Any other time, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-

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mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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APPENDIX K: RECORD OF REVISIONS

(showing revisions after September 28, 2015)

October 23, 2015

We have updated section 8.13 REQUESTS: Inmate in Federal Custody of the FOIA/PA Assistants Guide as follows (new information in red):

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

We have updated section 12.16 Receipt Numbers of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

Section 12.16 Receipt Numbers

~~If the petitioner is the Requestor, and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is always the subject of record. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." For~~

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~~that reason, even though the Requestor may have listed the petitioner as the subject of record, if you discover that the petition is consolidated into the beneficiary's file, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639.~~

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

December 14, 2015

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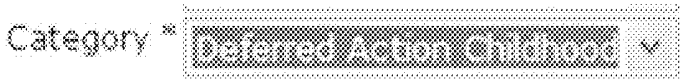
We have updated section 6.3.4.3, Deferred Action for Childhood Arrival of the FOIA/PA Assistant's Guide as follows (new information in red):

6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.

We have updated various sections that referred to 12.7.12, 12.7.13 and 12.7.14, none of which exists. Changed all to the correct references in the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections ~~**12.7.12**~~ 12.16 and ~~**12.7.13**~~12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in ~~12.7.14~~ 12.18.14.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section 7 of this guide. If the receipt is not available in records, please refer to sections ~~12.7.13~~ 12.18.6 ~~and~~ or ~~12.7.14~~ 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section ~~12.7.14~~ 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

12.12.4 Empty Jackets

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If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.7.12. 12.18.12

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate."

February 10, 2016

We have updated section **7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these. as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

We have updated section **7.2 Verification of Identity (VOI)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI)

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these. as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

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We have updated paragraph **9.2.2**, under section **9.2 Redirection** of the FOIA/PA Assistant's Guide as follows (new information in red):

9.2.2 If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scan in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

We have updated section **32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The ~~two~~ three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_ Unperfected Letter for Older G-639 version

We have updated all unperfected letters by deleting the following sentence as follows (deleted information in strikethrough):

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~~Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.~~

February 29, 2016

We have updated section 6.1.1.10. RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information*."

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

~~If the request is on Form G-639, please do not use the address on the envelope, or Form G-28 or letterhead as the Requestor address without first speaking with a supervisor about it, and after you do, create a Discussion saying you did so. If there is, a cover letter or other document specifying that the records should be sent to a different address than the one specified on the request, use the one the Requestor specifies. Please create a Discussion explaining why you are not mailing it to the address in *Requestor Information*.~~

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the Requestor Information block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

March 28, 2016

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We have updated and changed the name of section 12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases to Creating Staffing and Acknowledgement letters for ELIS2 cases of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

NOTE: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS. Any references from this point on refer to ELIS2.

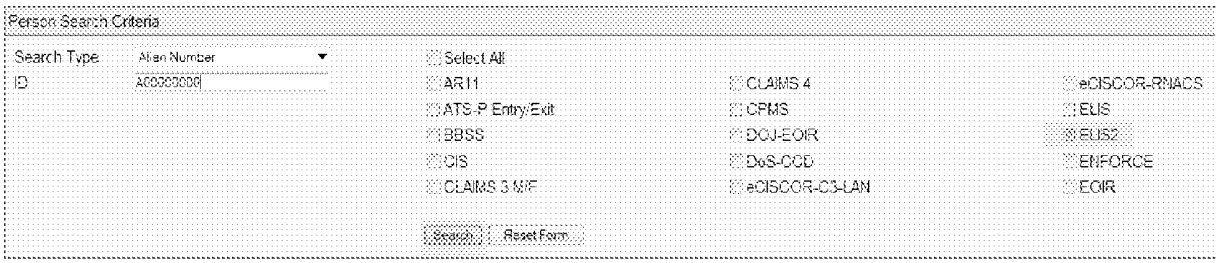
~~(The updated slideshows; ELIS Research Staff Redact - ELIS, and ELIS Research Staff Redact - PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).~~

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

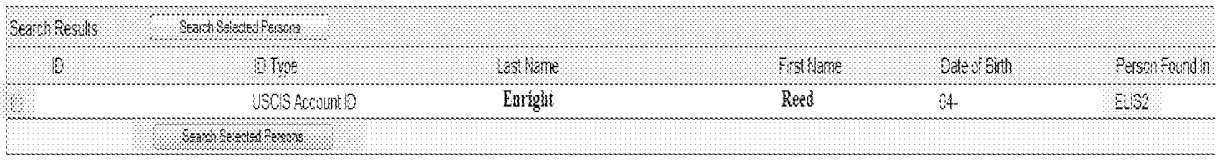
12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

Whenever you create a case, please check ~~both~~ the ~~ELIS and~~ ELIS2 block~~s~~ in PCQS to search for ~~ELIS~~ ~~information~~ the IOE Receipt number.



If you get a response of "Person Found In: ELIS2," please ~~click twice~~ check the box and click "Search Selected Persons" to get your IOE Receipt number.



You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

r

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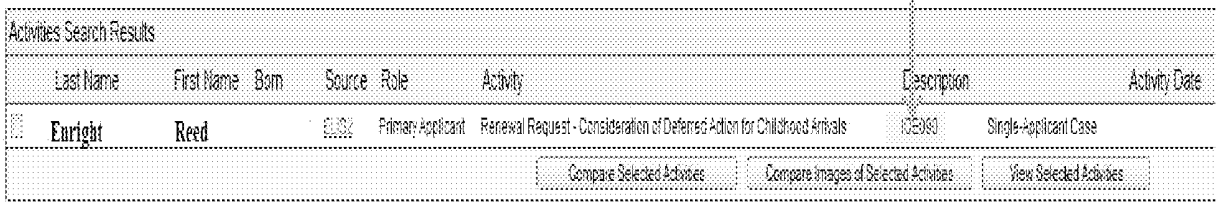
Copy IOE Receipt number



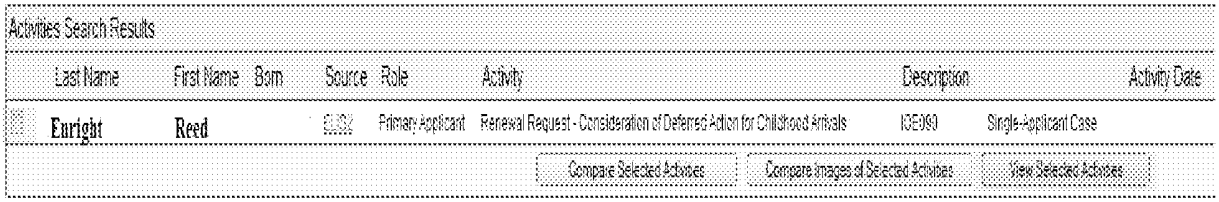
12.18.16.2 Deleted

Step 2: Is the case open or closed?

~~To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:~~

~~1. Is this a self-request or a request from Attorney/Representative/Others?~~
~~2. Is the case open or closed?~~

~~You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS (same place where you copied the IOE number above), the "Primary Applicant Summary" default screen will display.~~
Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



~~Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:~~

~~A. Accepted~~
~~B. Optimized~~
~~C. Reopened~~
~~D. Closed~~

On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

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If the case state is accepted, optimized or reopened, your case is open. ~~Closed means closed~~.

Account Header	
Name	Reed Enright
Alien Number	A2
Account ID	0
Date of Birth	0
Country of Birth	
Place of Birth	
Gender	
Case ID	
Case State	Accepted
Case Status	
Case Sub Status	Pending Prior Case Card Expiration

NOTE: The Case State can also be found in the Case Details section of your screen print.

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Accepted
Case State Date	0

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

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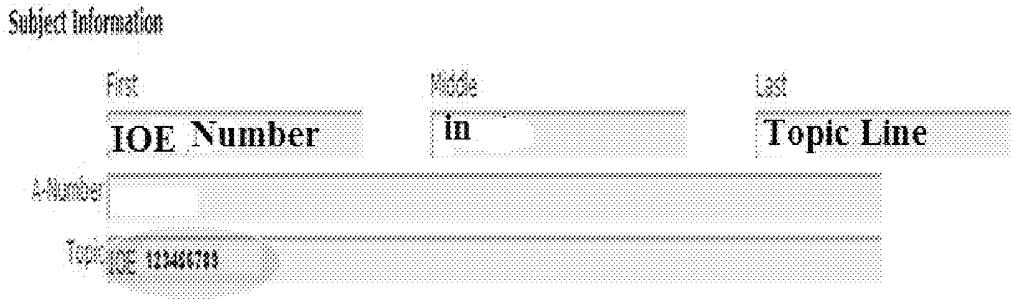

NOTE: Putting the IOE Receipt number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, ~~either~~ create a~~n SSC or ESC~~ staffing to the correct File Control Office.

Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Closed
Case State Date	0

Step 5a(1): Staffing letter

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Open cases from Attorney/Representatives or self-requests:

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS.**" Leave it at the end of the second bullet.

Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

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After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- **Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5a(2): Acknowledgement letter

Open cases from Attorney/Representatives or self-requests:

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

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Example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Step 5b(1): Staffing letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

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SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC20160
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- **There is no change to the Acknowledgement letter**

ELIS FAQ's

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS *(not RAFACS/CIS)* staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

(b)(6)

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers **(ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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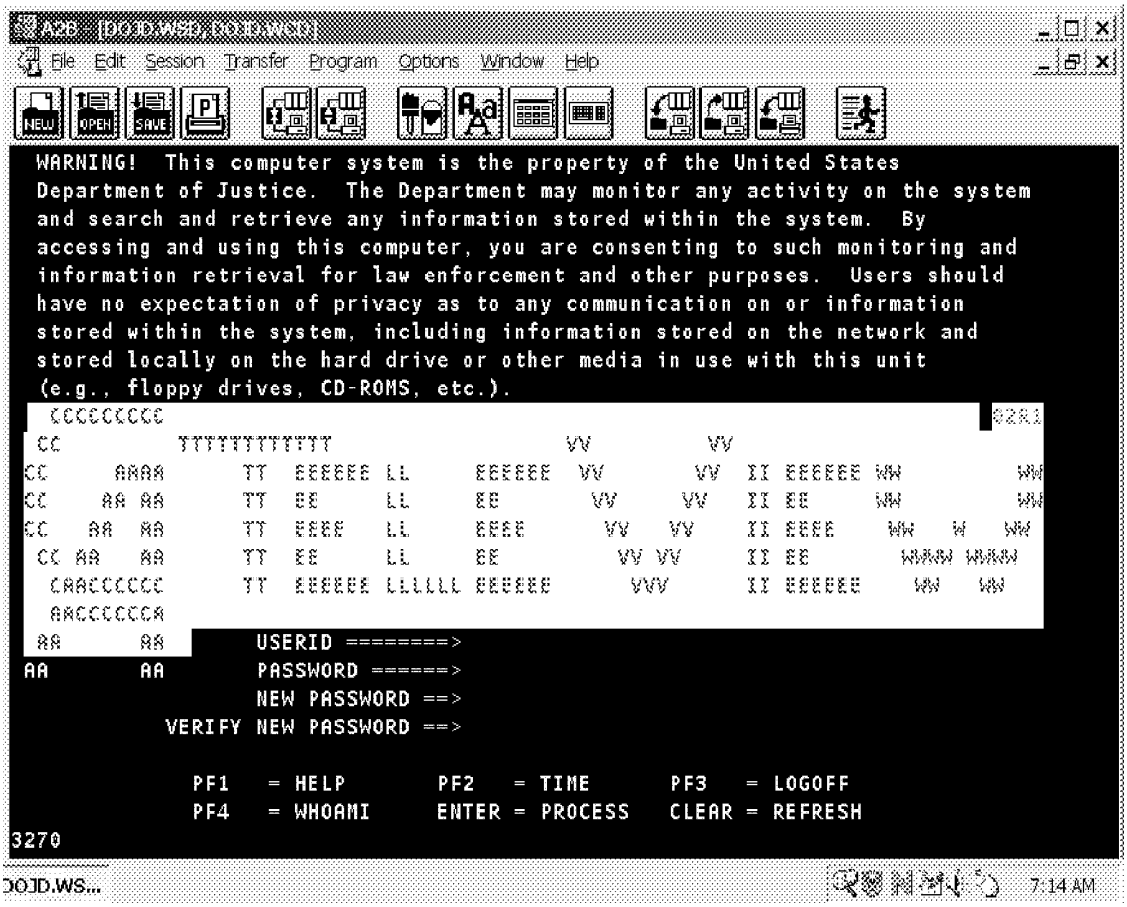
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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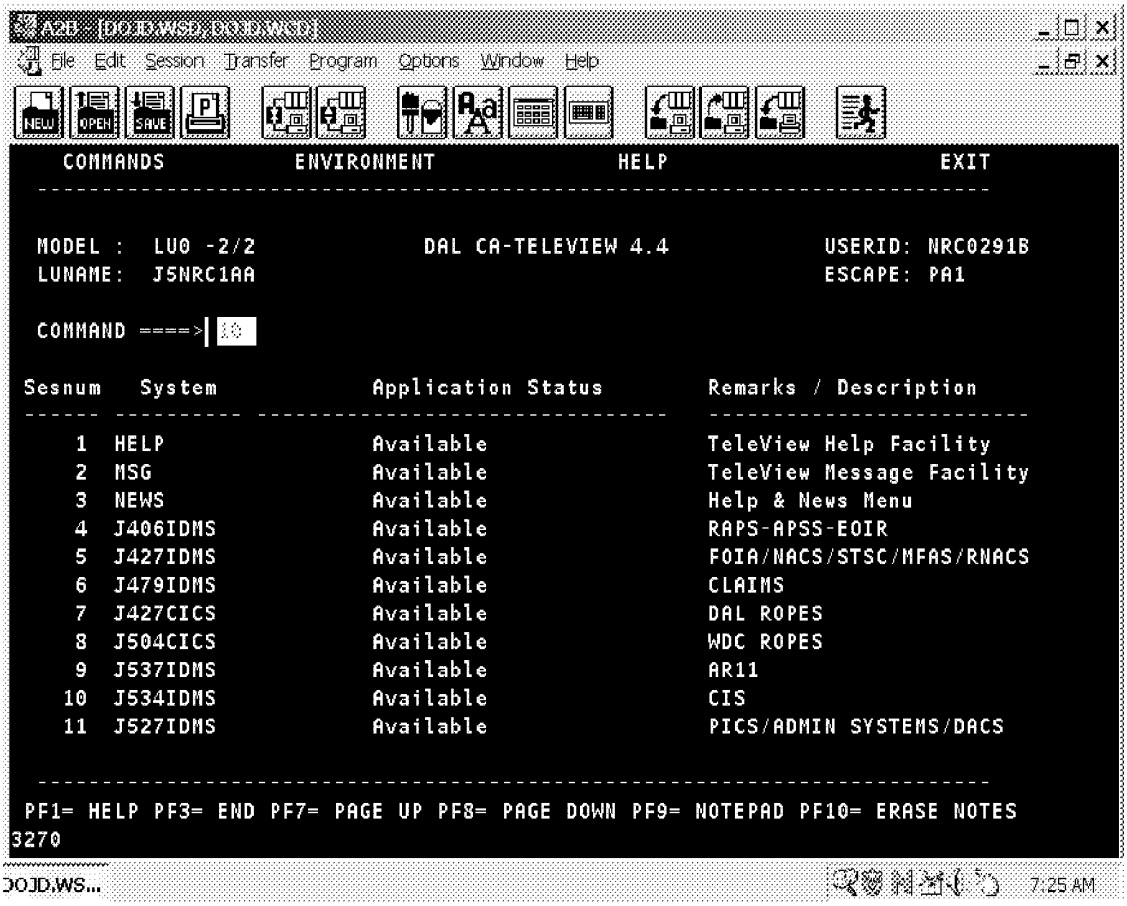
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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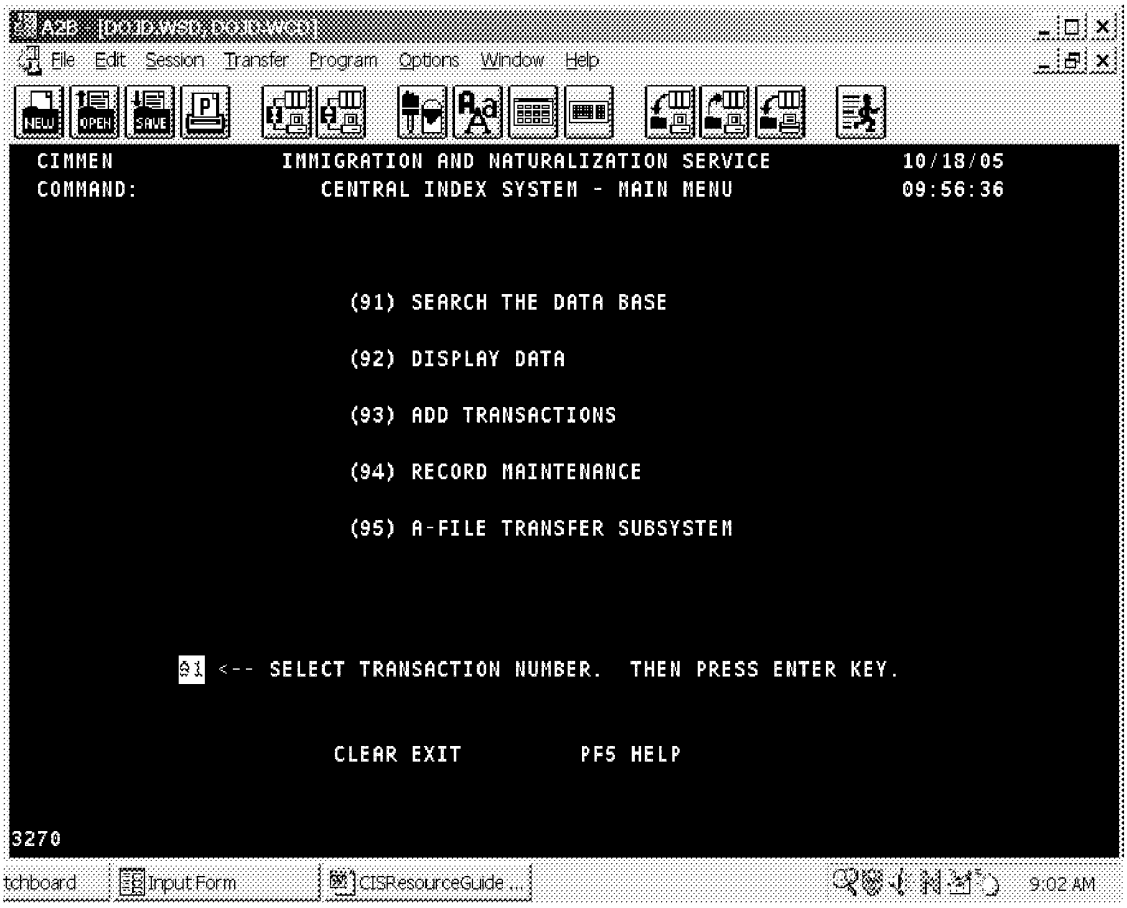
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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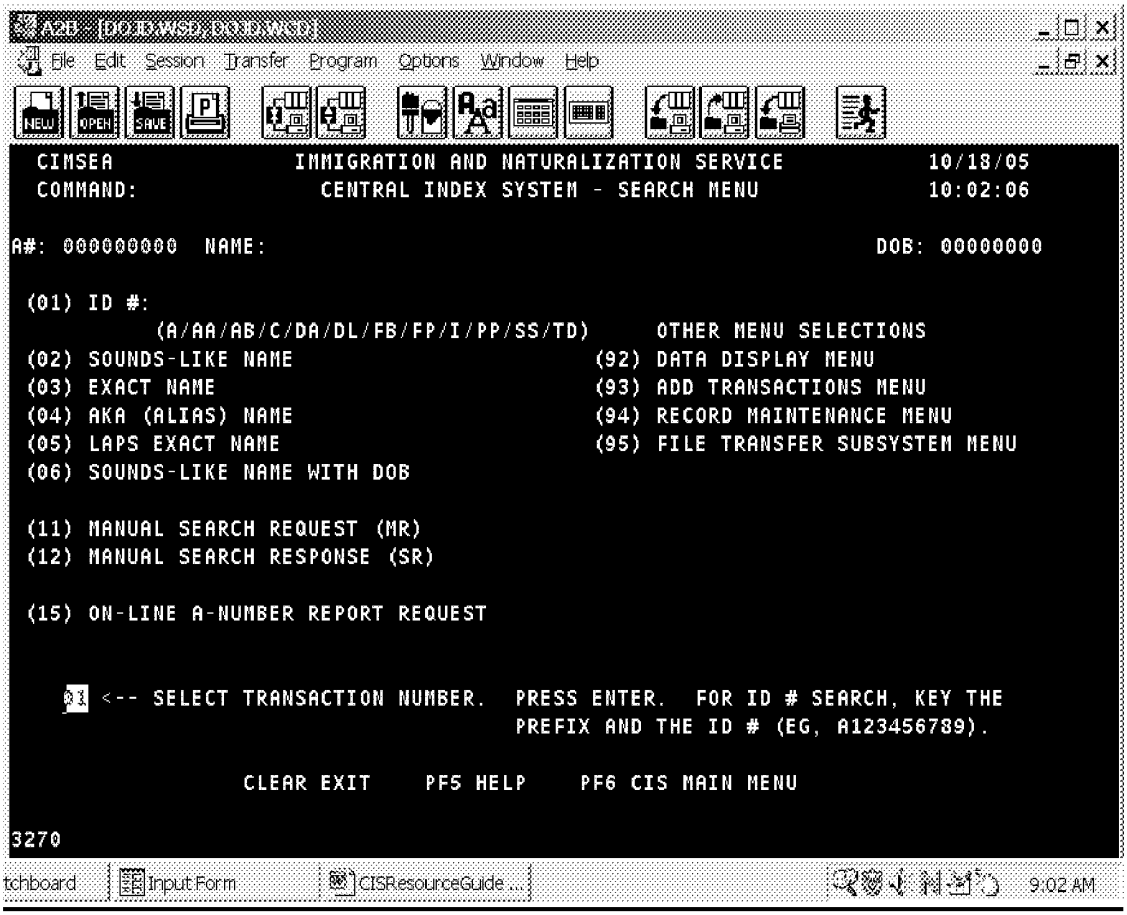
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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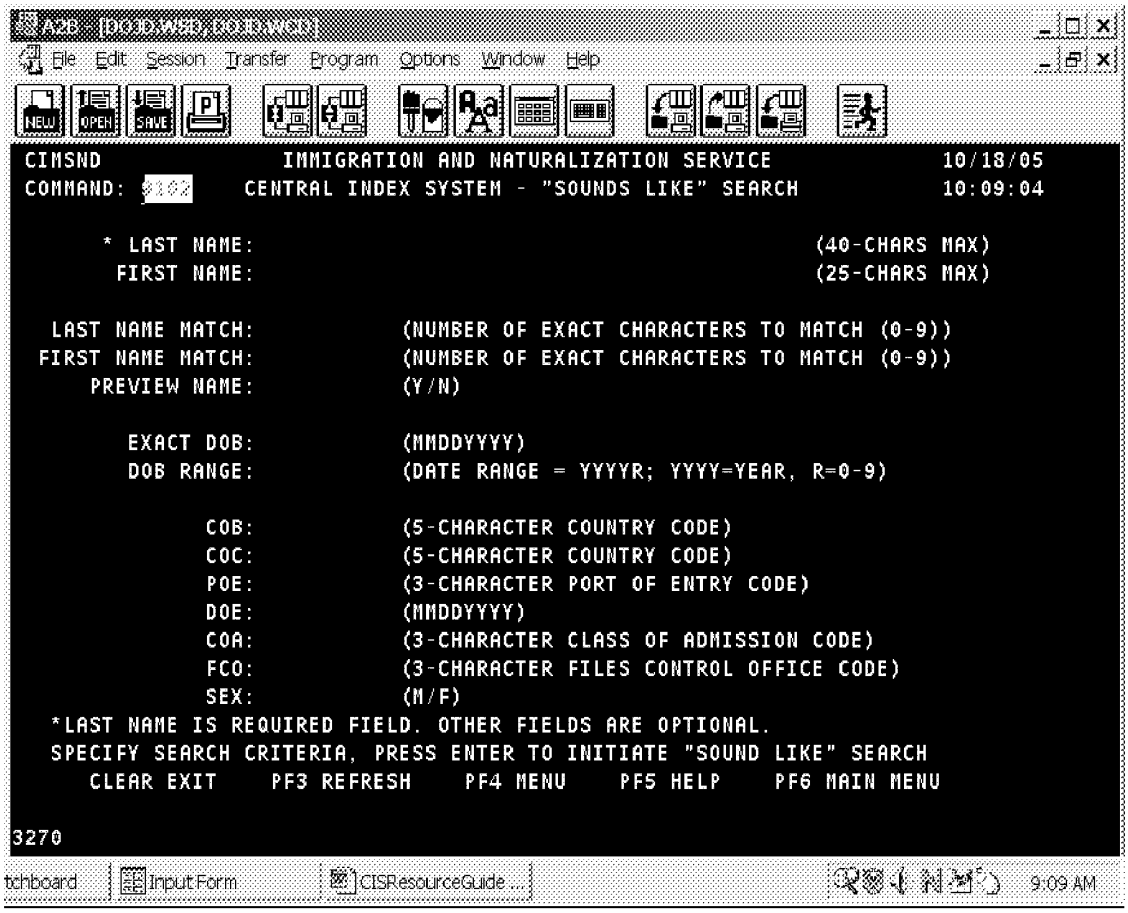

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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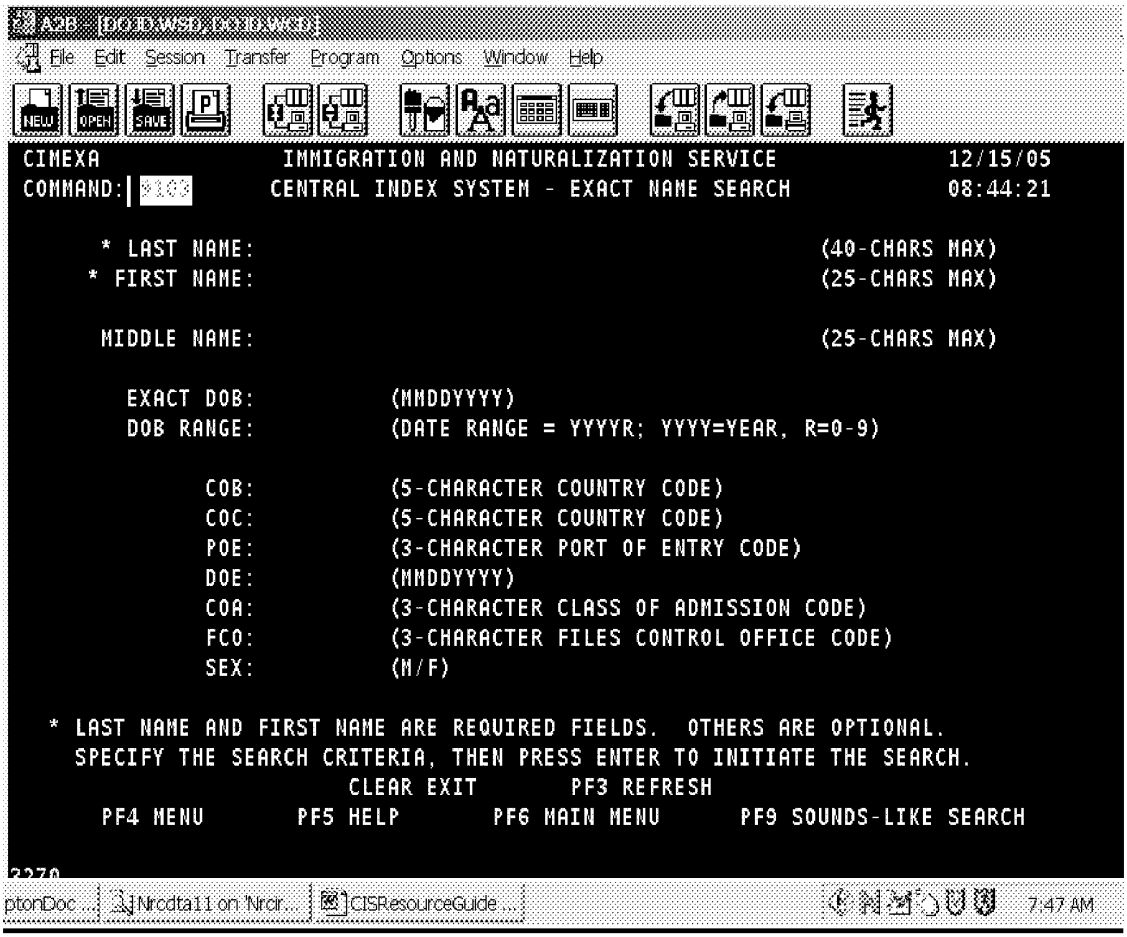
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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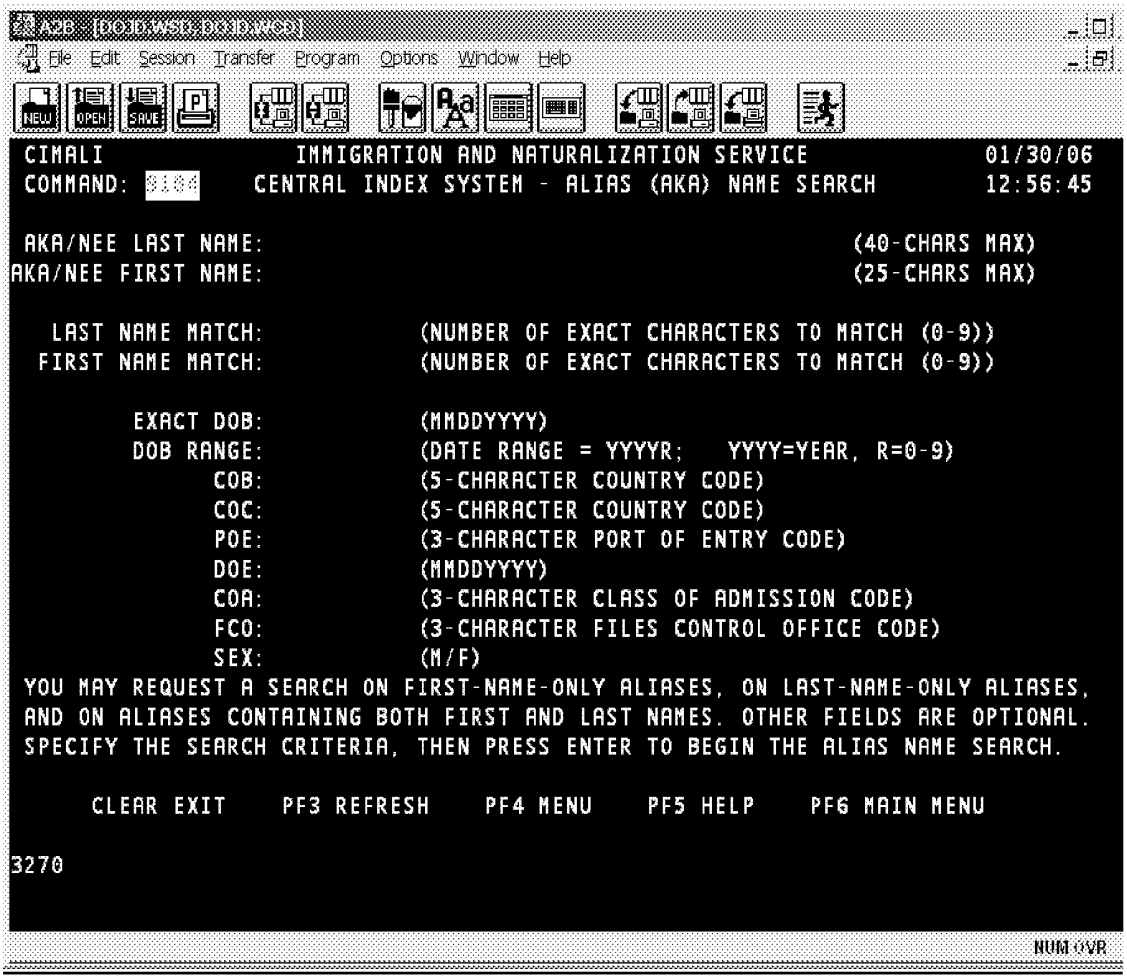
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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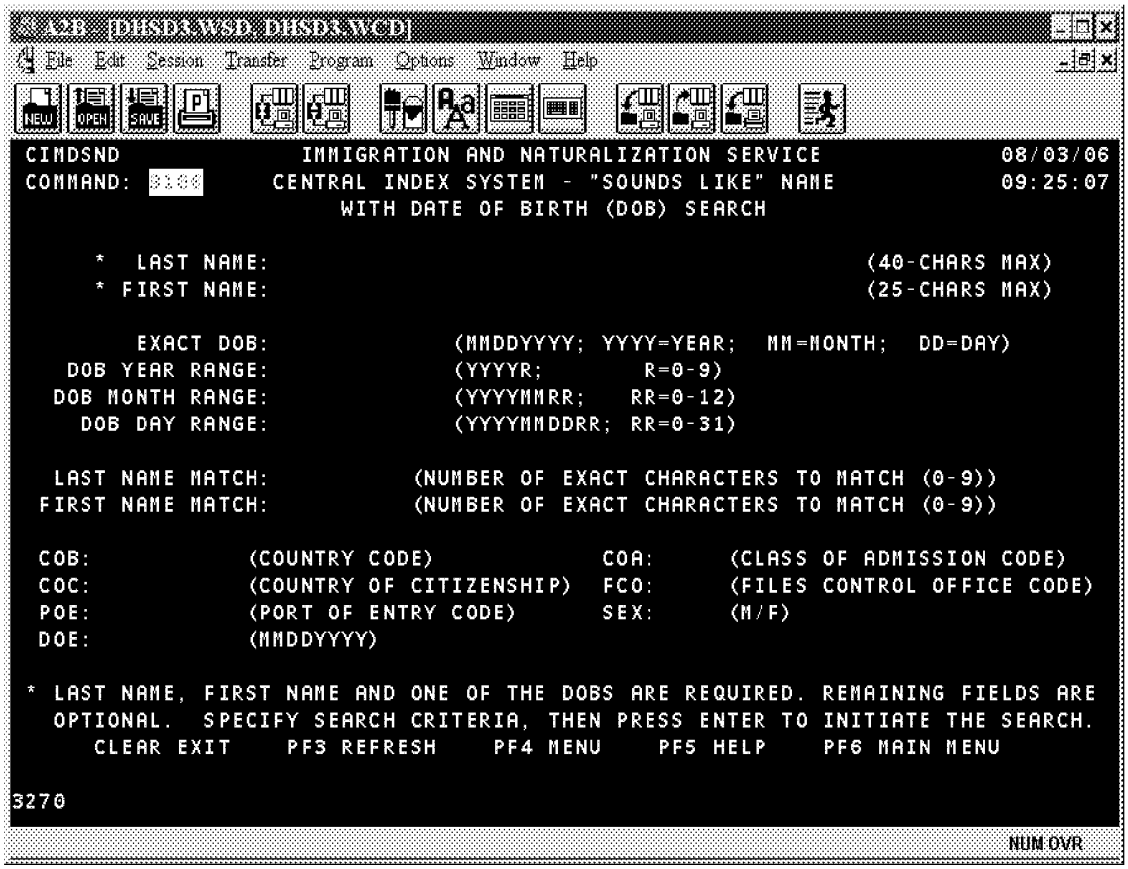
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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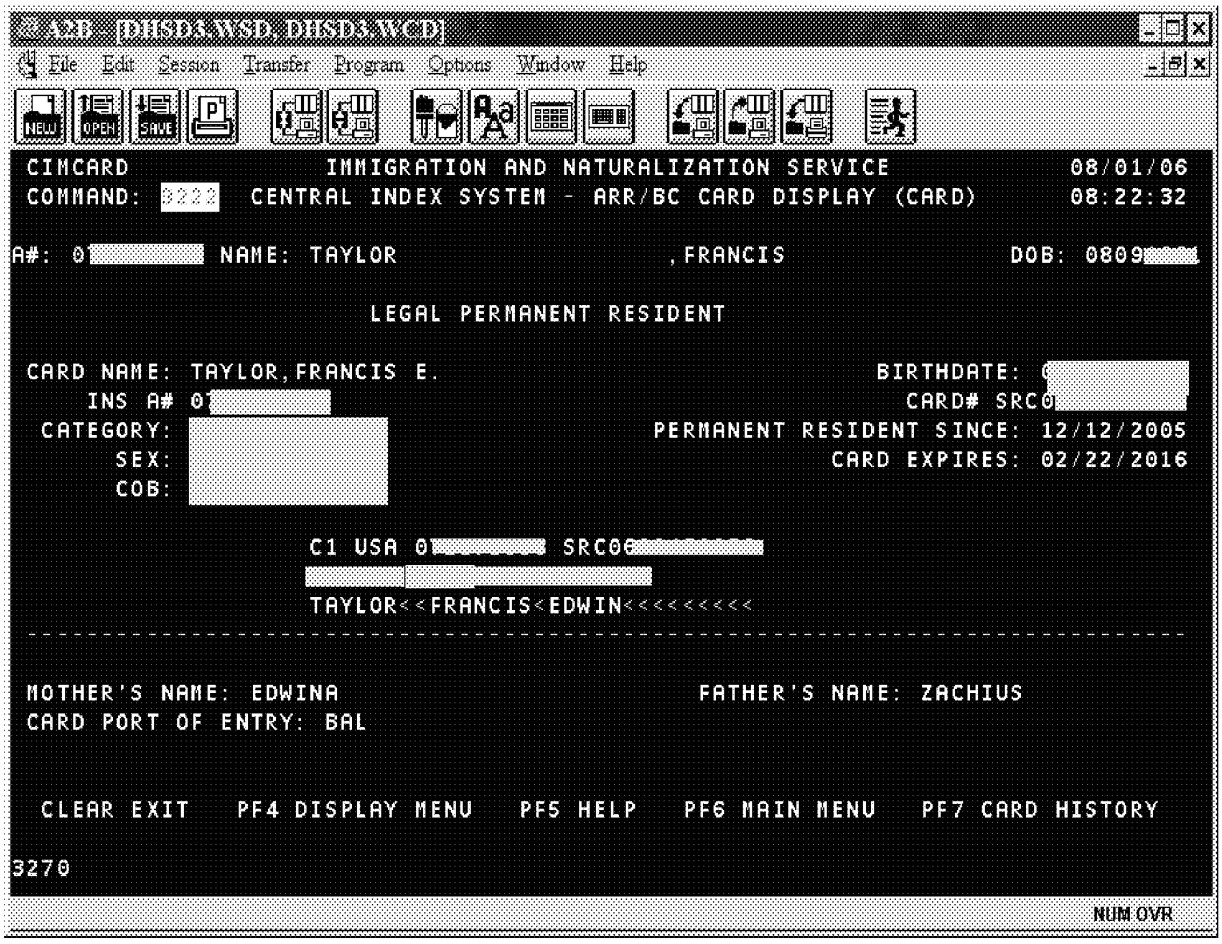
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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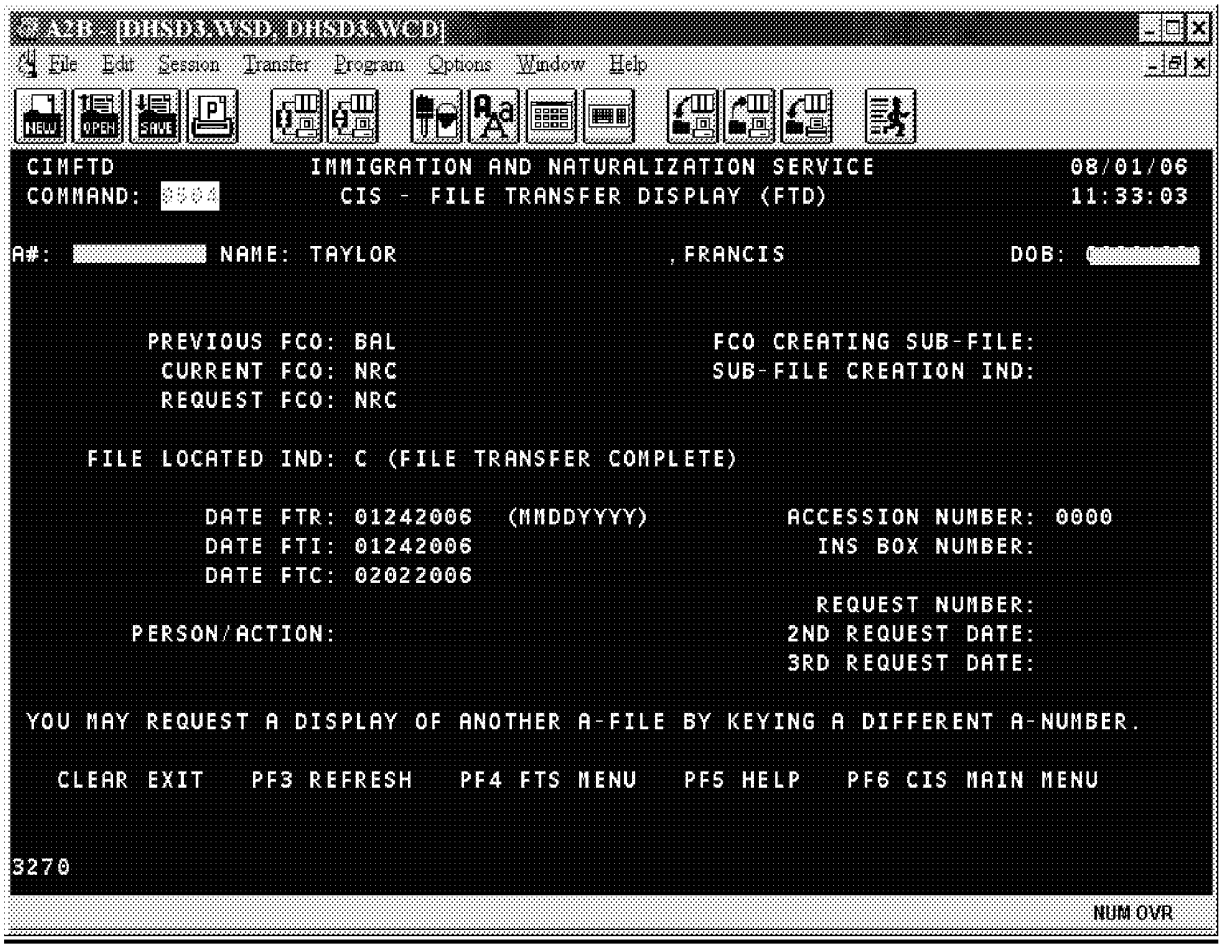
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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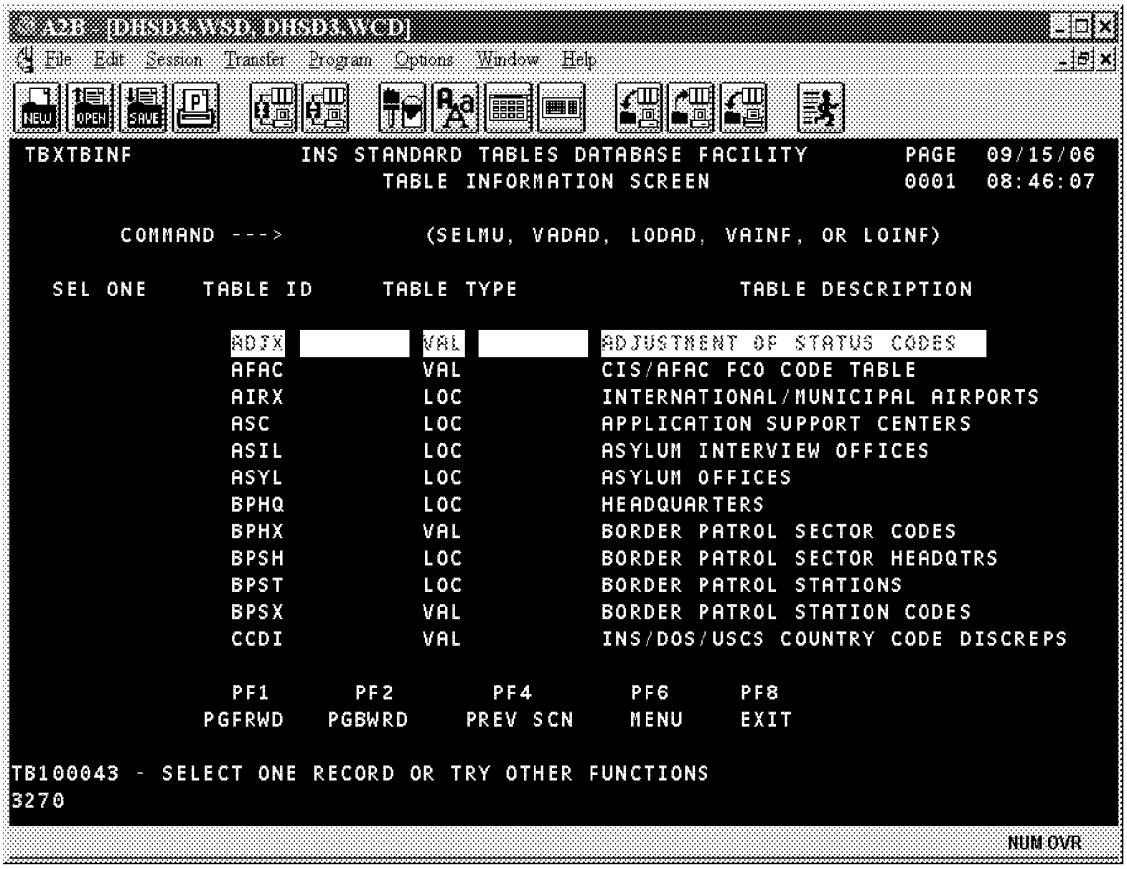
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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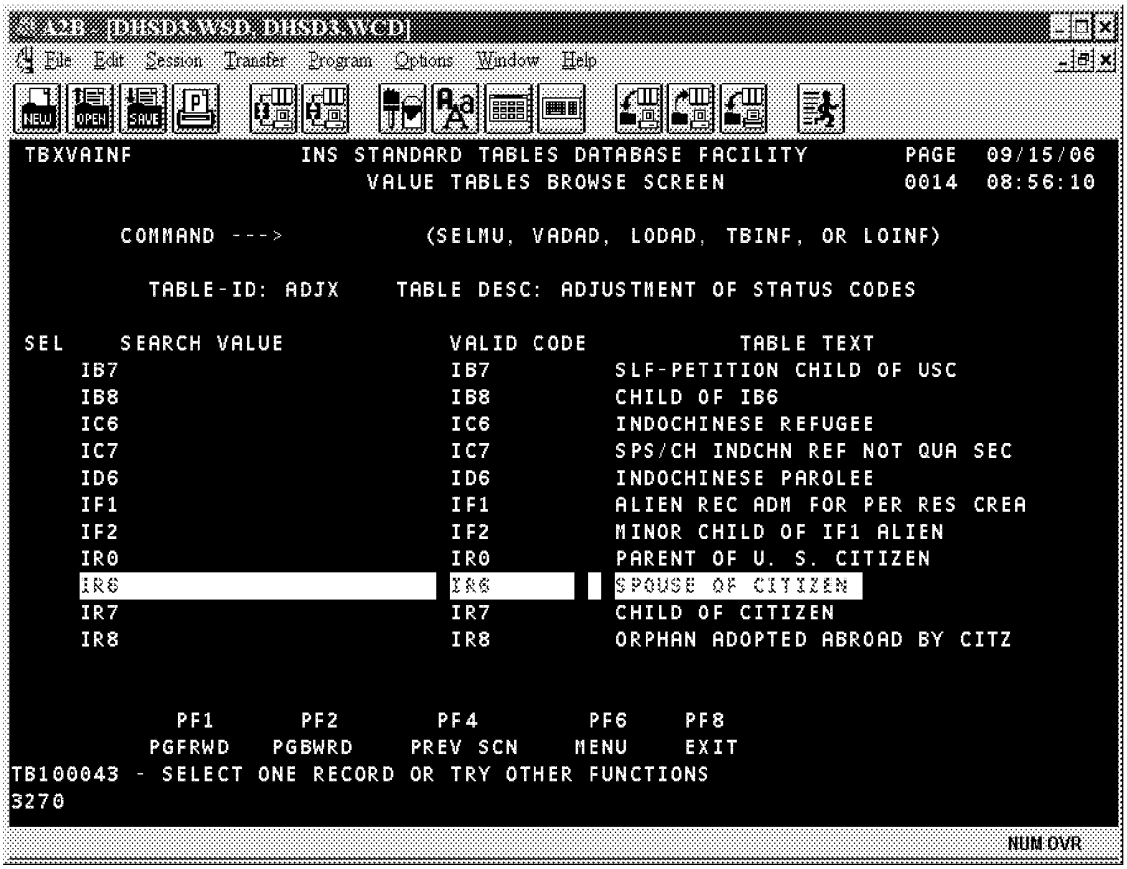
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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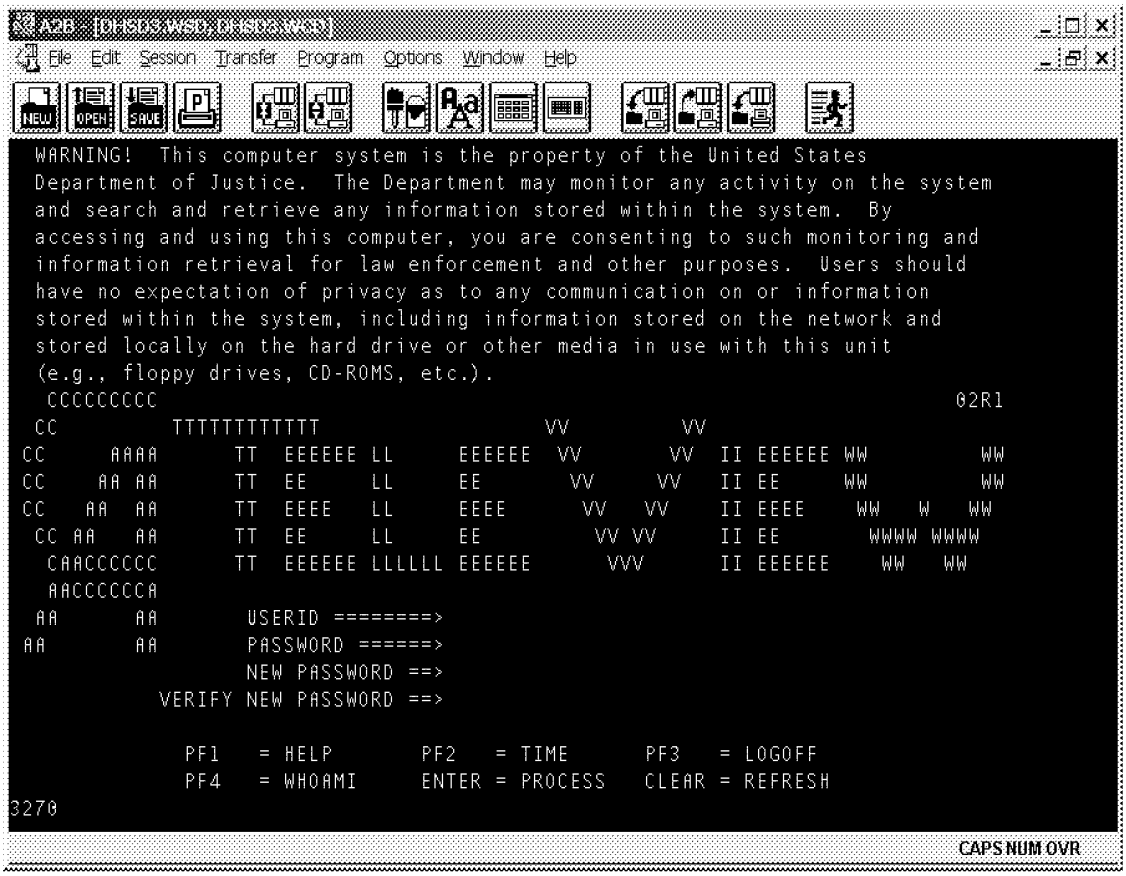
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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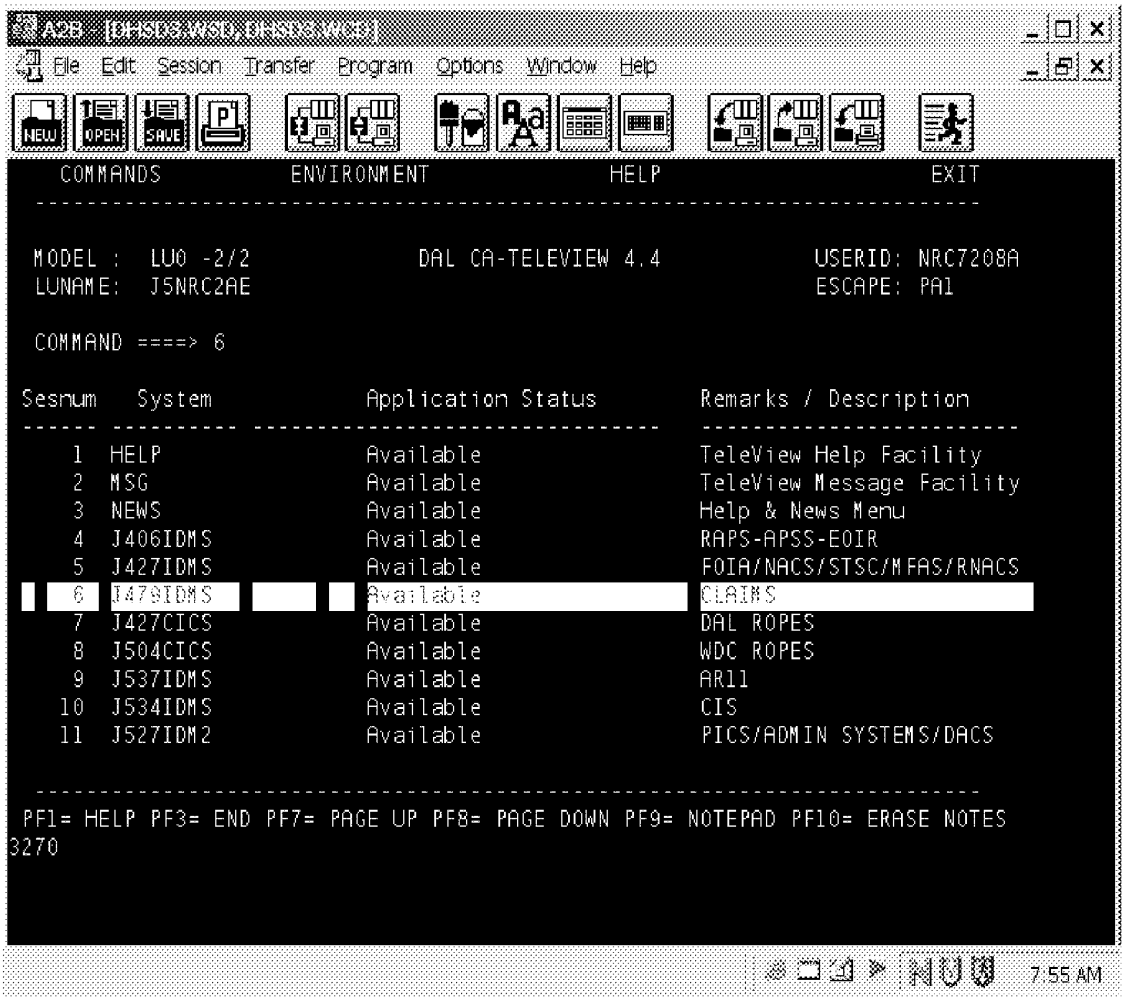
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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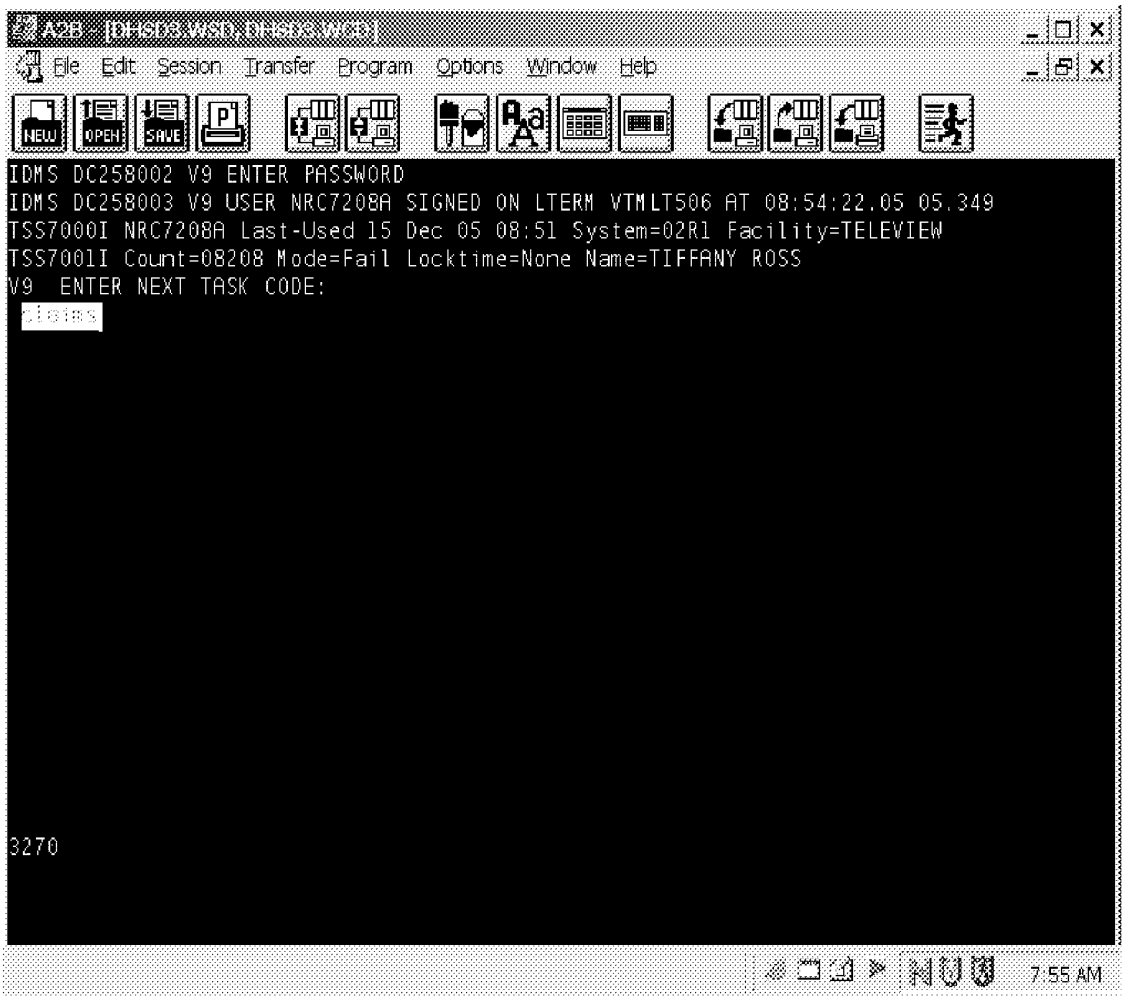
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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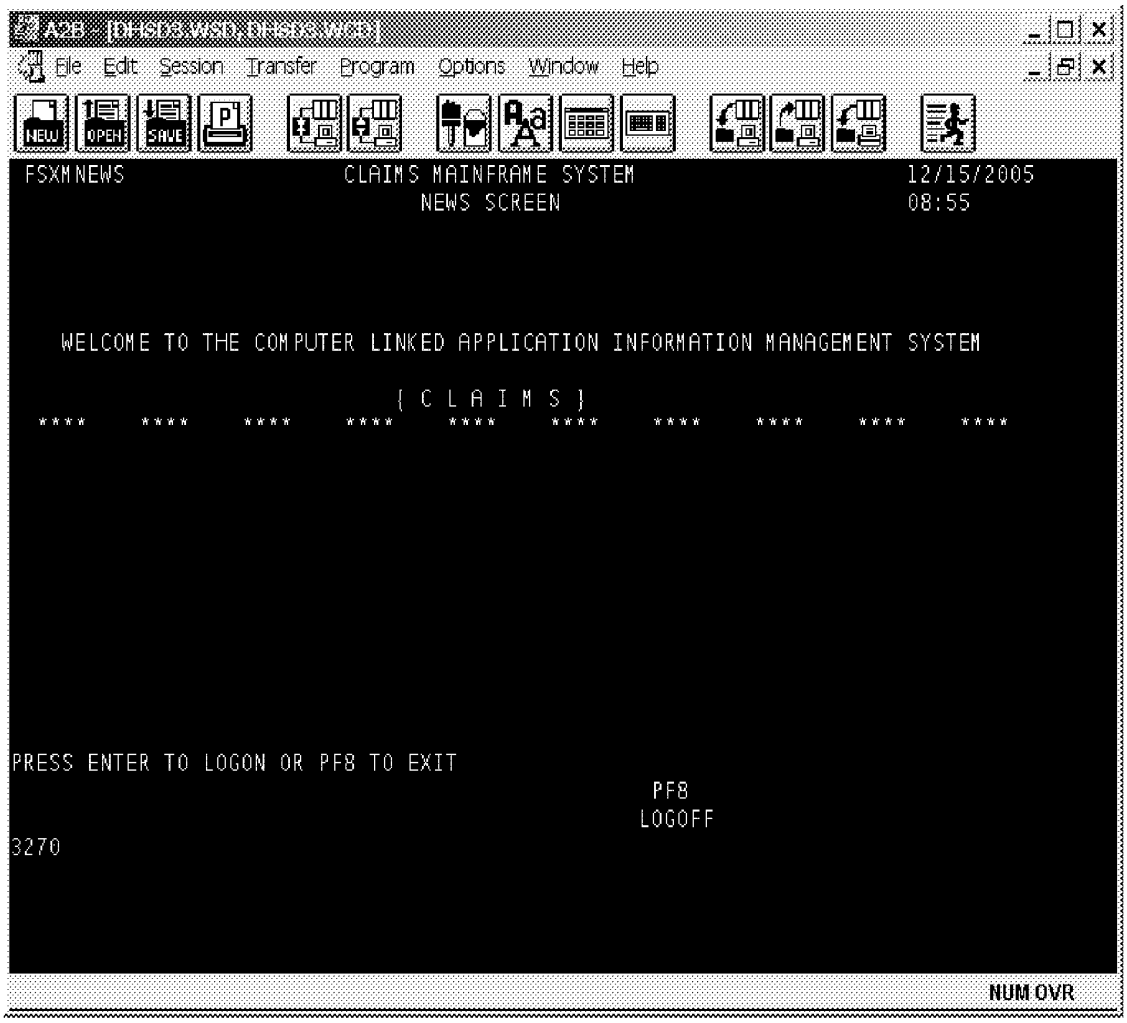
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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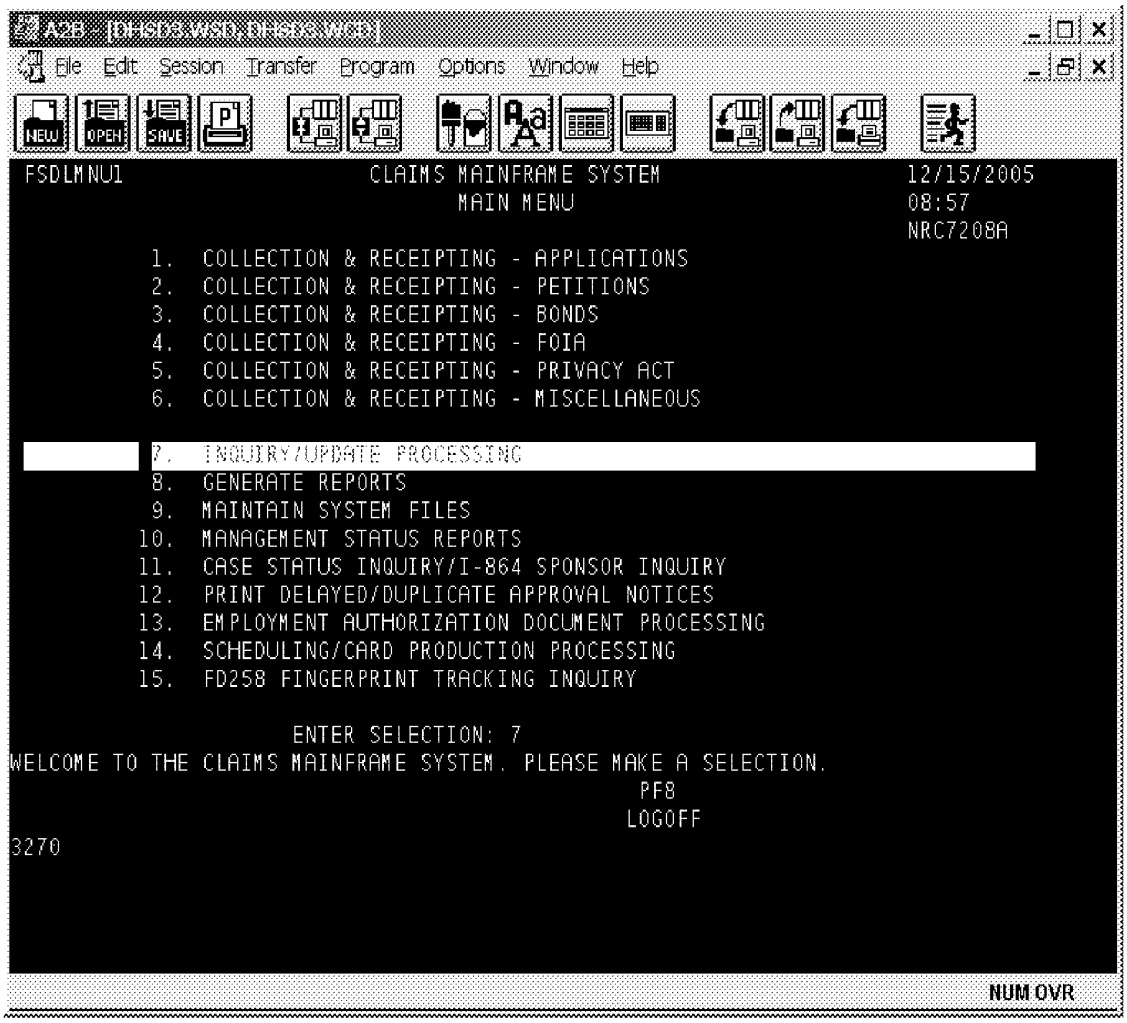
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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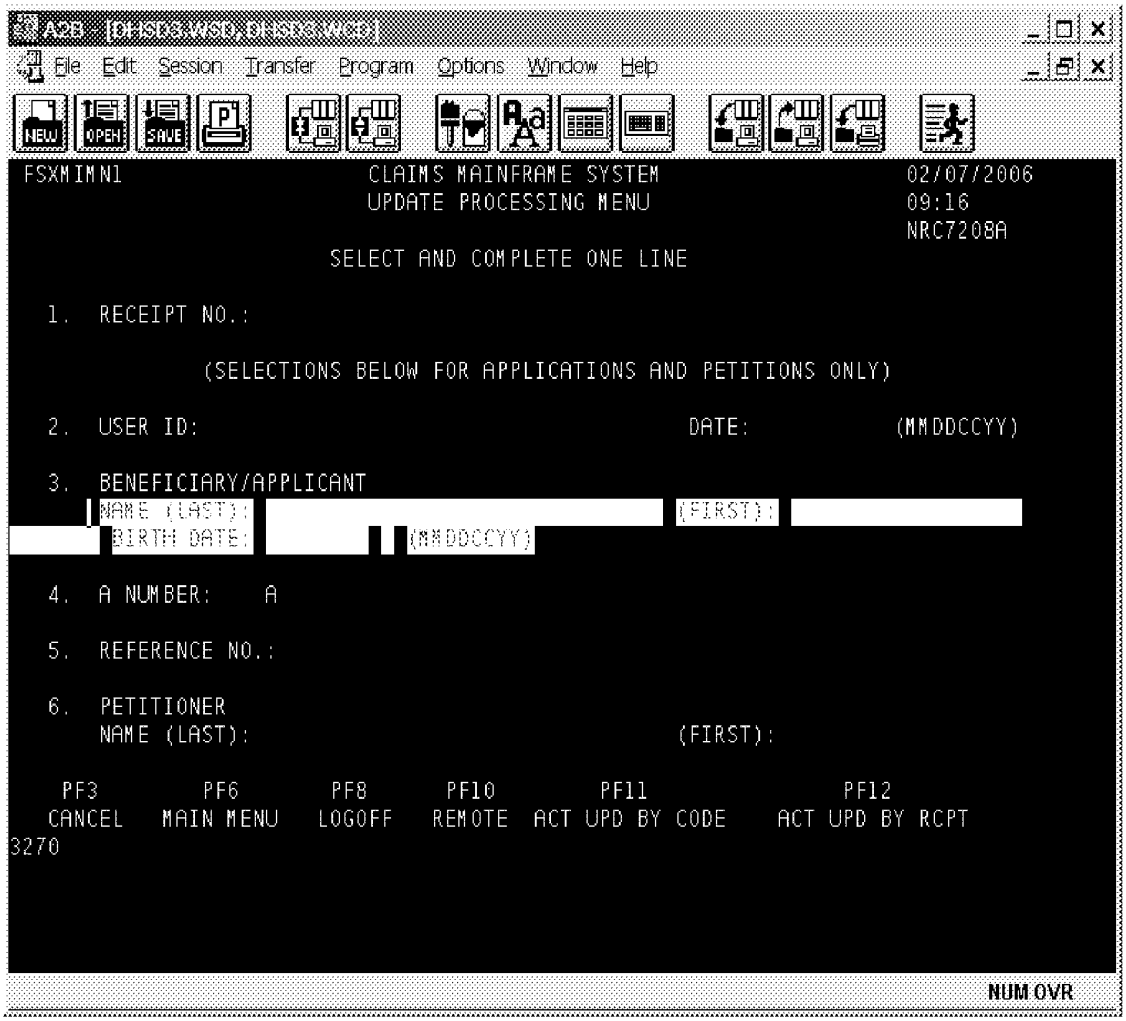
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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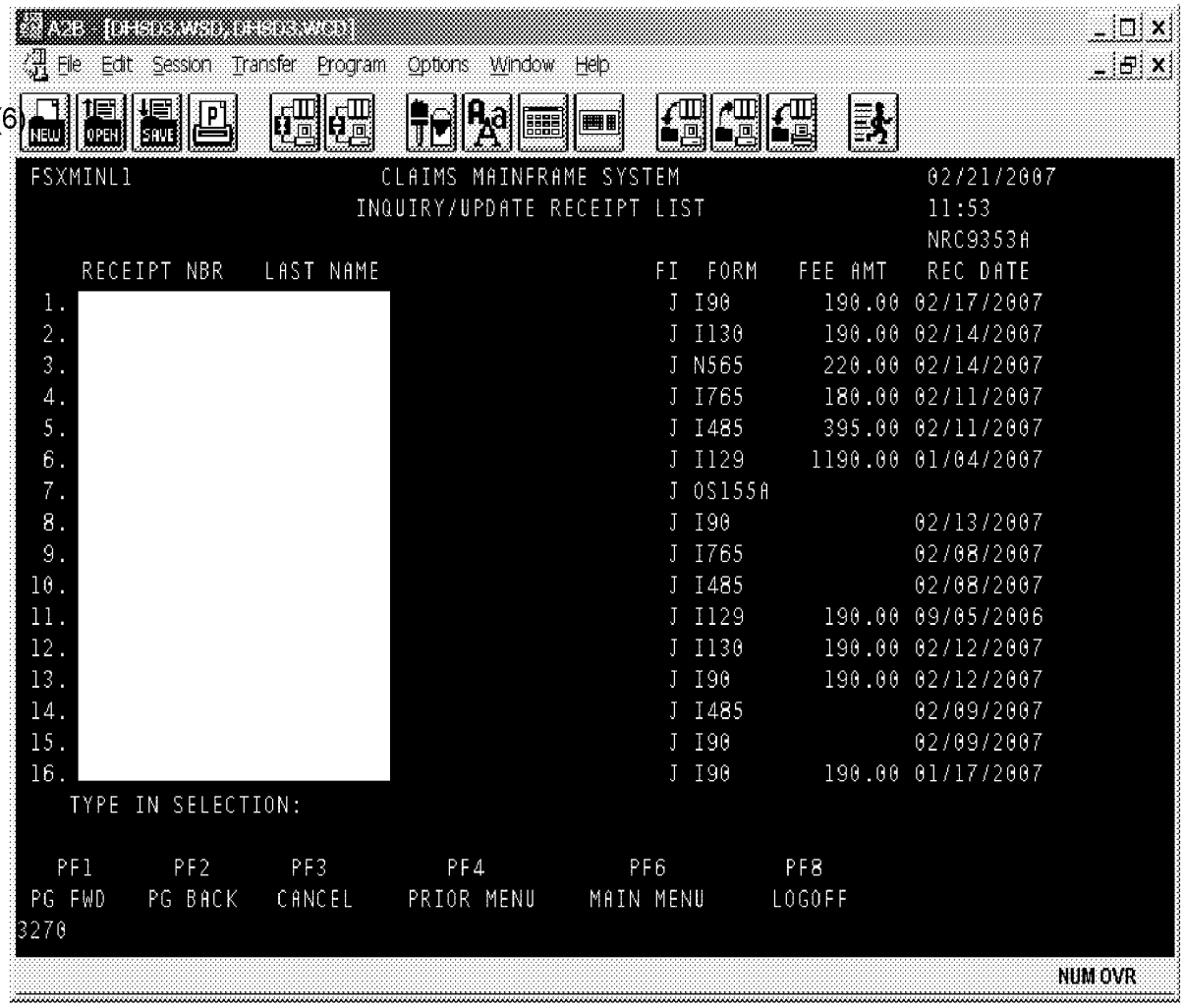
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number SRC0710351687 will be displayed.

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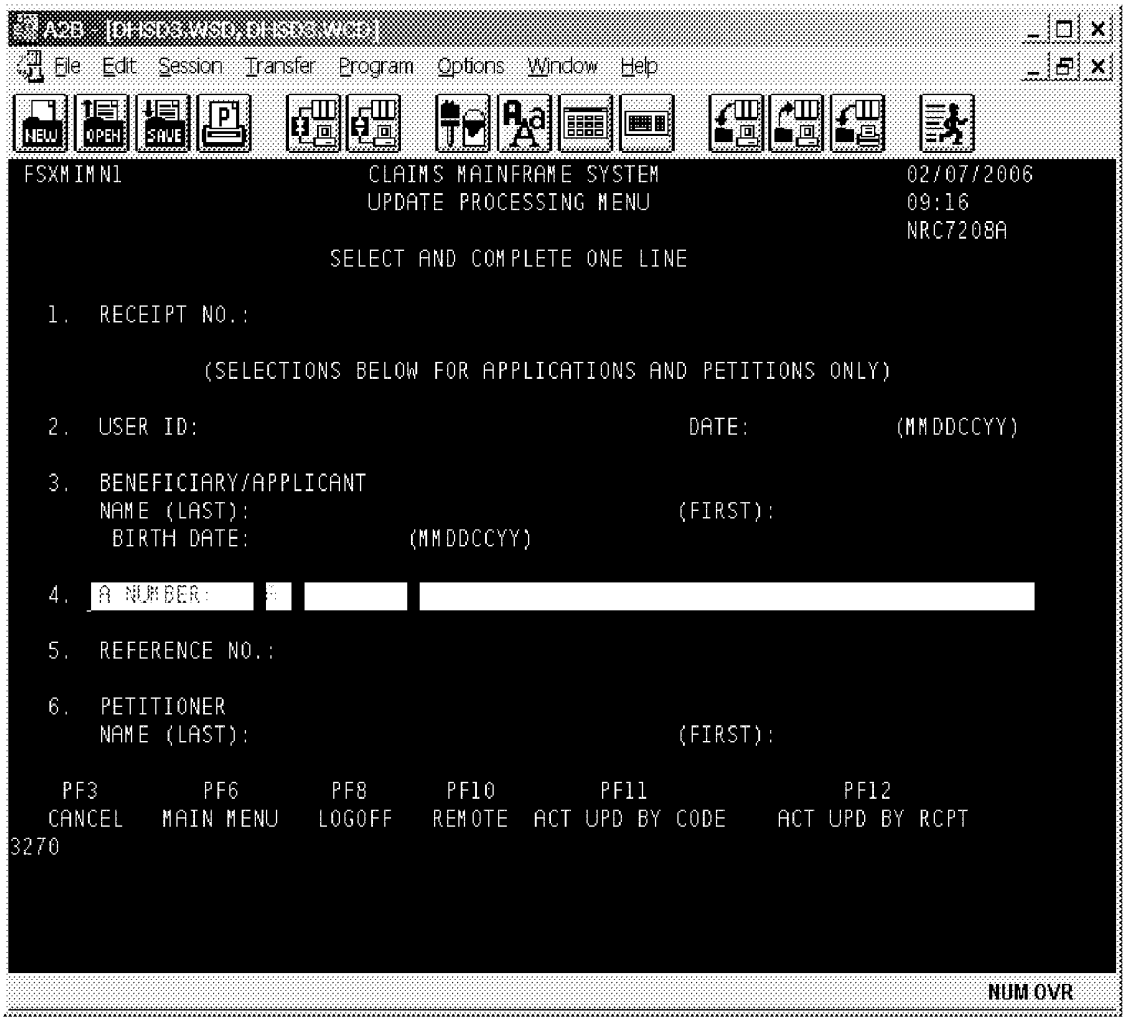
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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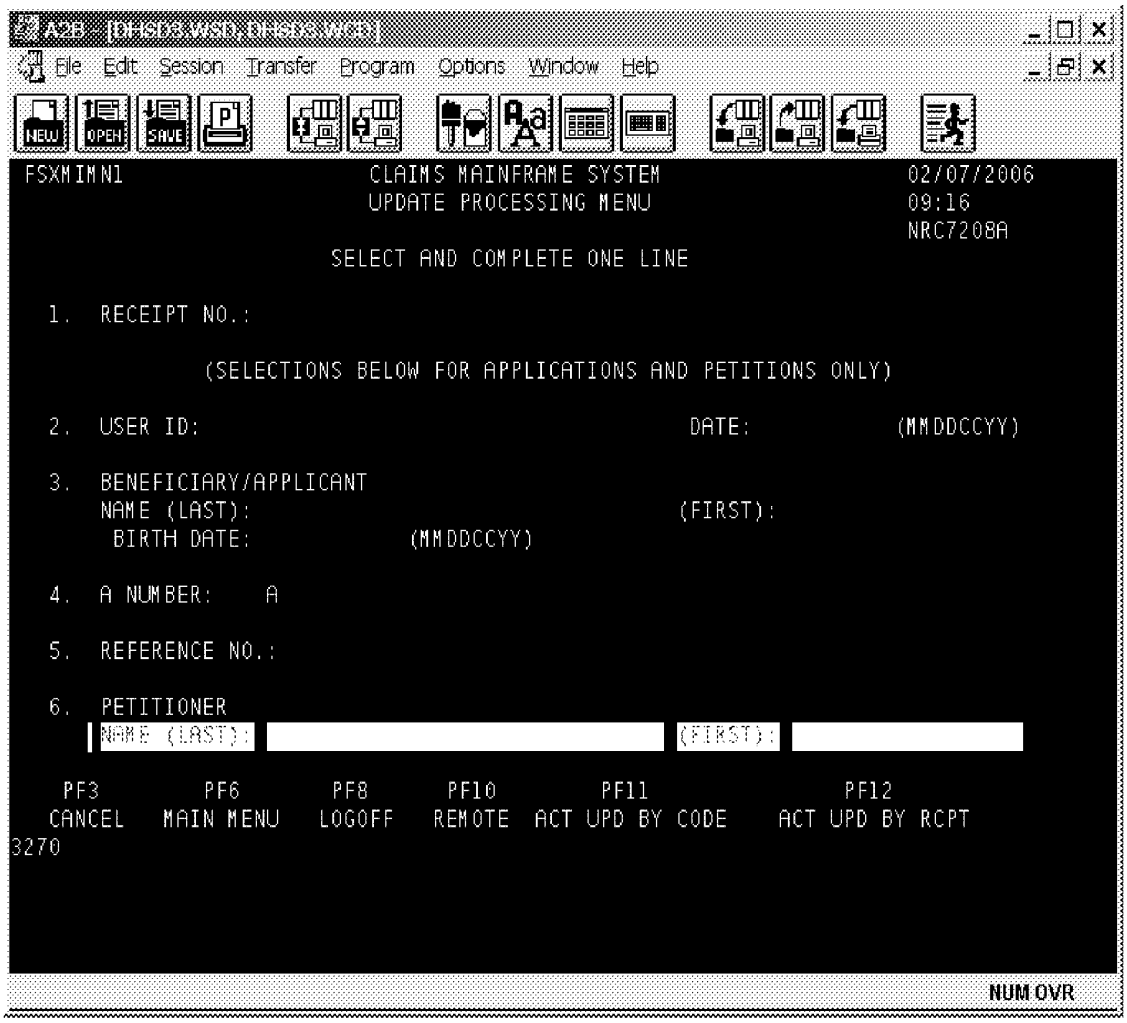
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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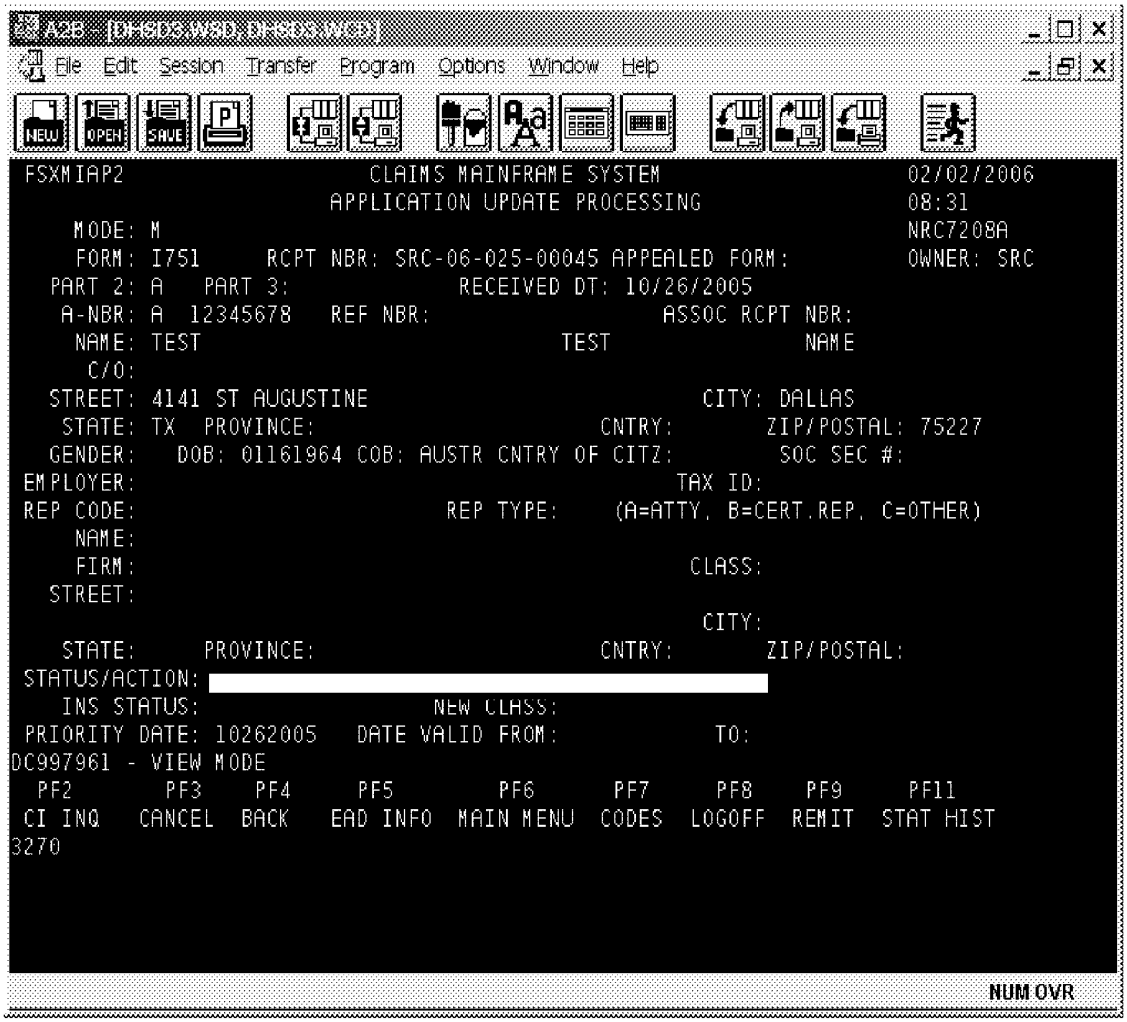
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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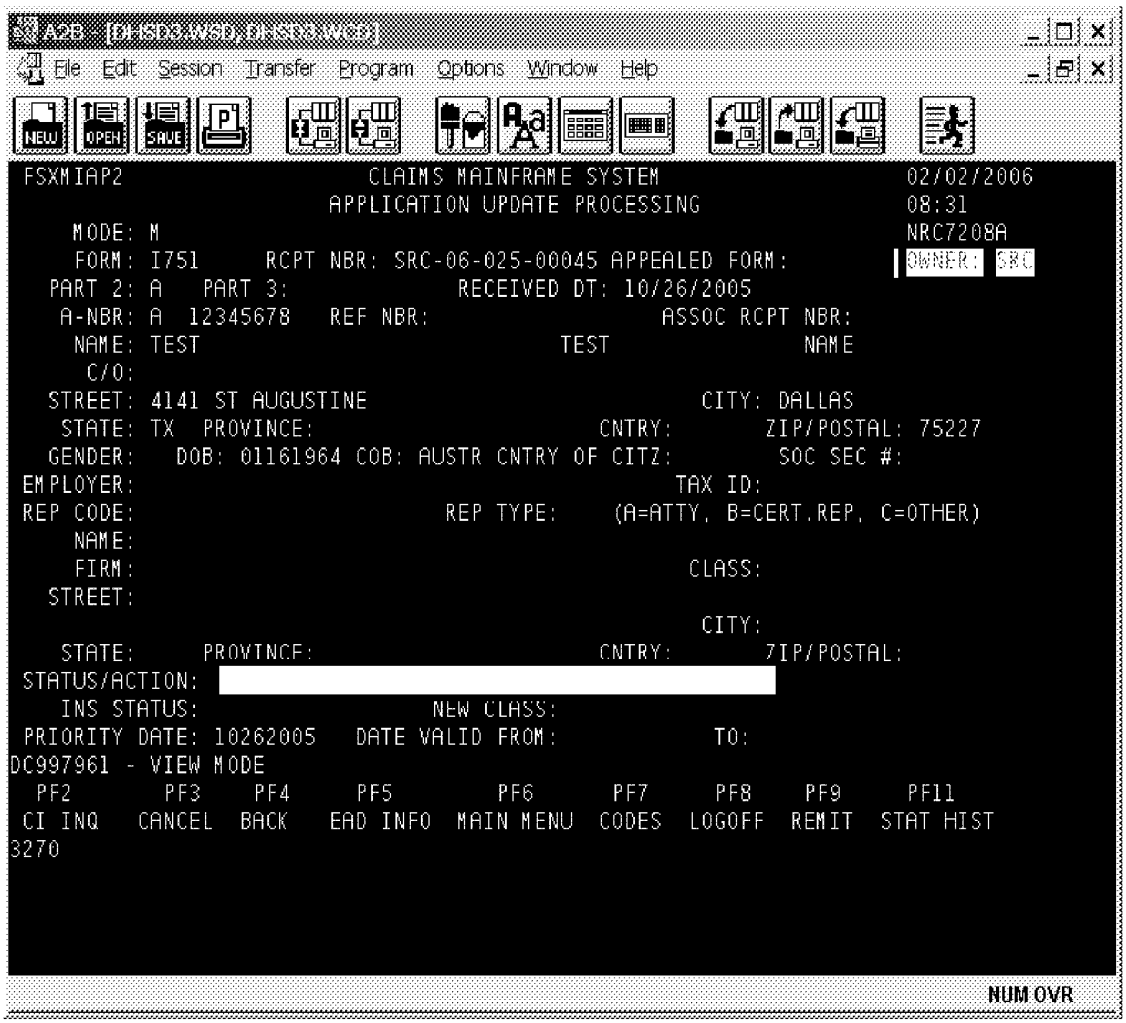
(b)(7)(e)



The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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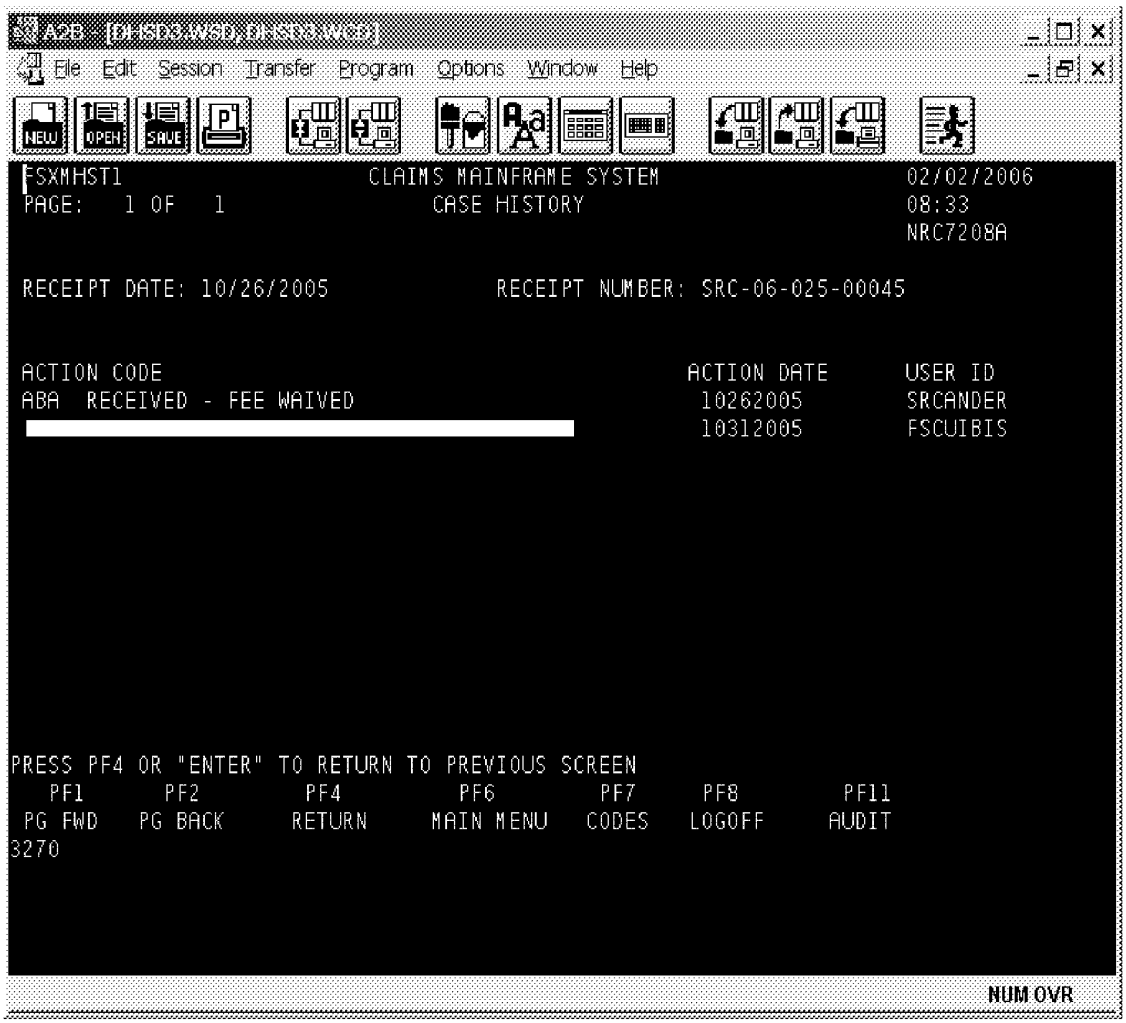
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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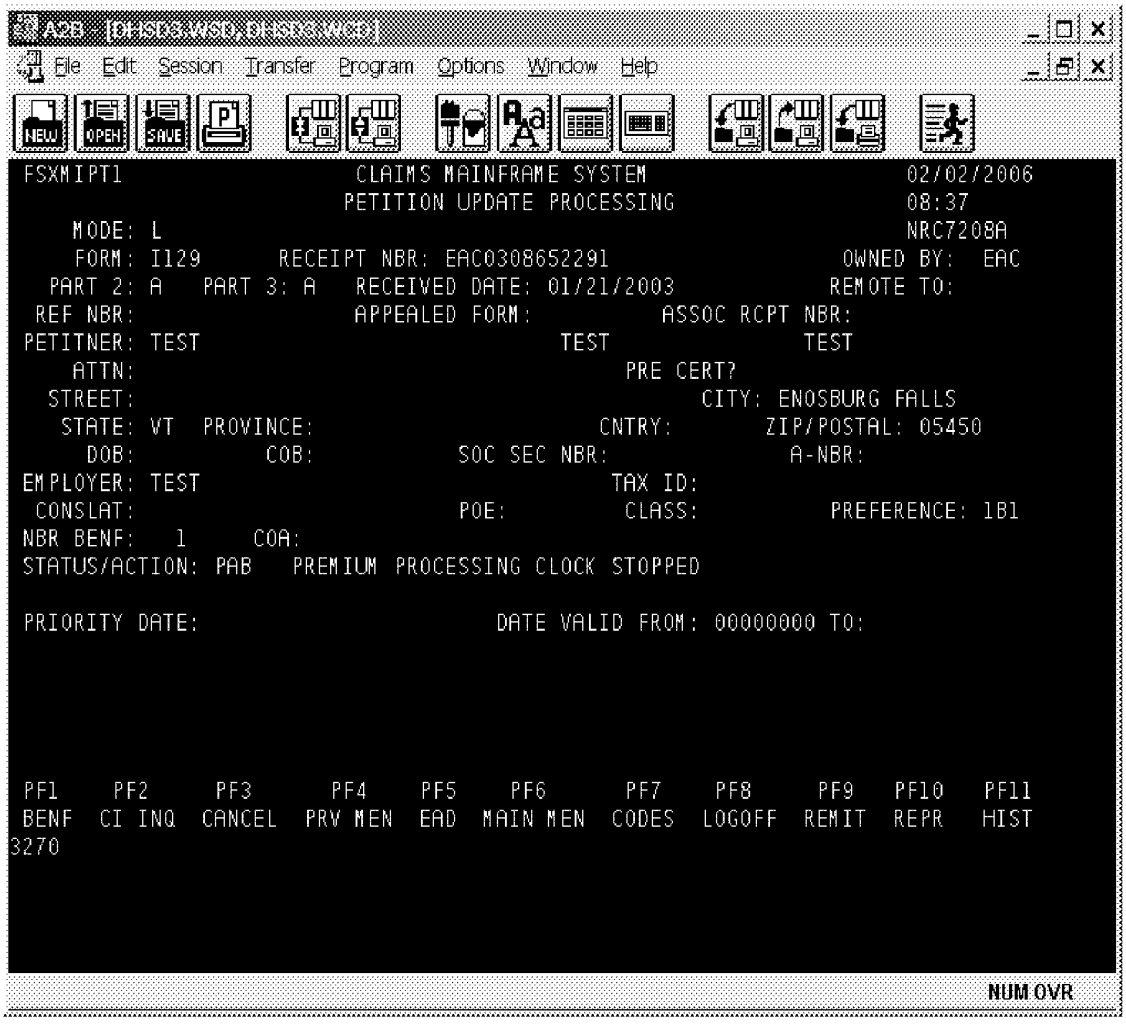
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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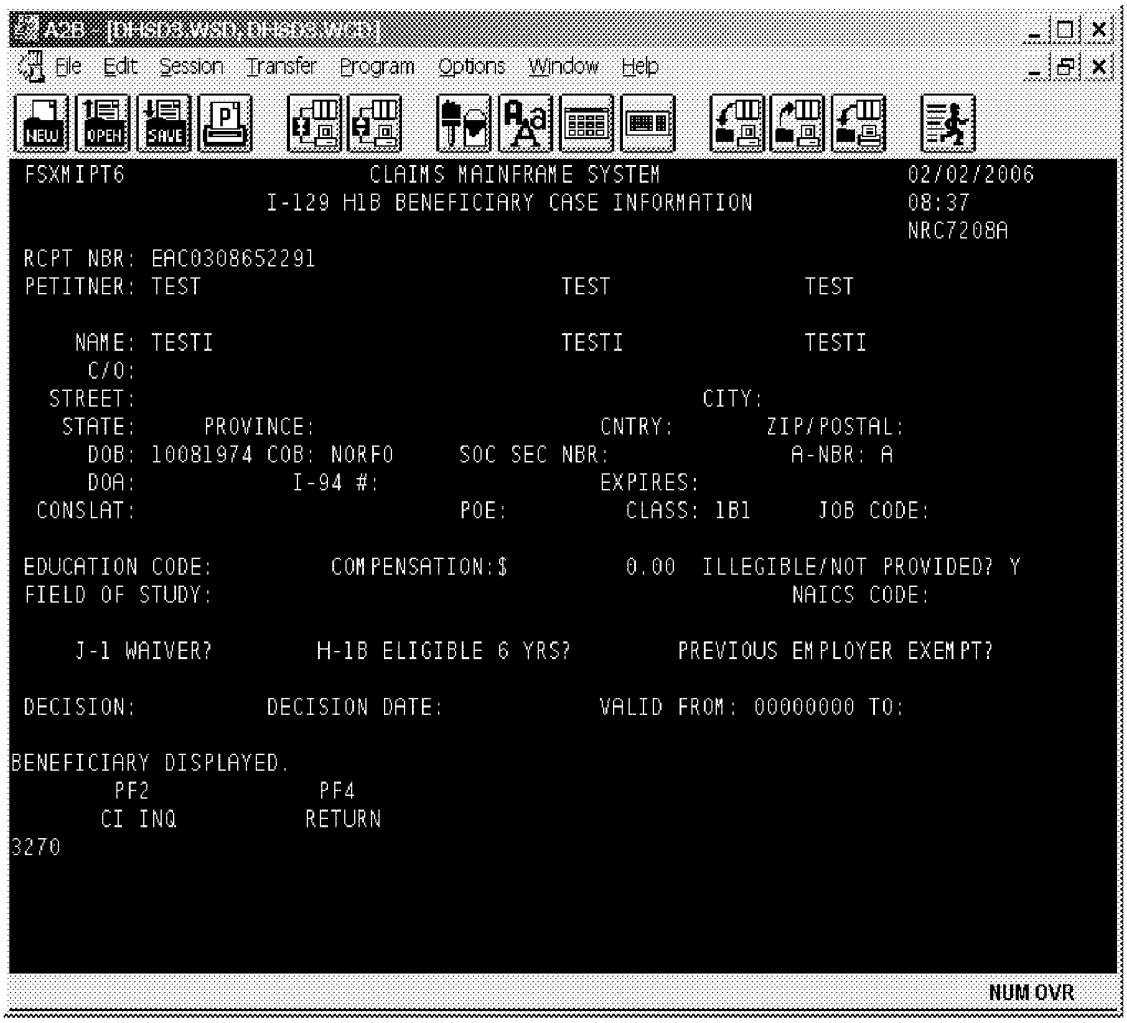
To see the beneficiary information press F1.



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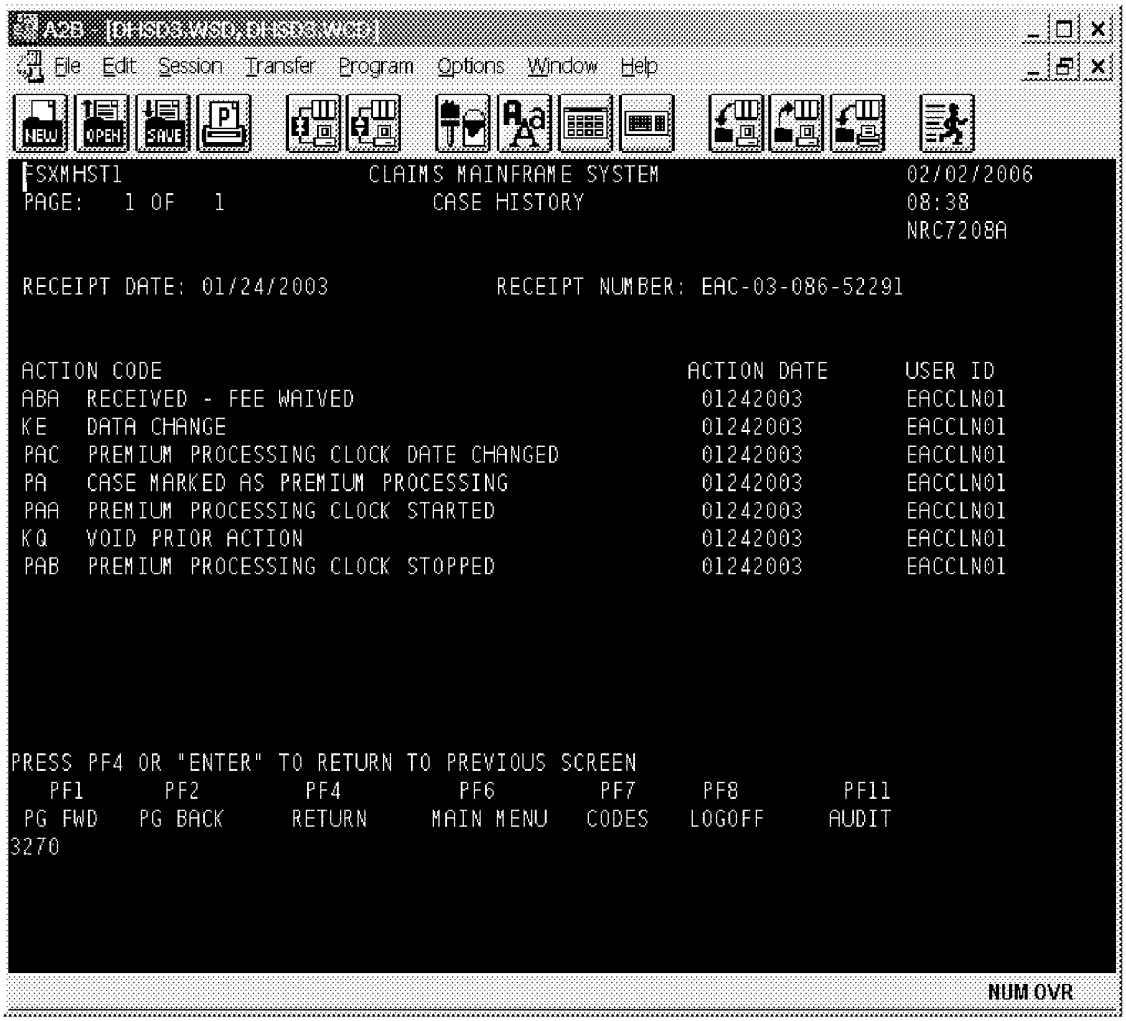
To view the history, press the F4 key to return to the previous screen, and enter F11.



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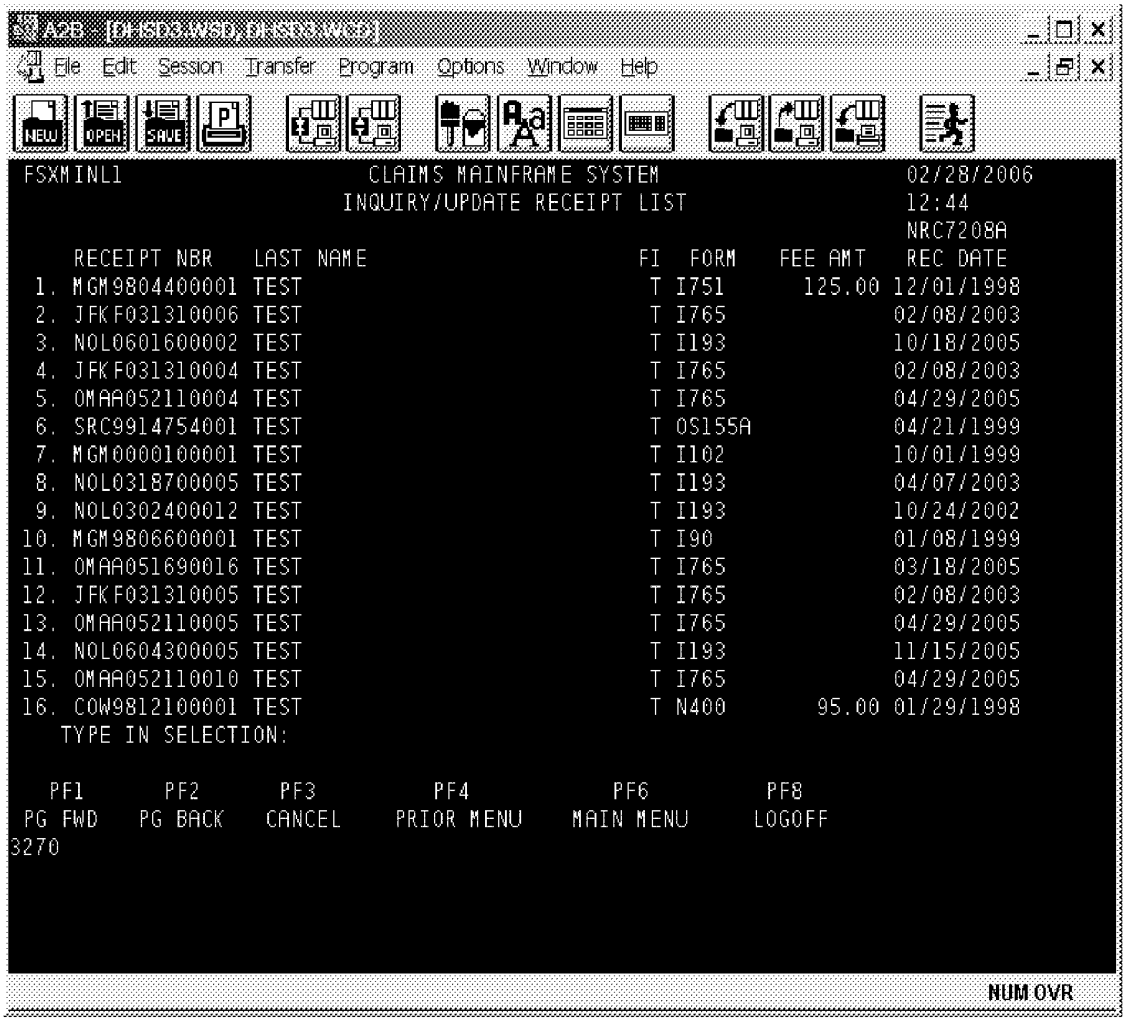

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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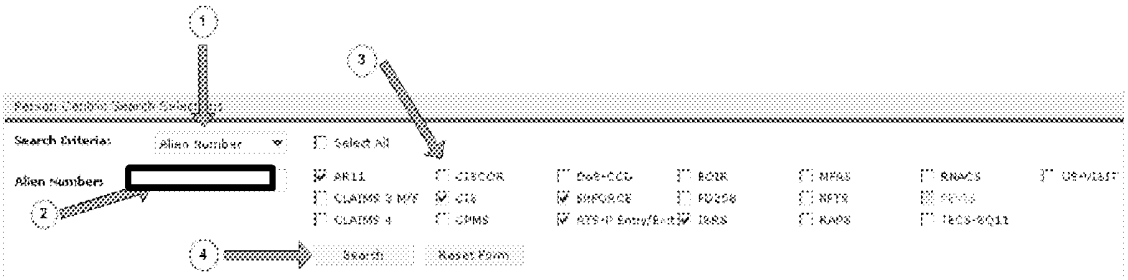
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.



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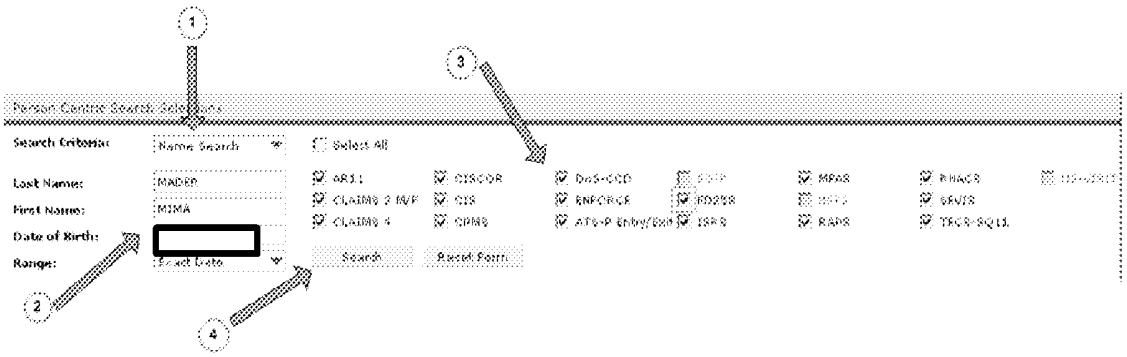

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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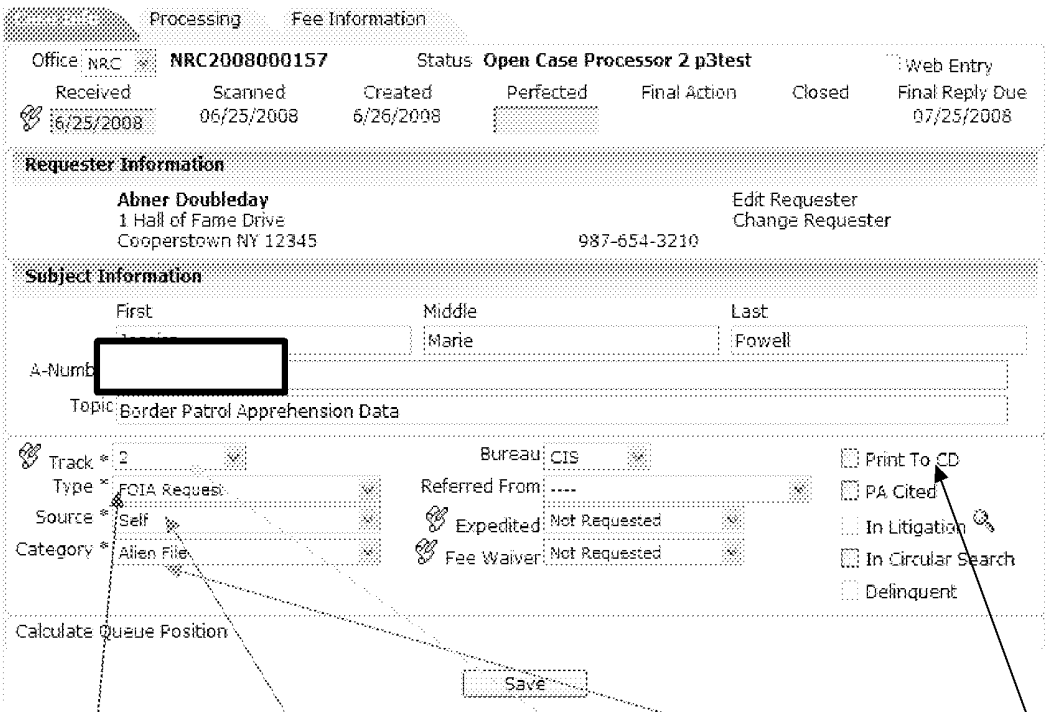

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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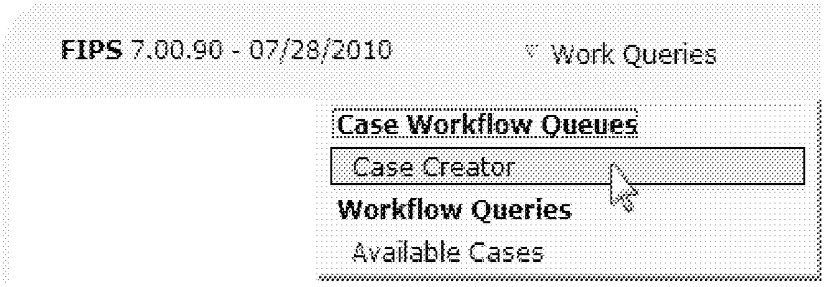
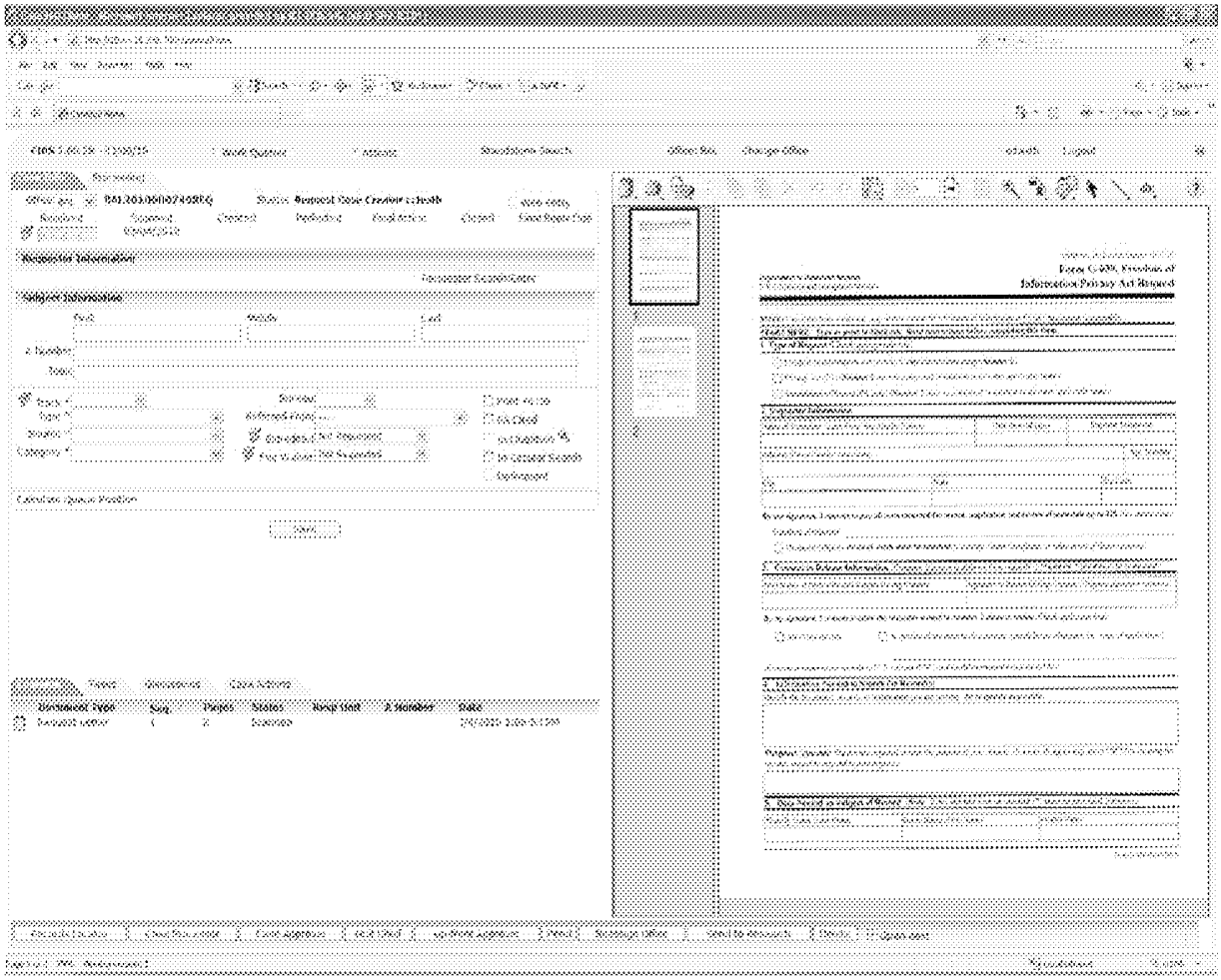
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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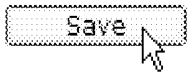
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope or letterhead.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines.

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The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
New Mexico
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

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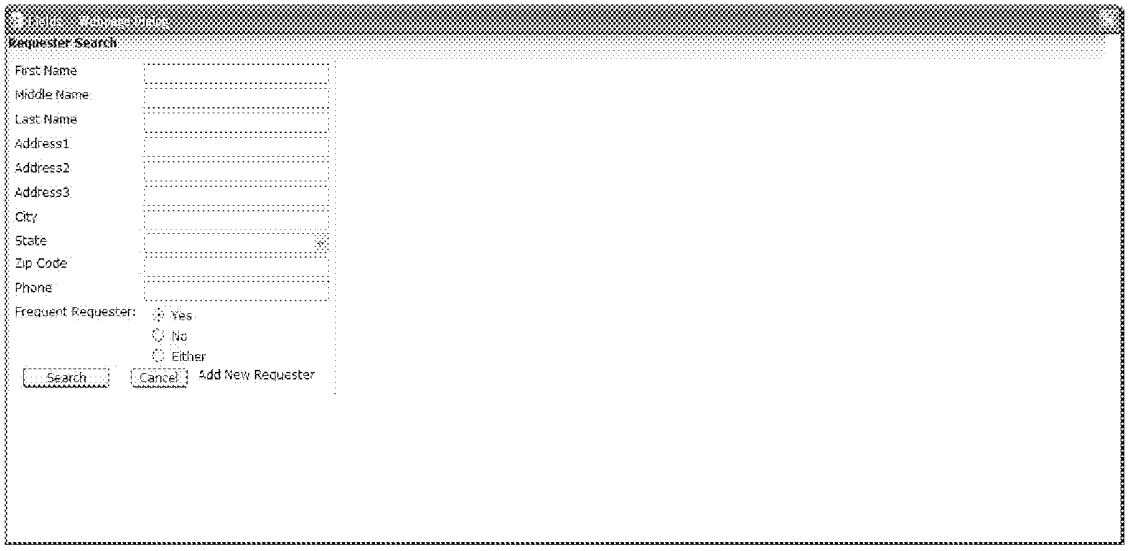
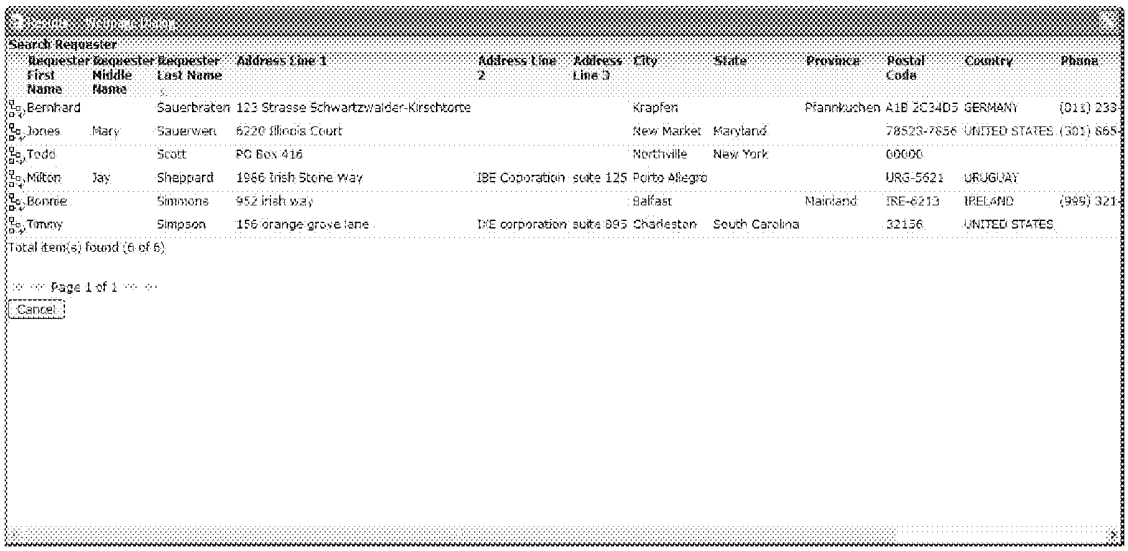
6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:



If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:

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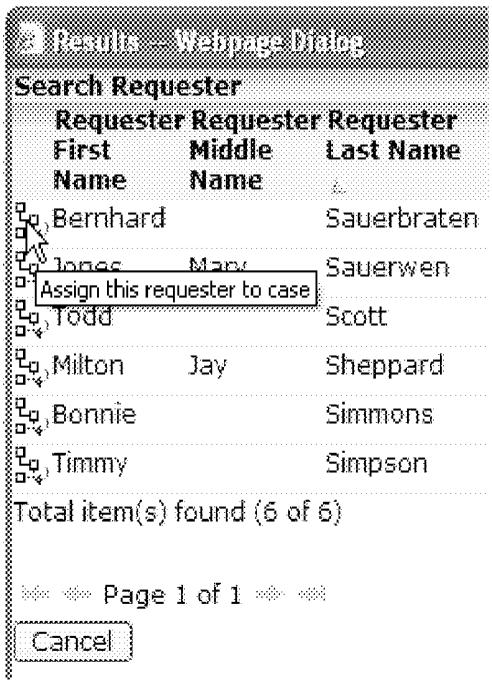
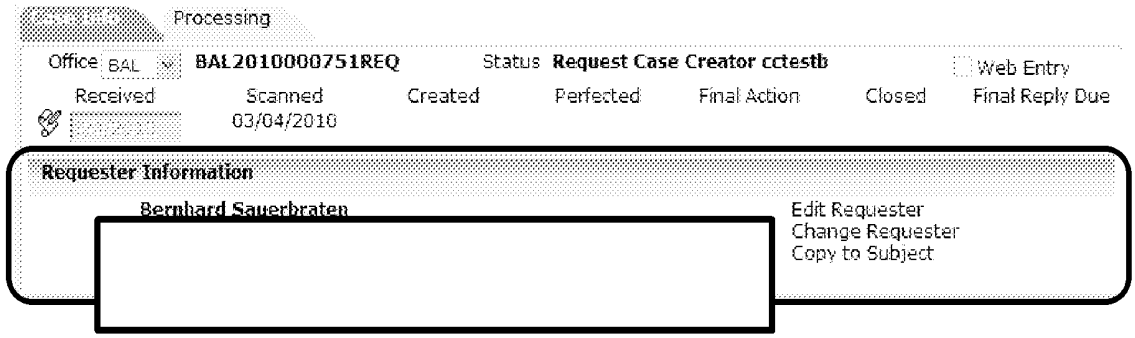


And it will populate the requester information like this:

(b)(6)



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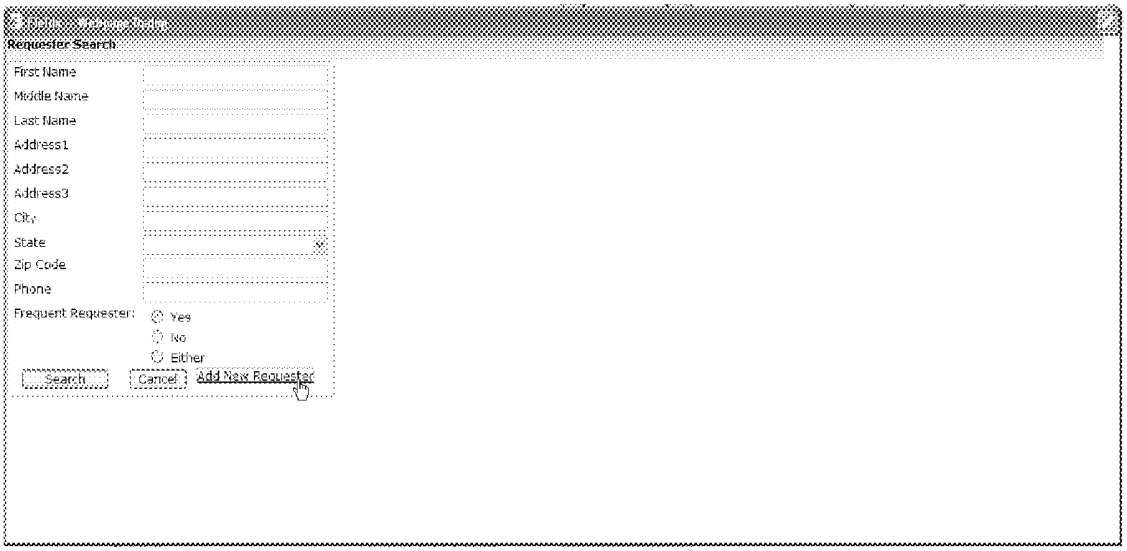
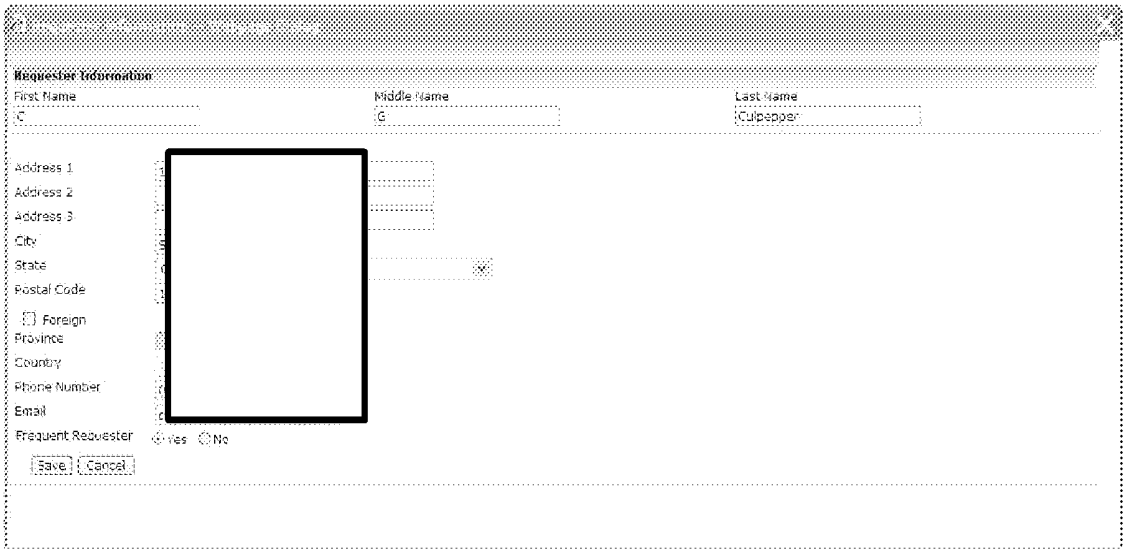
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

(b)(6)



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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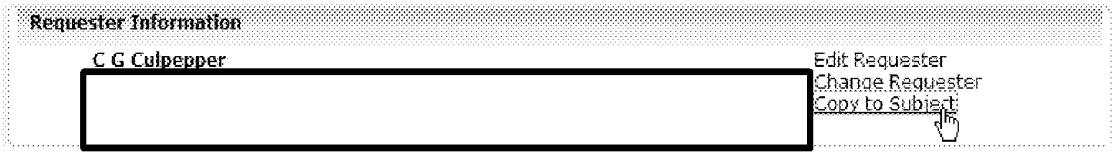
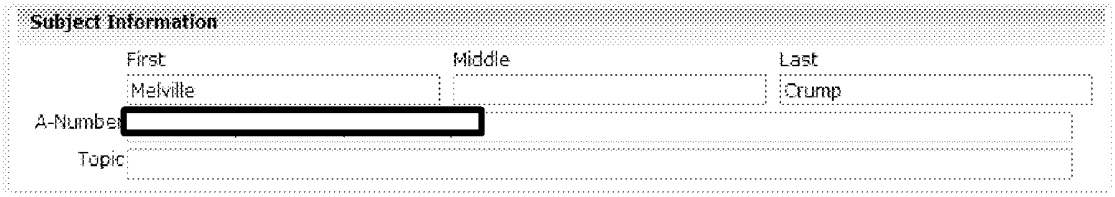


(b)(6) Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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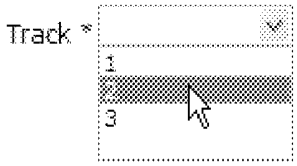
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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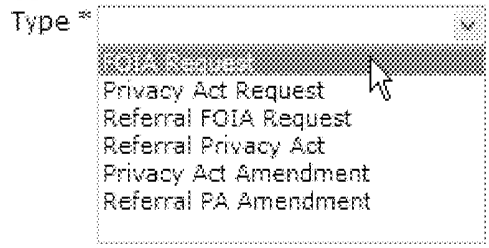
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

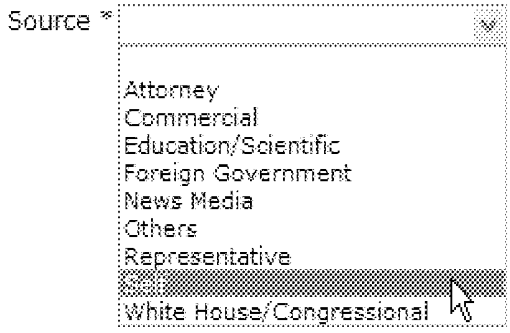
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 OTHER: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
    1) REQ#
    2) NRC#
    3) Scanner's initials
    4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

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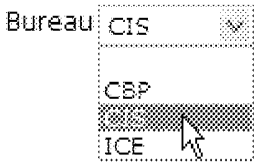
6.3.5 Bureau



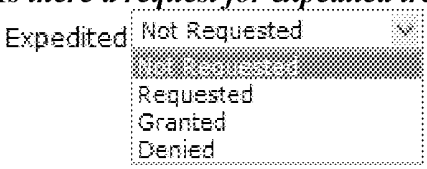
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

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The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

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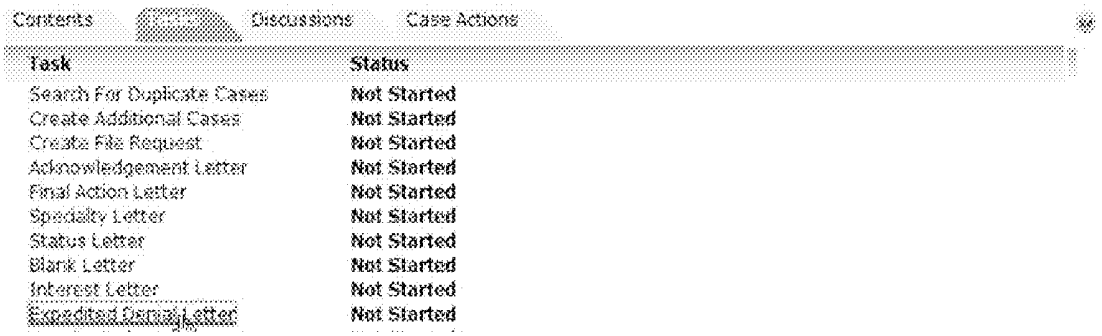
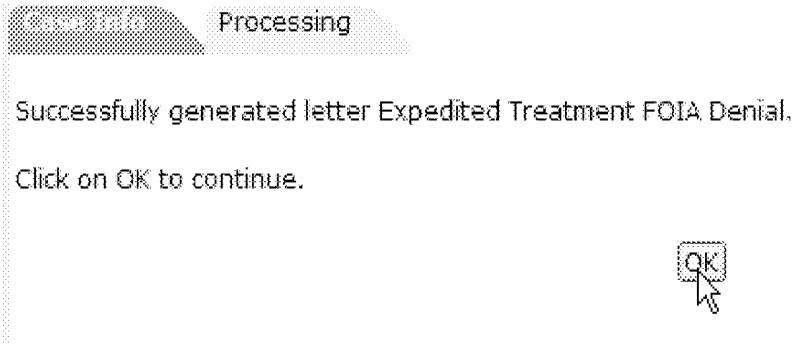
6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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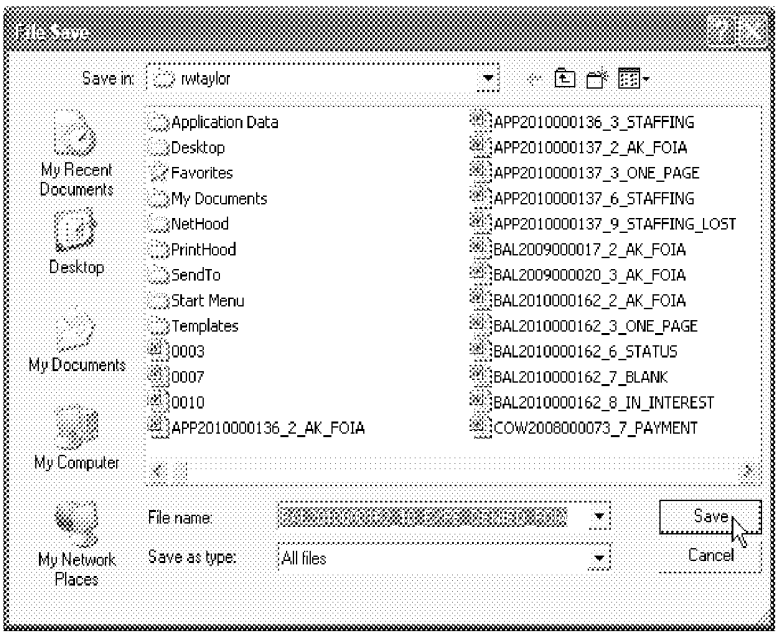

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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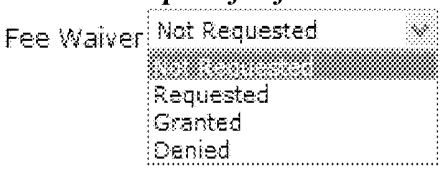
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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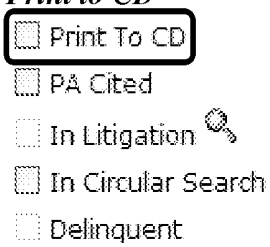
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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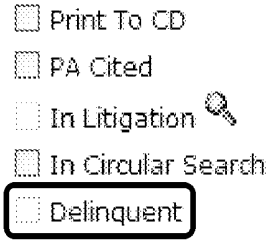
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

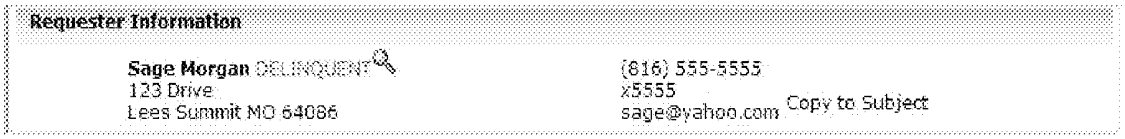
6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same requester, click the **Query** icon next to the delinquent notice.

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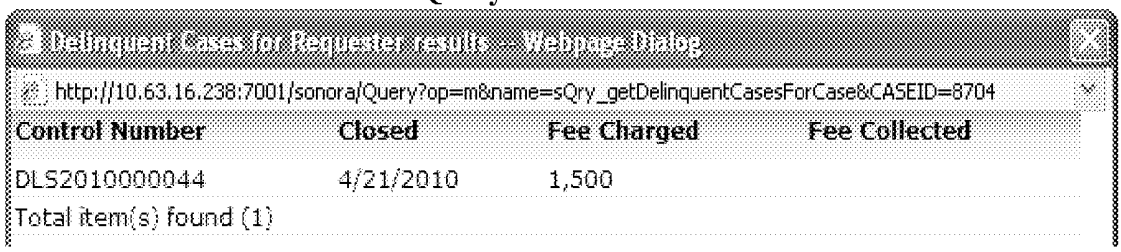
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

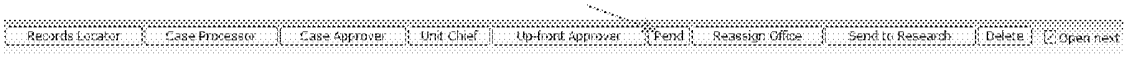
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).

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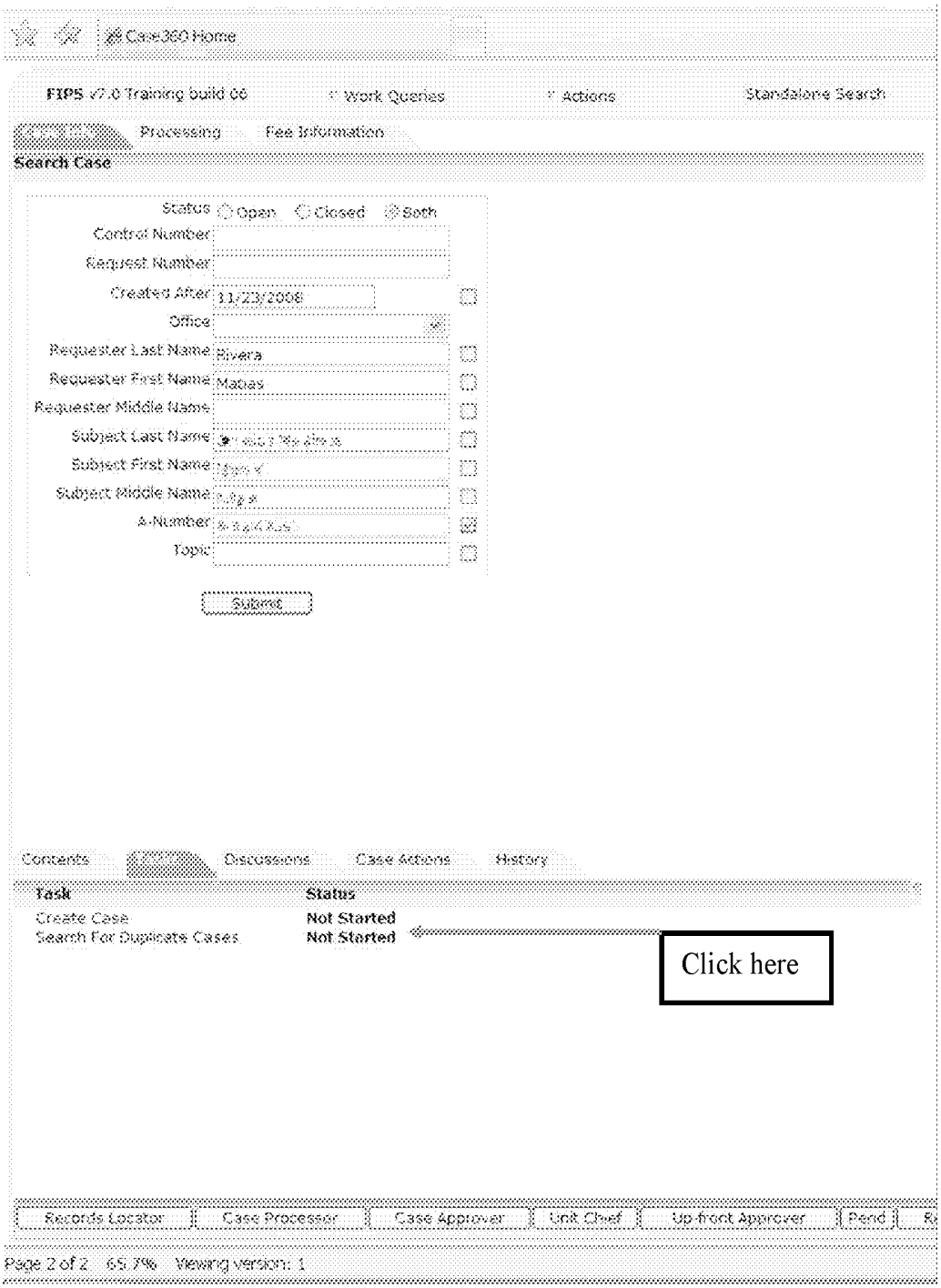

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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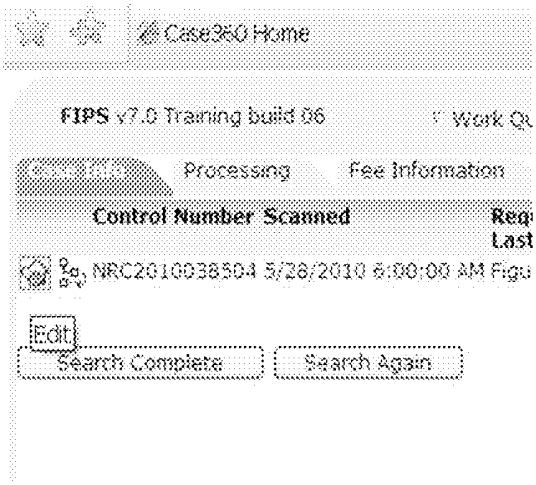
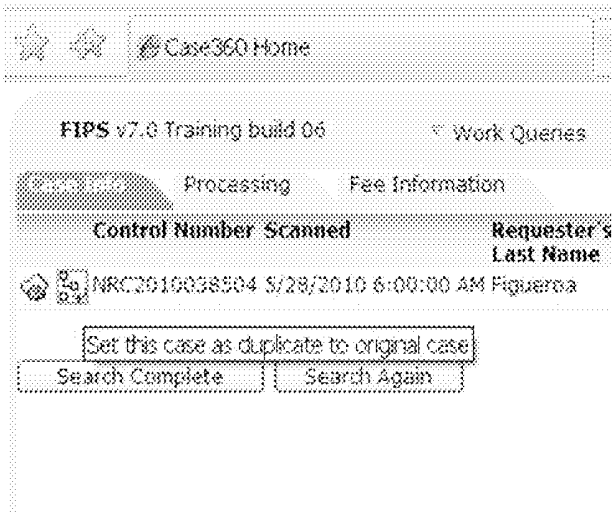


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. Instead, close this case as ER (created in error).

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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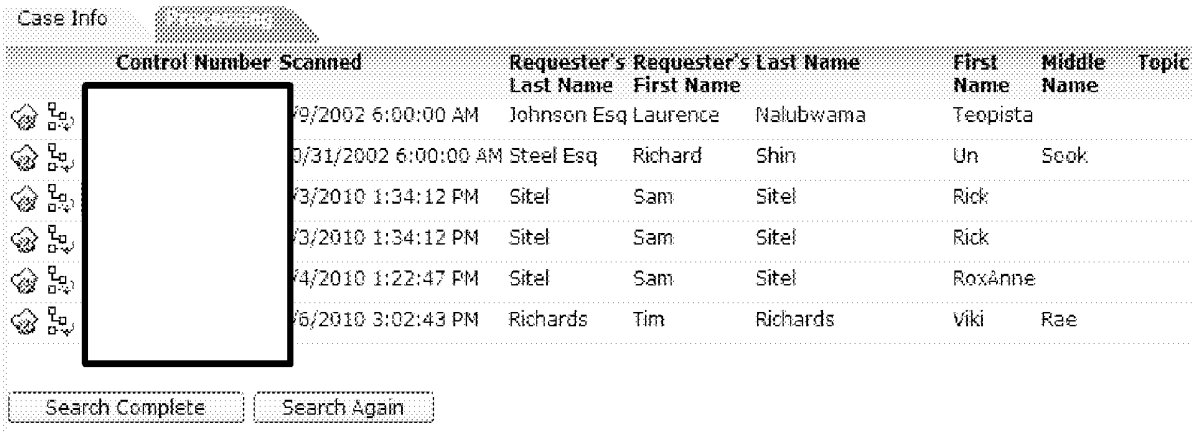
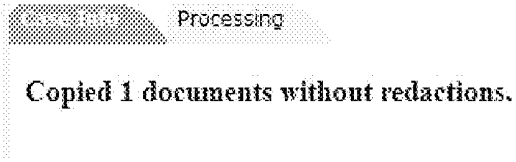
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

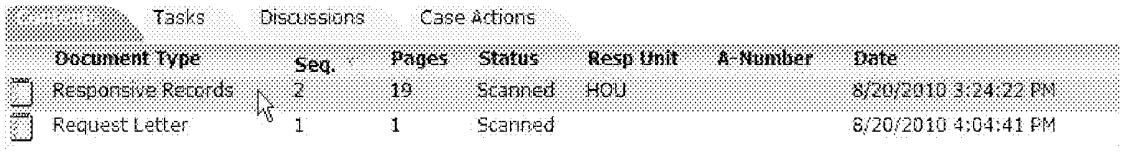
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

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required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment (4)*. Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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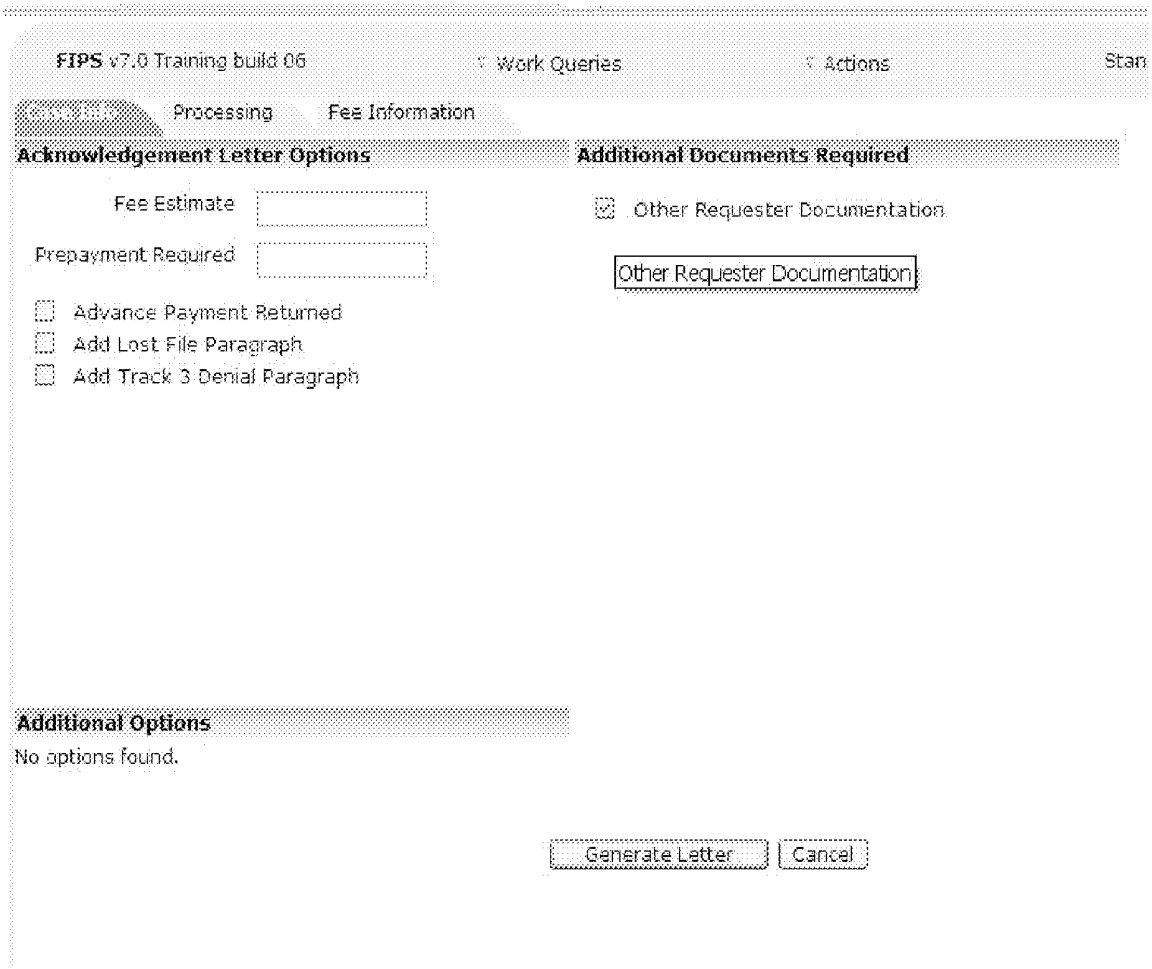
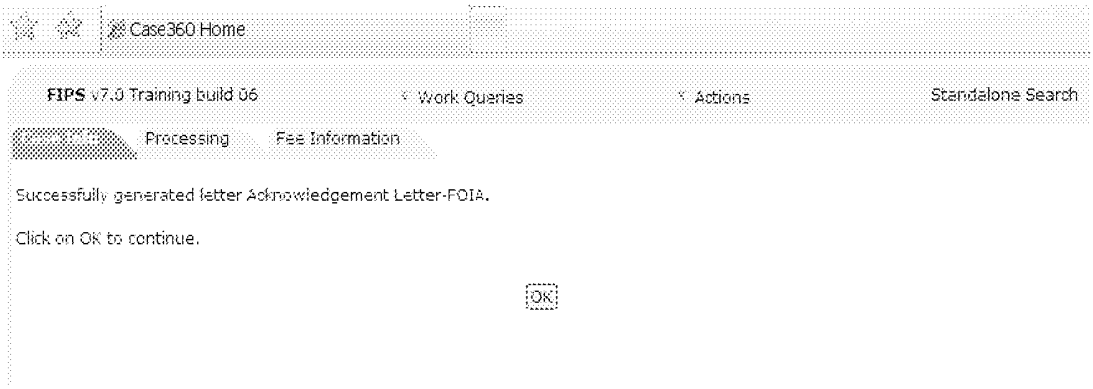


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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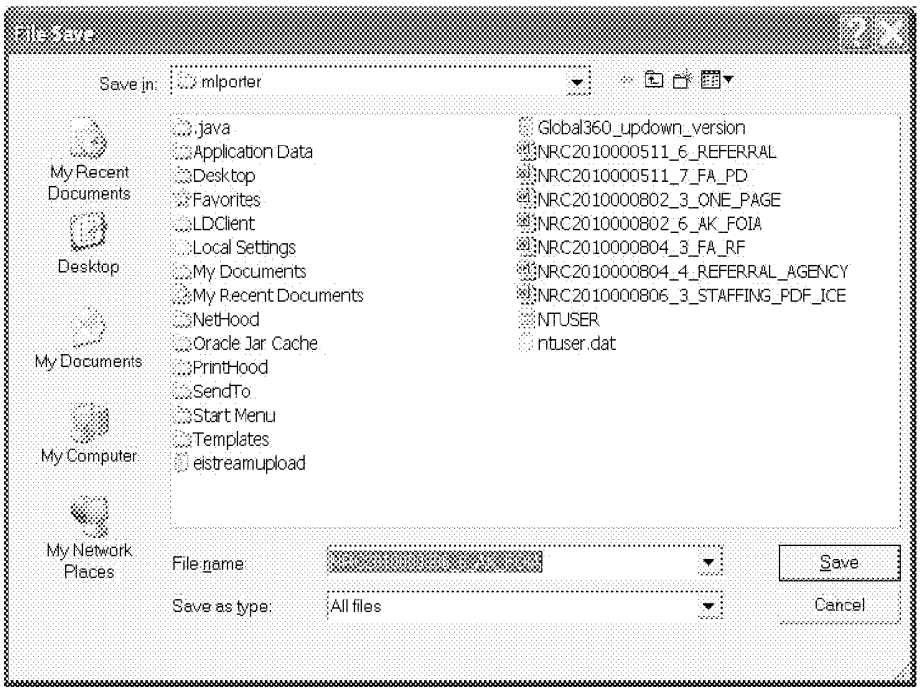

The acknowledgment letter will pop up:

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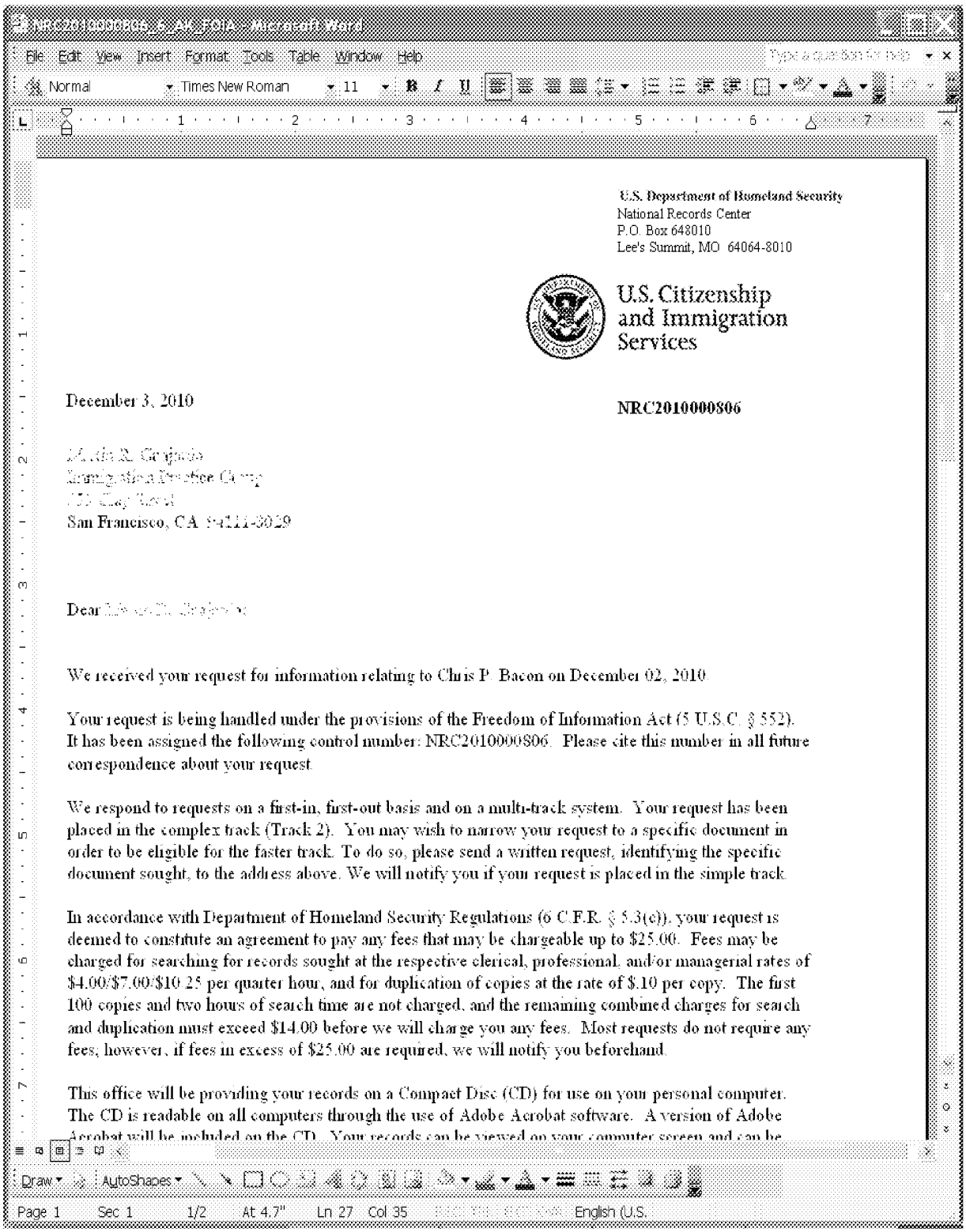

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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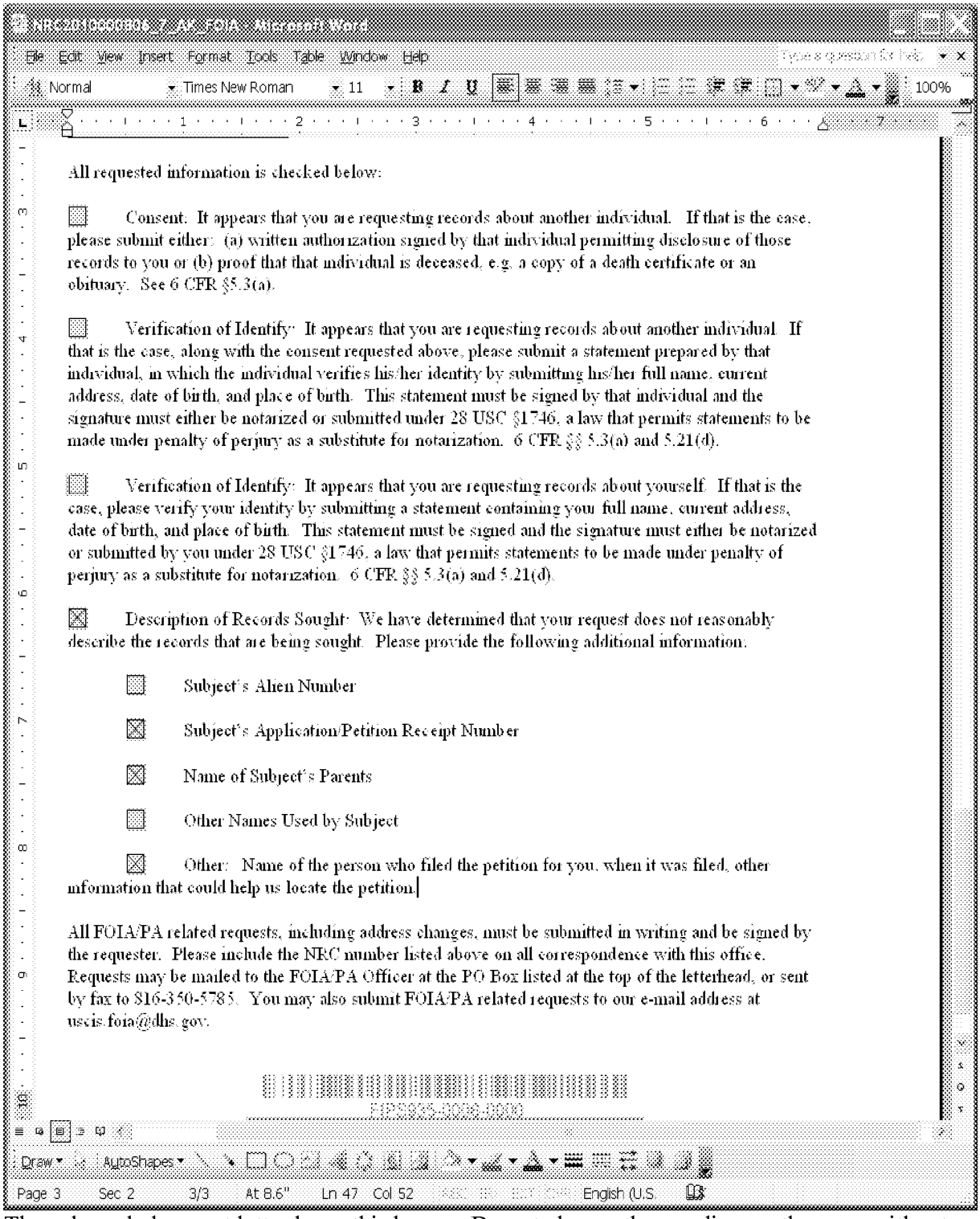

All requested information is checked below:

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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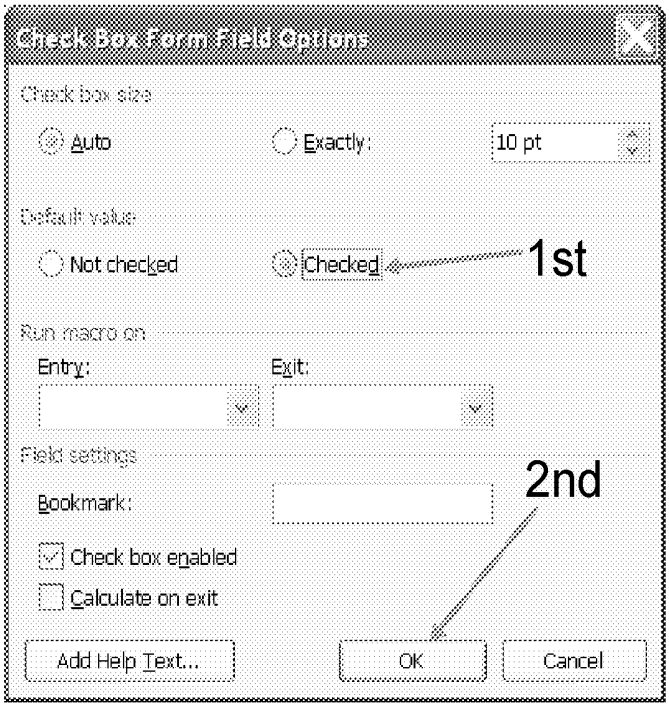
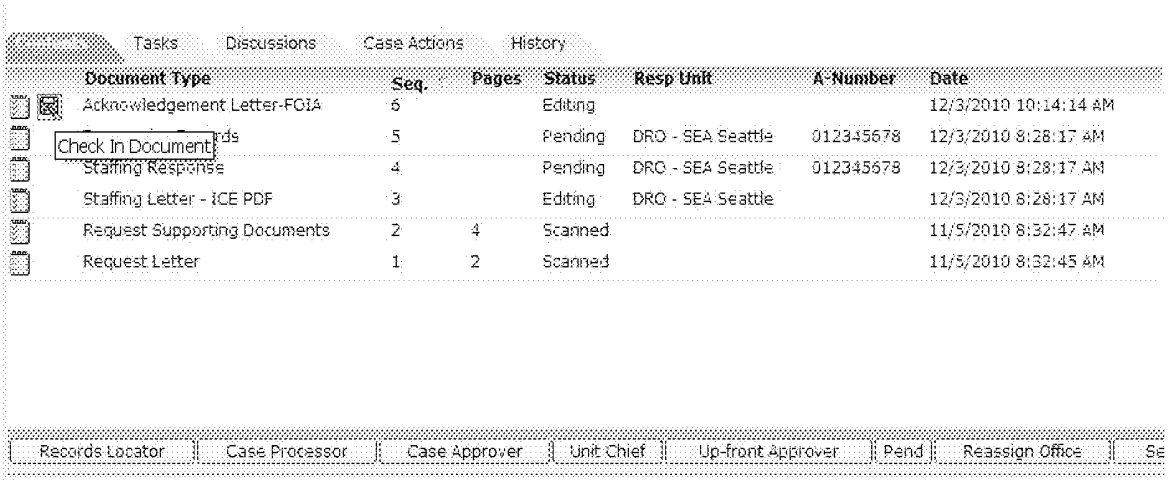


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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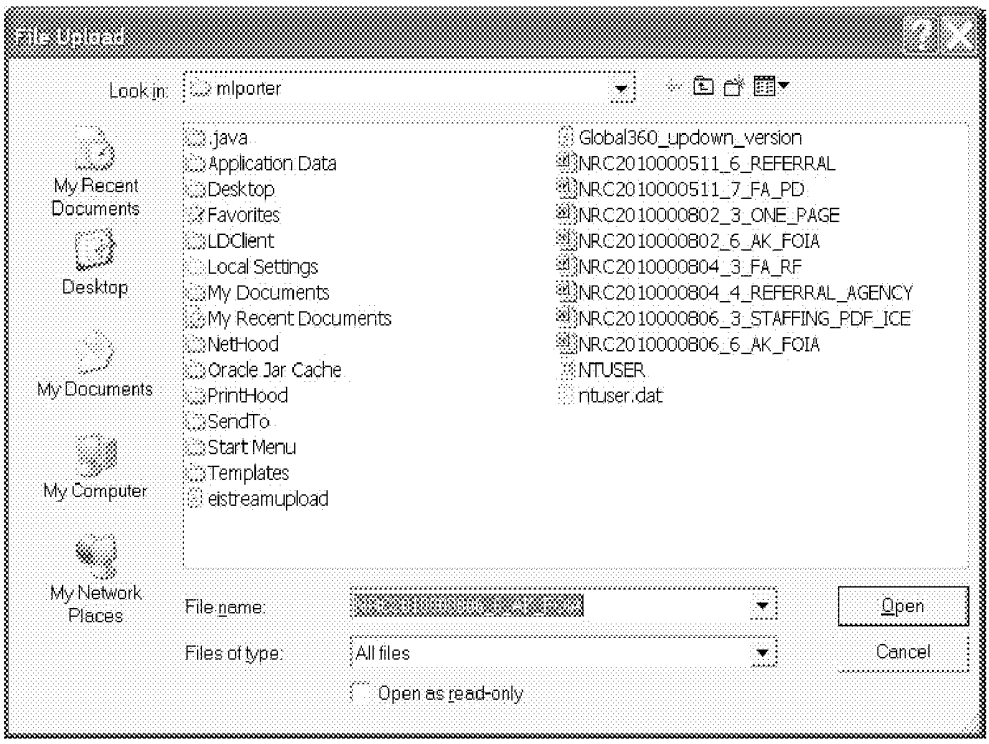
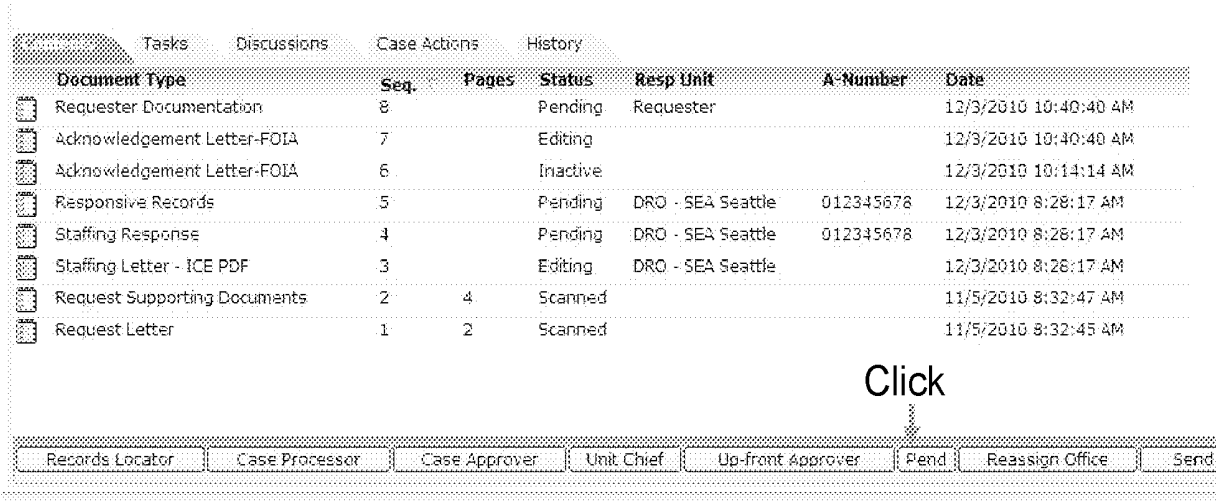


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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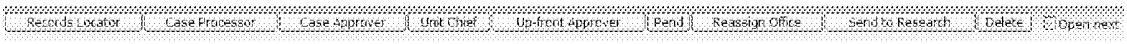
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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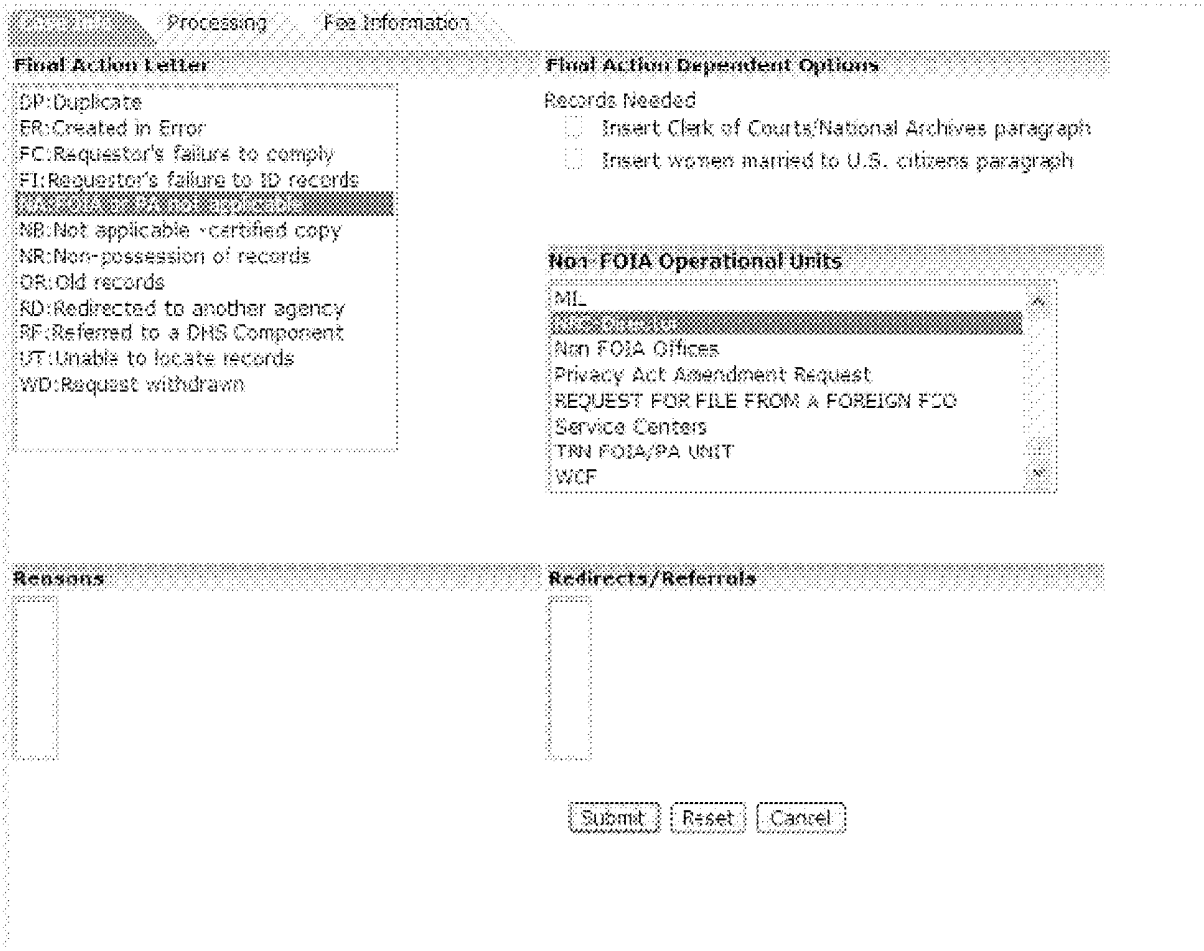

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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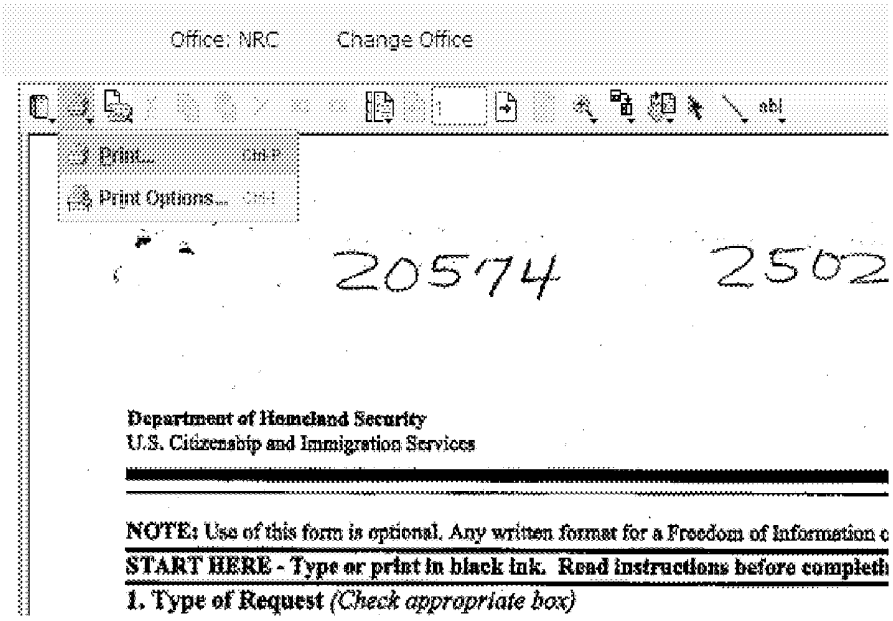
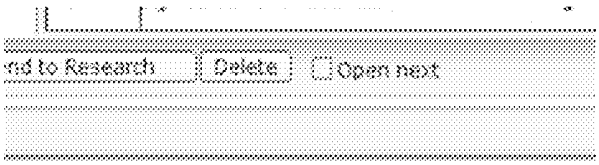


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

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9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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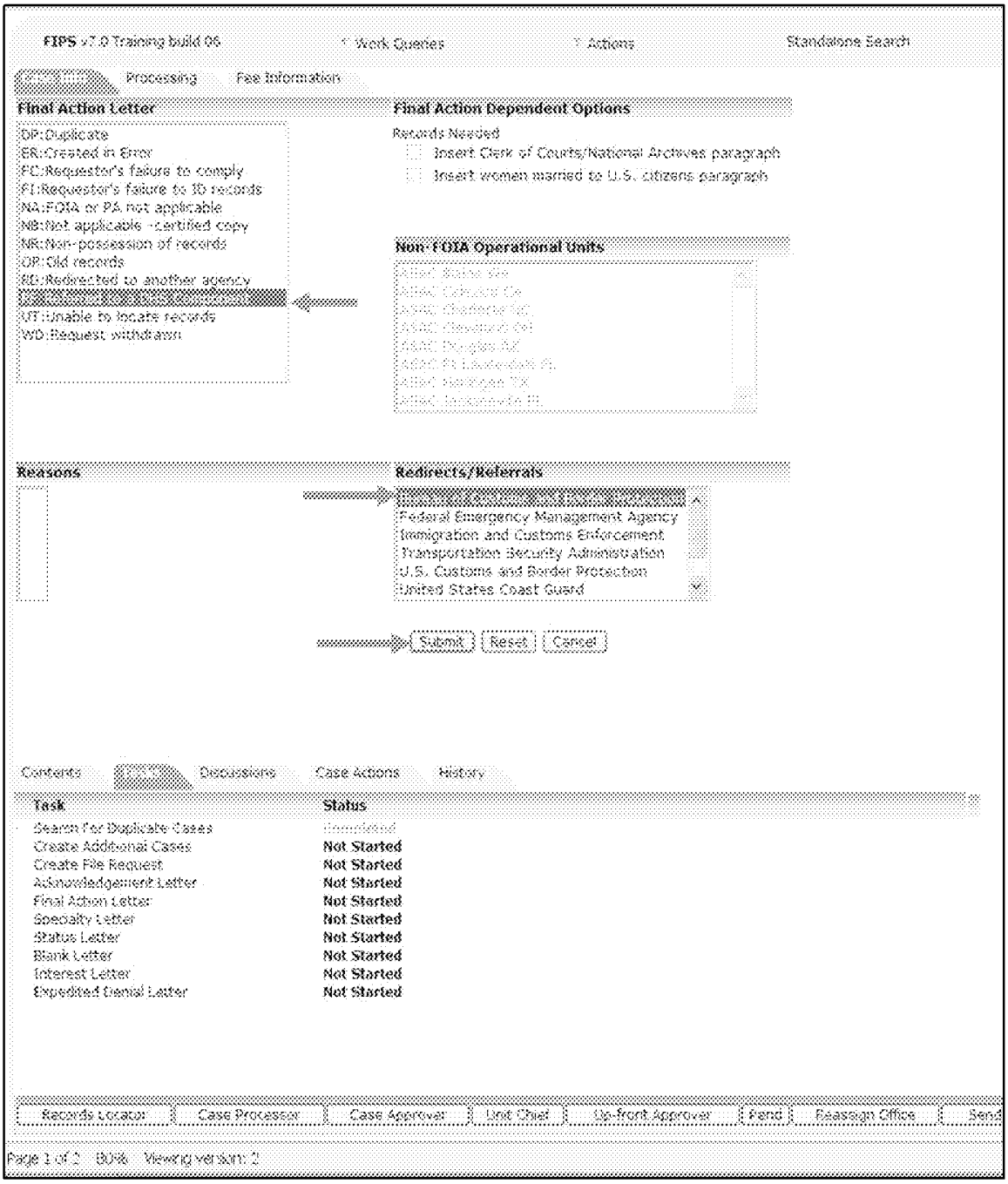

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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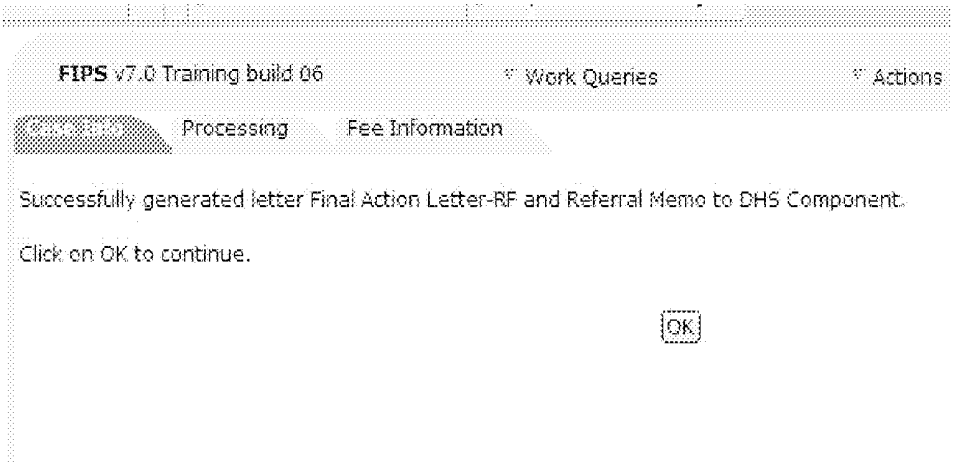
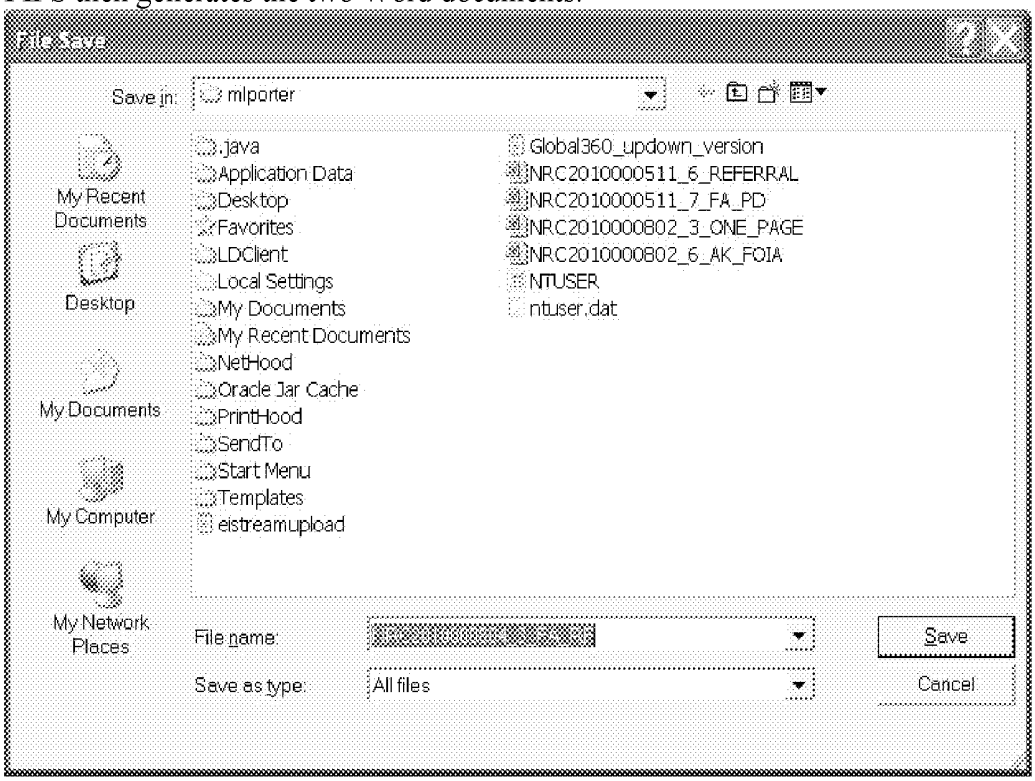


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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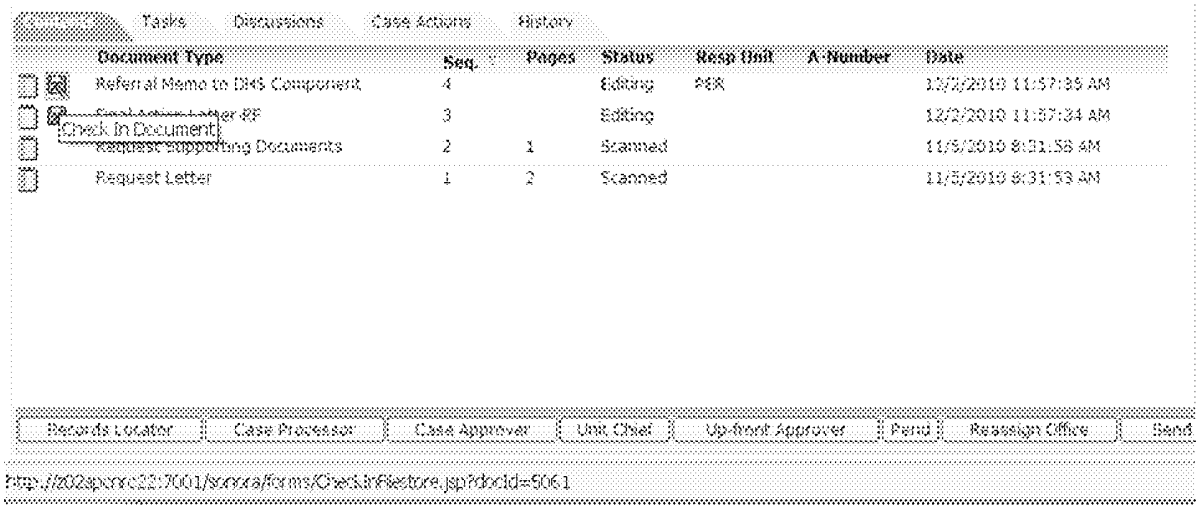
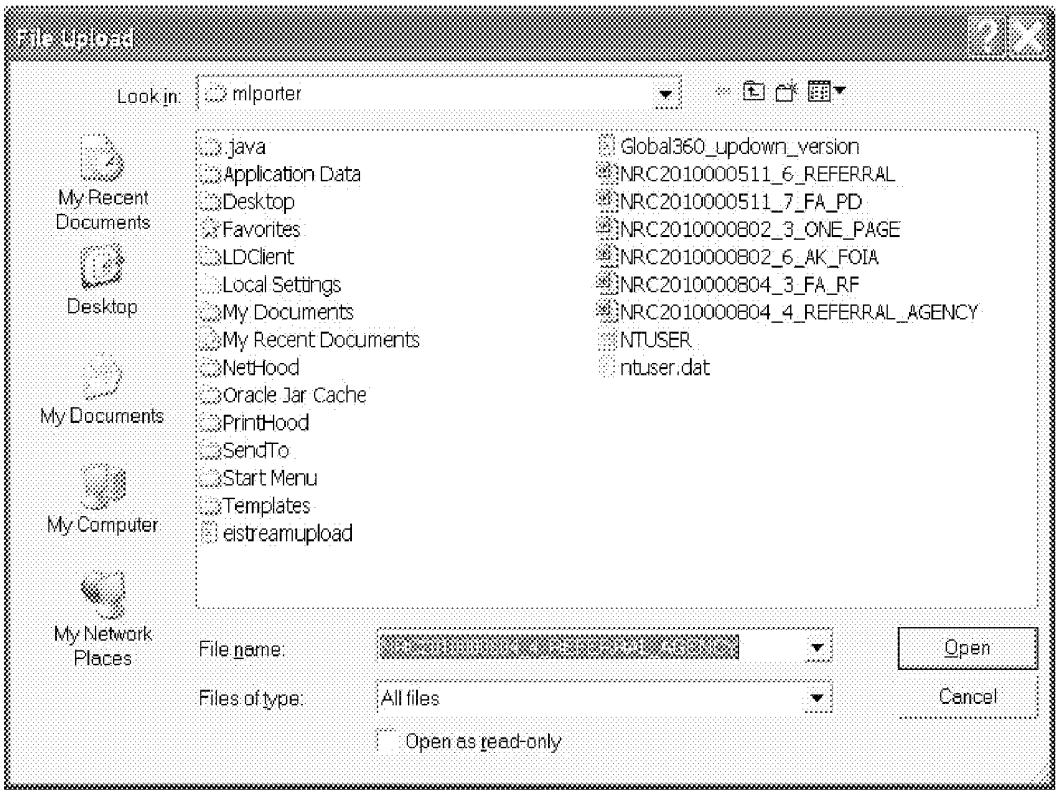


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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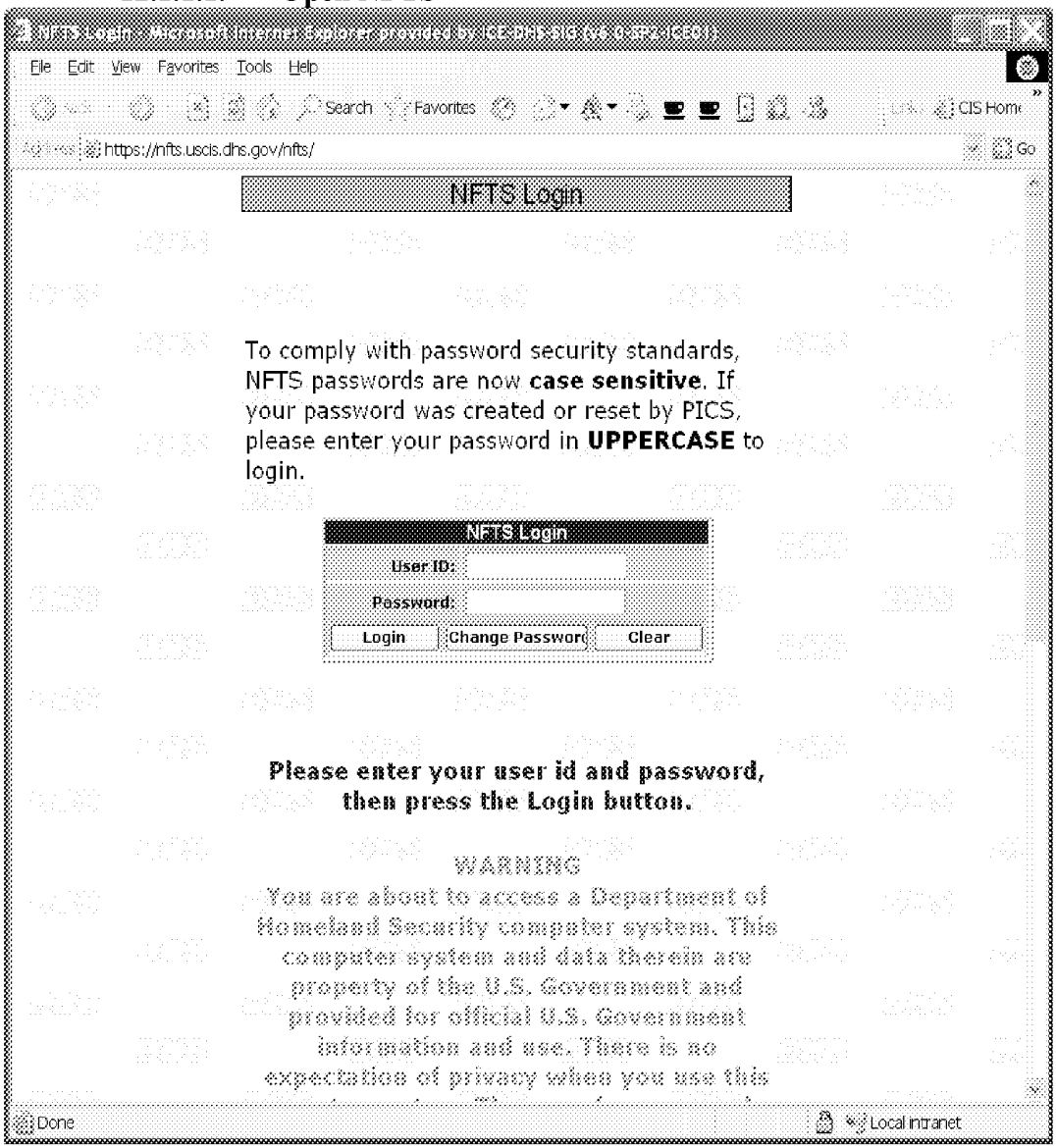
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1. Open NFTS



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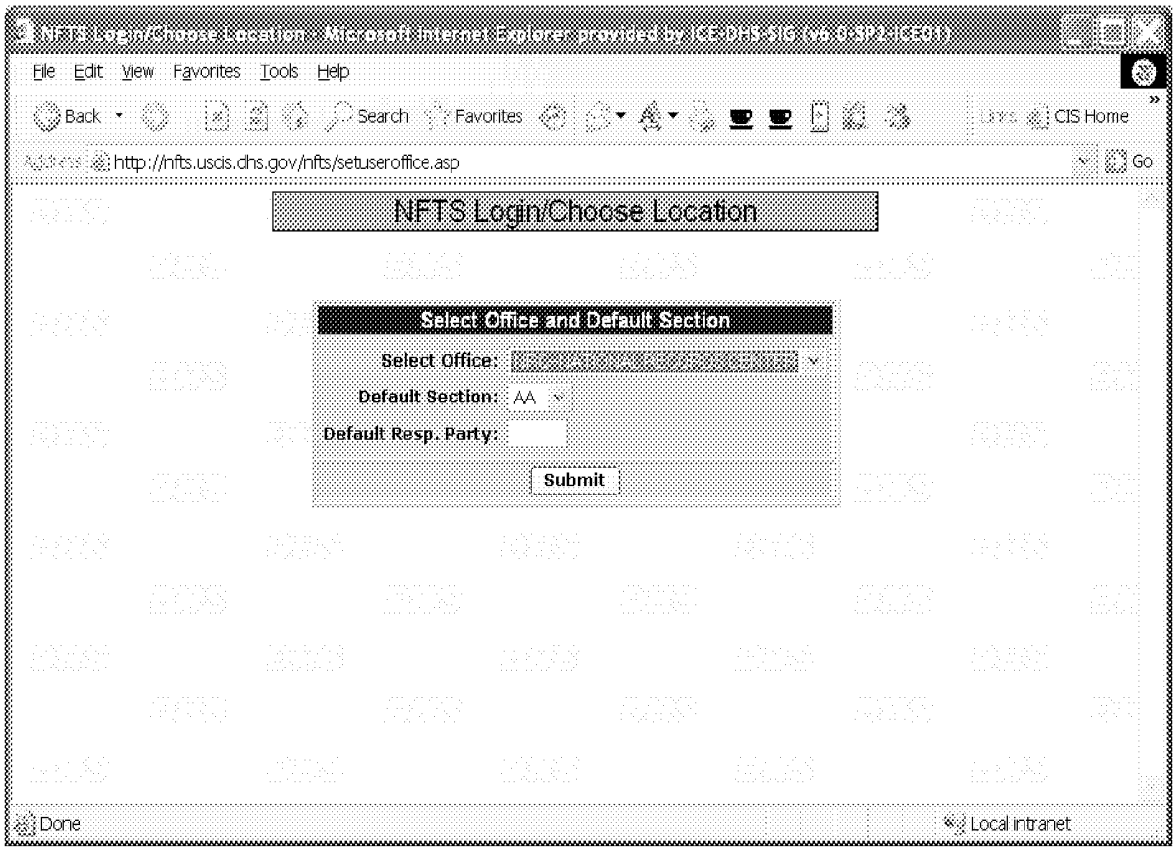
12.1.1.2. Submit your location



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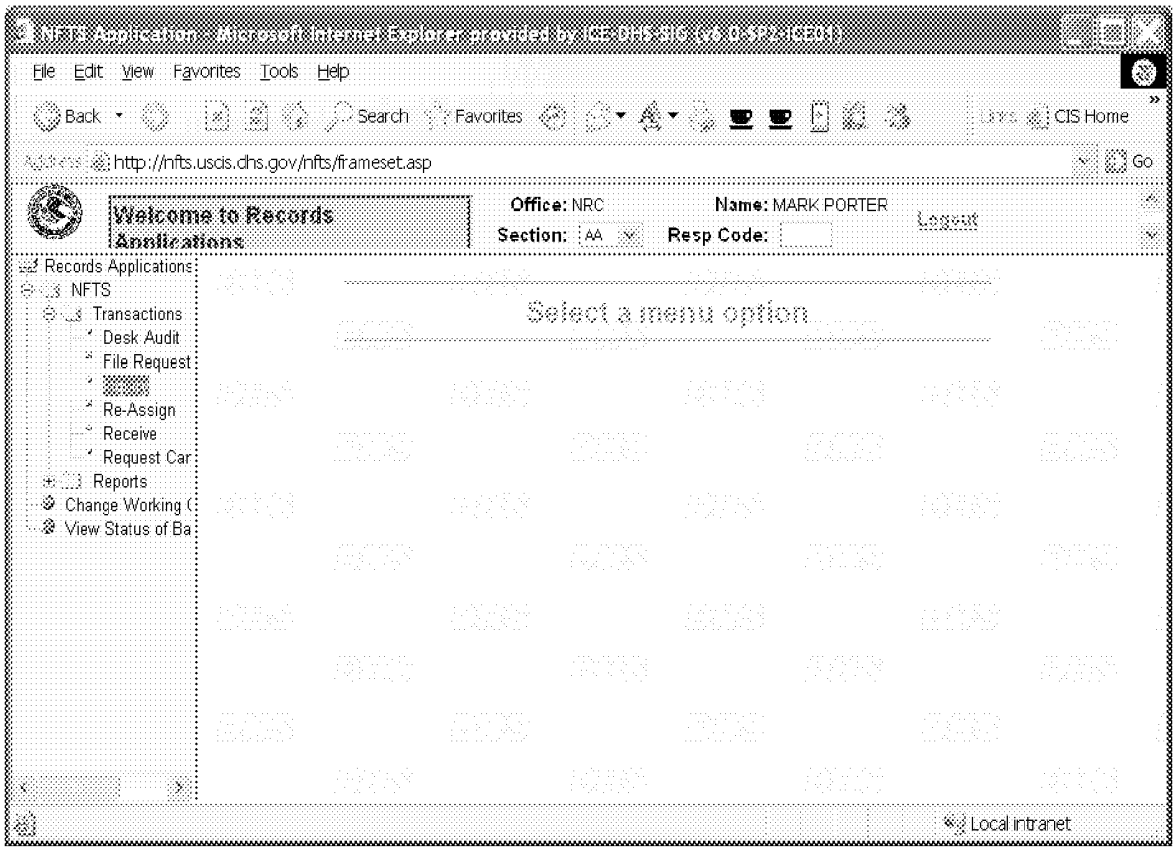
12.1.1.3. Select "Inquiry"



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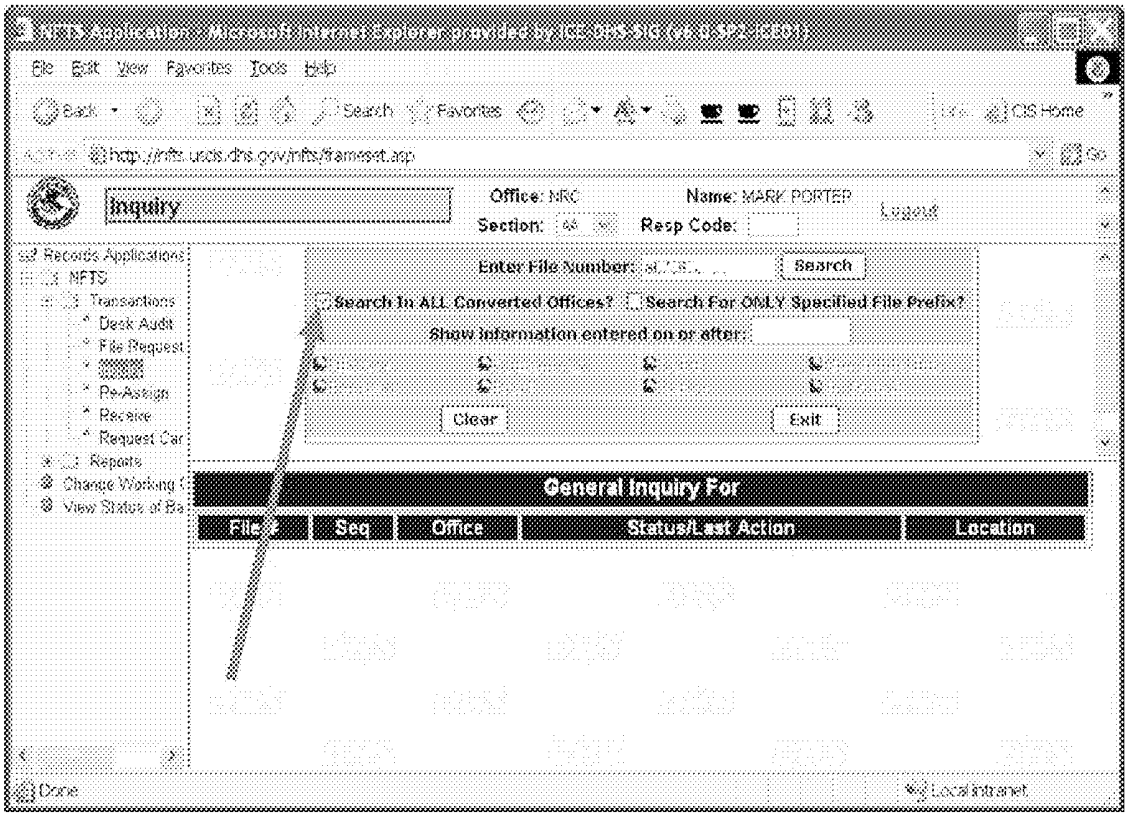
12.1.1.4. Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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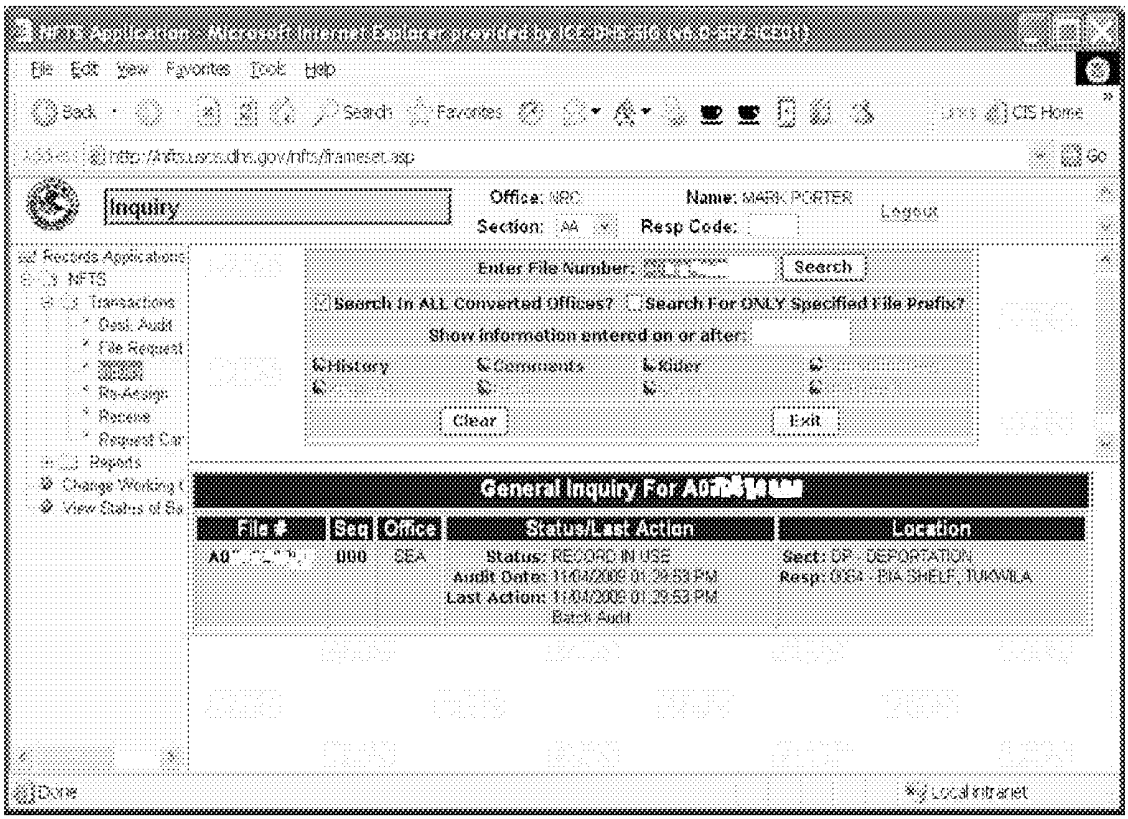
12.1.1.5. The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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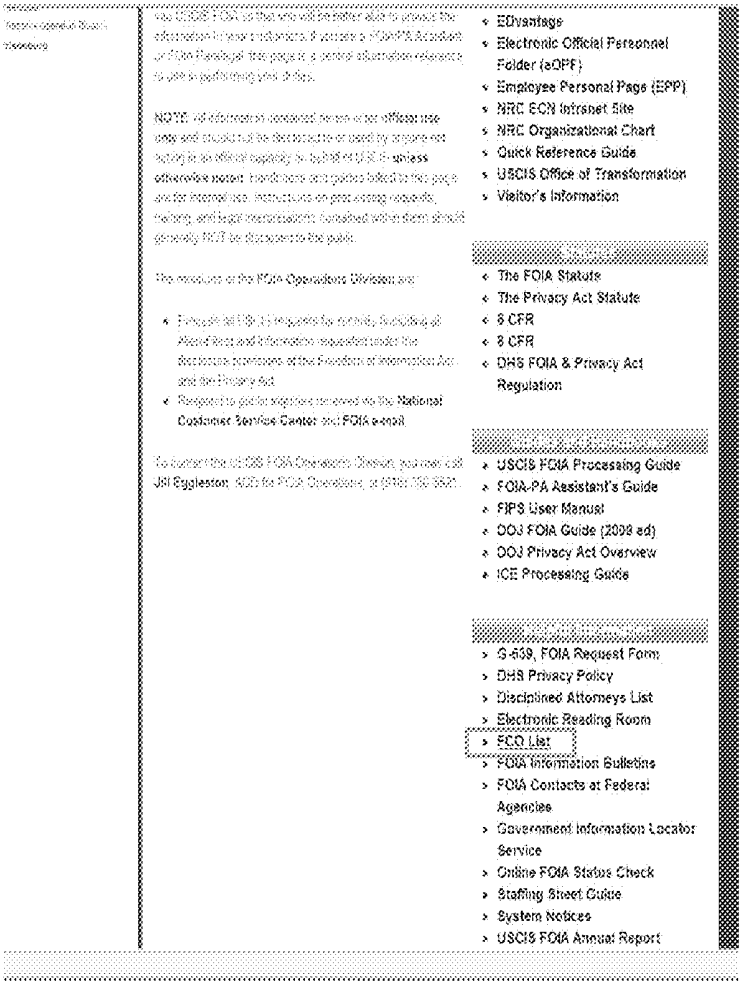
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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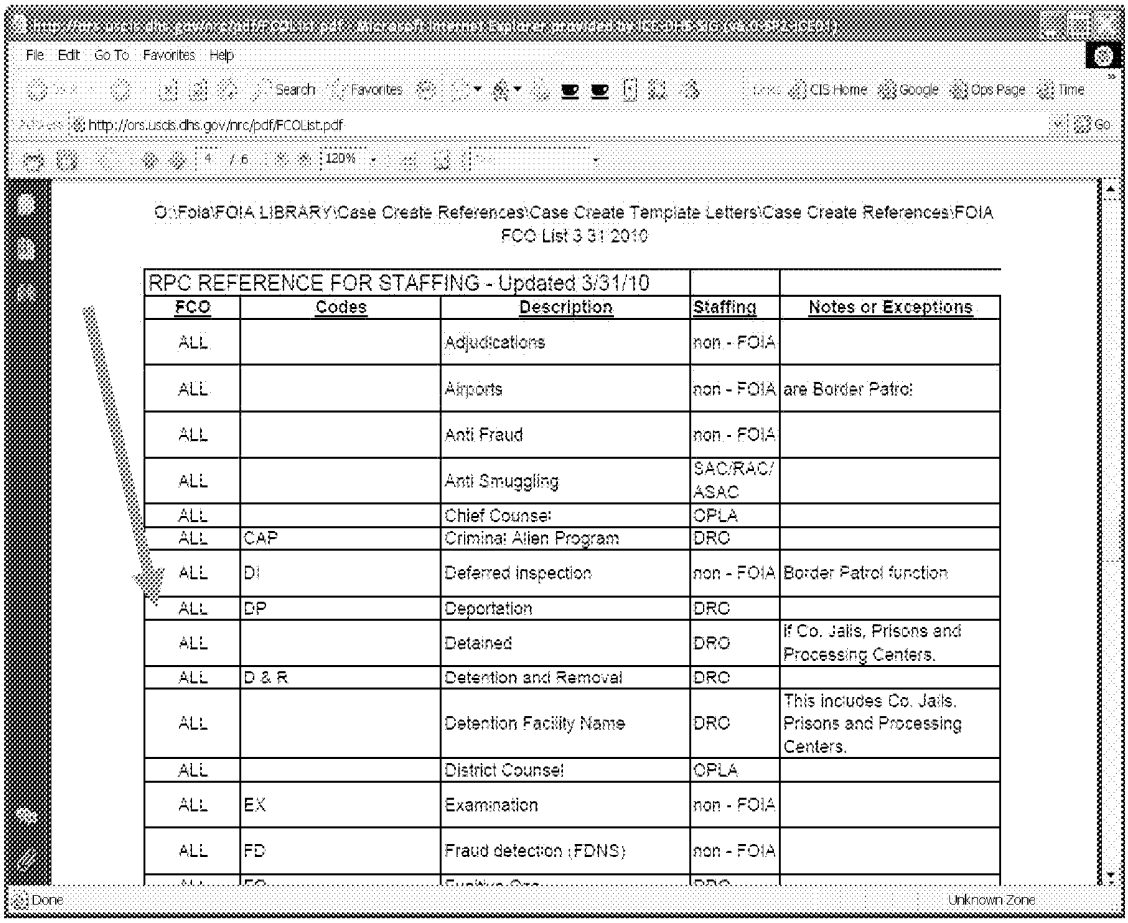
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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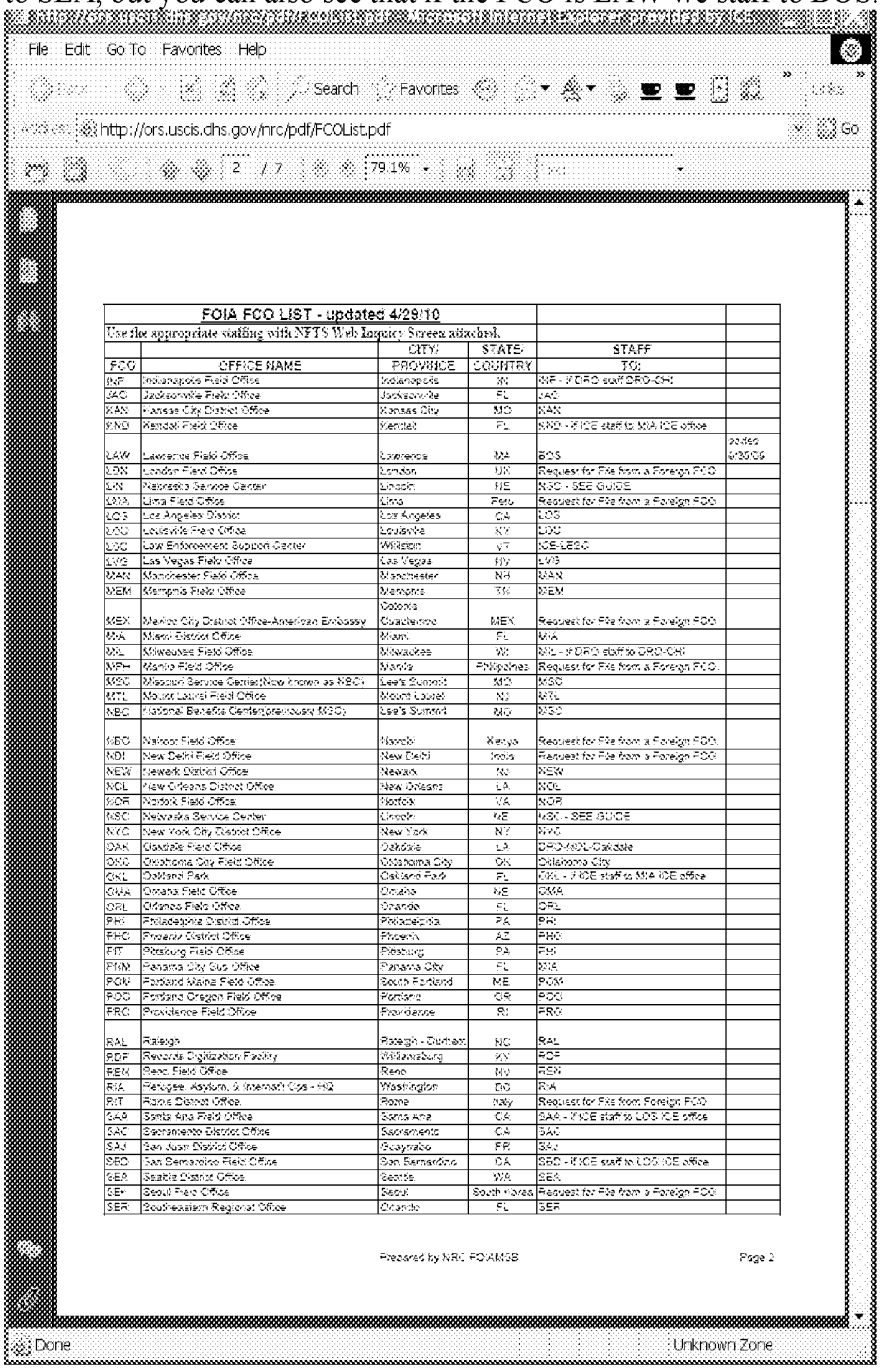
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKL	Milwaukee Field Office	Milwaukee	WI	MKL - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDL	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOAM3B

Page 2

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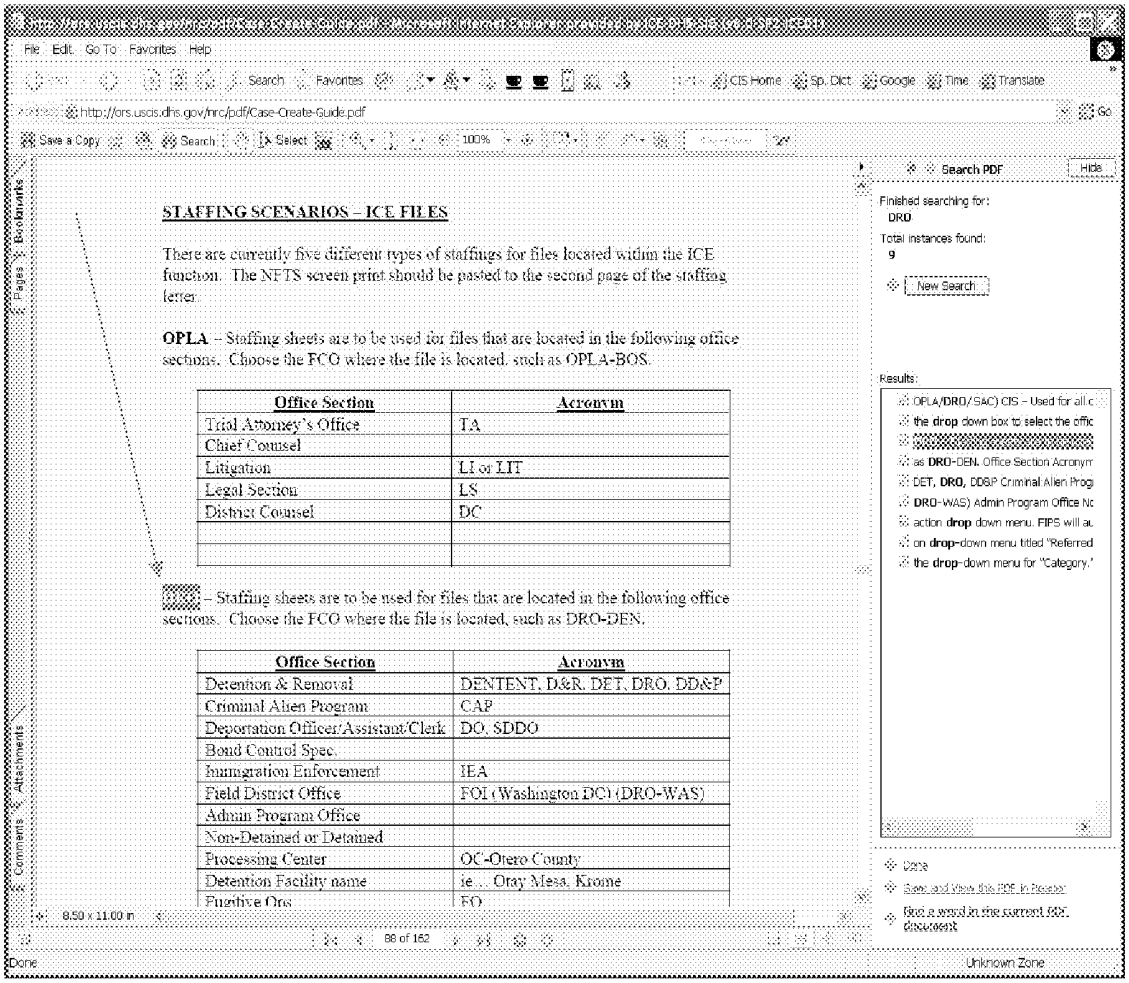
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OCC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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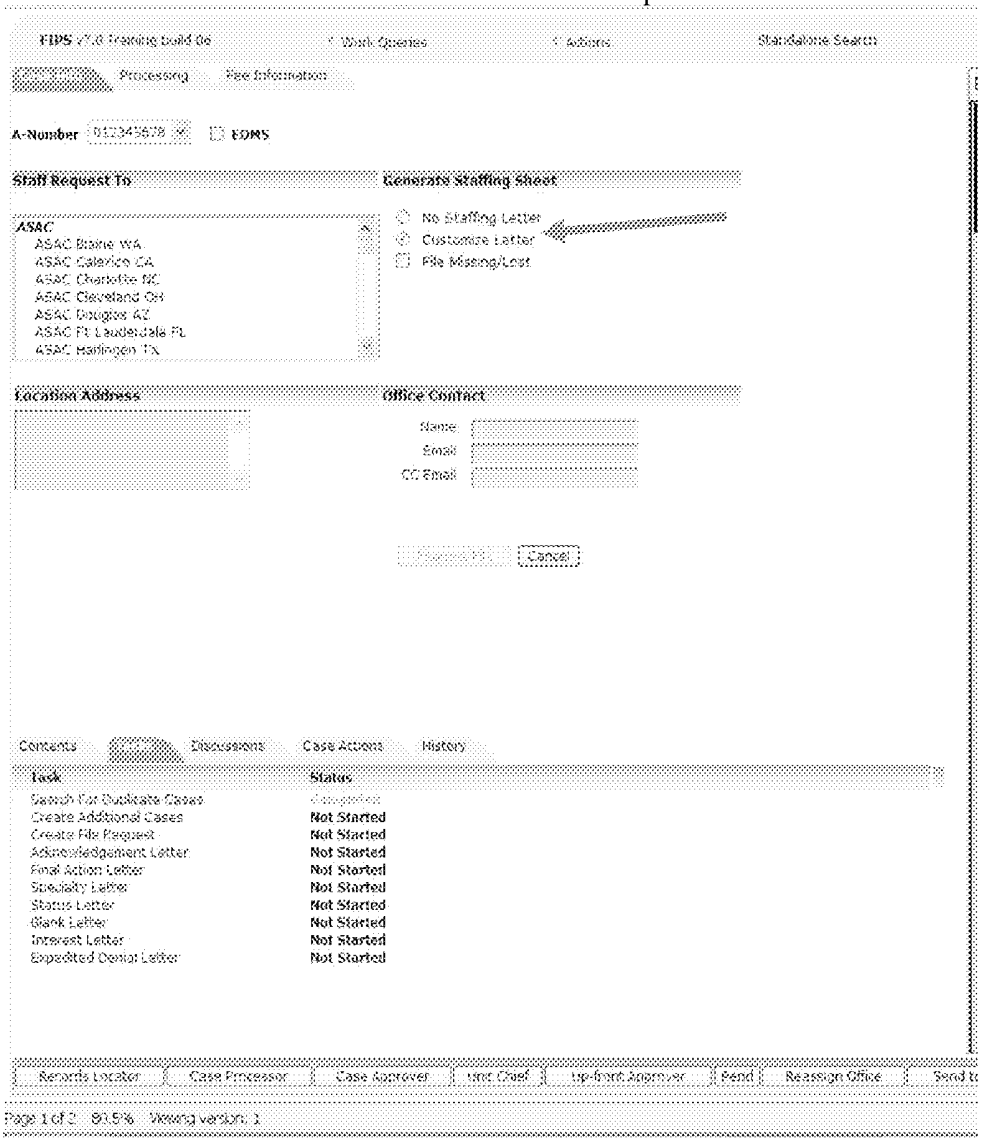
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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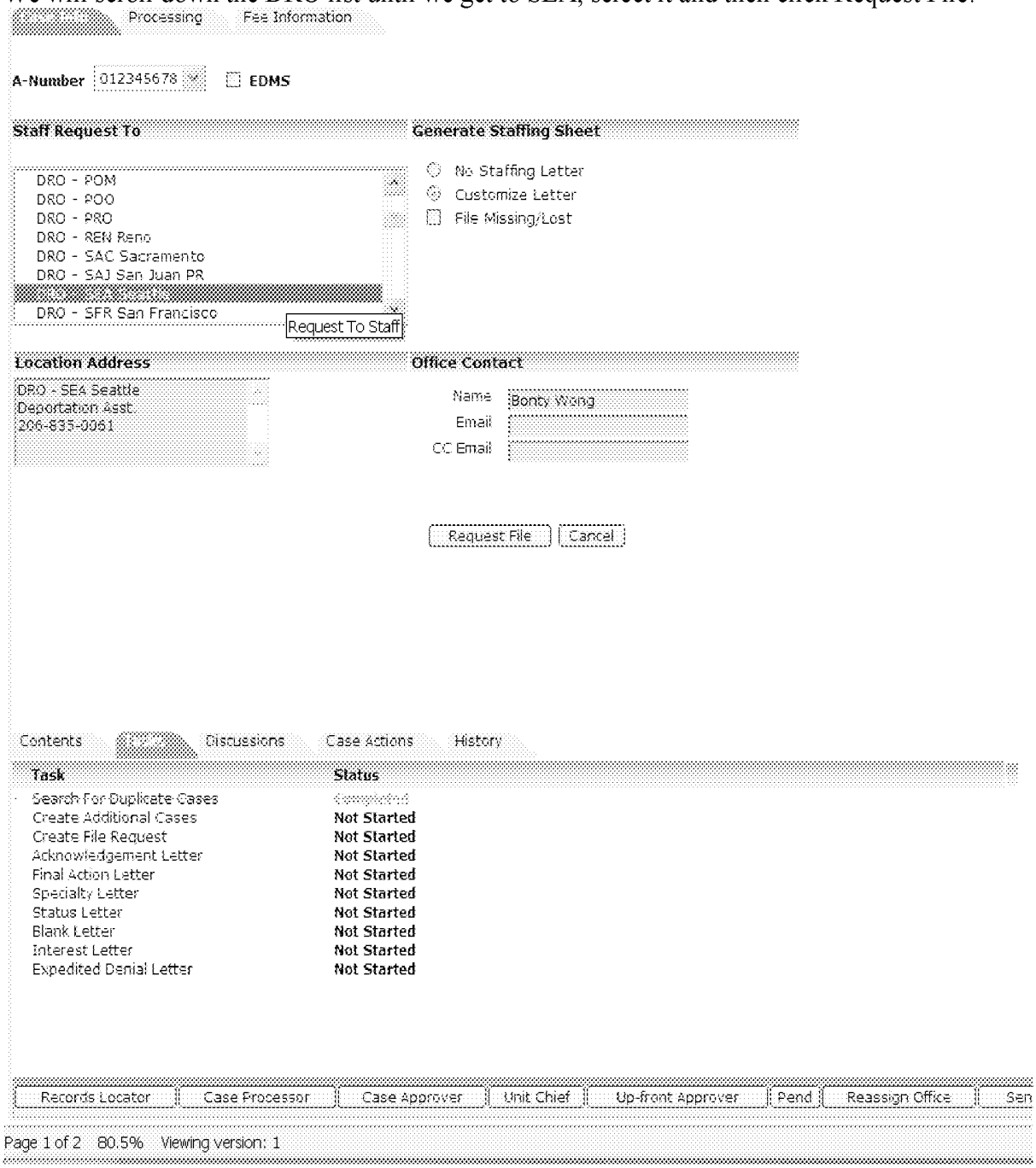
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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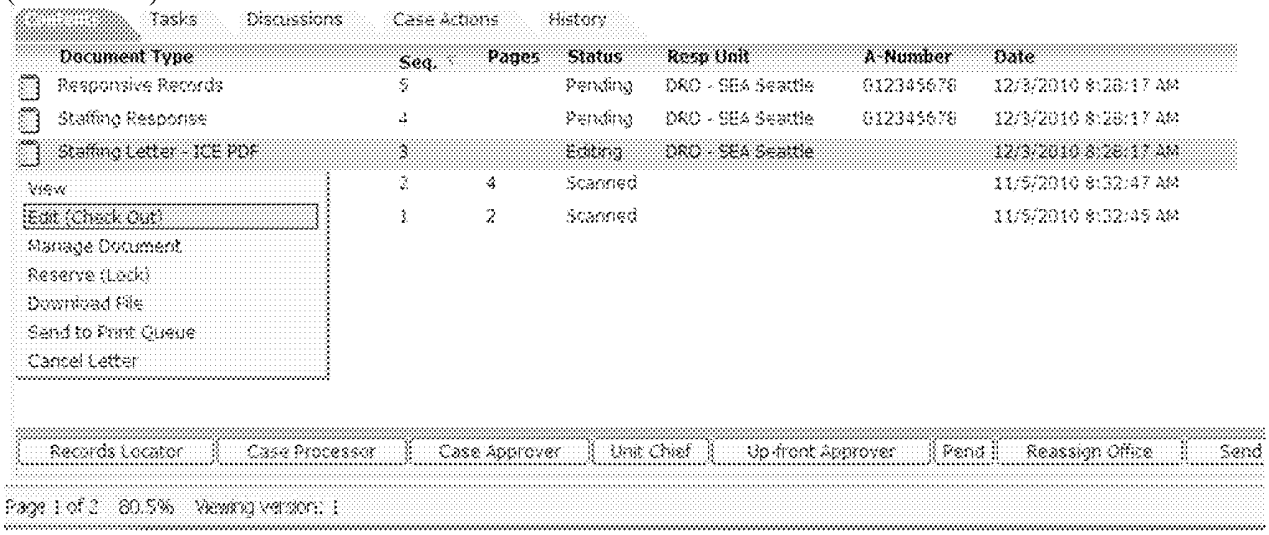
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."



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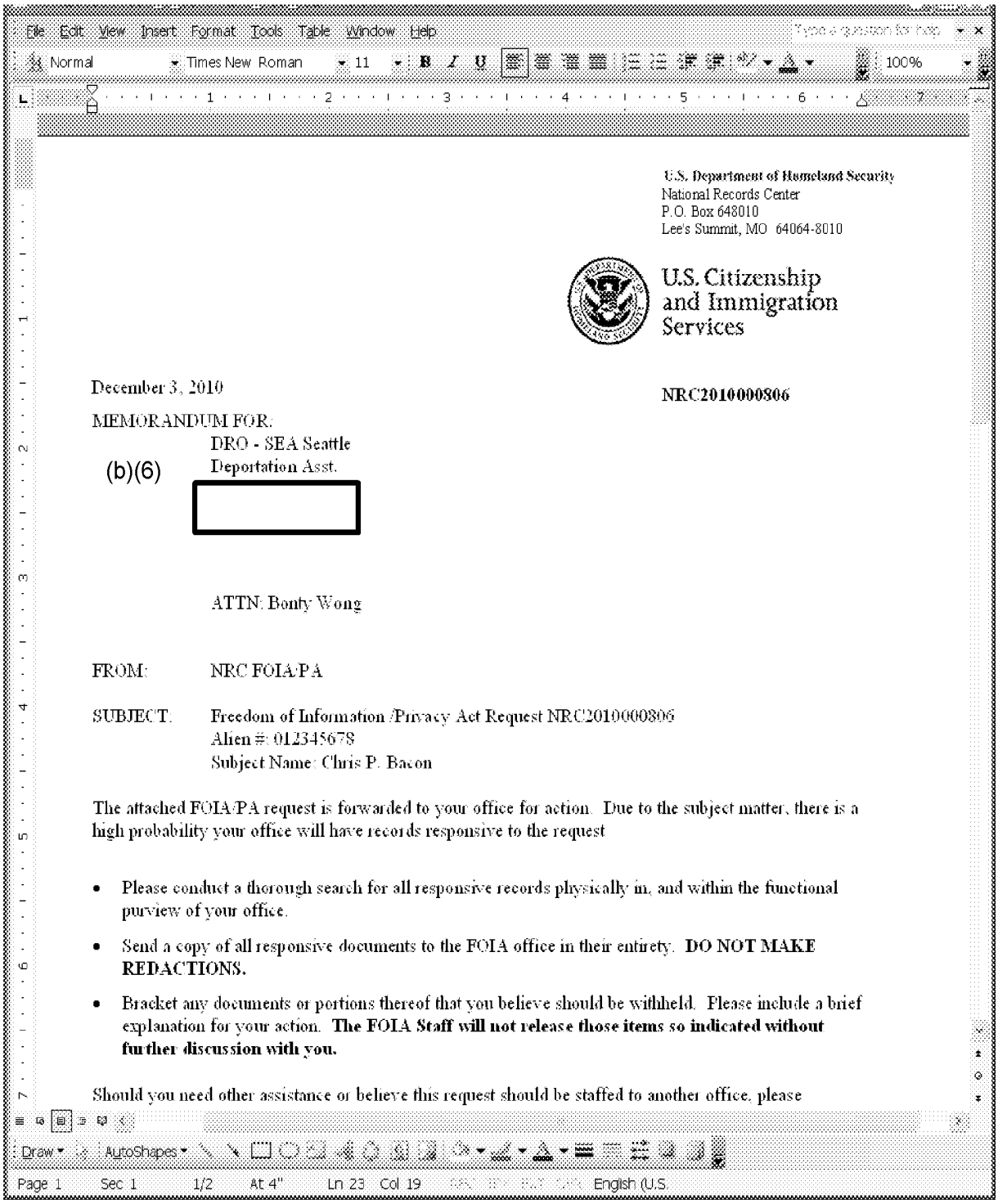
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
(b)(6) Deportation Asst.

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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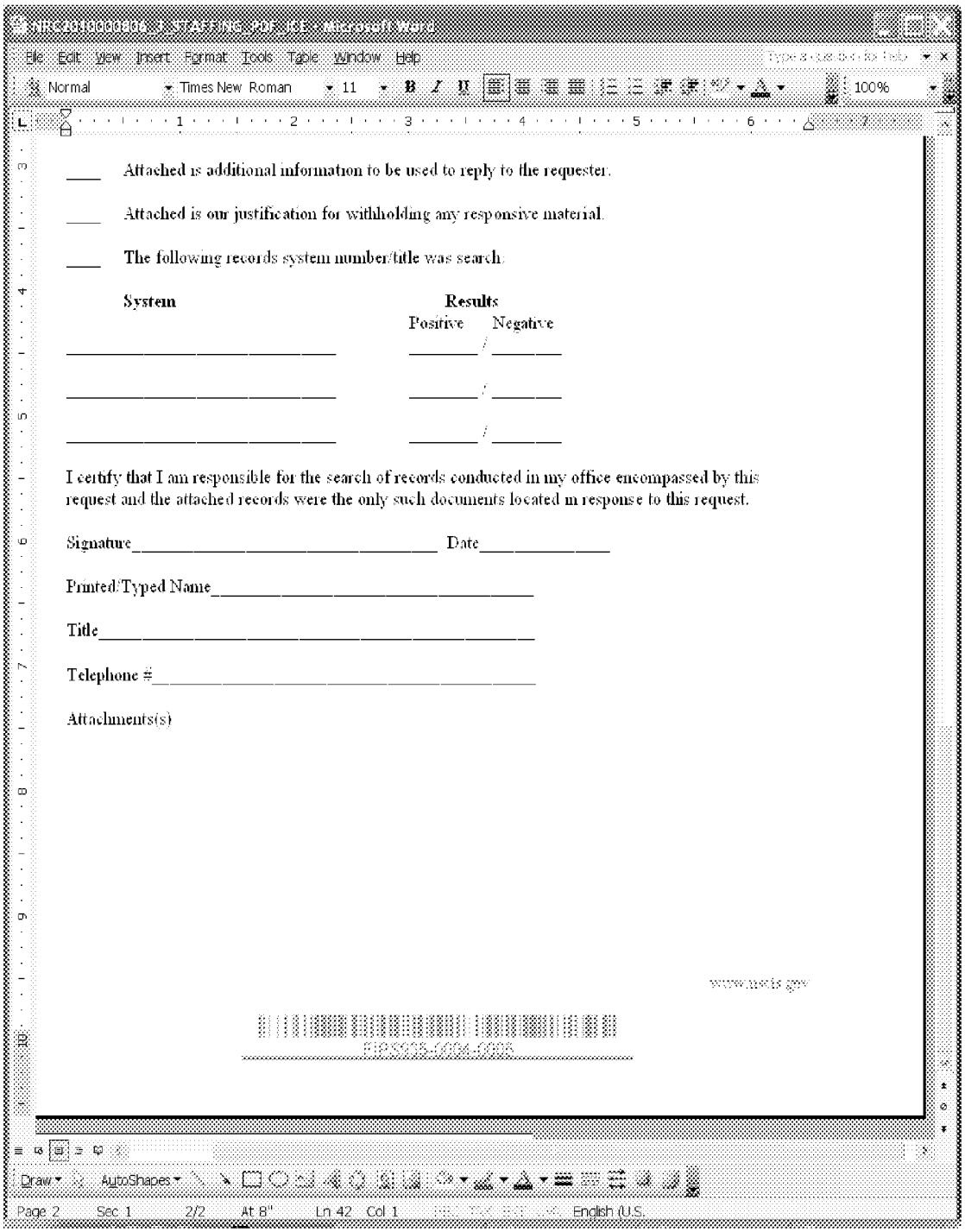
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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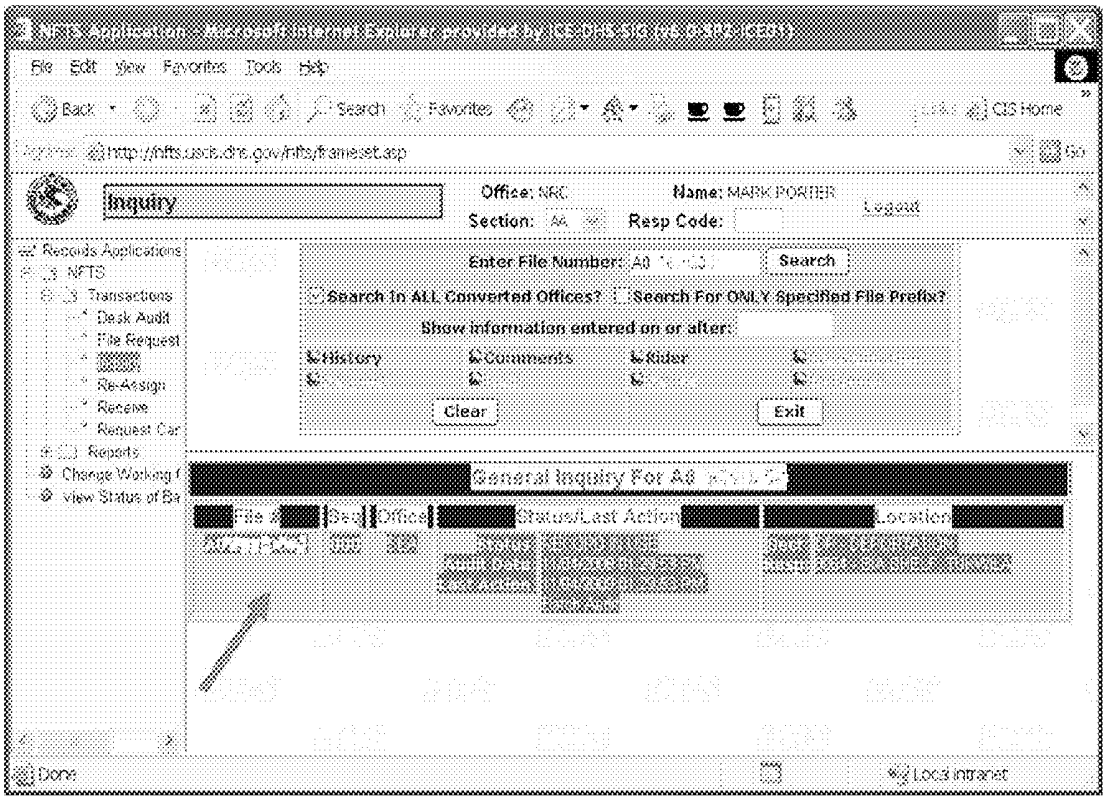
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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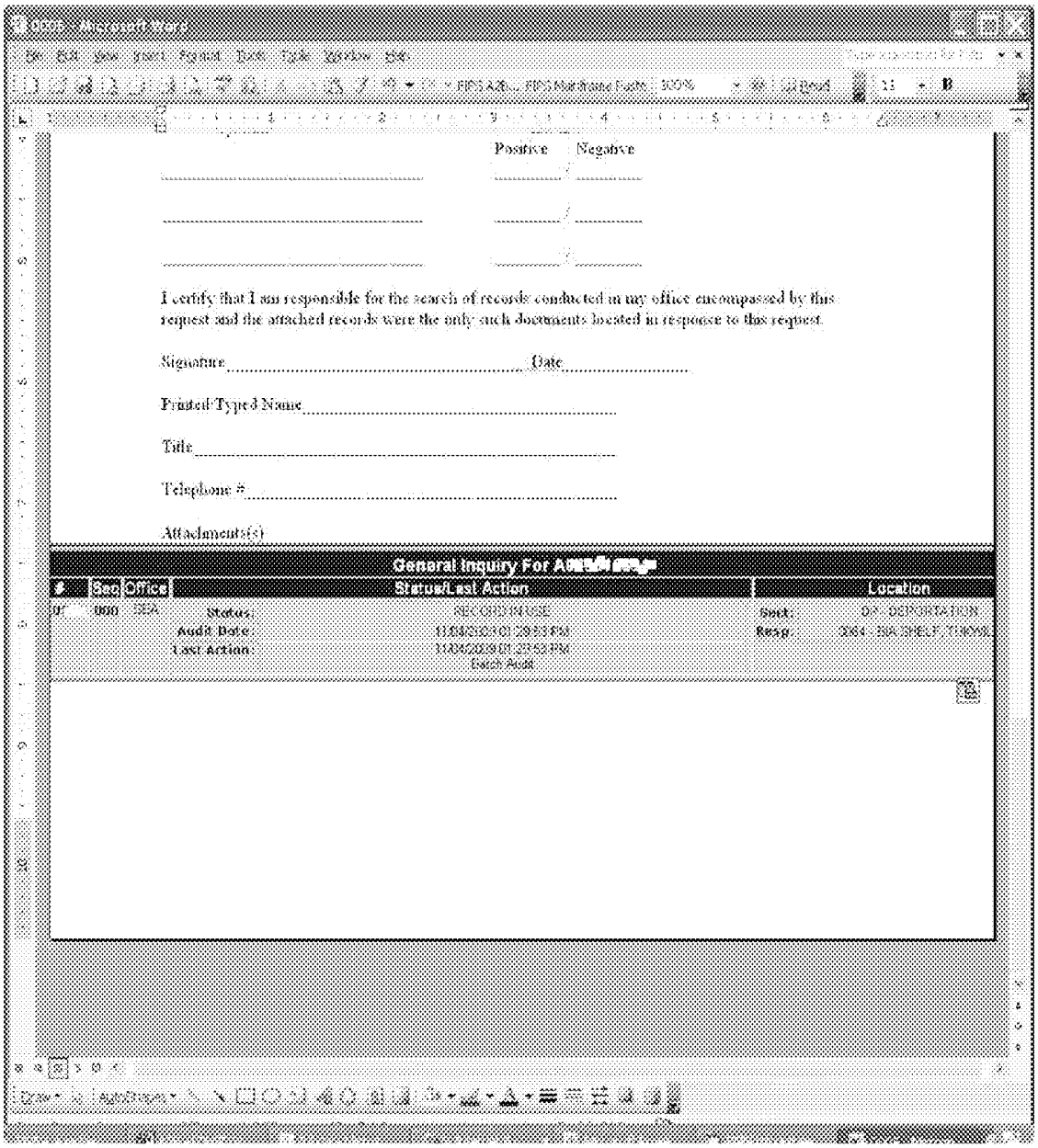
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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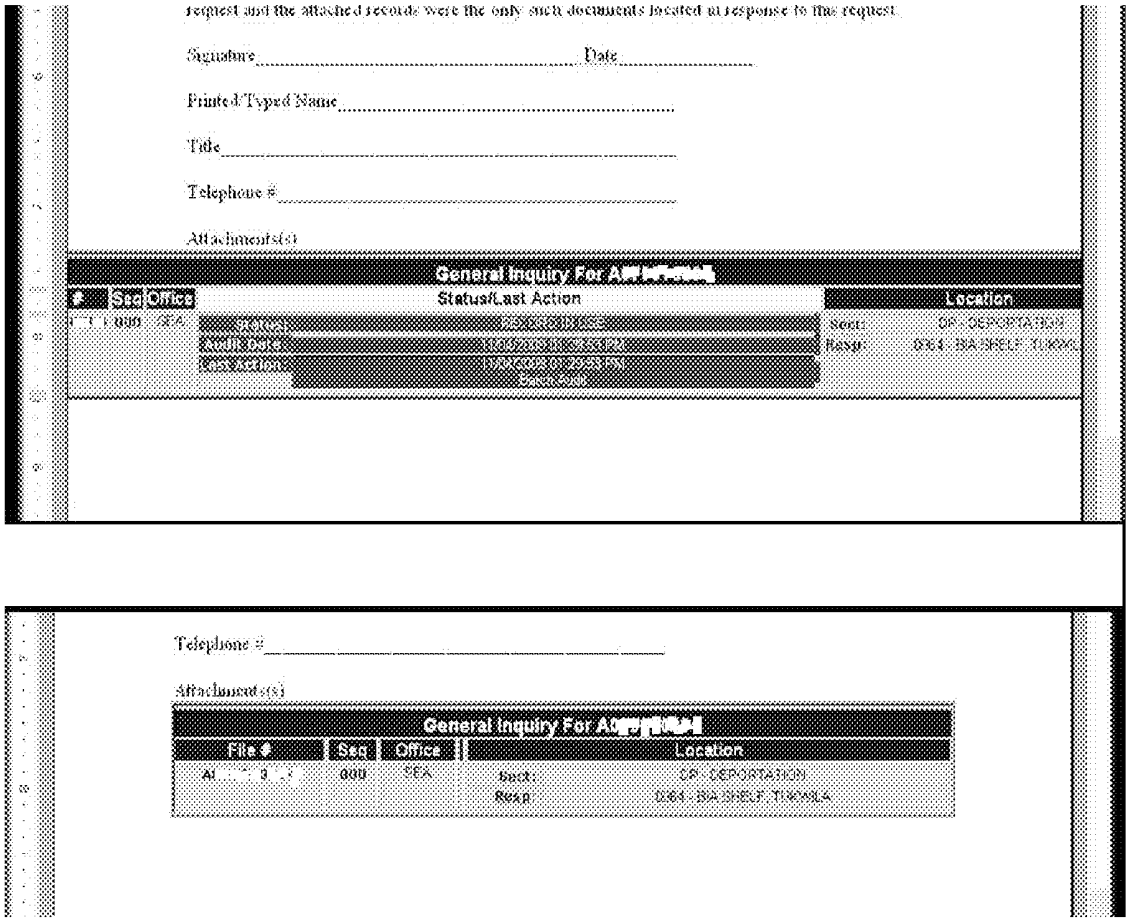
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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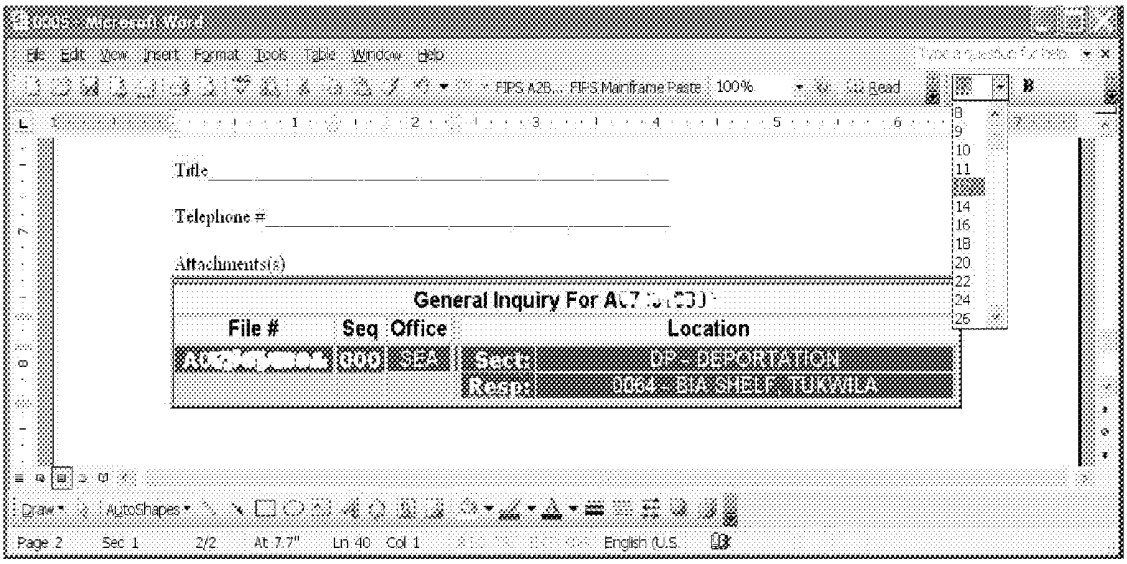
Next, highlight the whole area and change the font size to 12.



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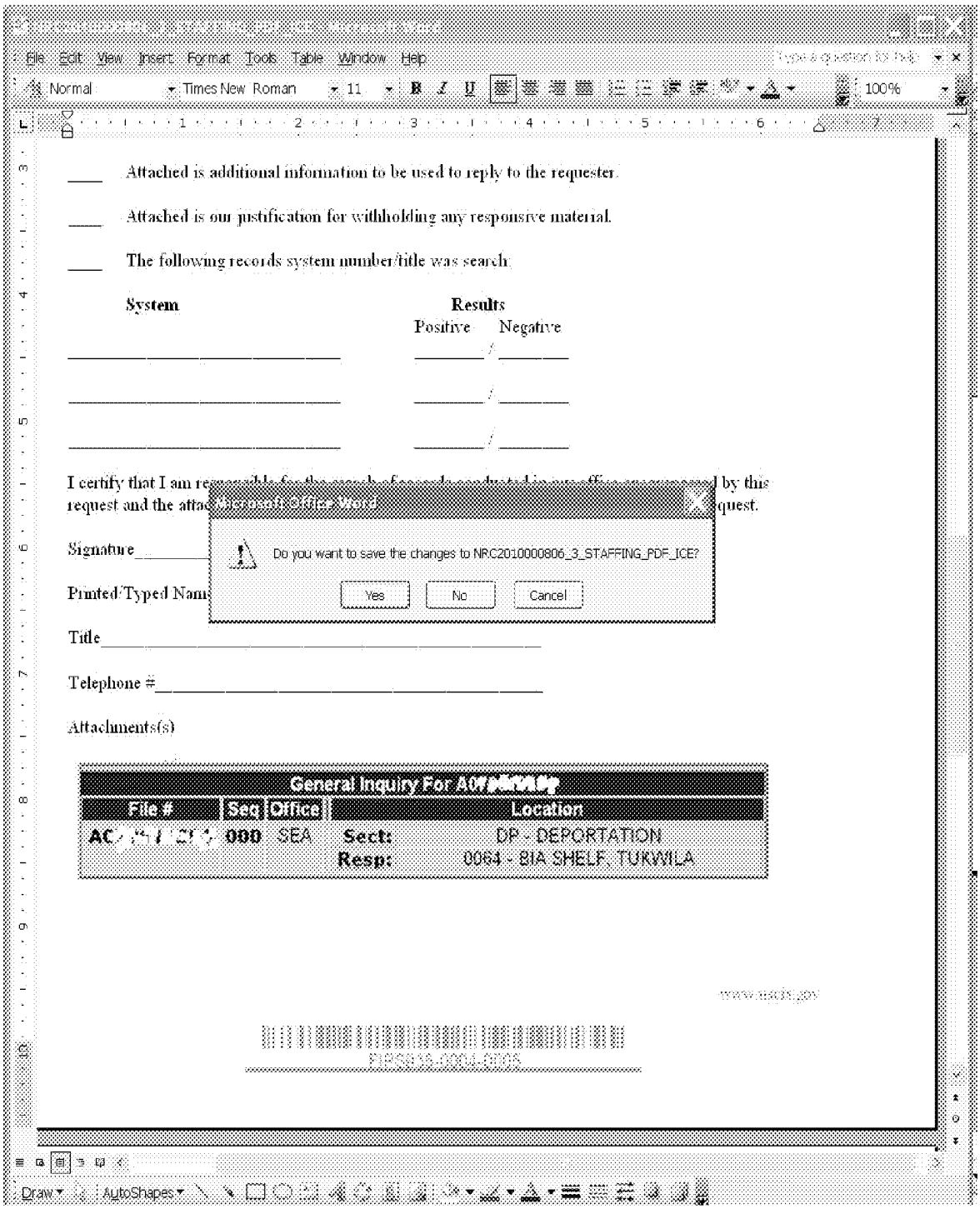
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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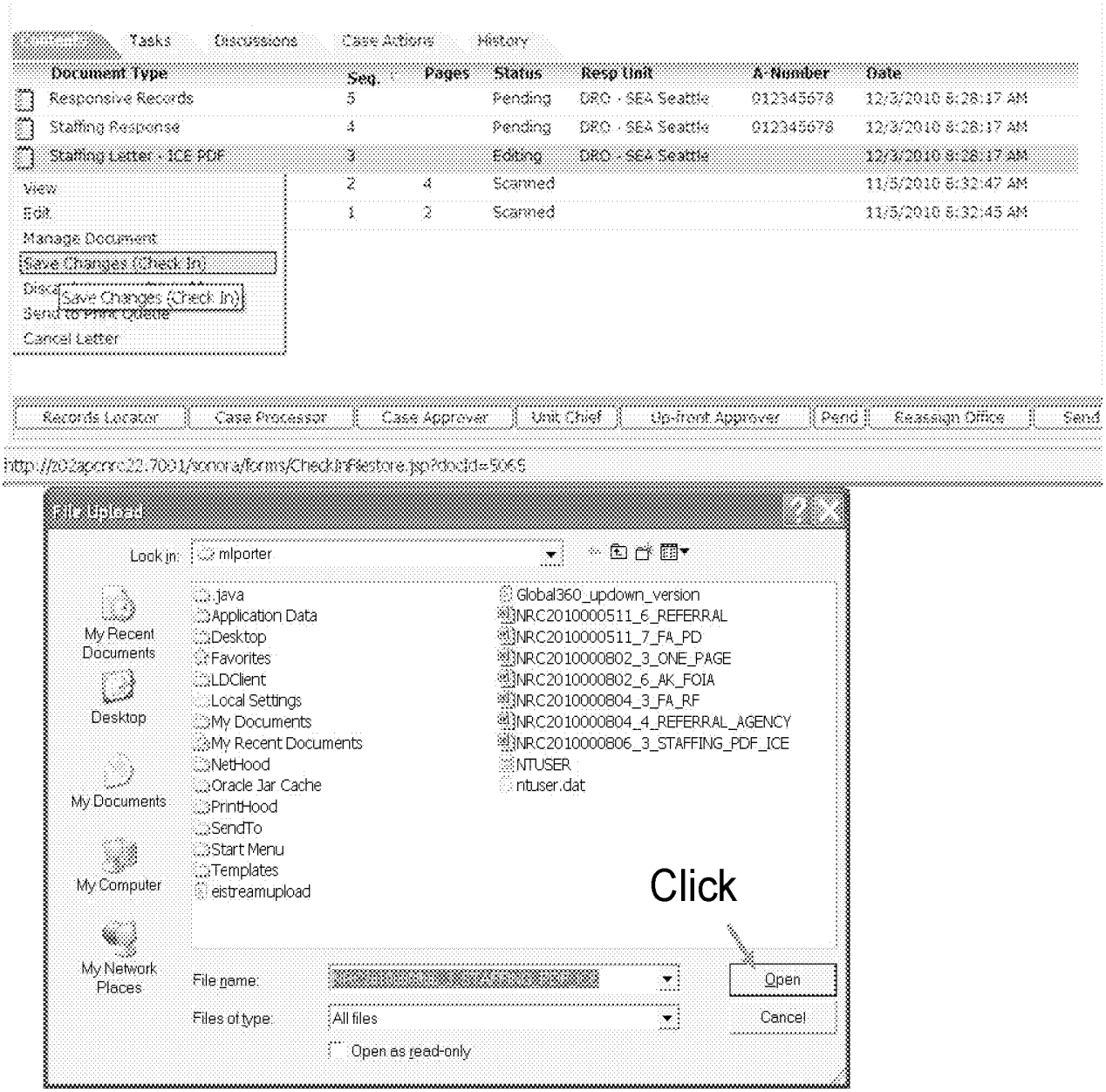
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

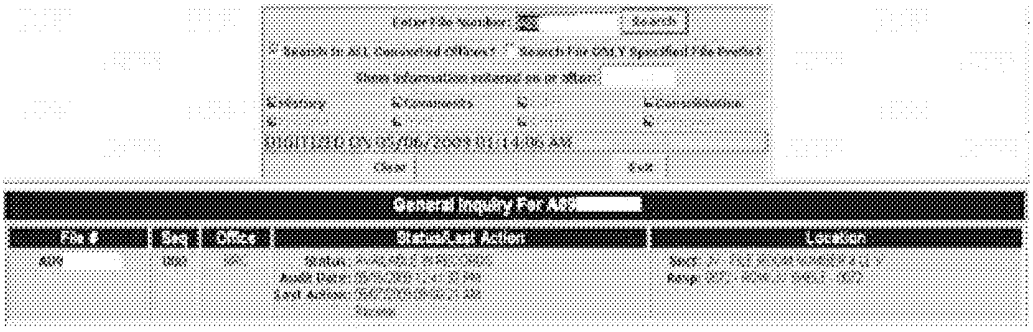
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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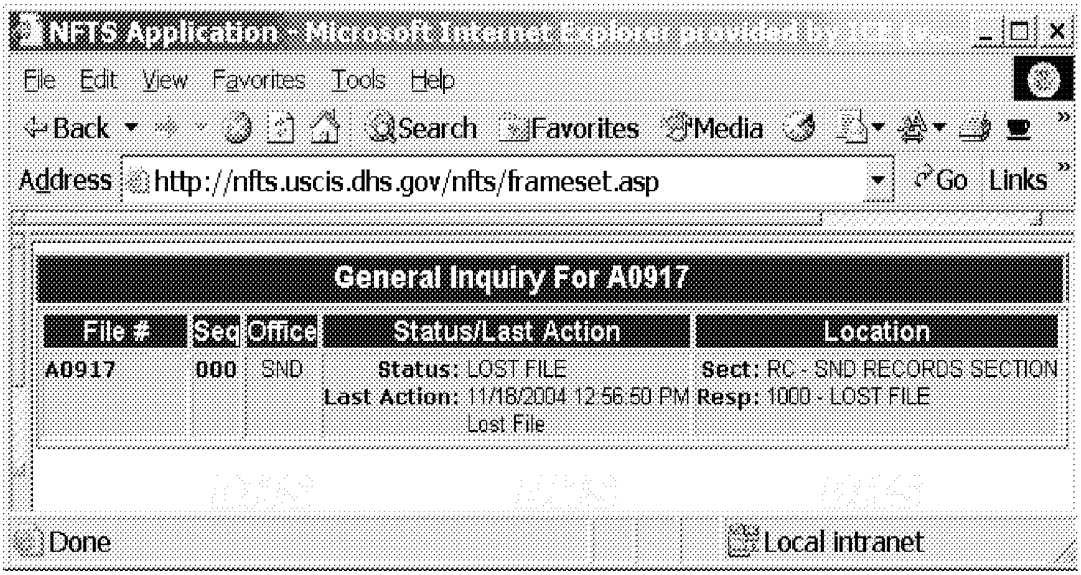
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

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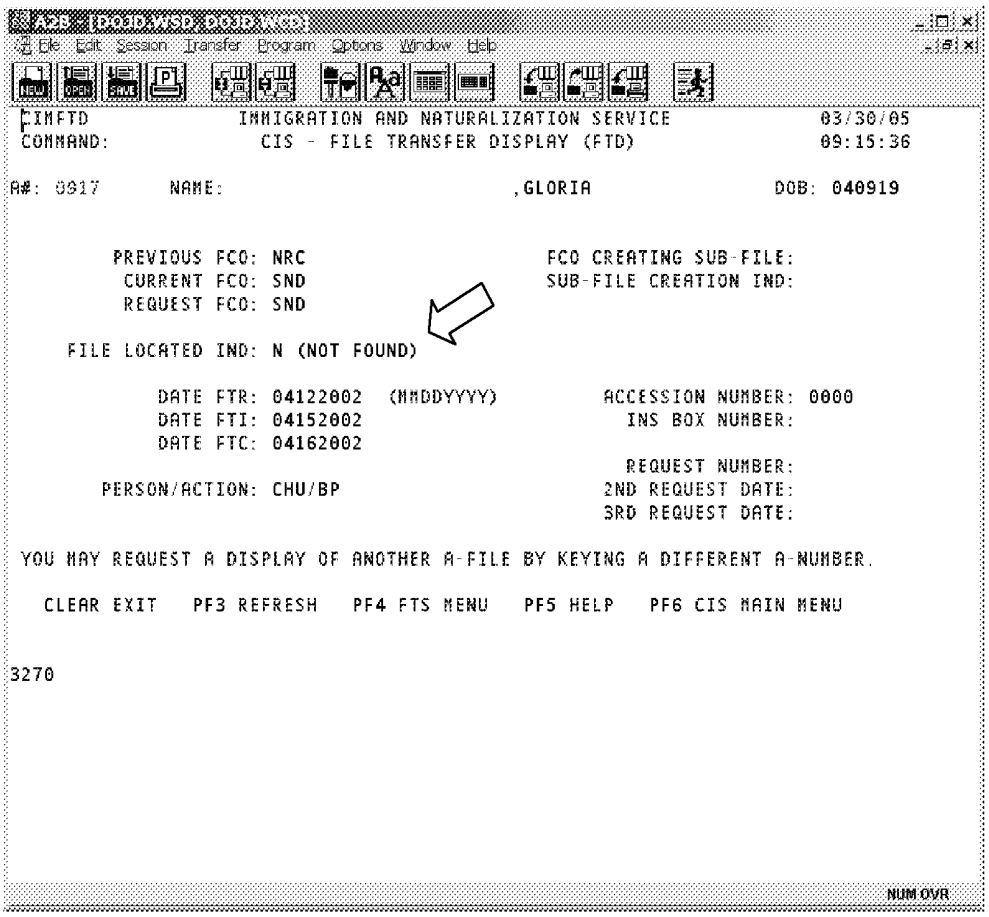
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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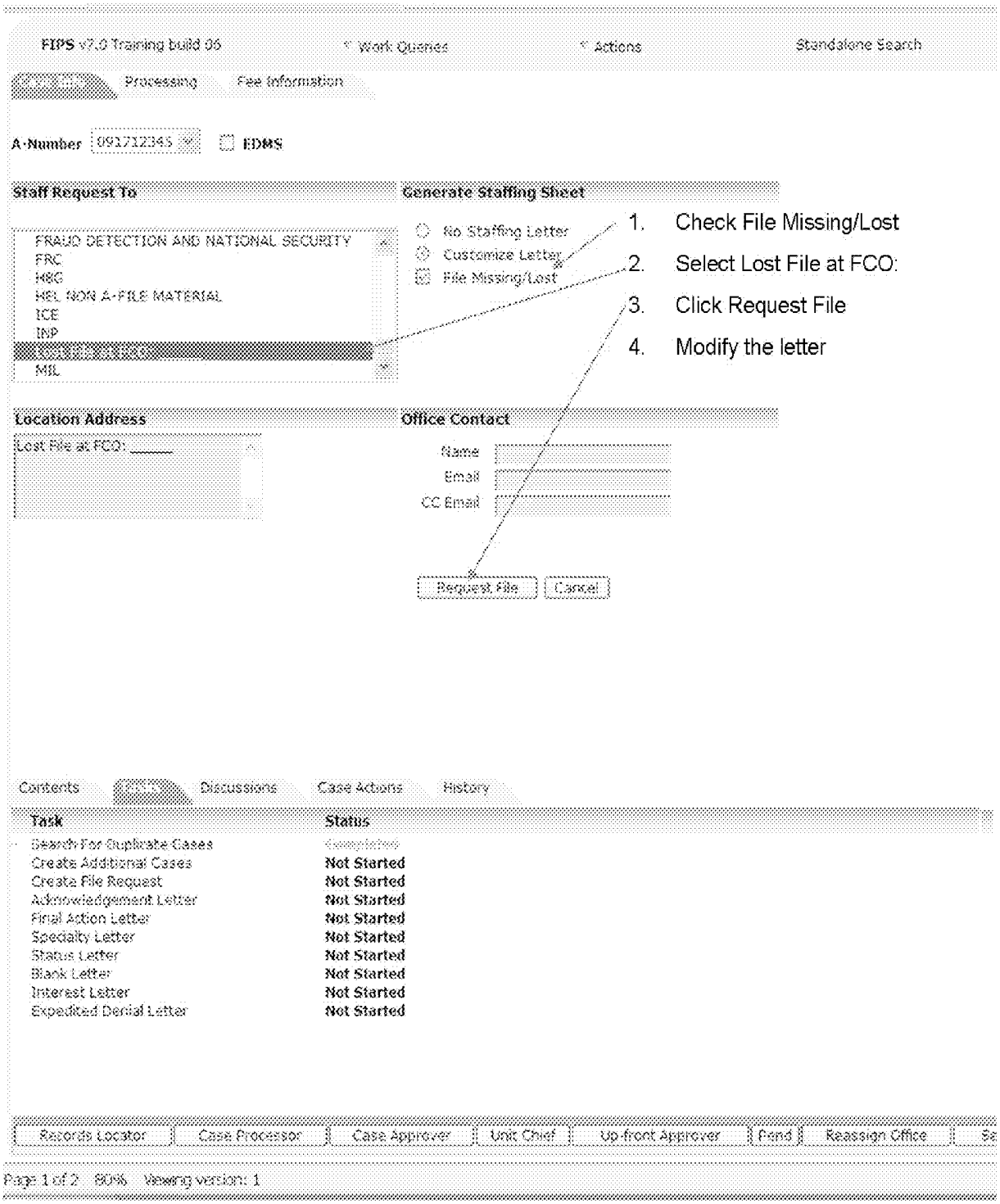

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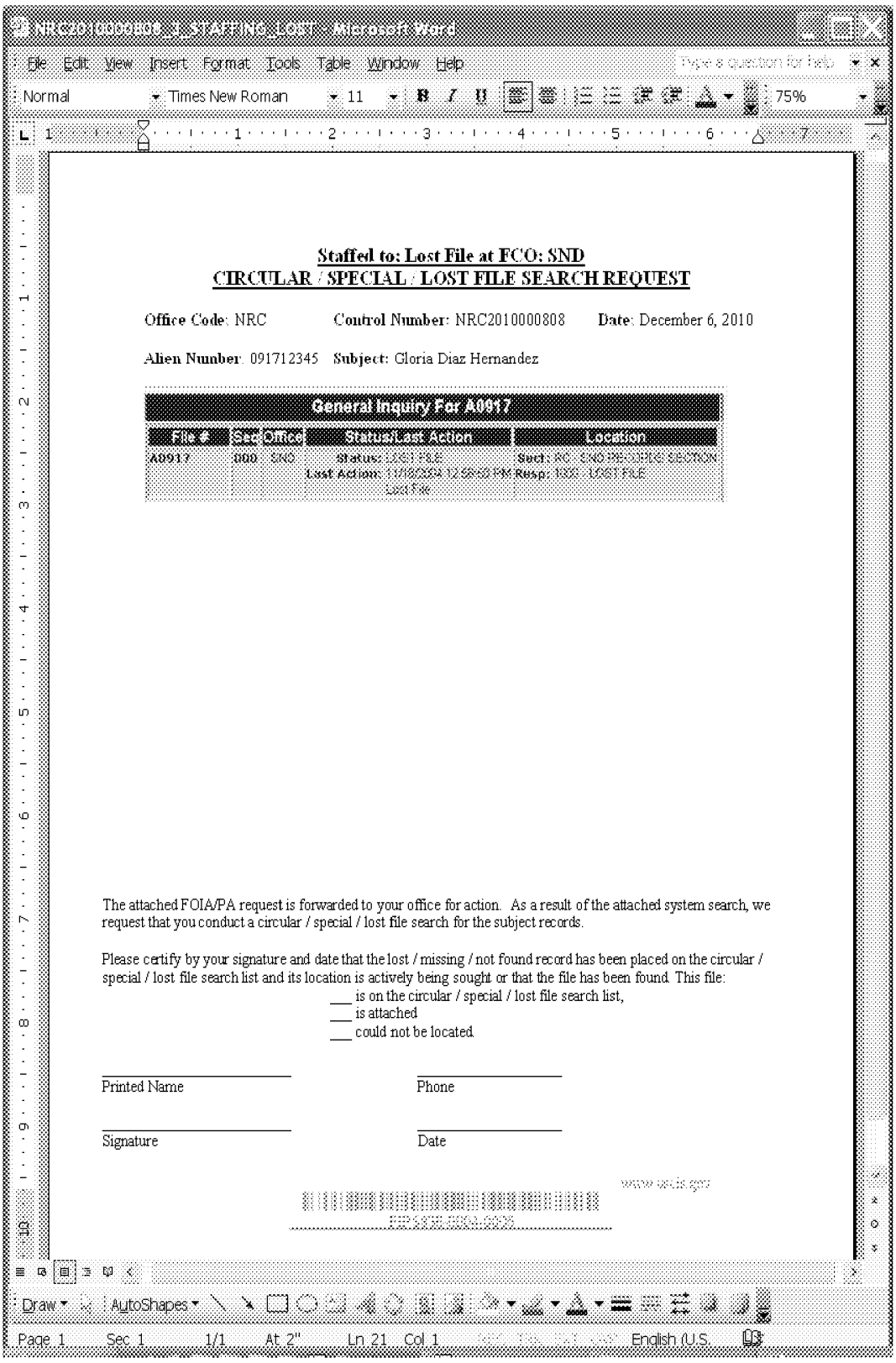

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number: 091712345 **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Lost Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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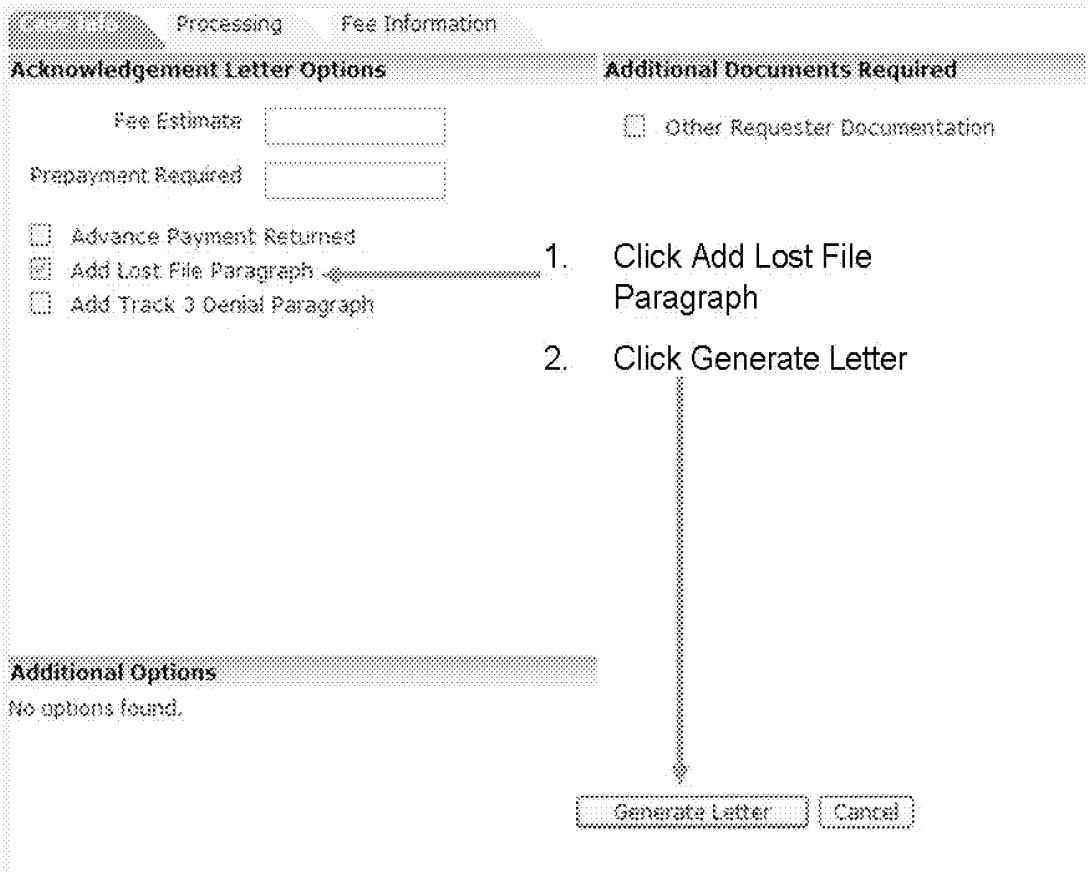

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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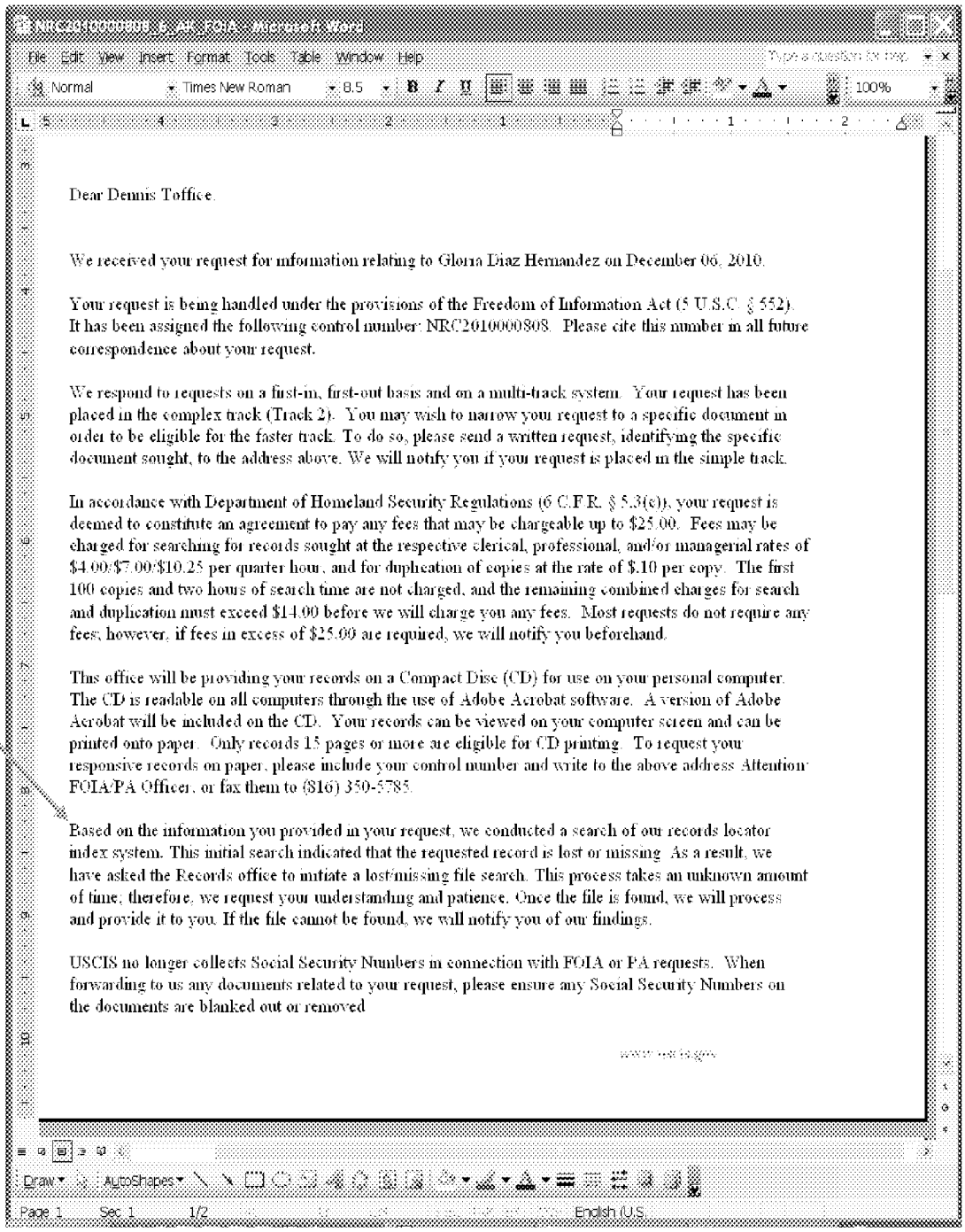

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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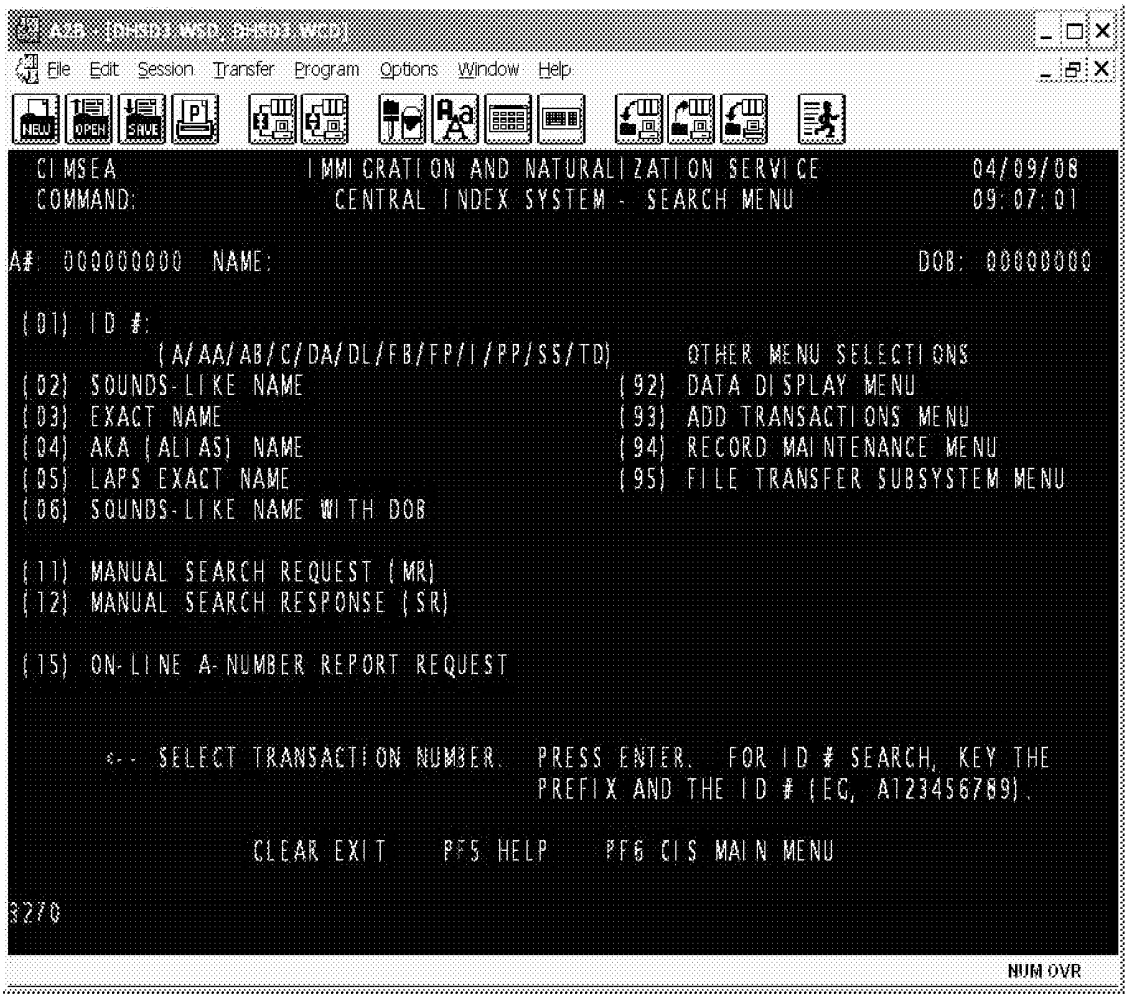

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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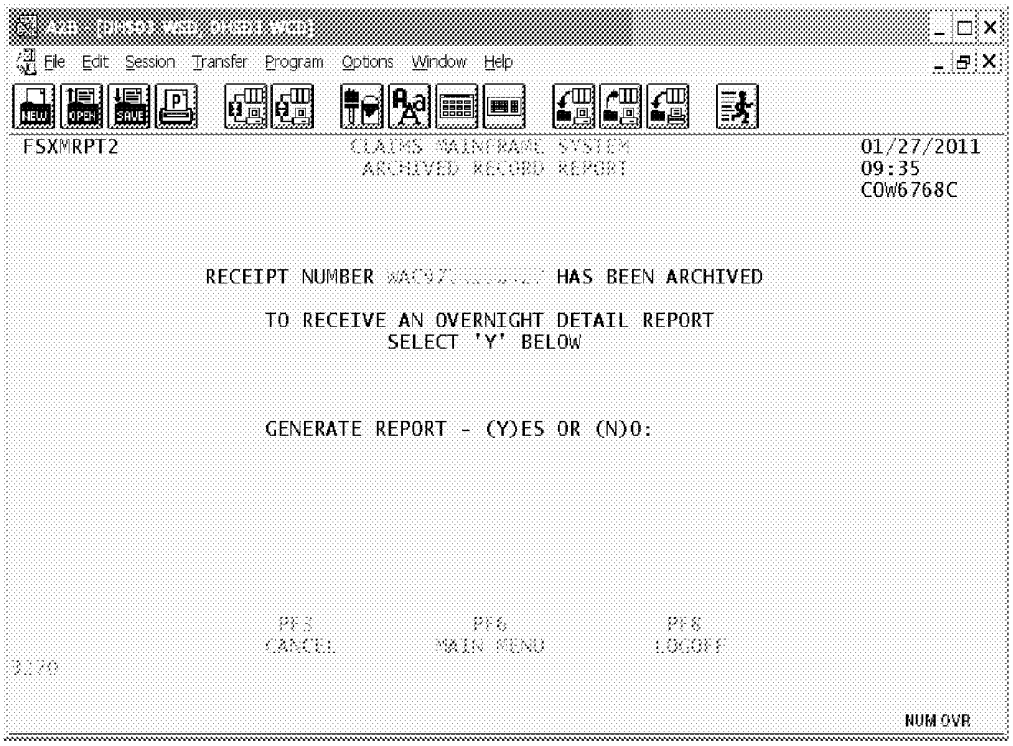
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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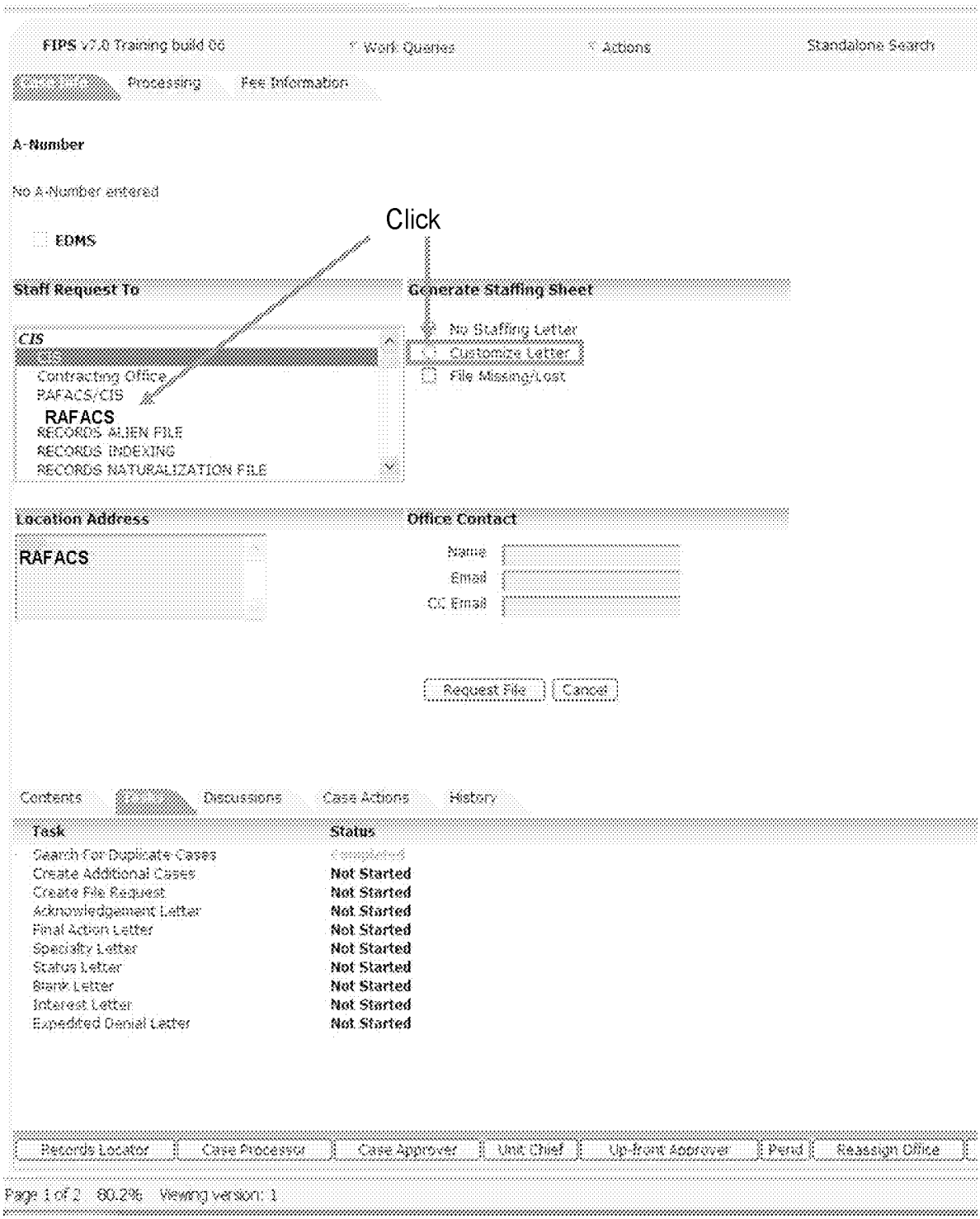

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wife	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wife	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
_____ is attached
_____ could not be located.

Printed Name Phone

WAC93

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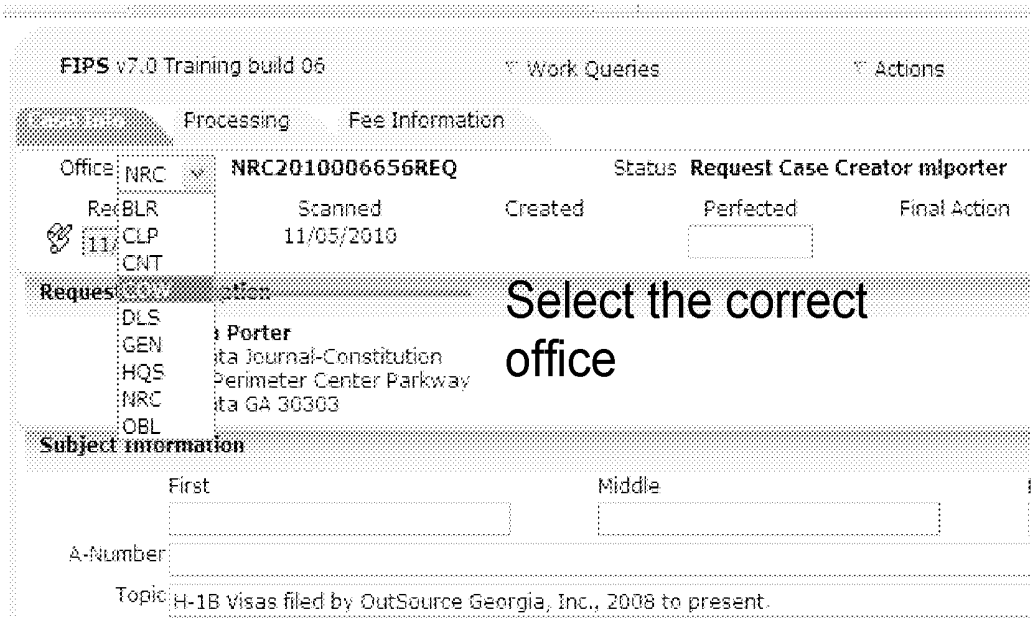
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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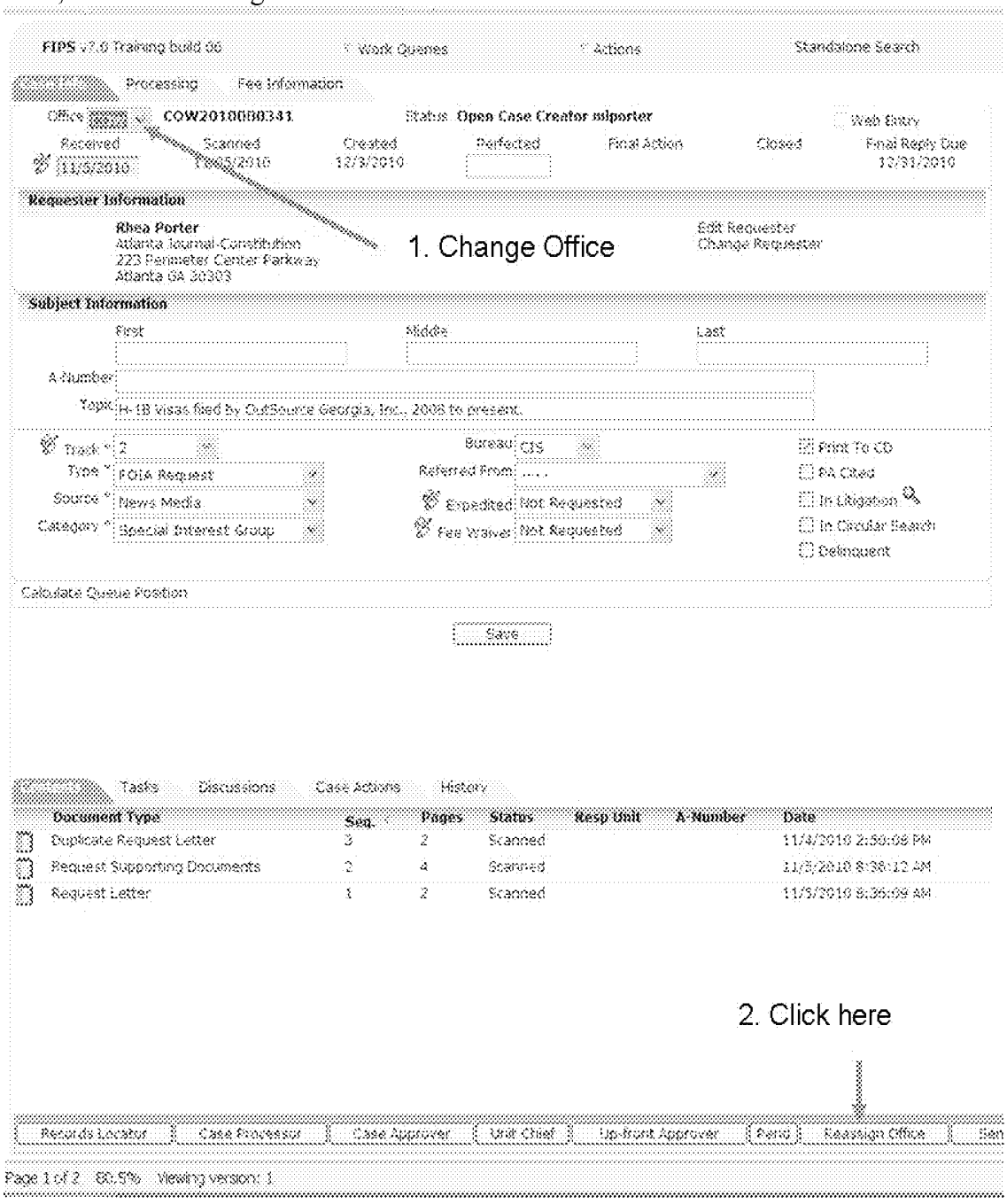
Next, click on "Reassign Office"



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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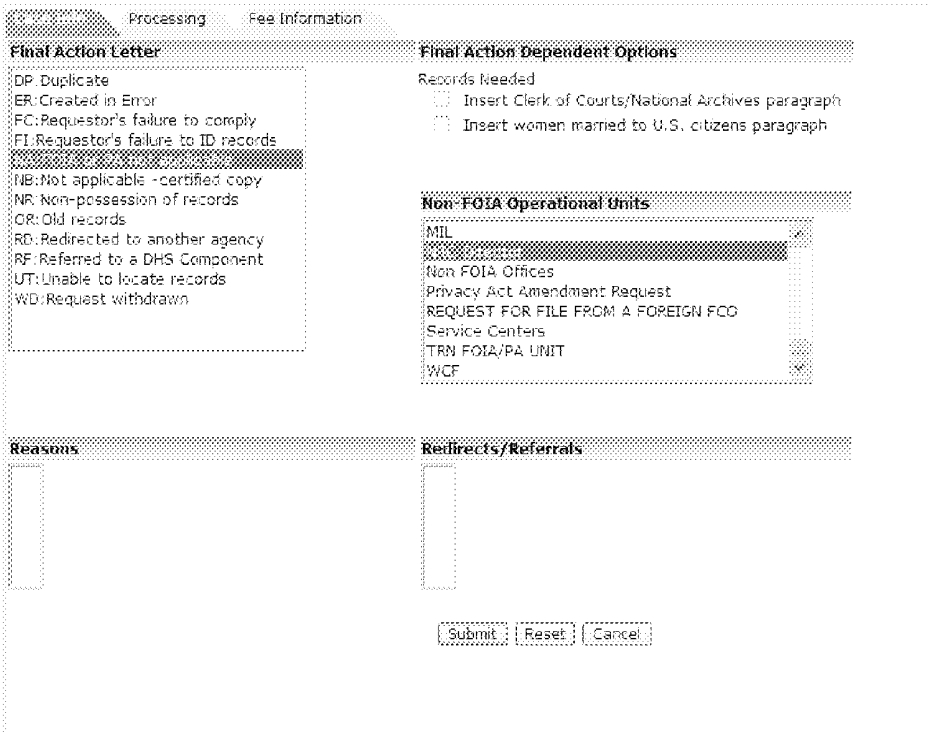
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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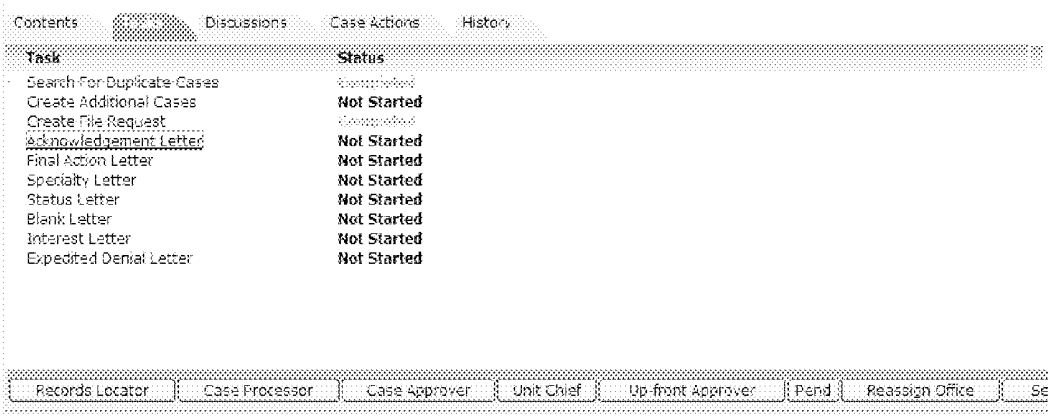
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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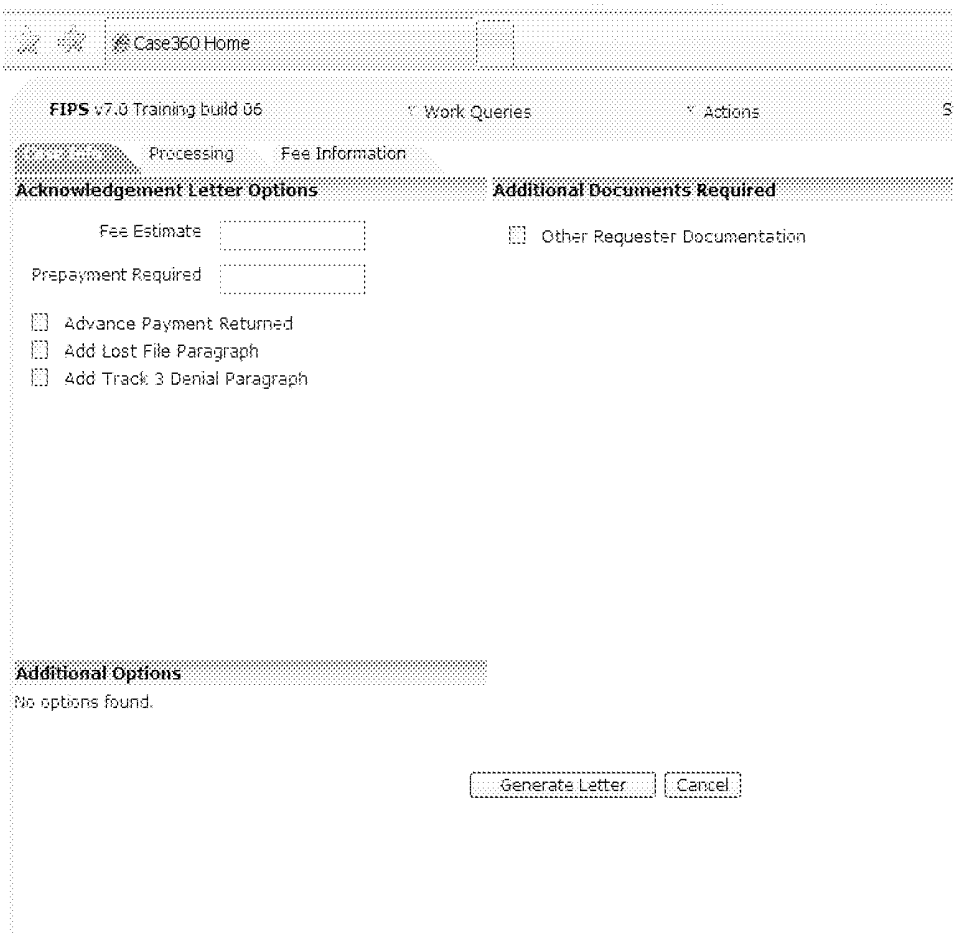
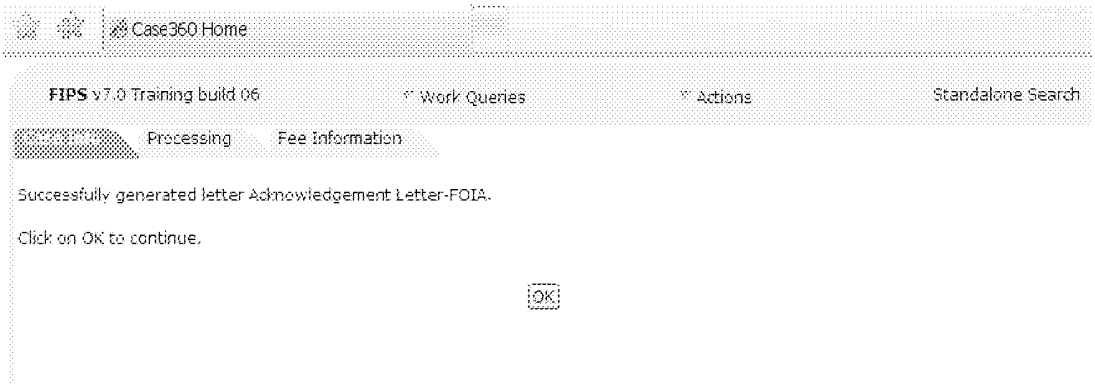


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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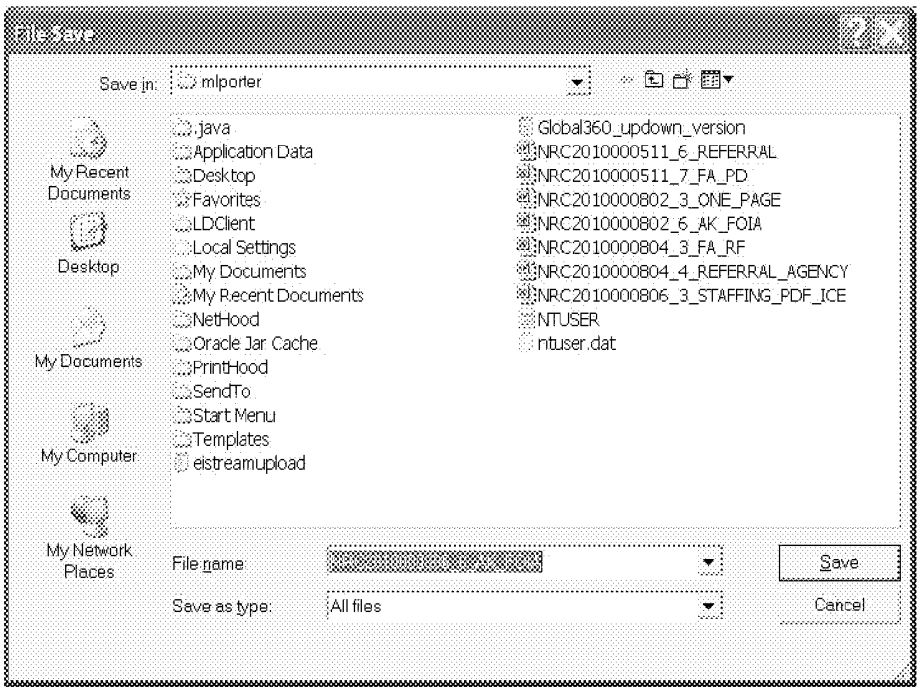

The acknowledgment letter will pop up:

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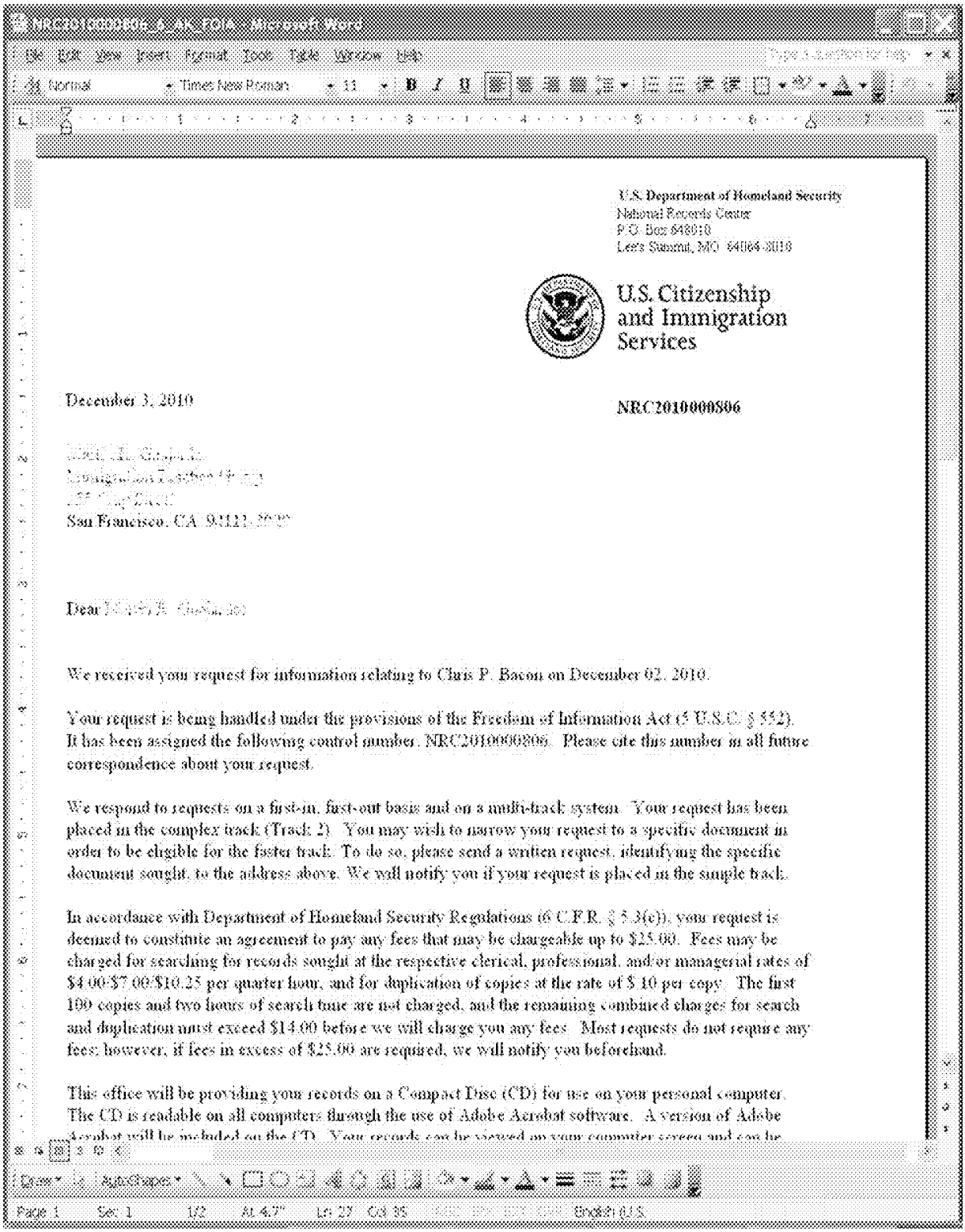

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number, NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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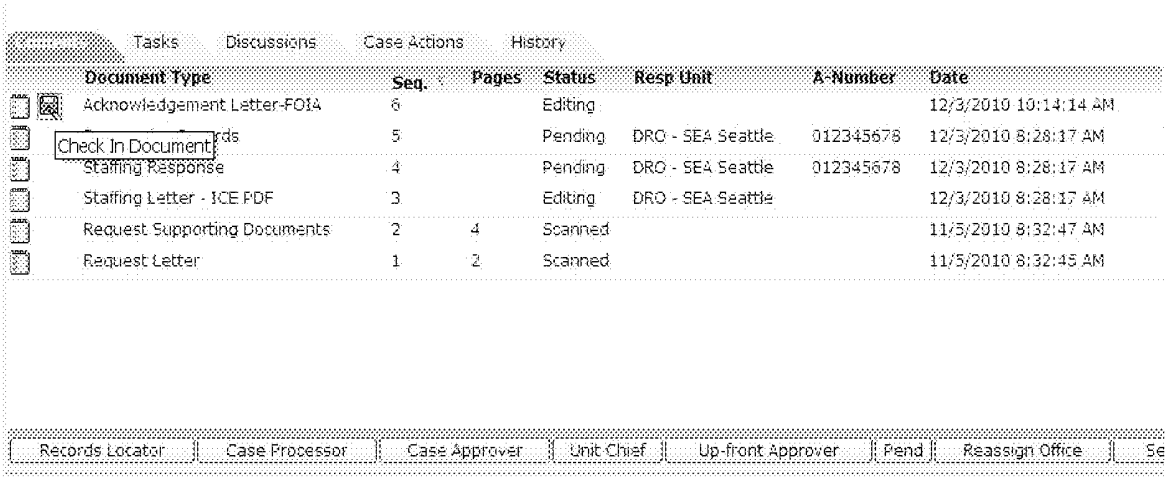
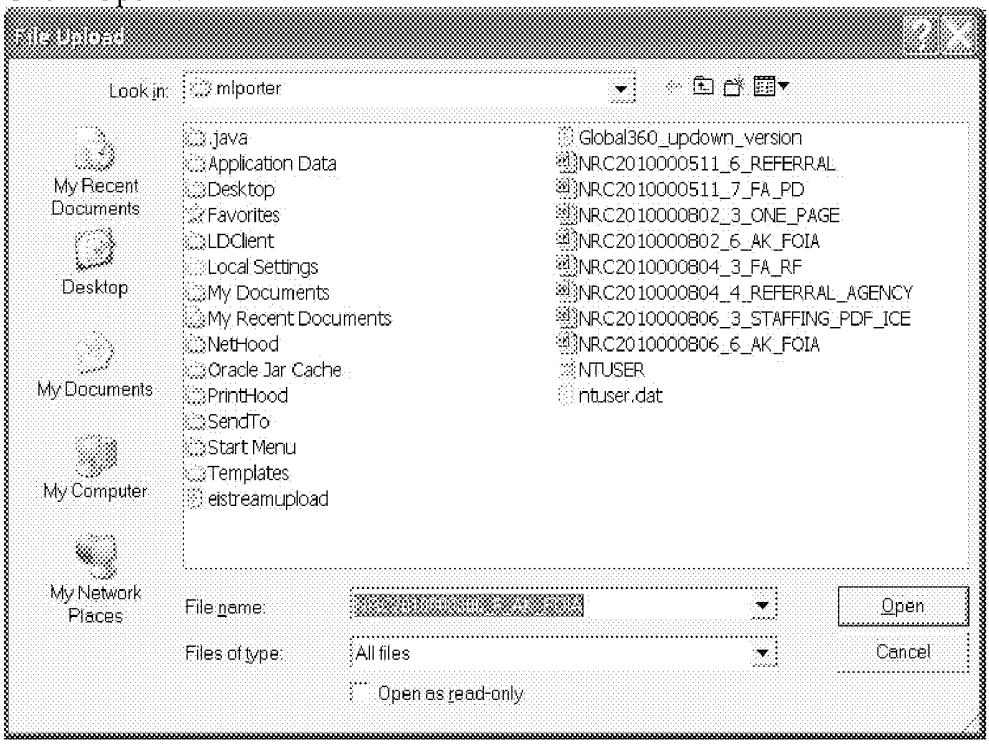


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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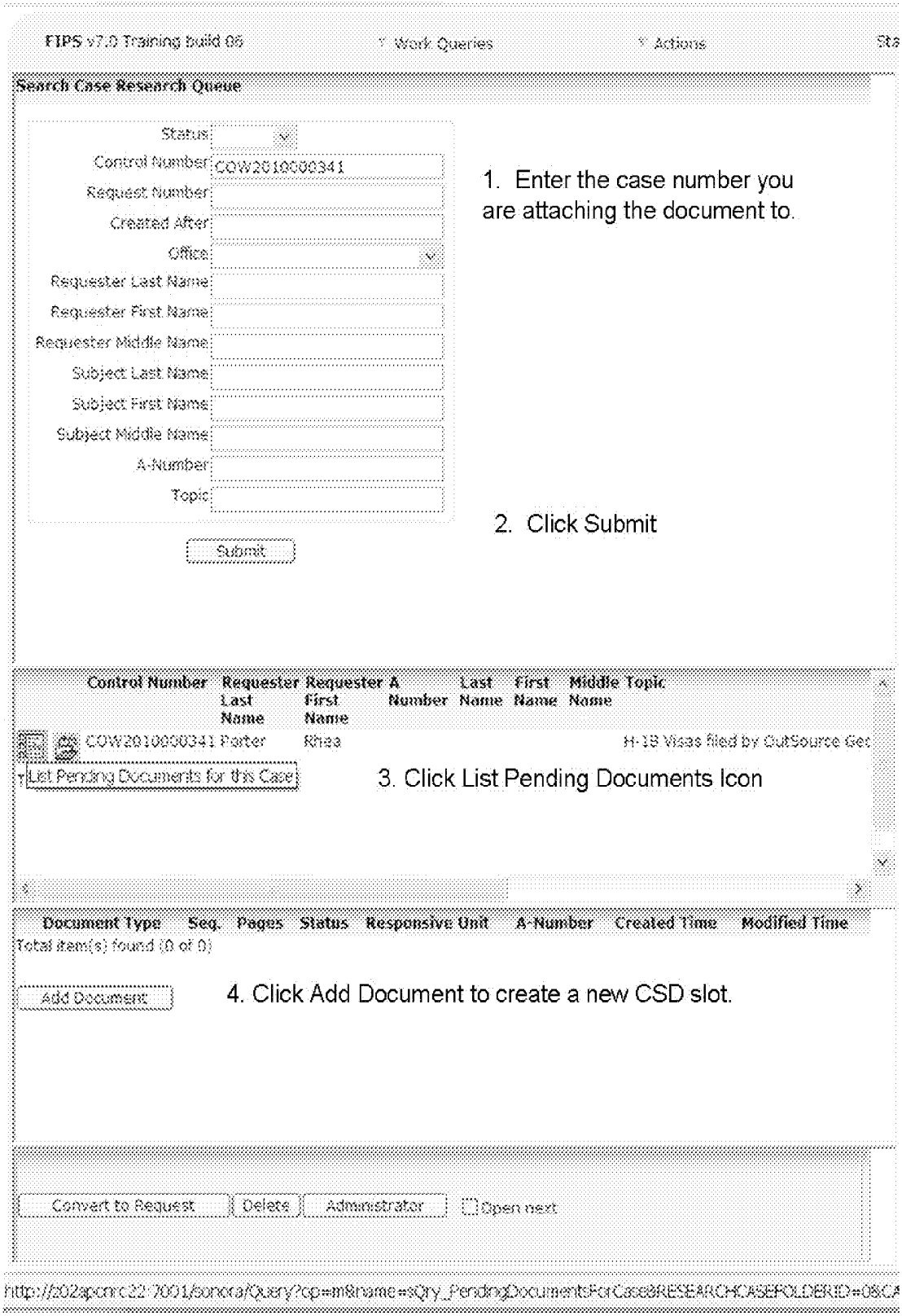

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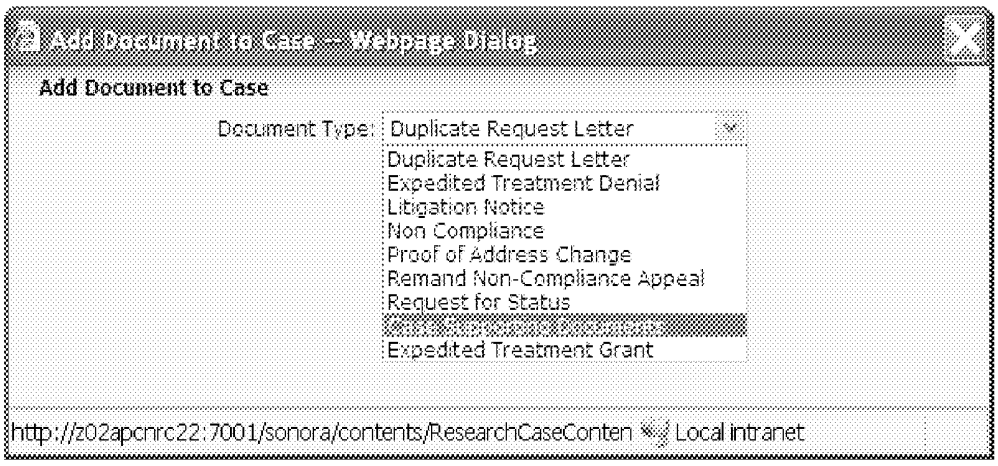

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper

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- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

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32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must

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then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

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32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot.

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However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

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34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

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Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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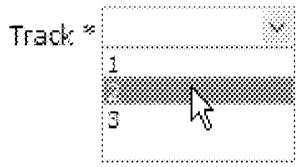
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

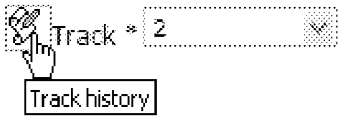
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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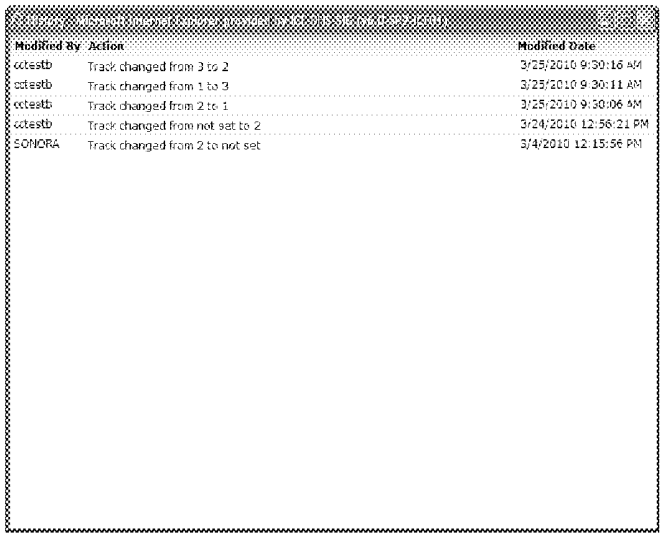
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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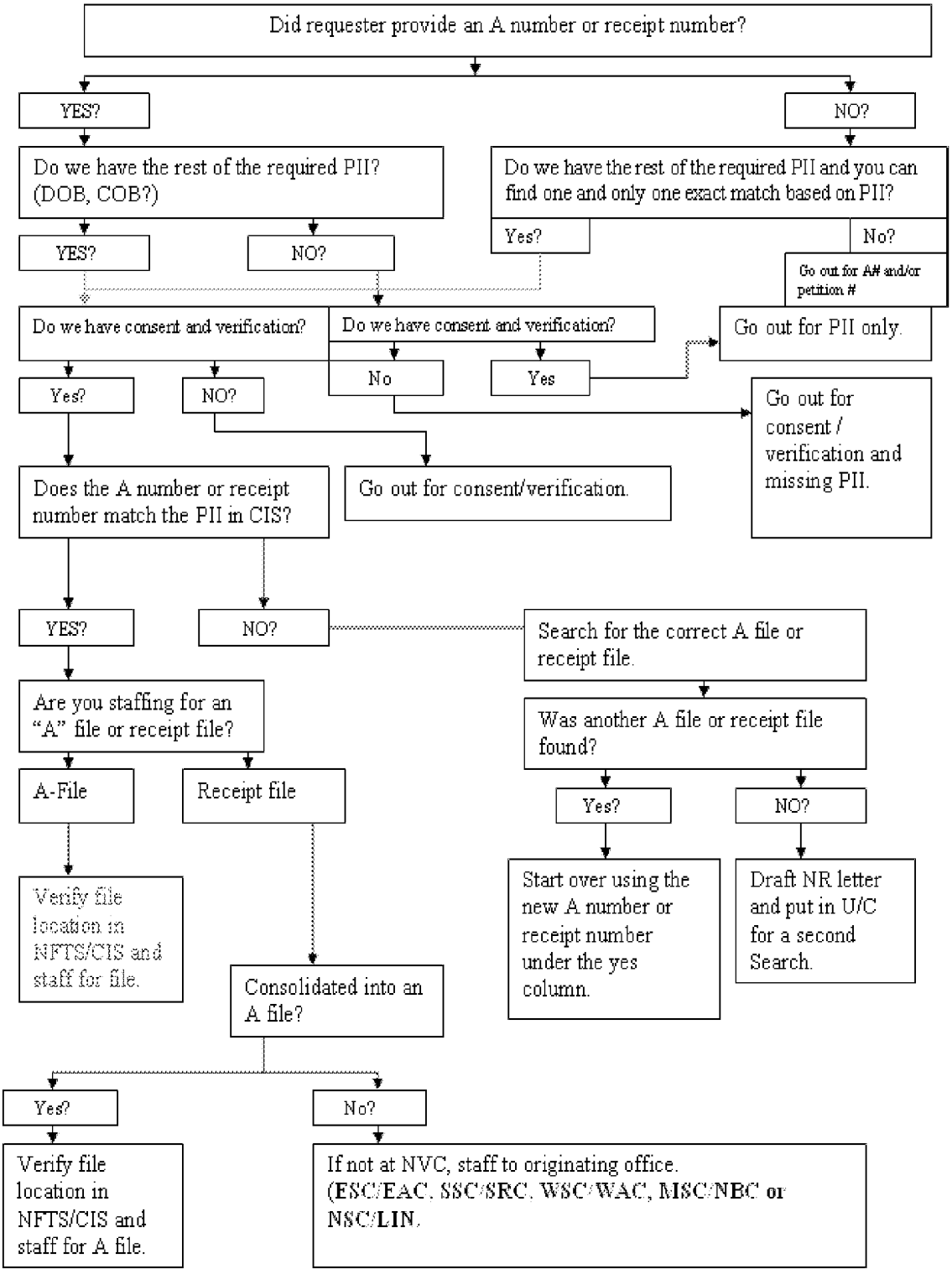
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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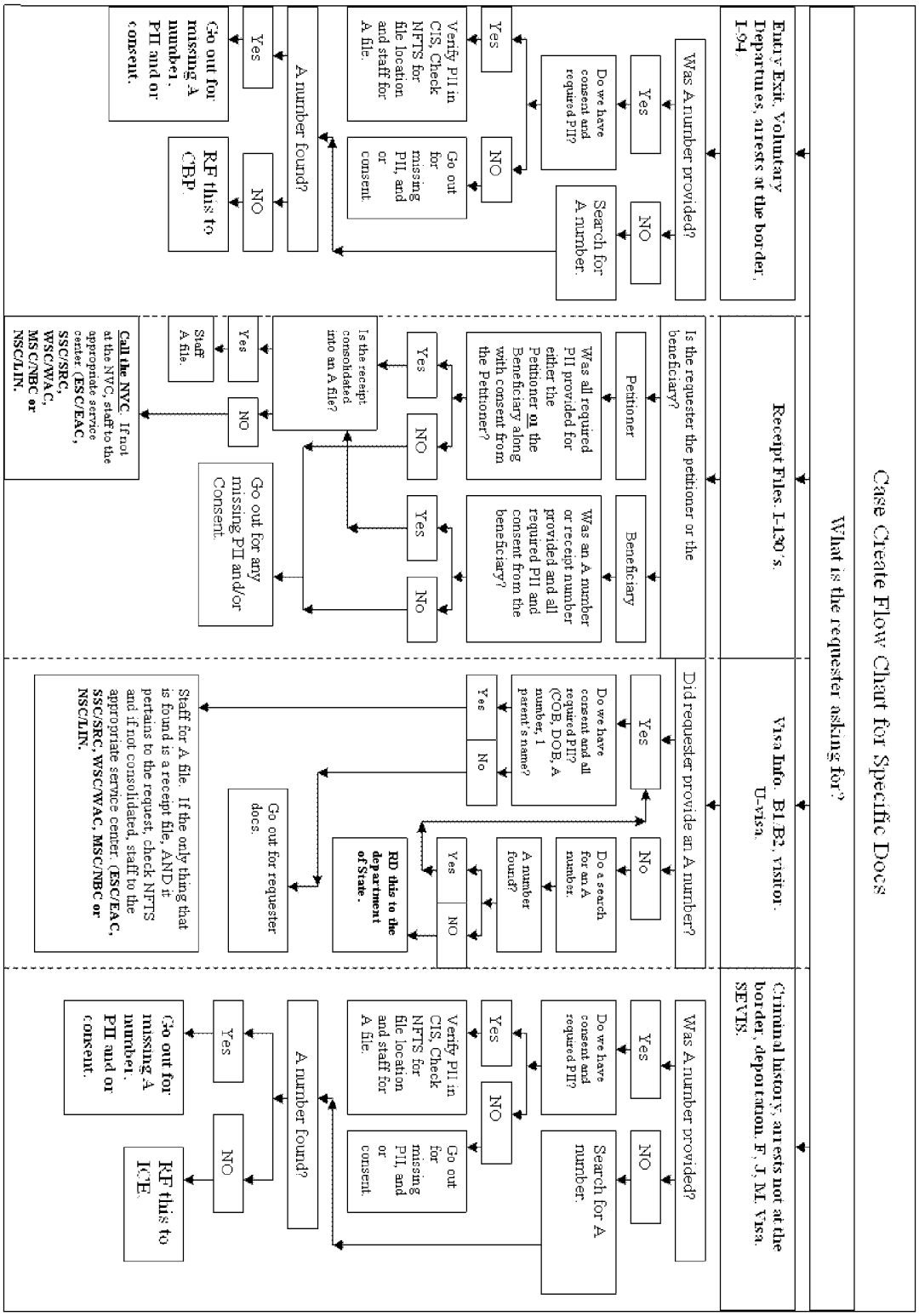

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APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-599-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 090-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-326-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-326-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-528-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS *(not RAFACS/CIS)* staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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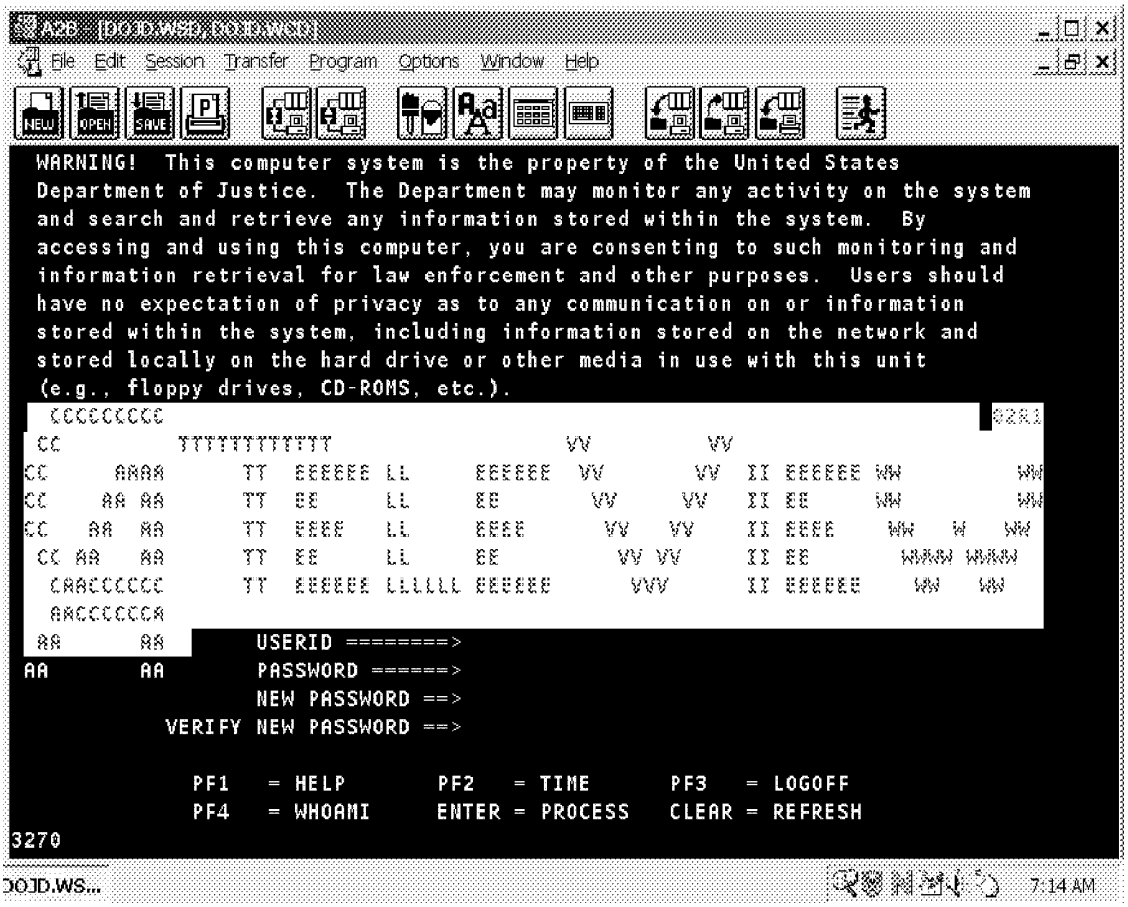
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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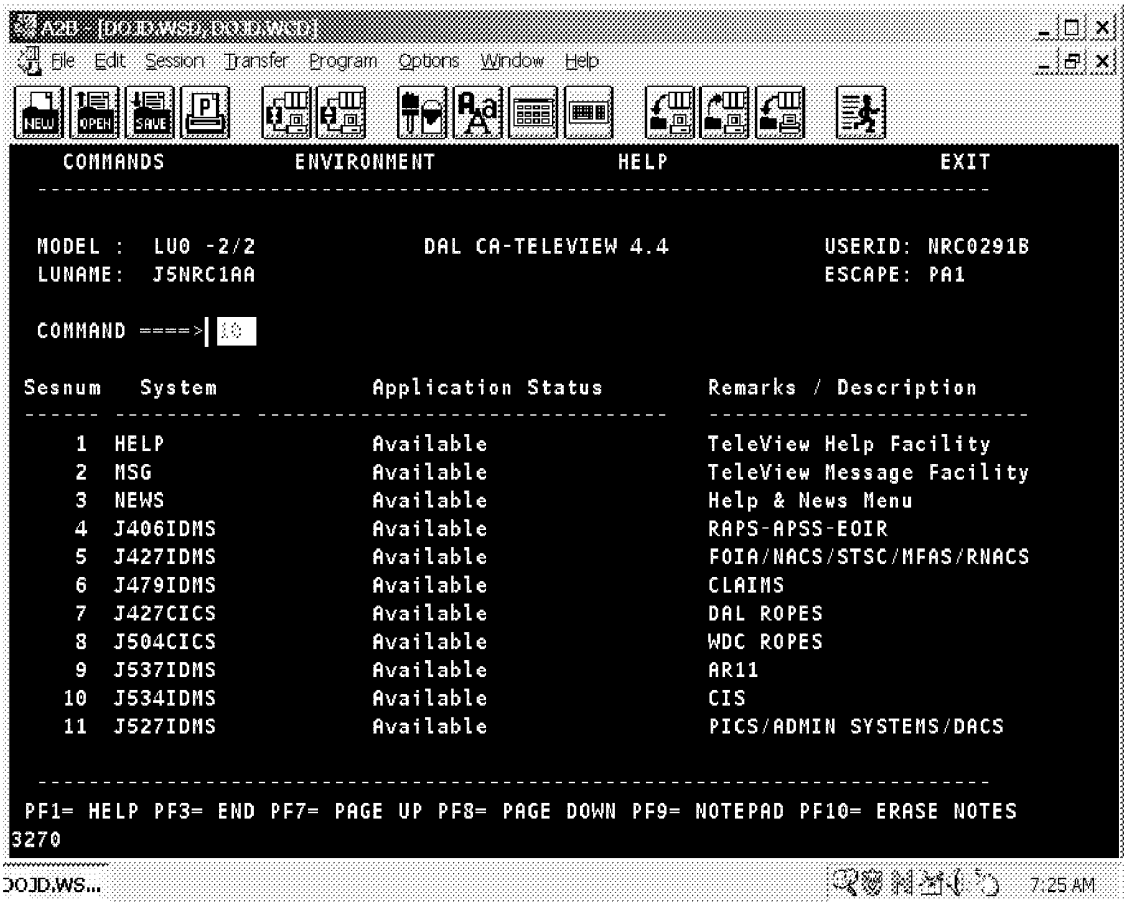
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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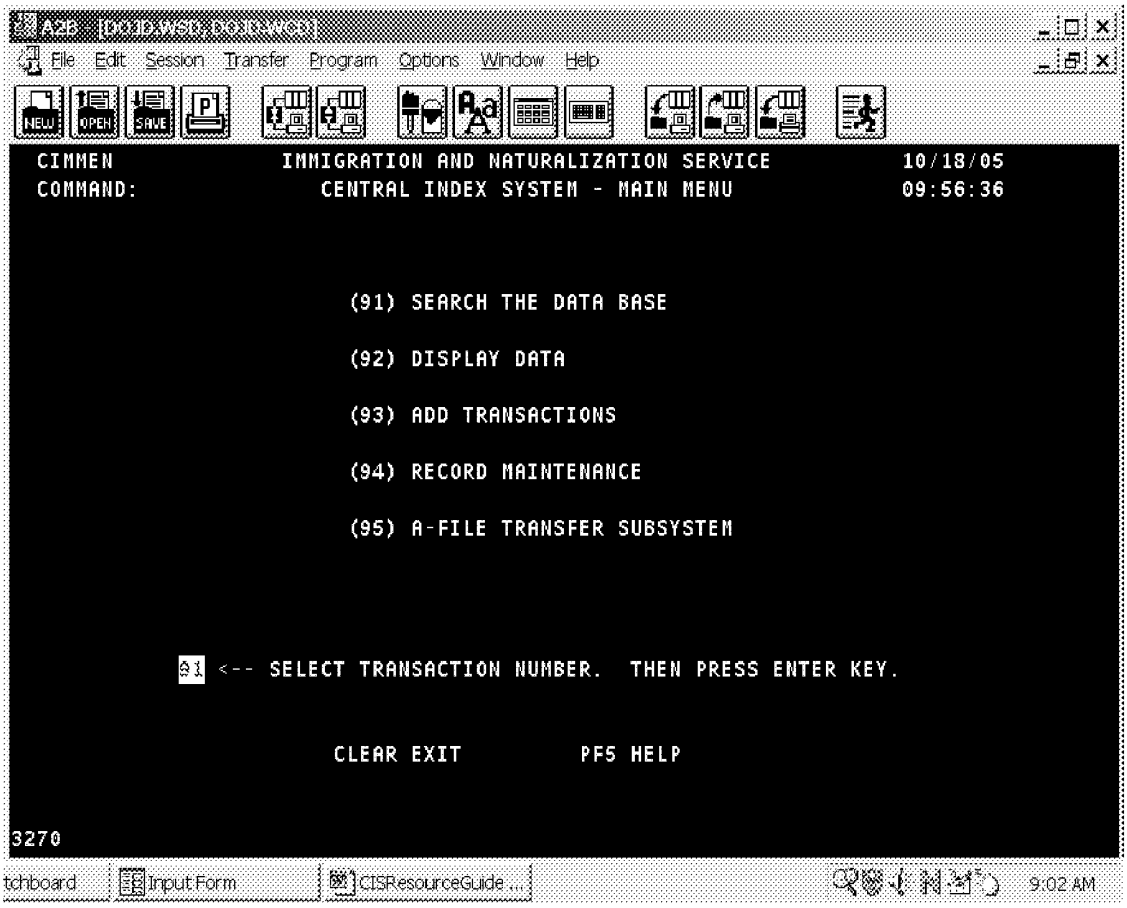
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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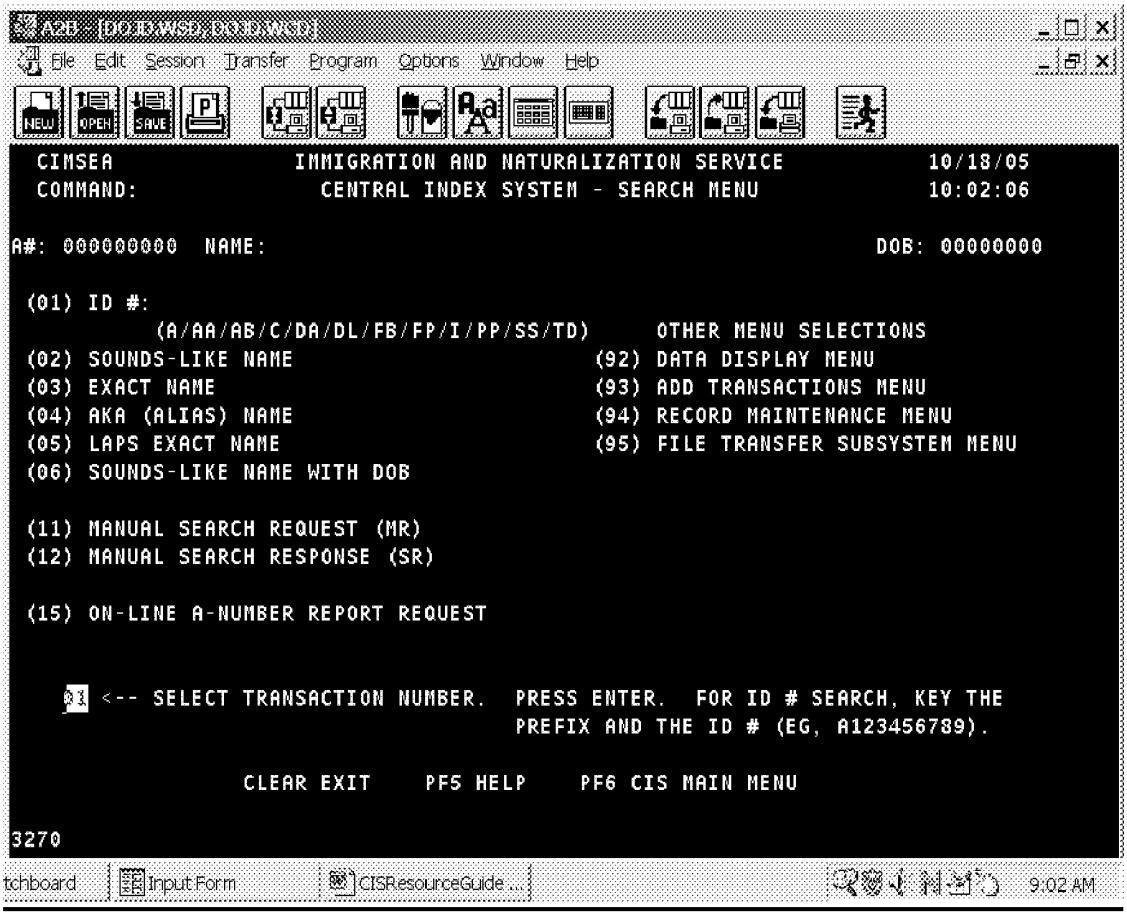
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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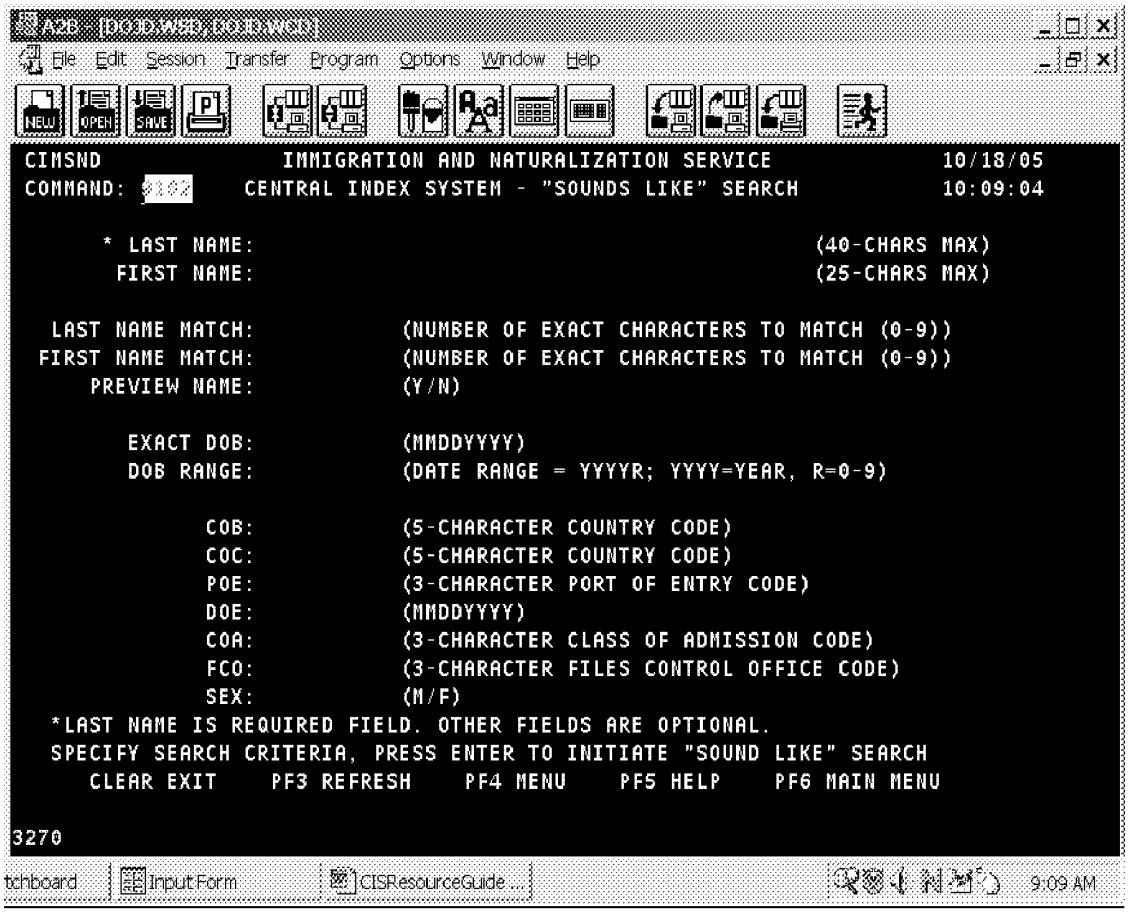

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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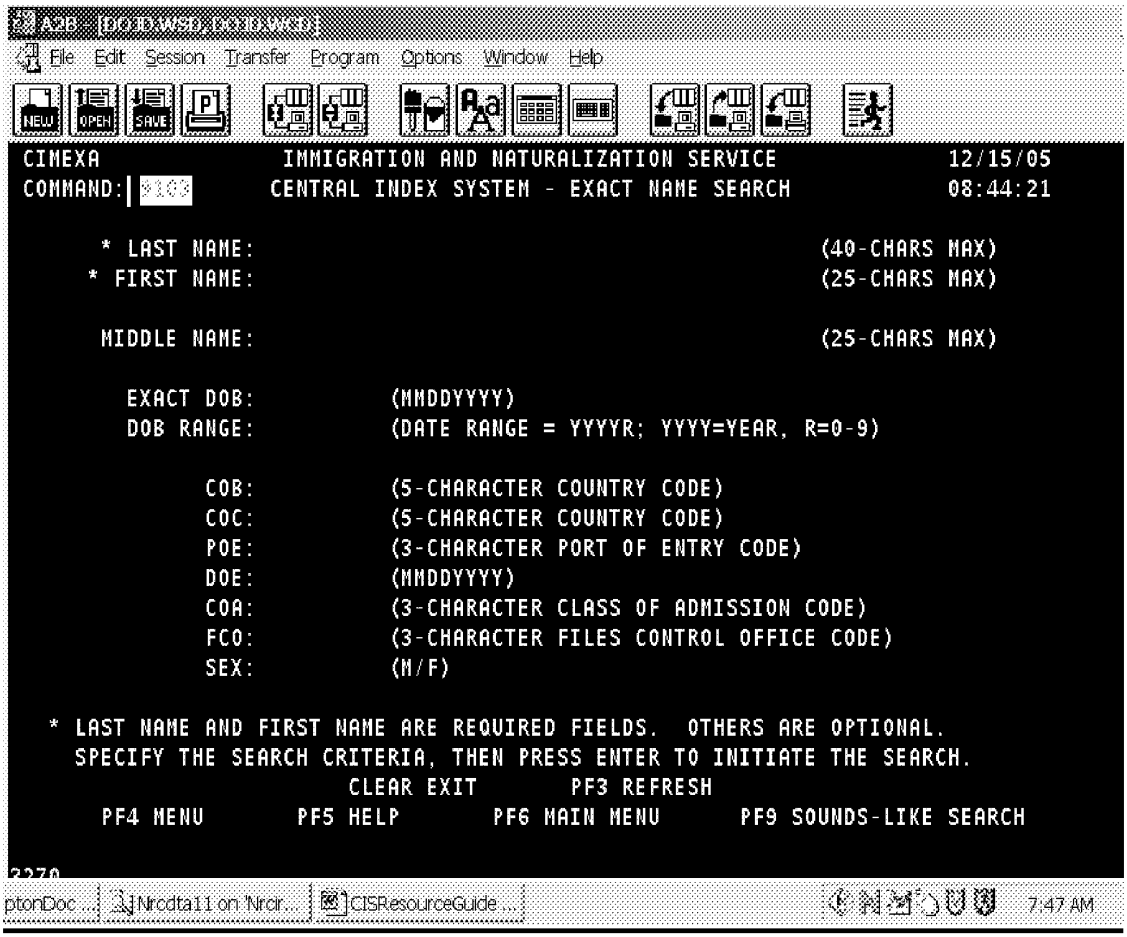
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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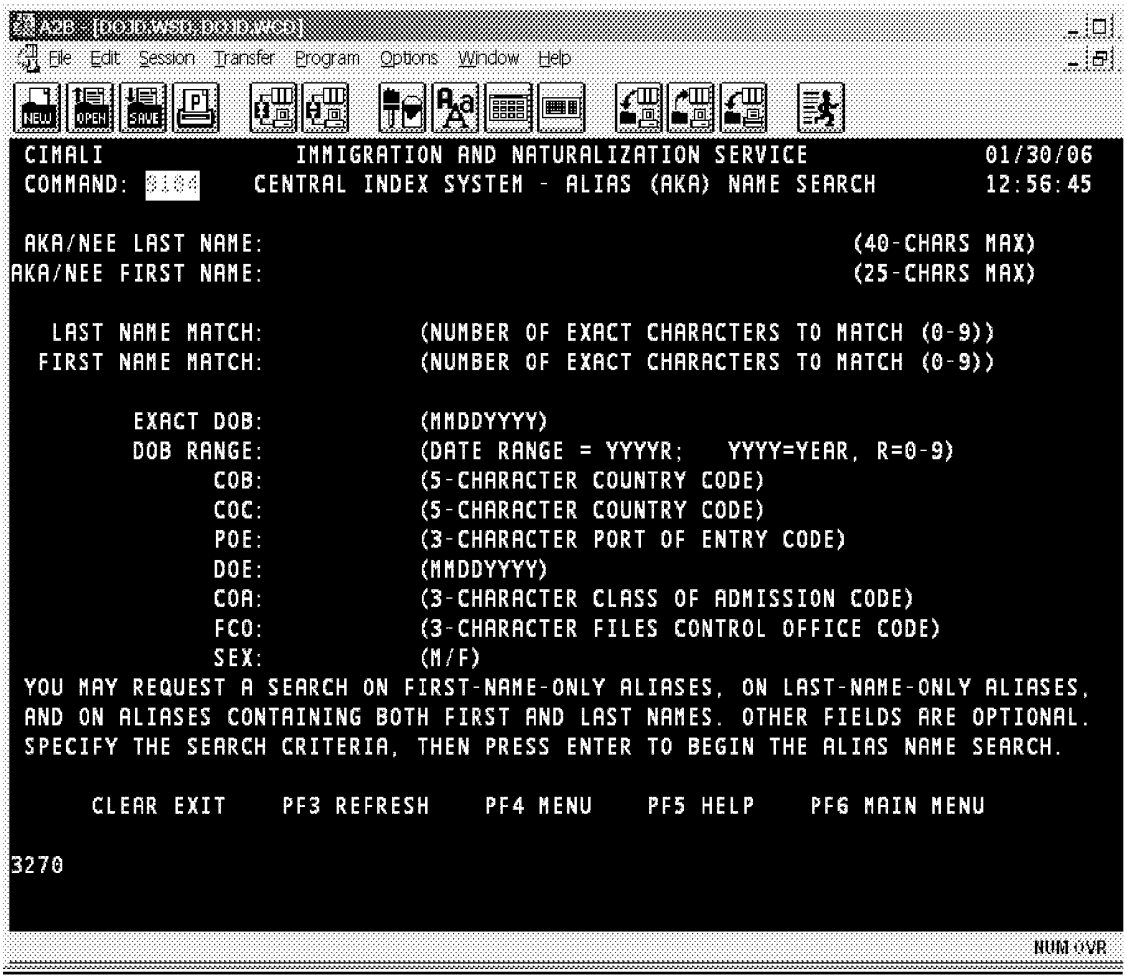
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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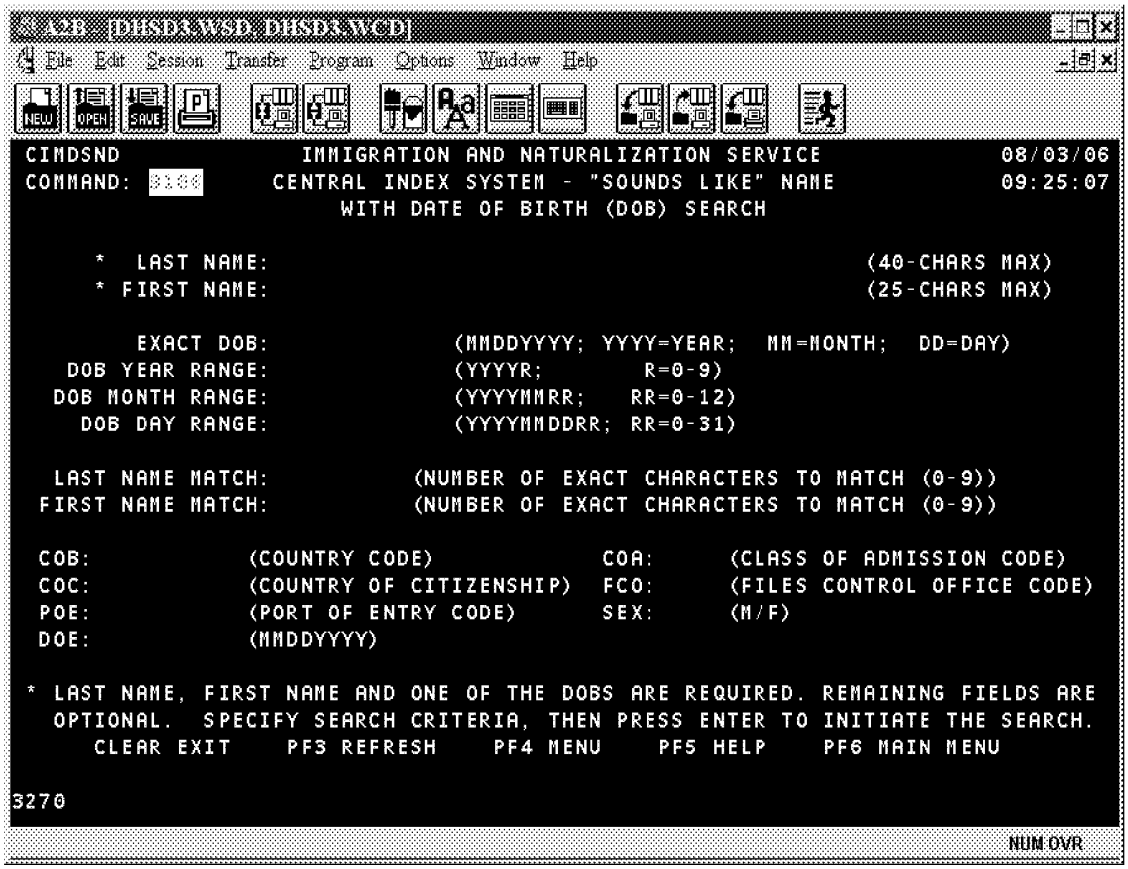
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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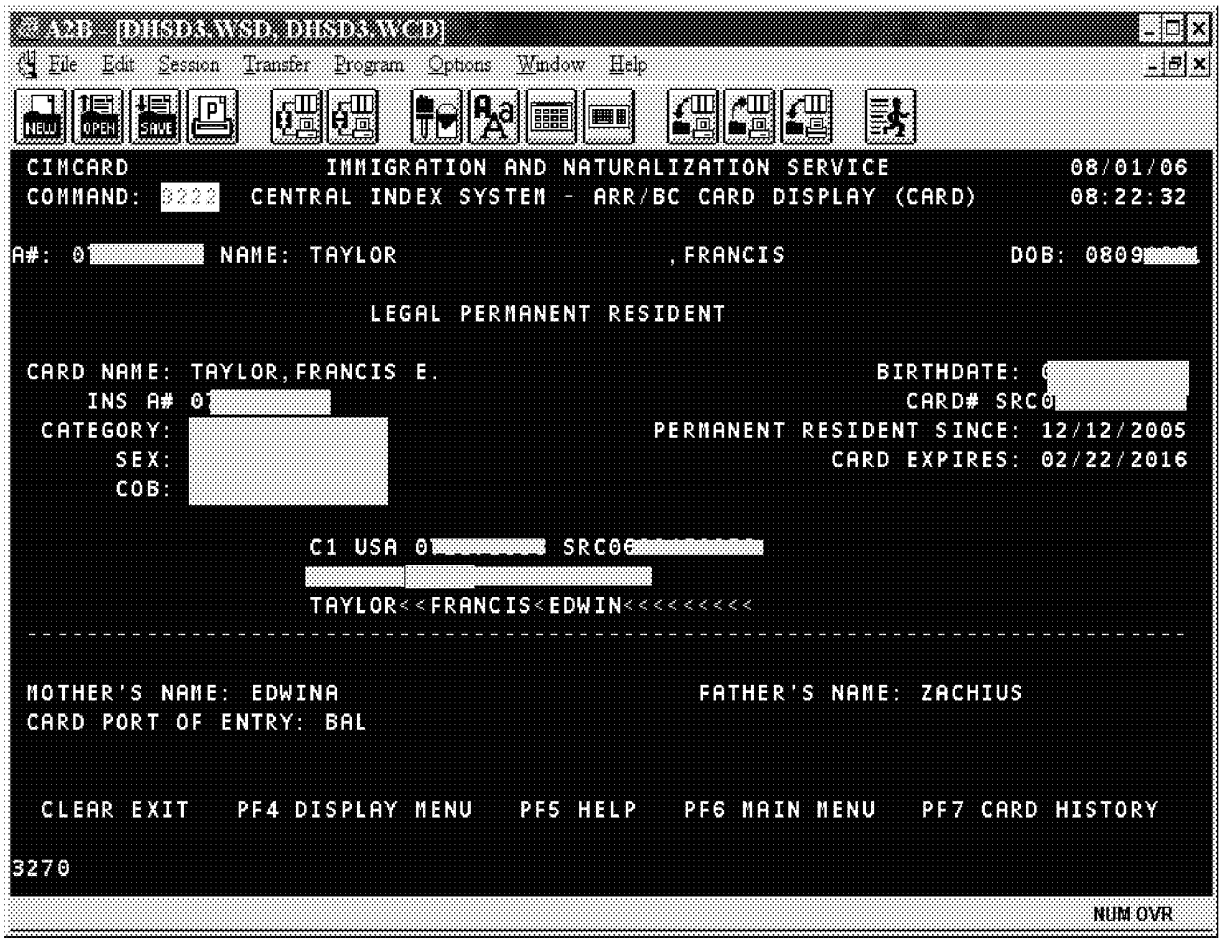
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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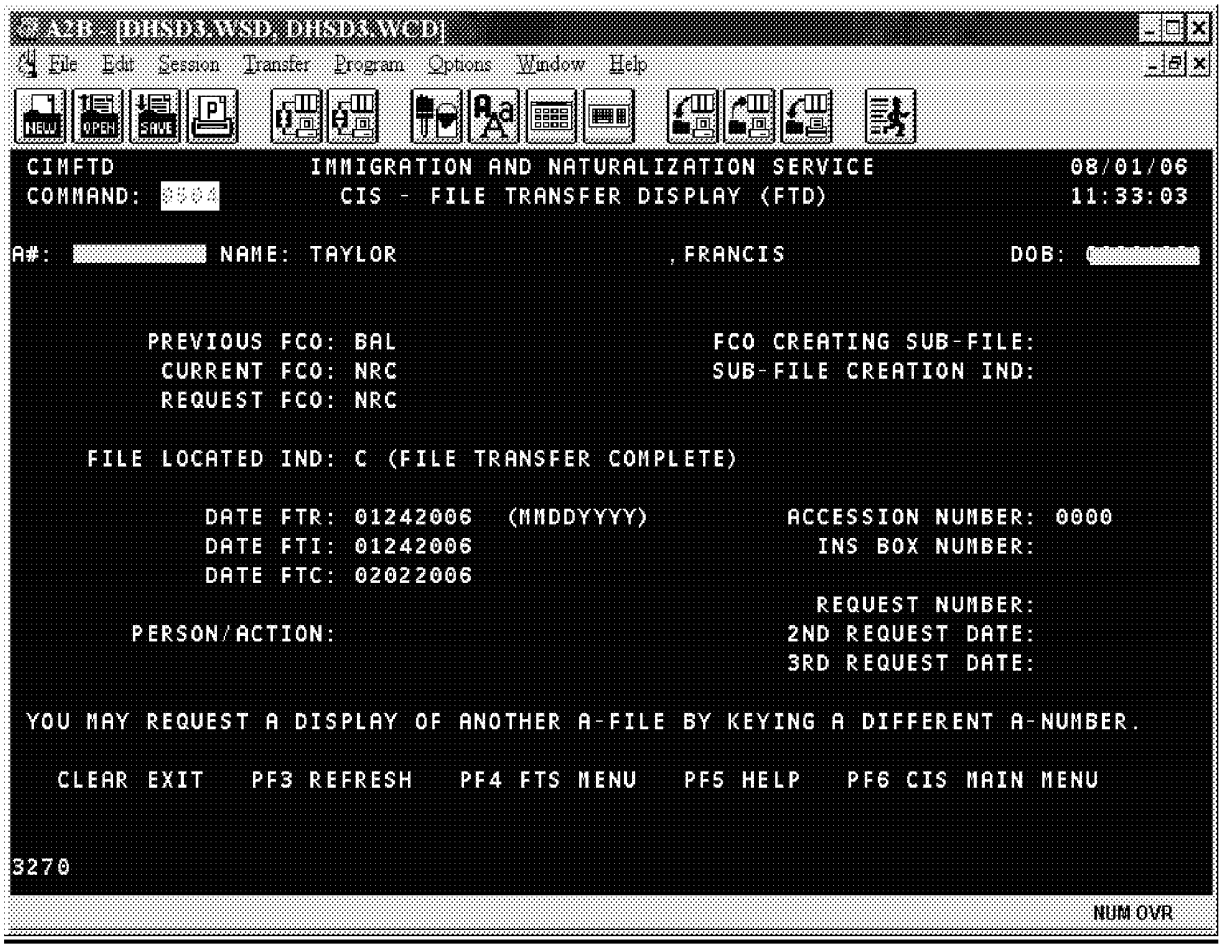
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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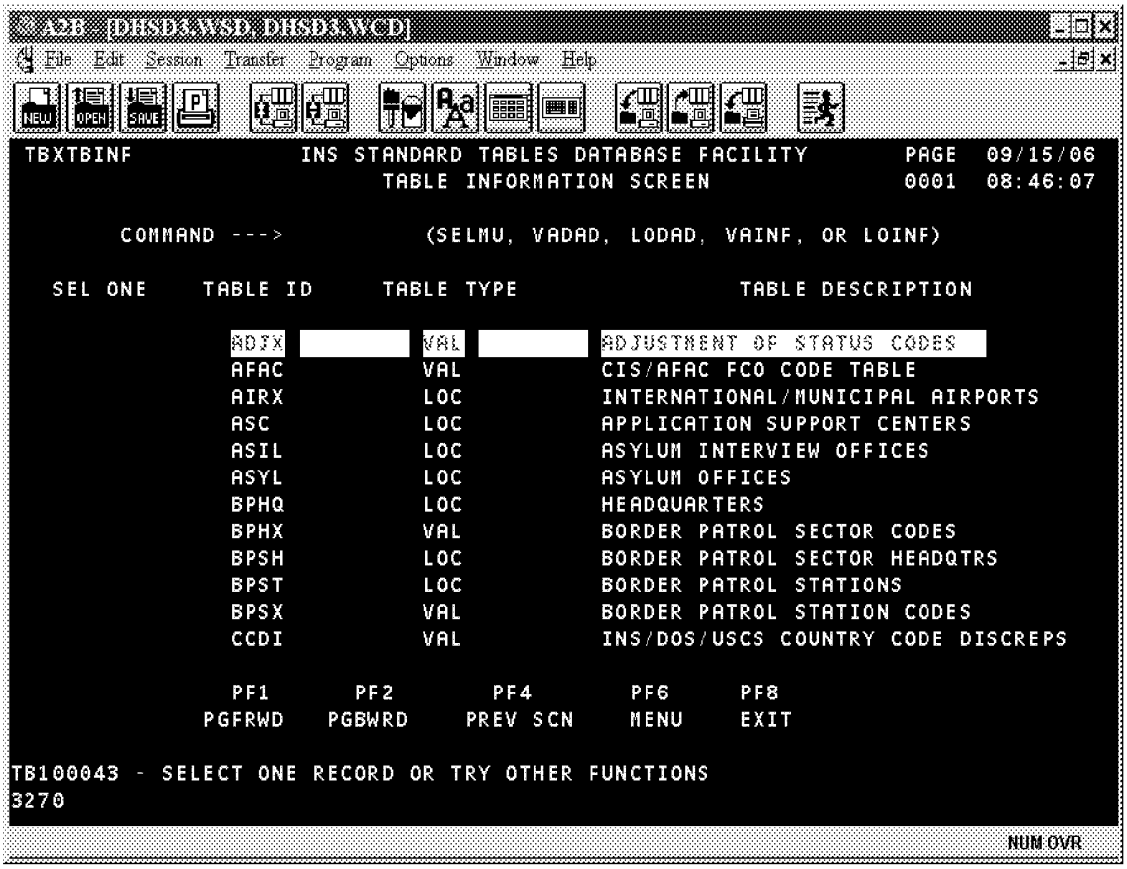
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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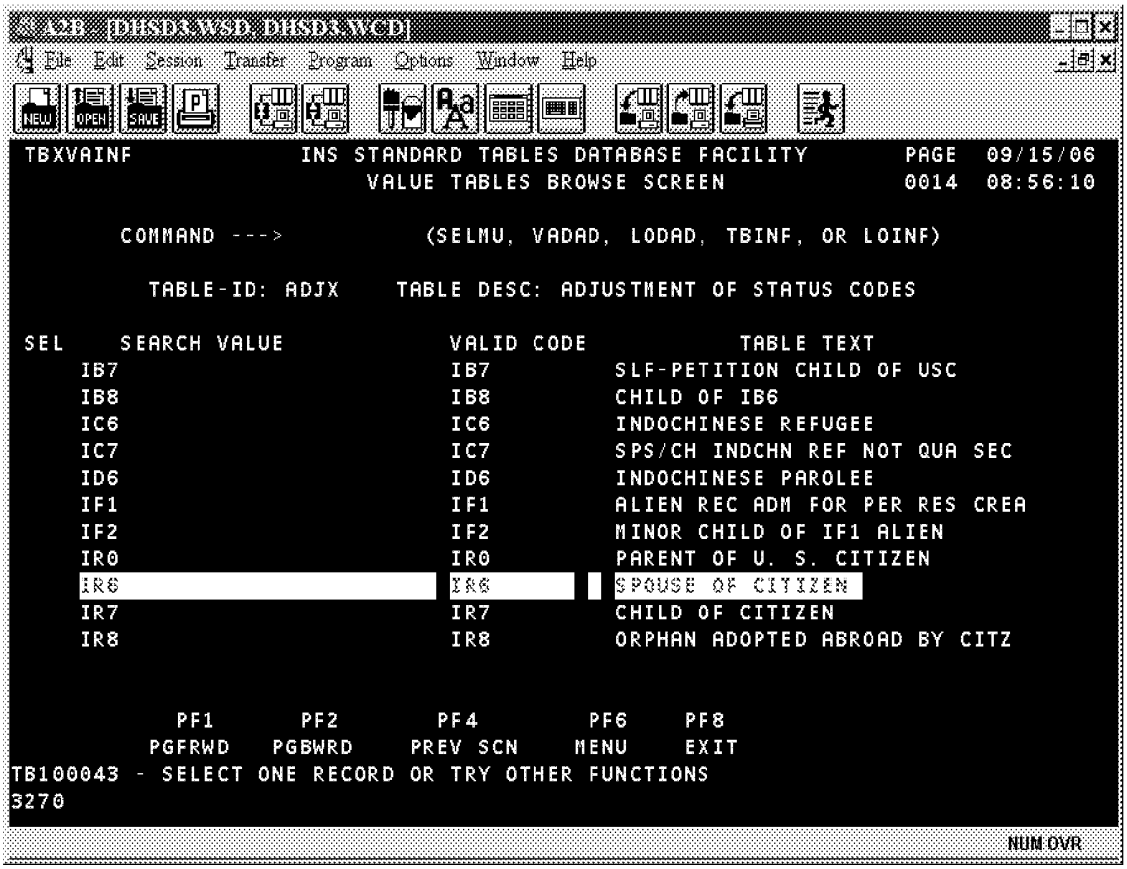
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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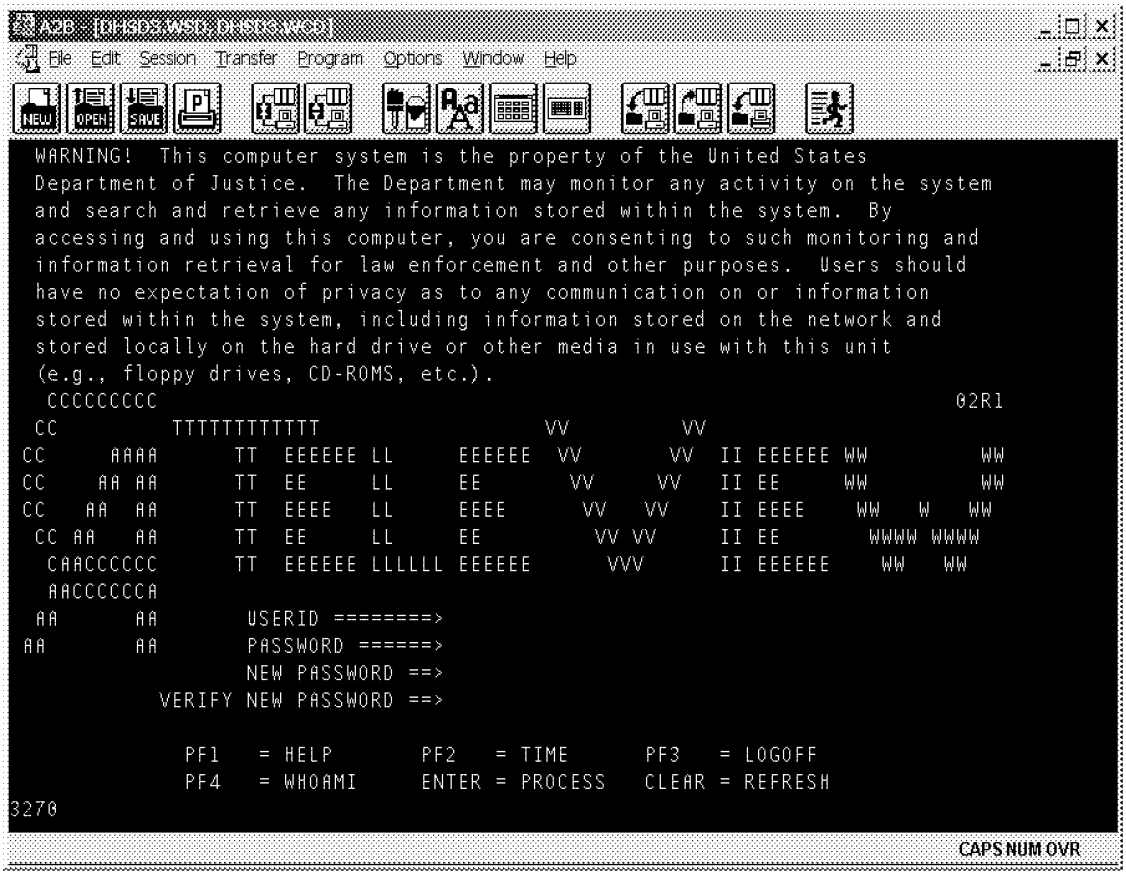
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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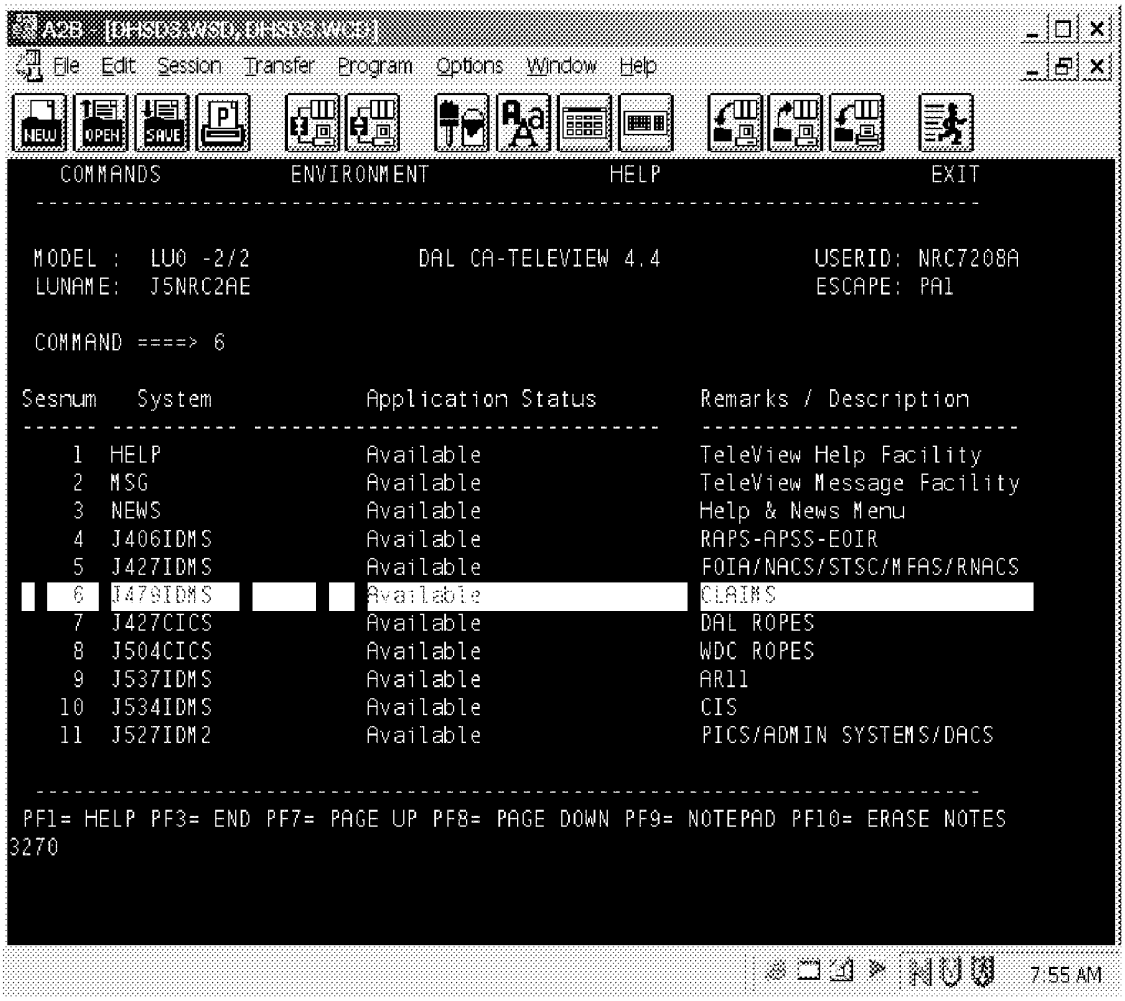
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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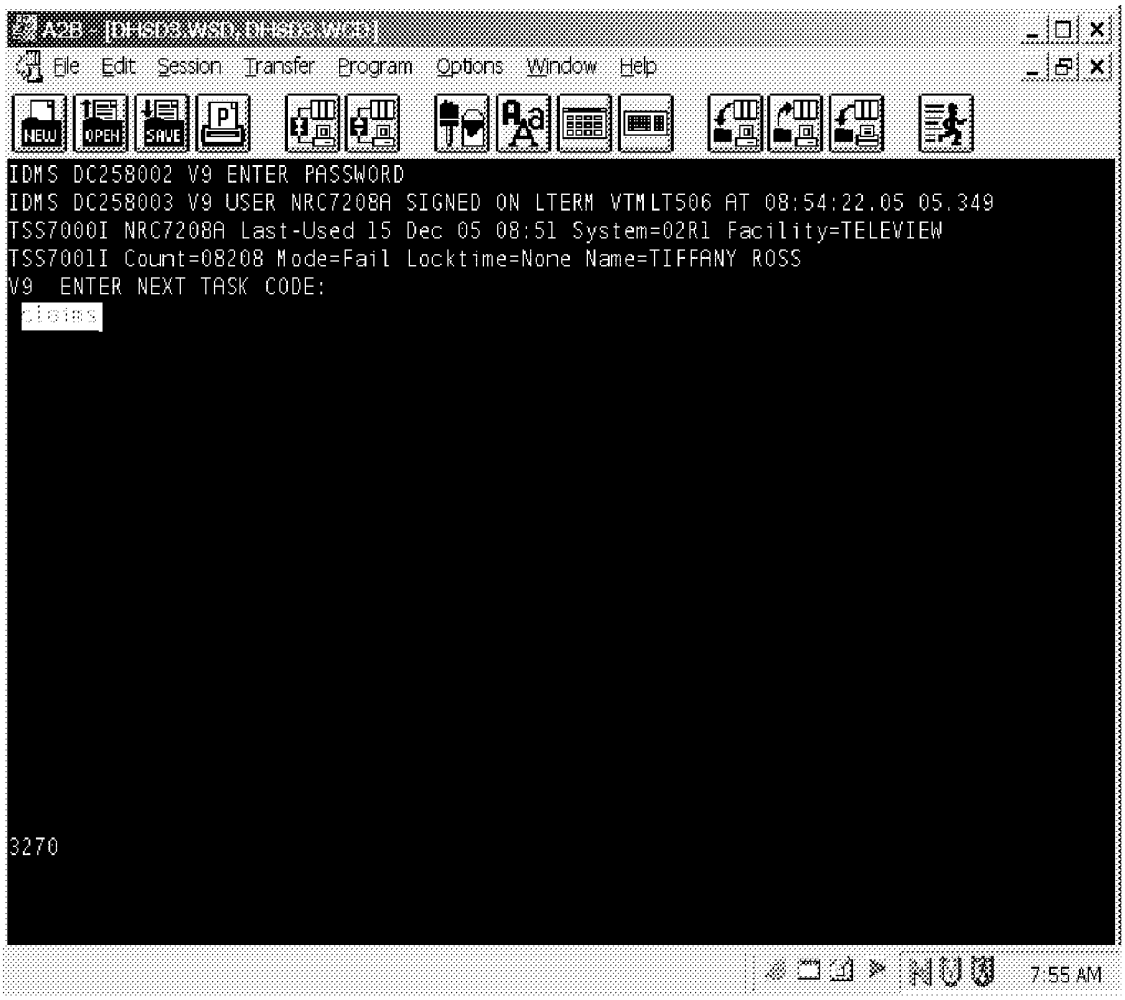
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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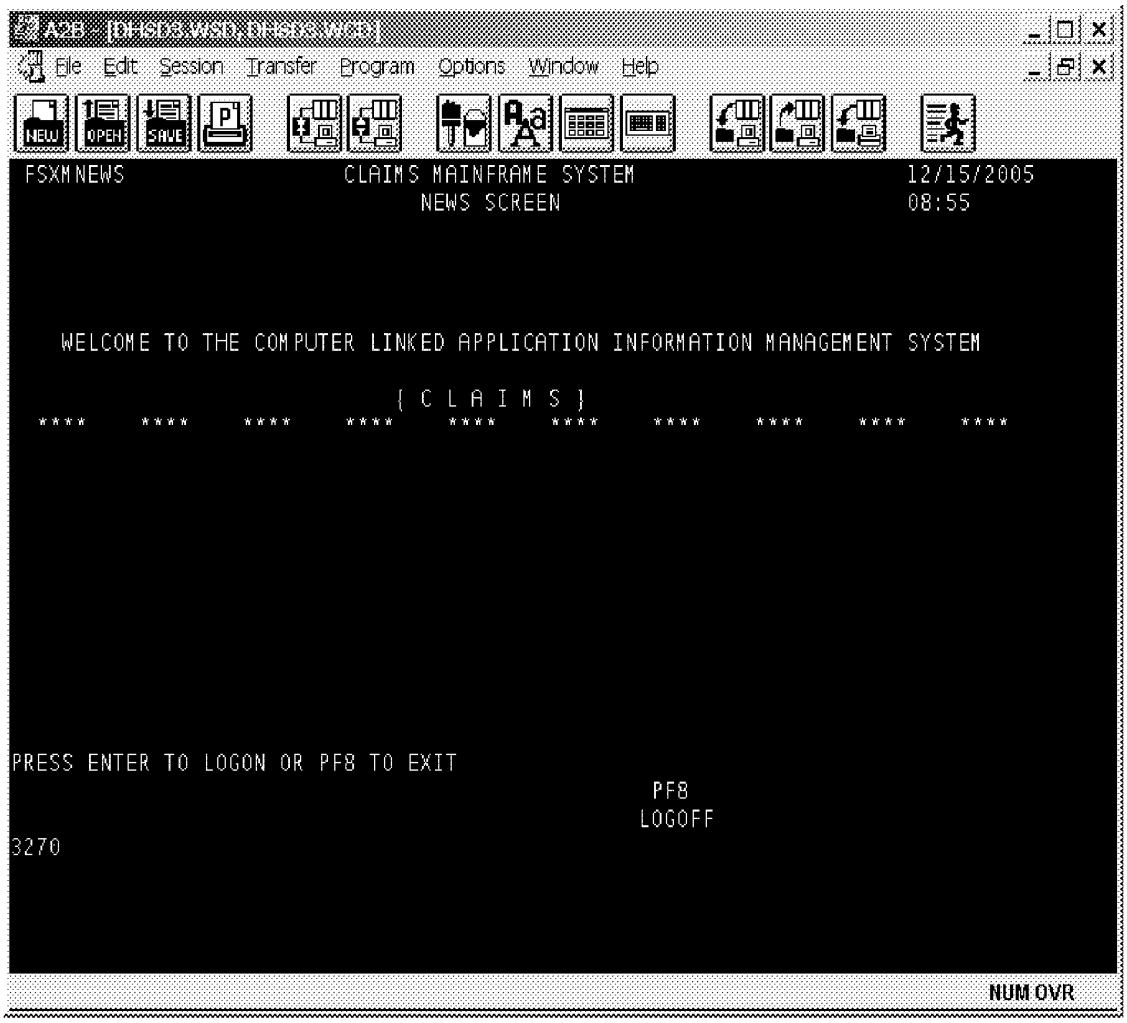
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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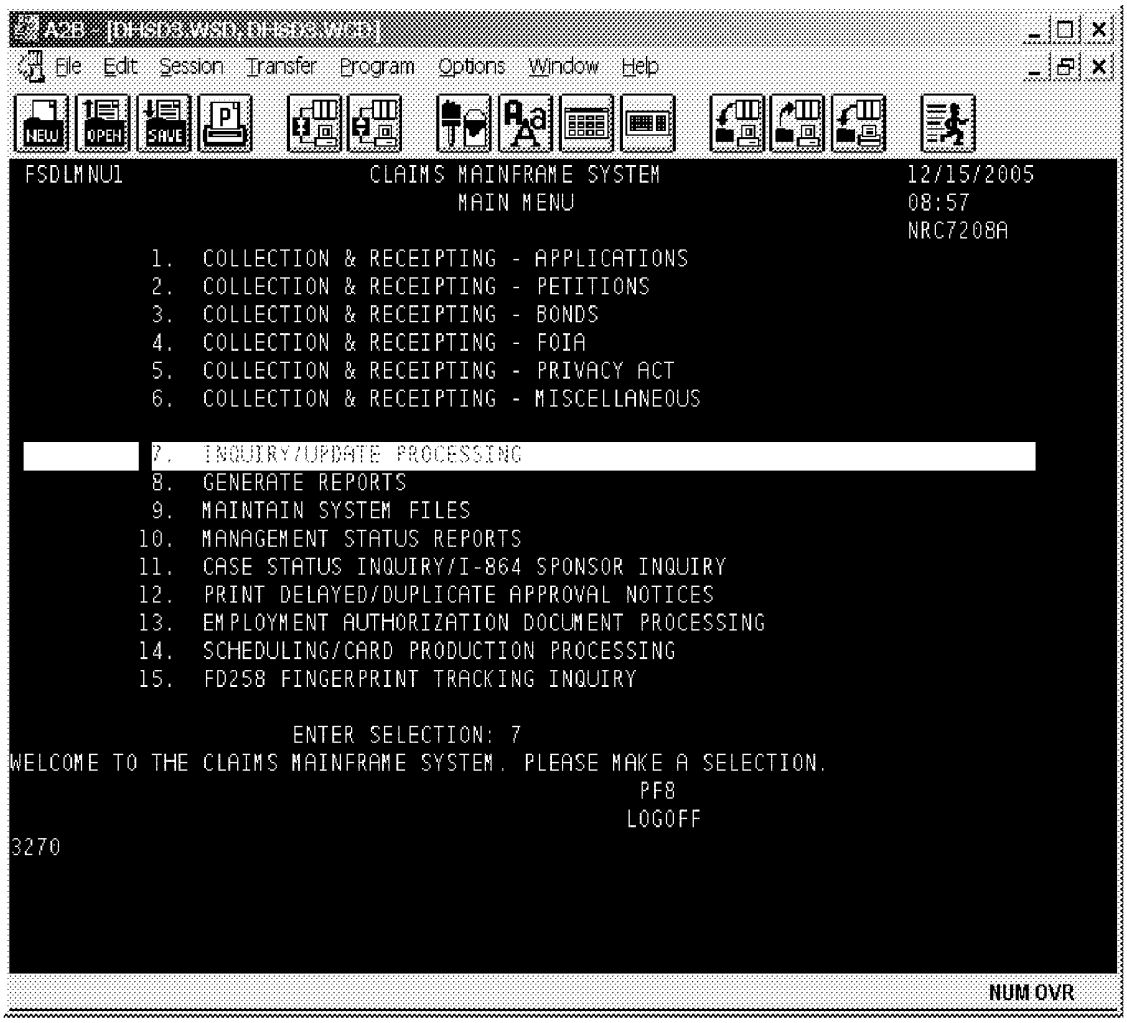
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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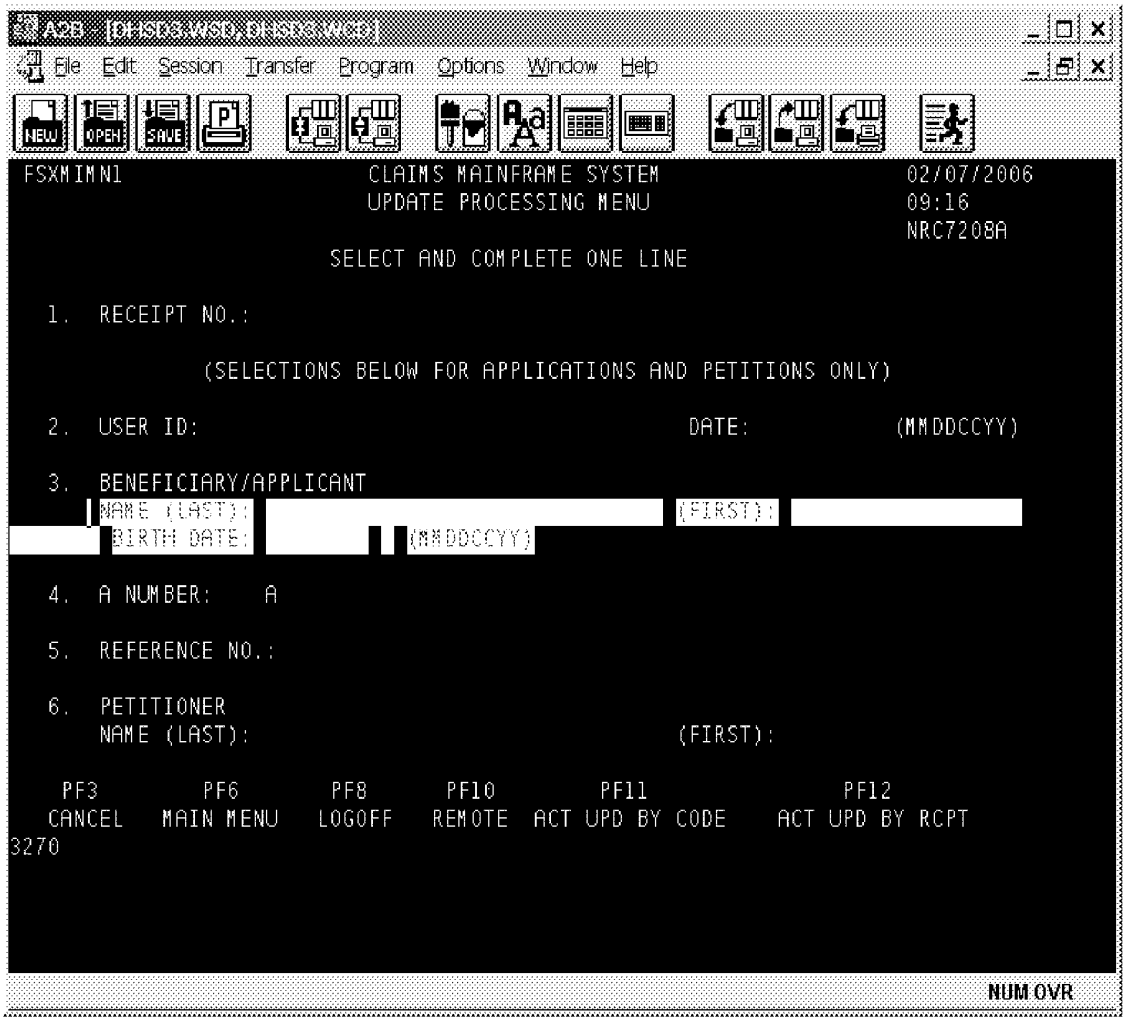
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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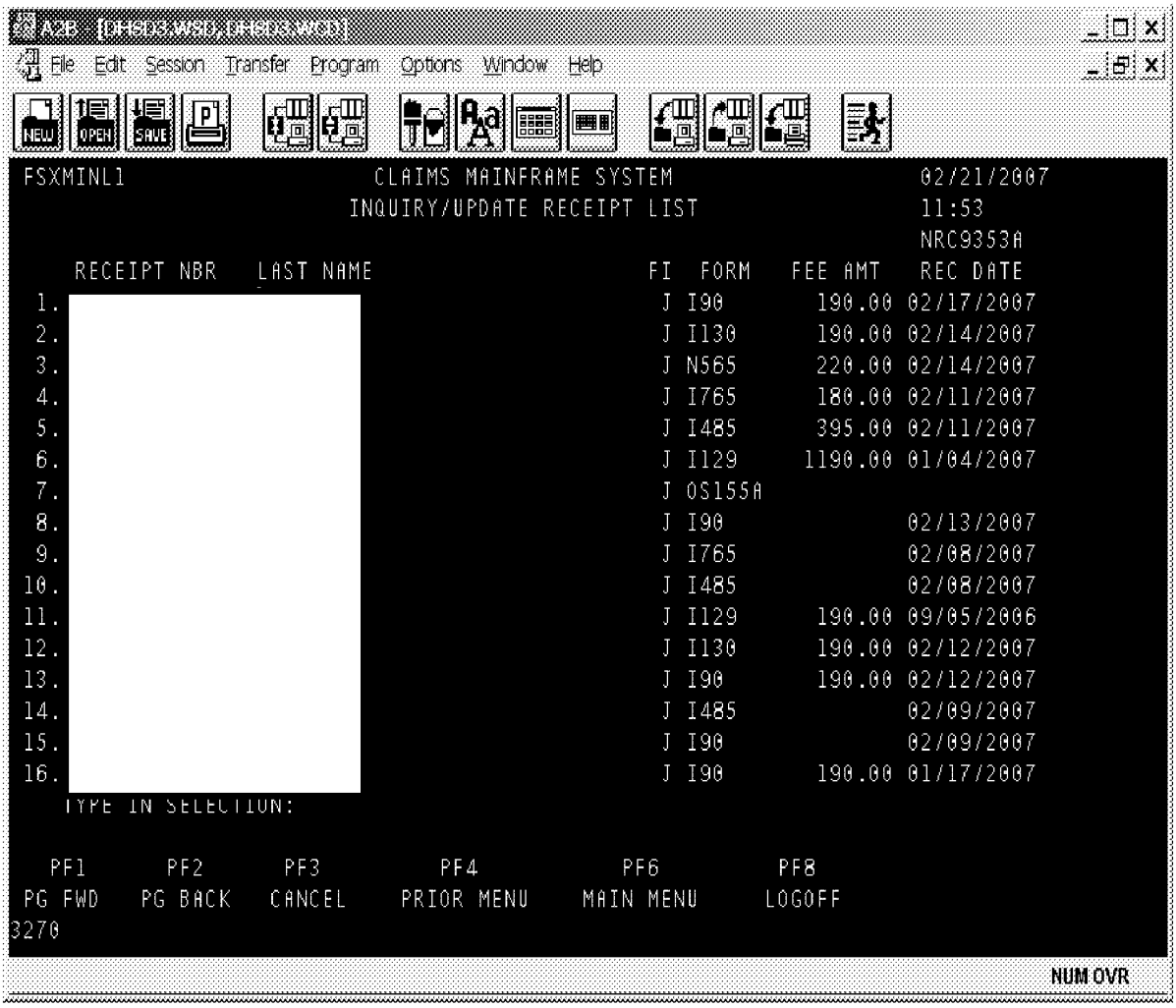
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number [redacted] will be displayed.

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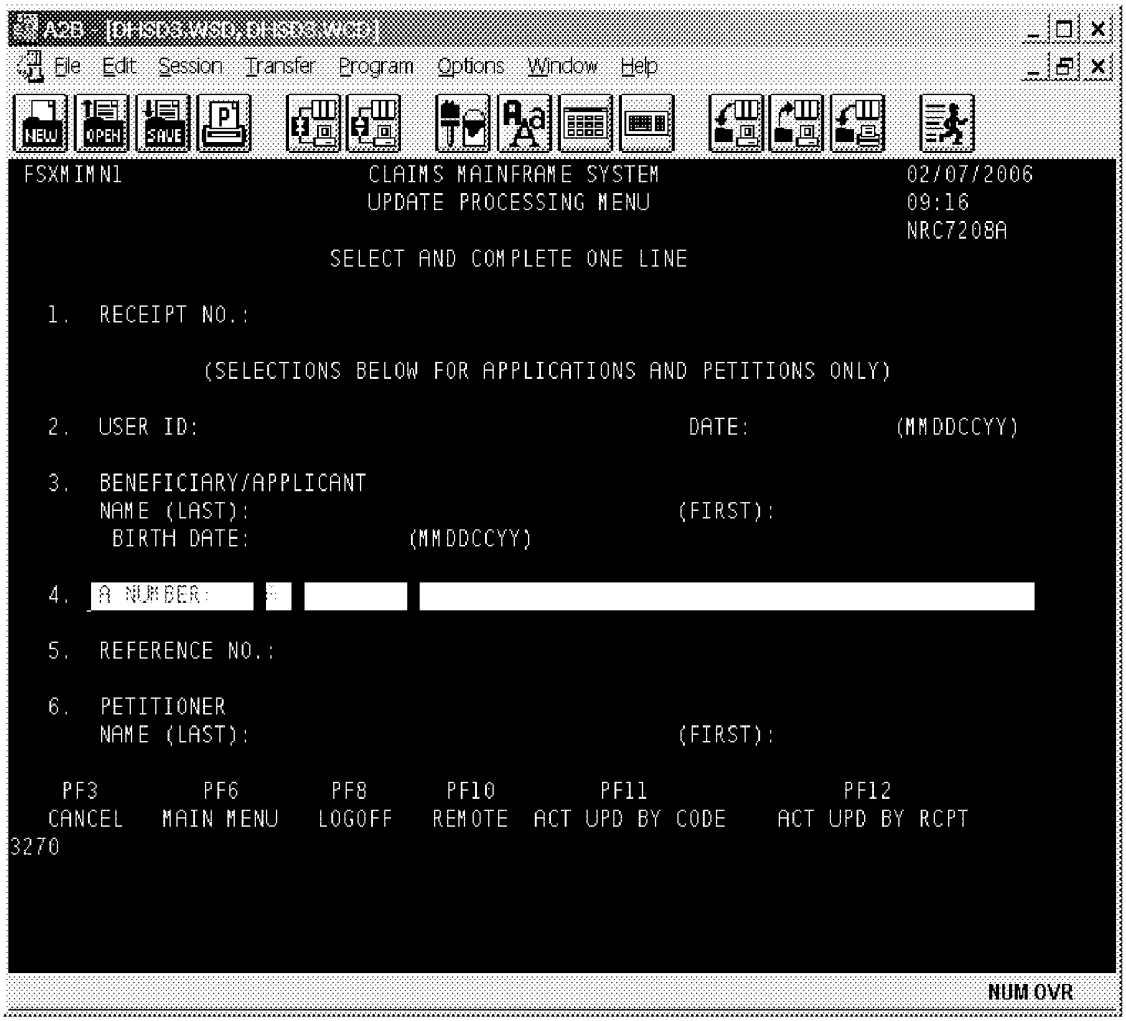
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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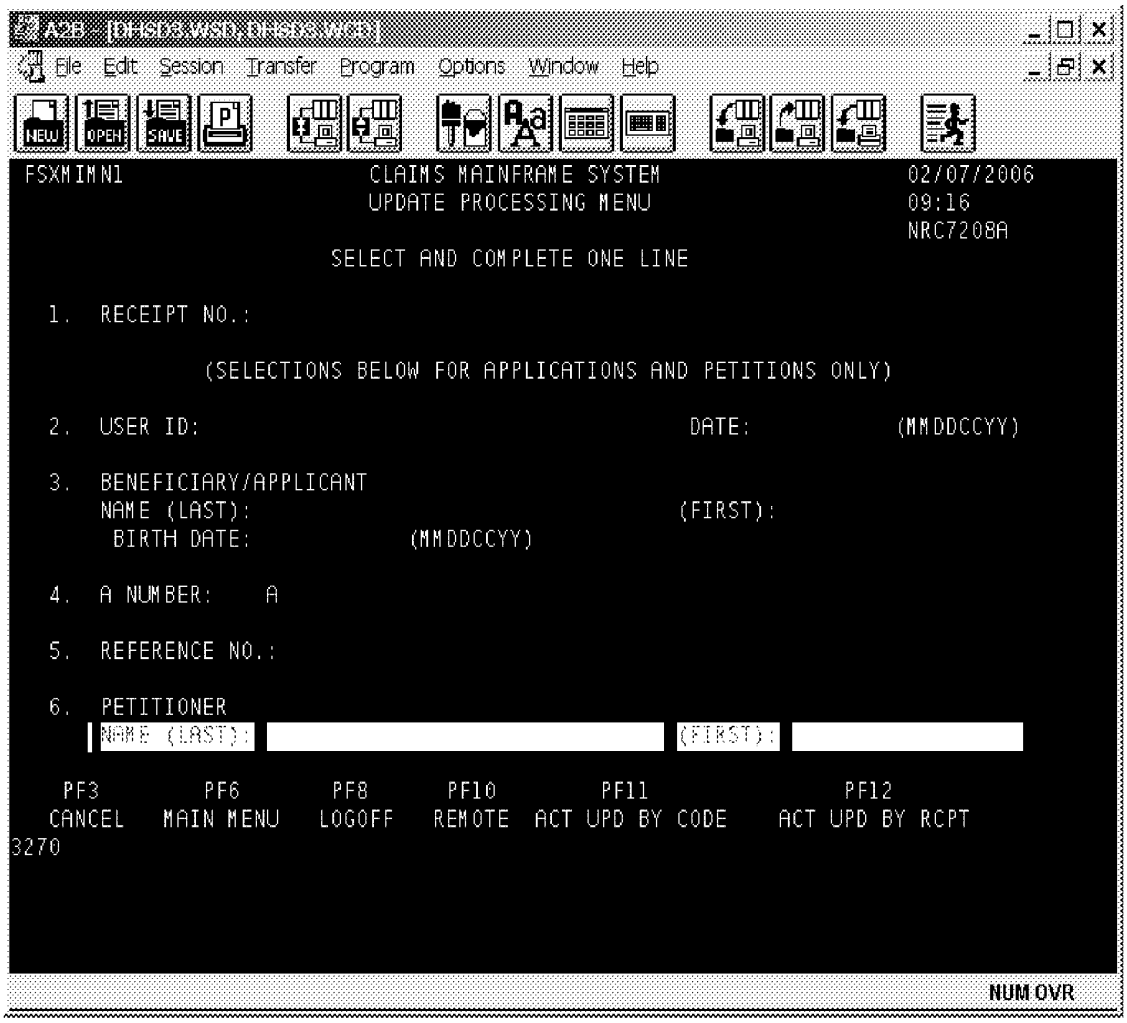
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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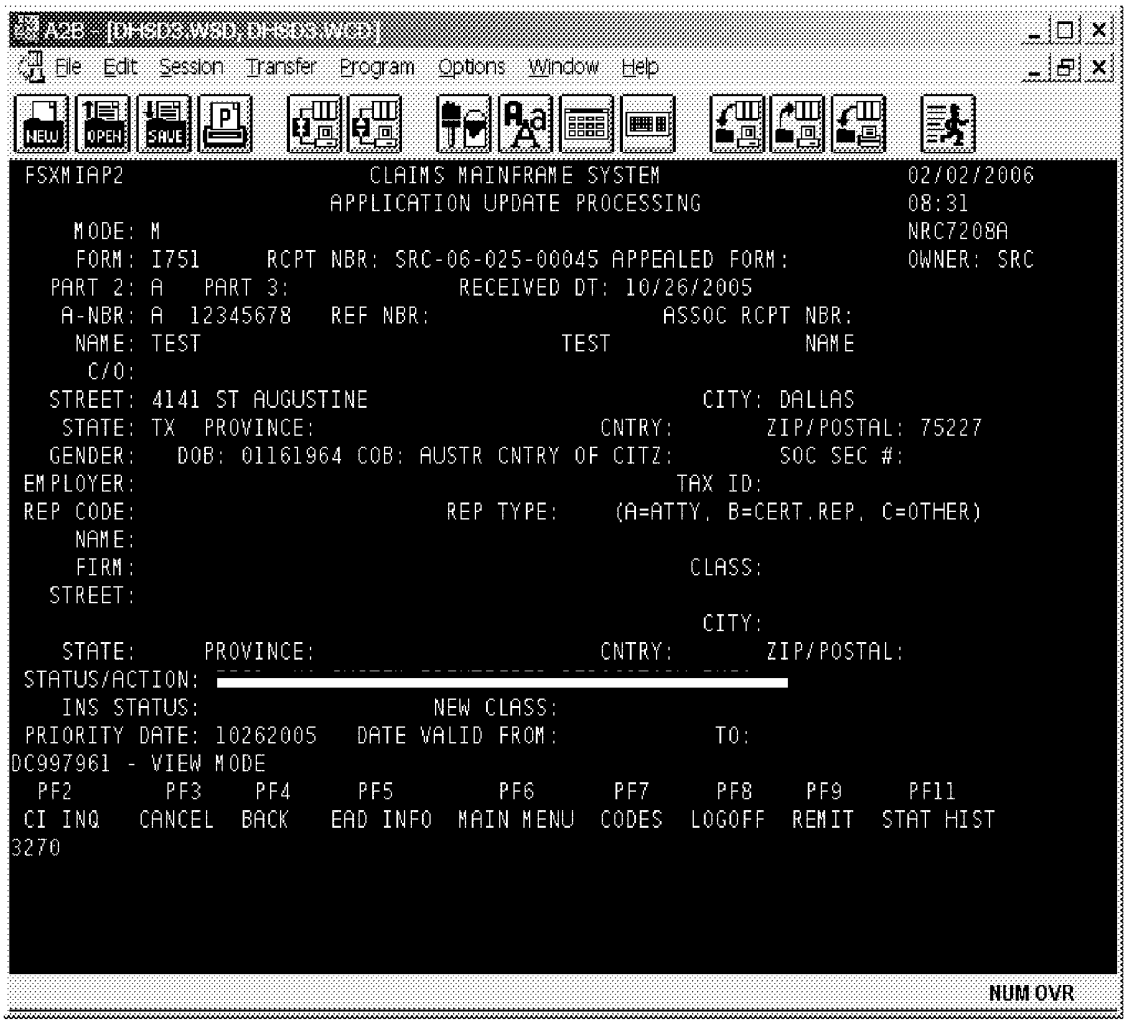
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.

(b)(7)(e)



The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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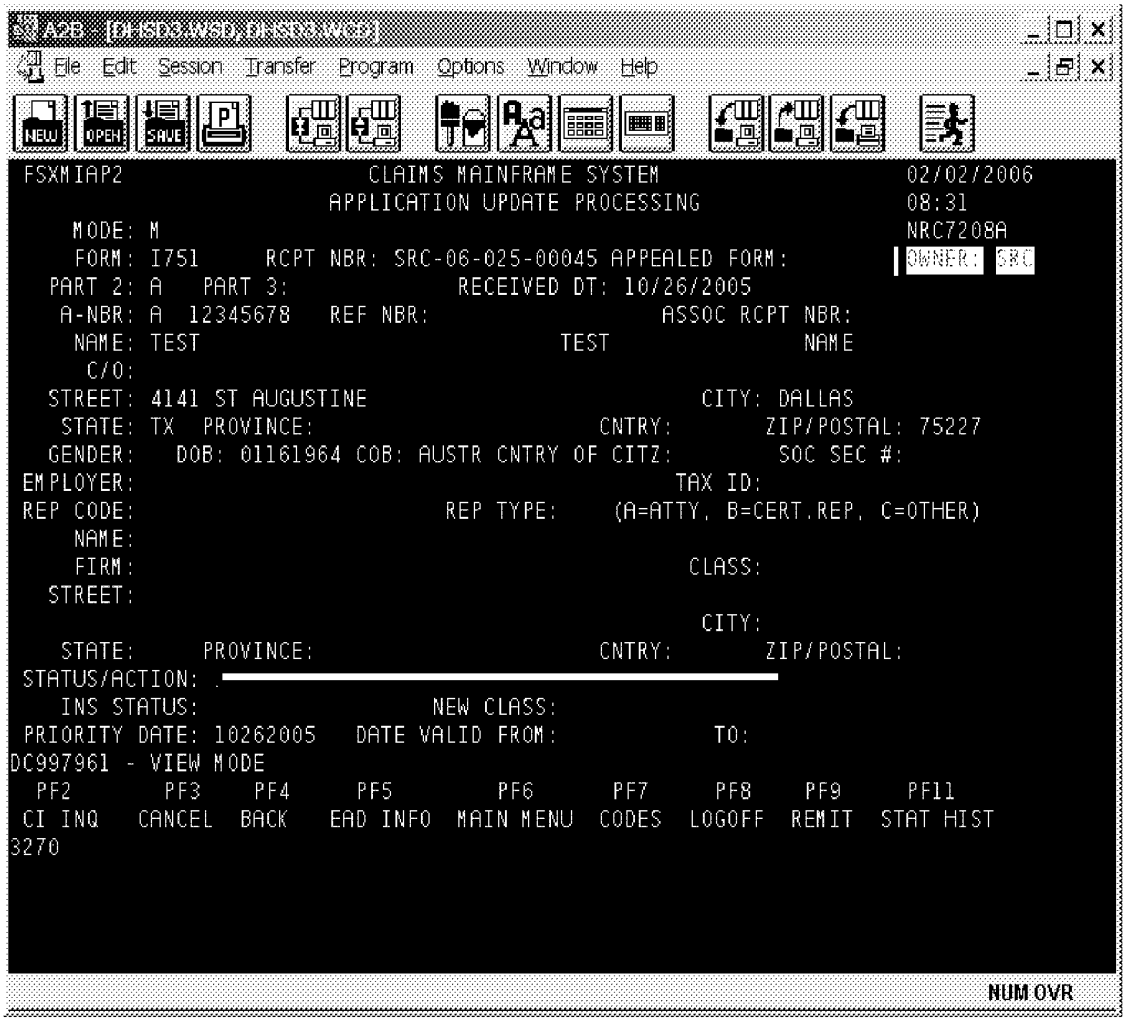

(b)(7)(e)

The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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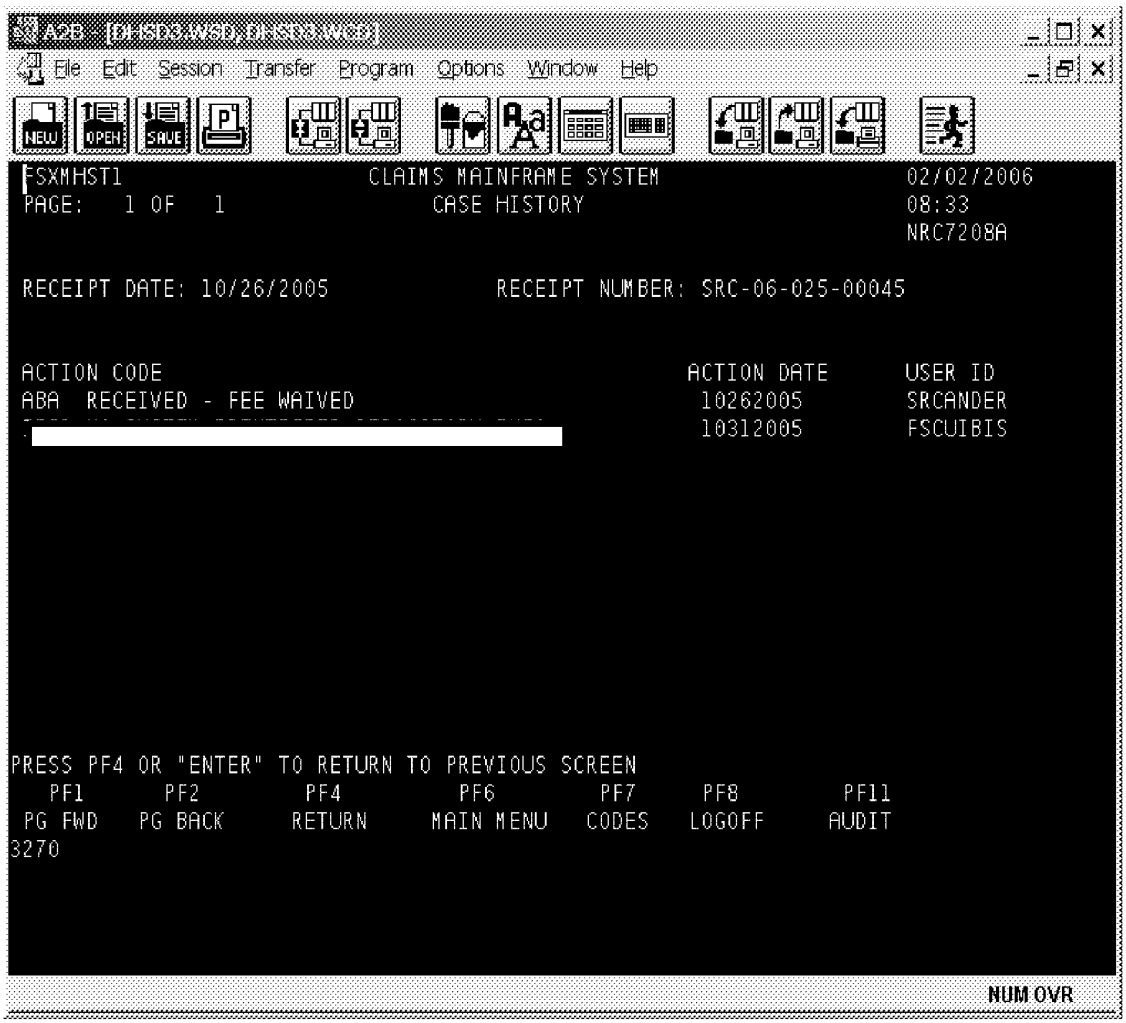
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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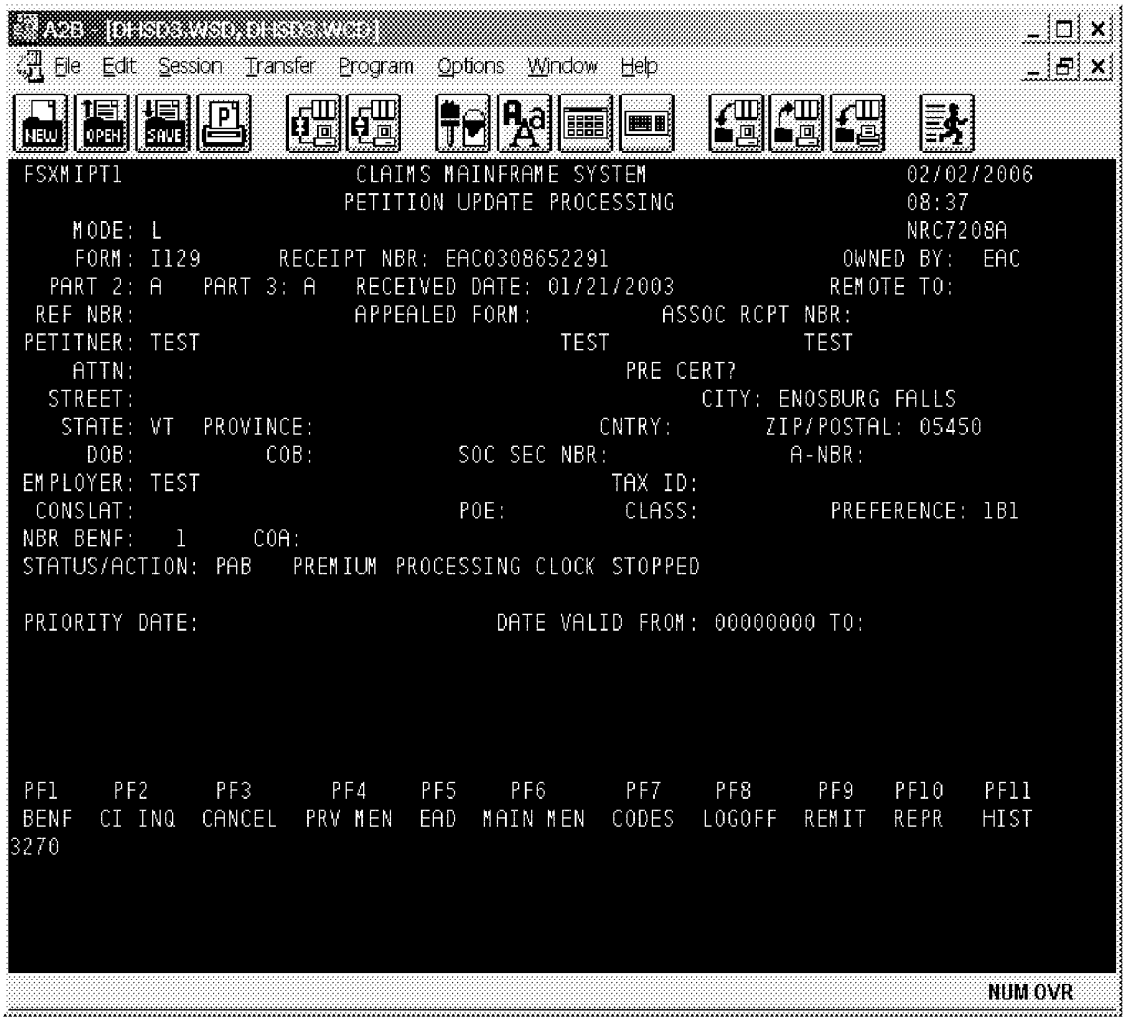
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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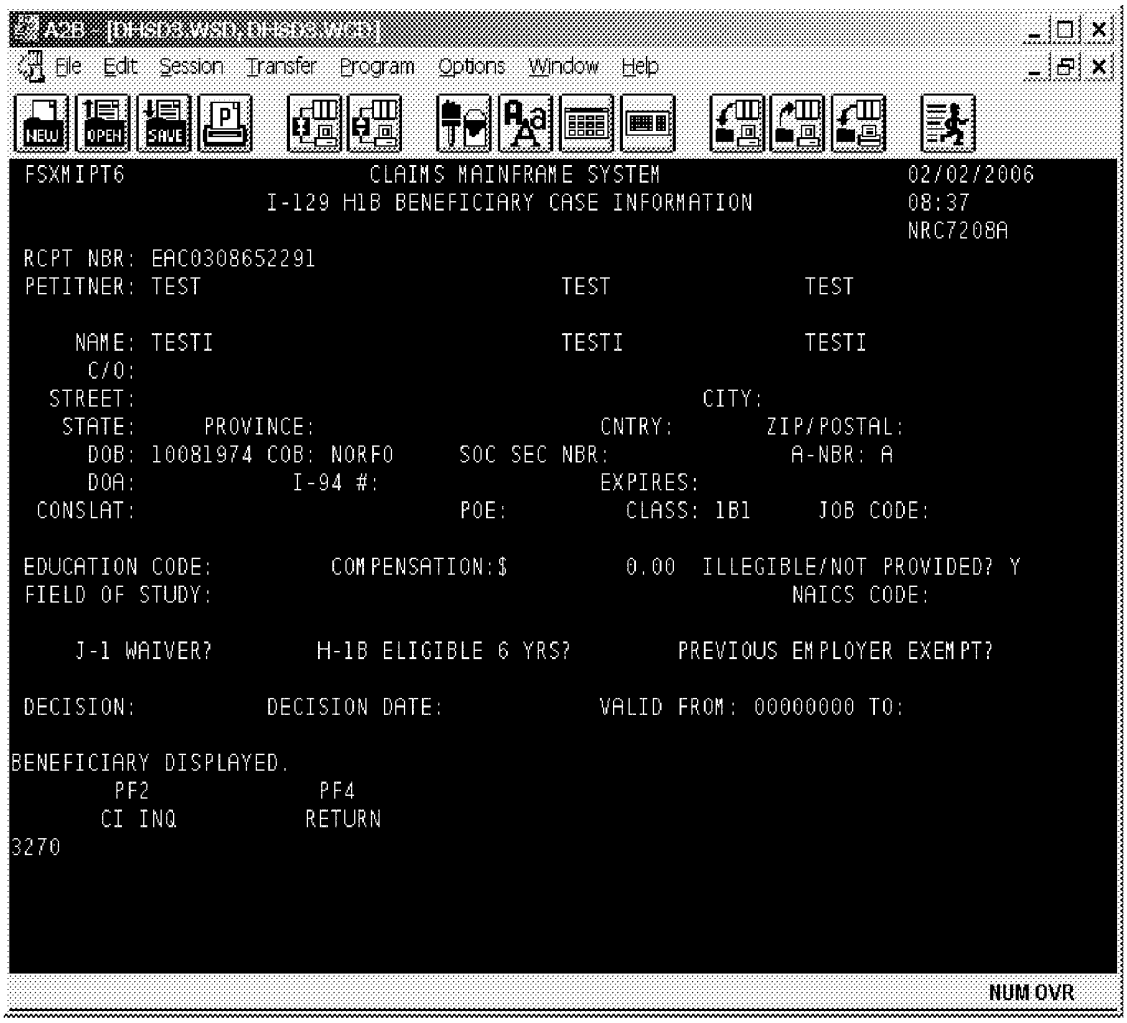
To see the beneficiary information press F1.



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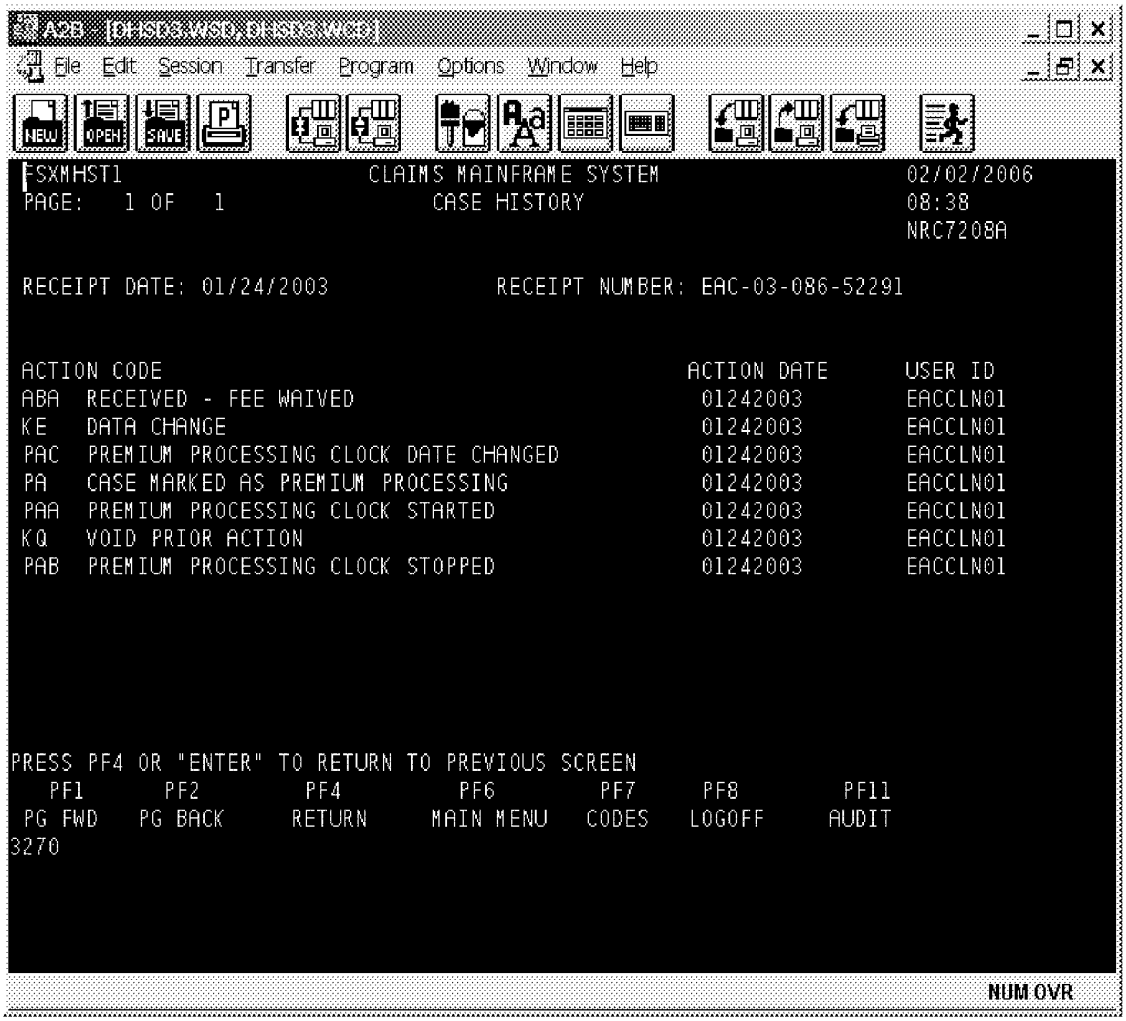
To view the history, press the F4 key to return to the previous screen, and enter F11.



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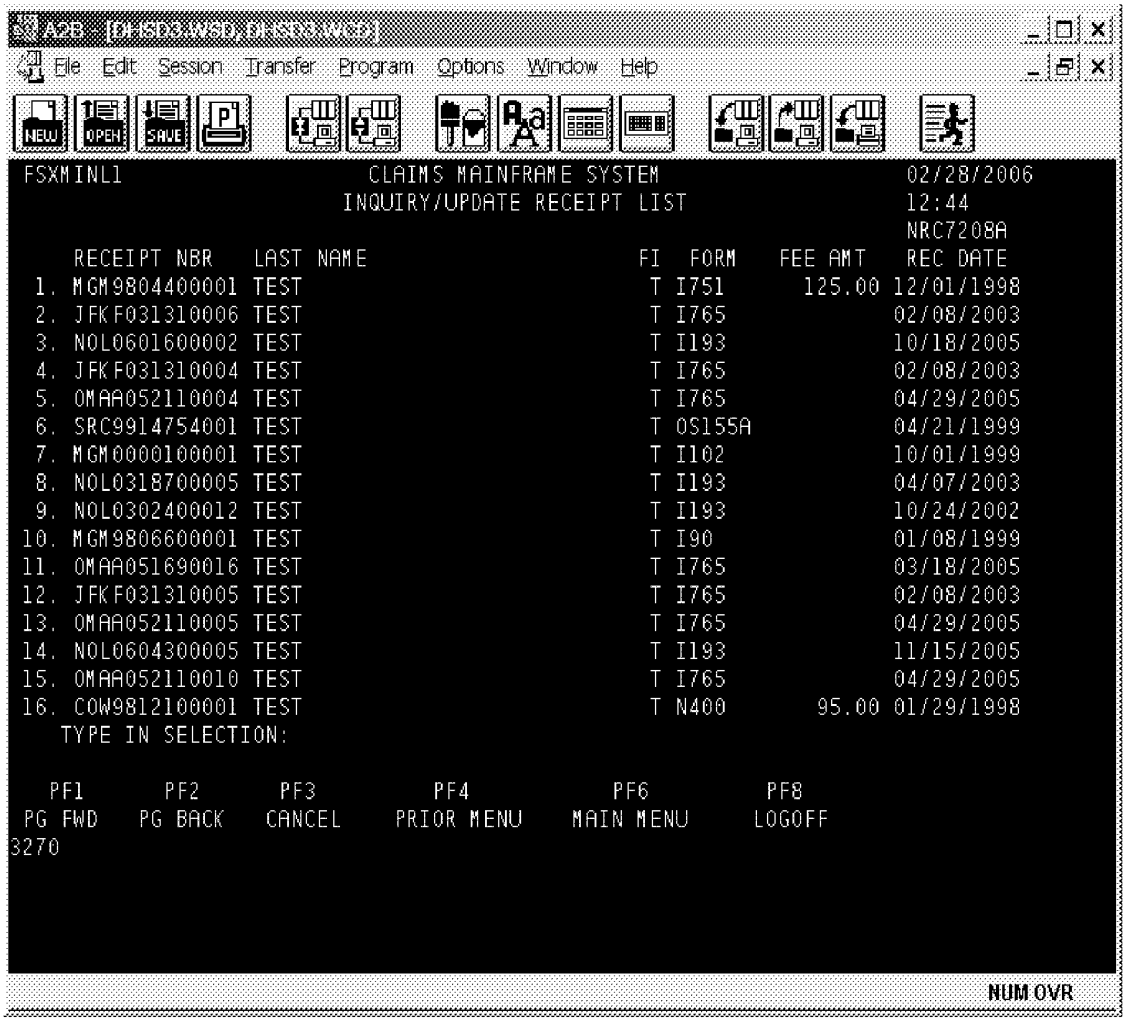

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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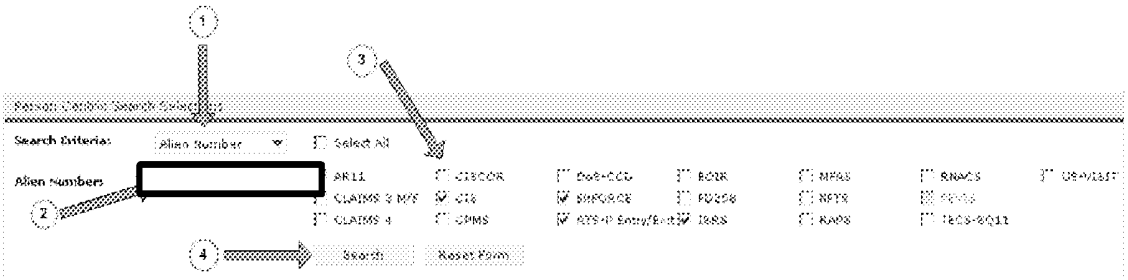
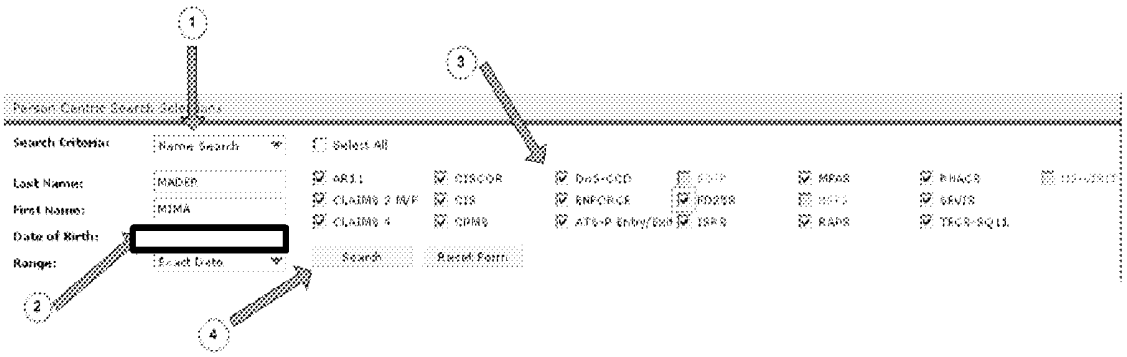
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.



(b)(6)



5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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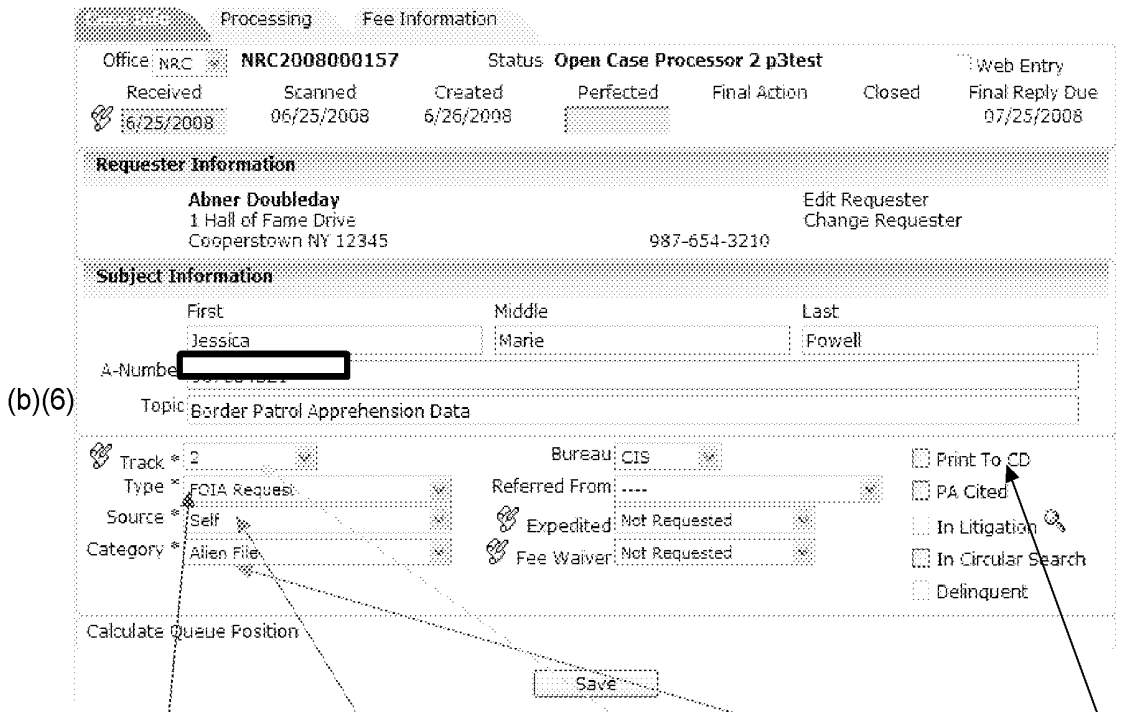

(b)(6)

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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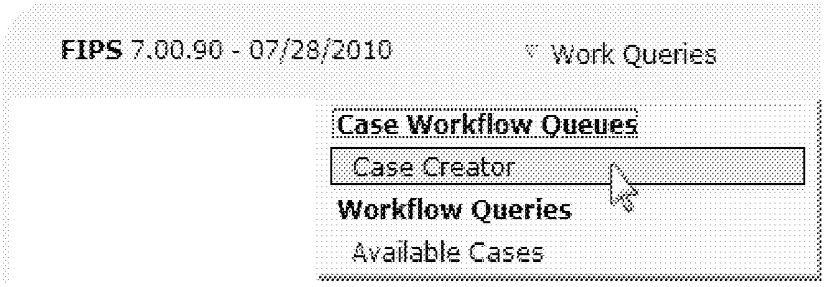
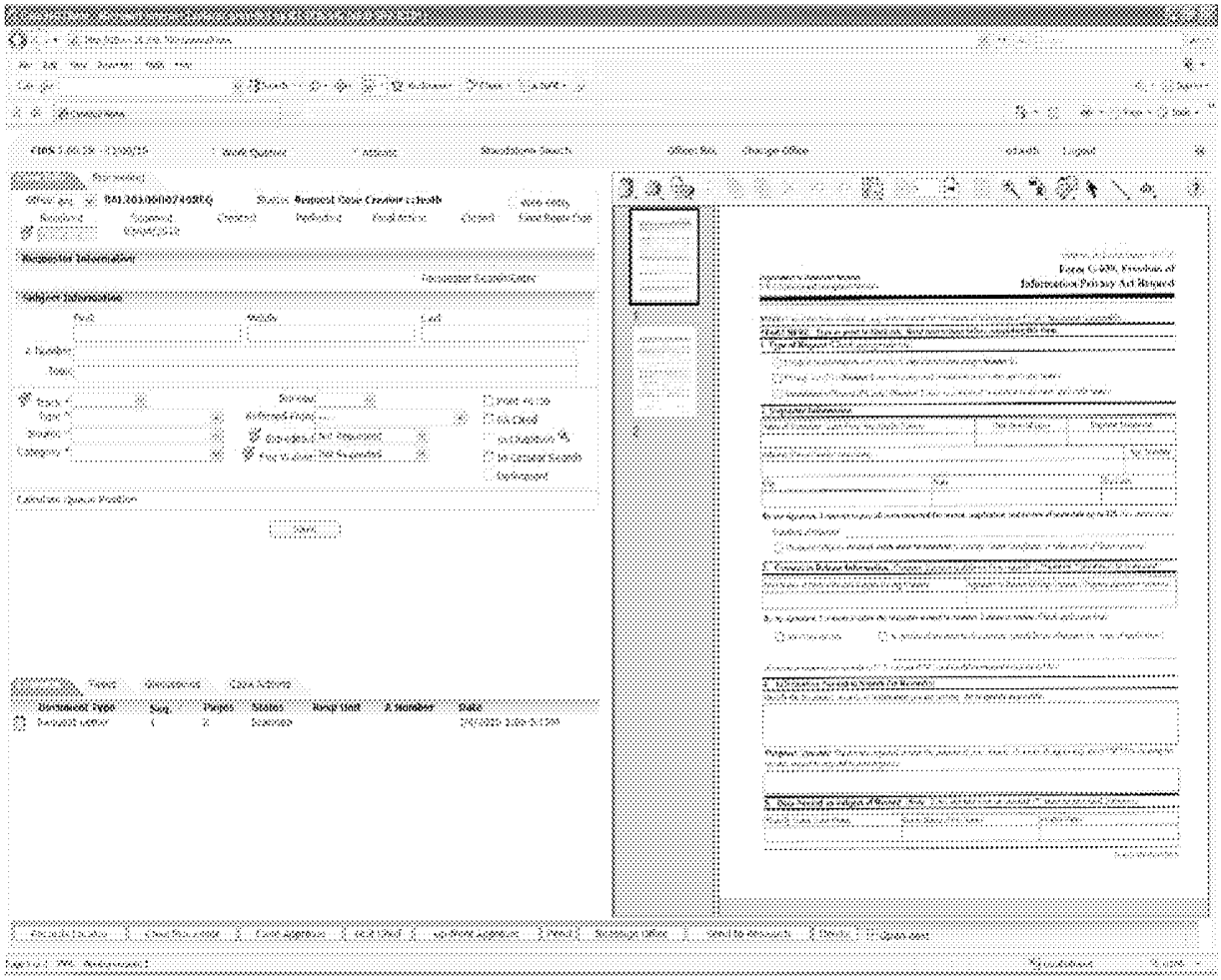
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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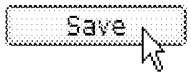
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.
6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope or letterhead.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines.

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The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
New Mexico
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

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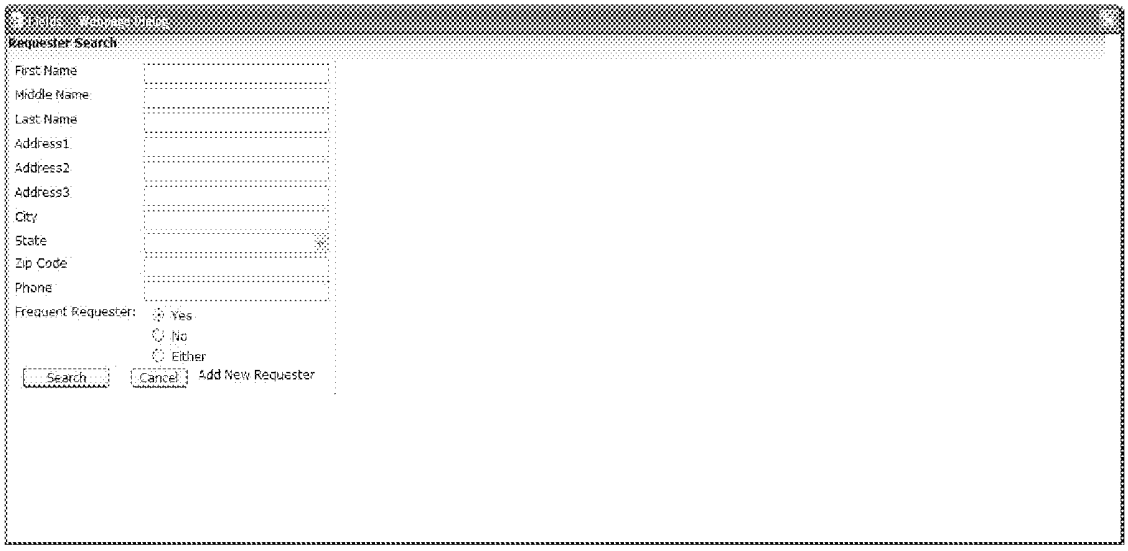
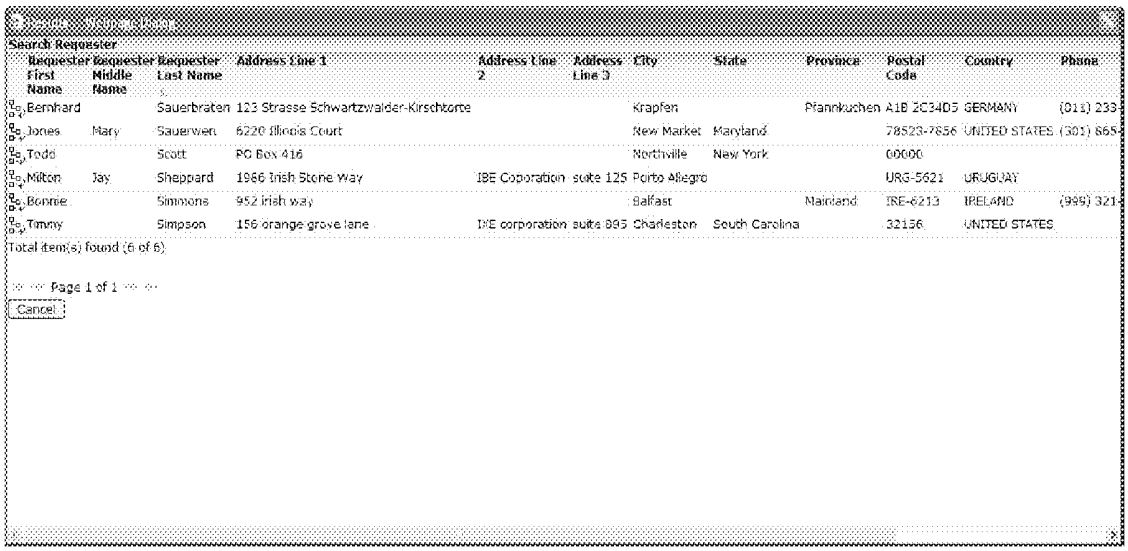
6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:



If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:

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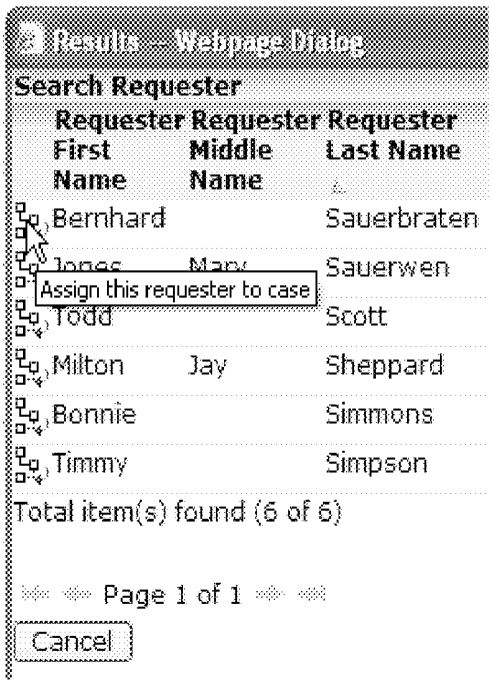

And it will populate the requester information like this:

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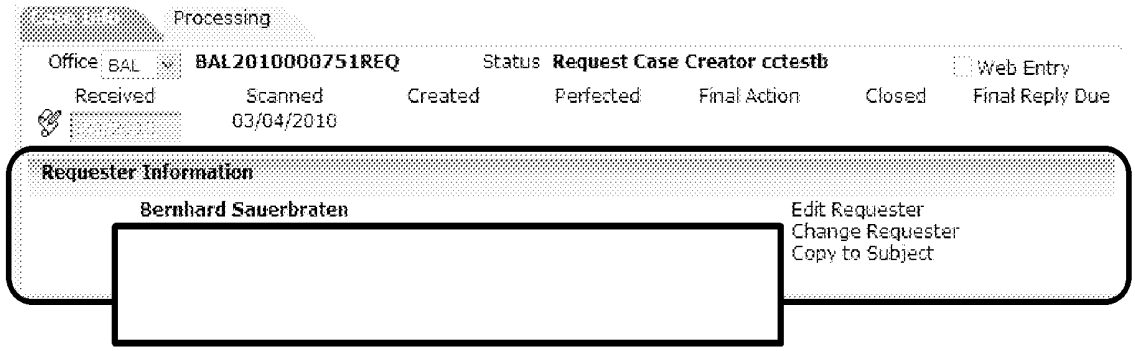

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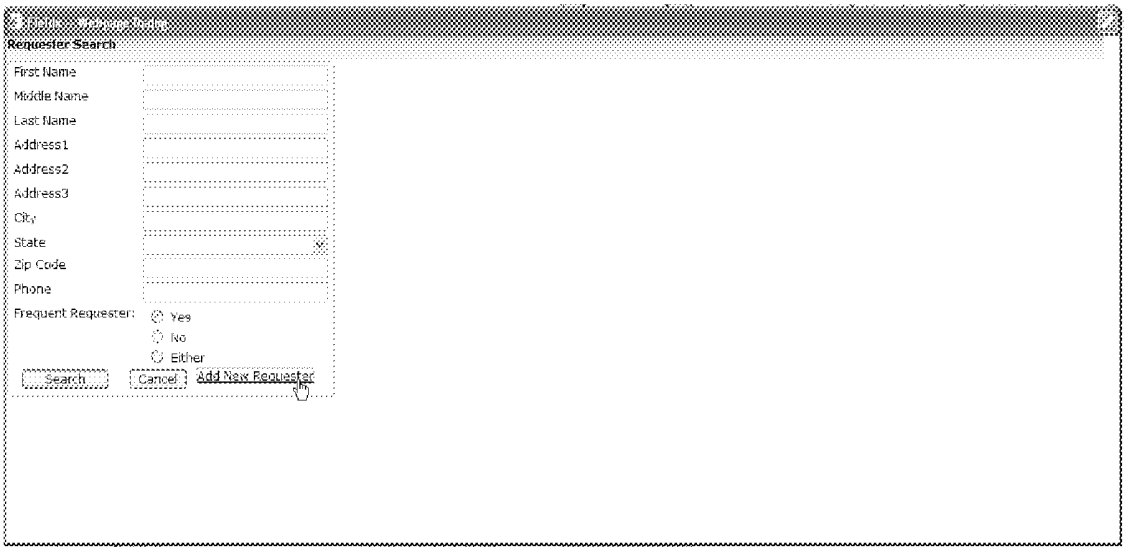
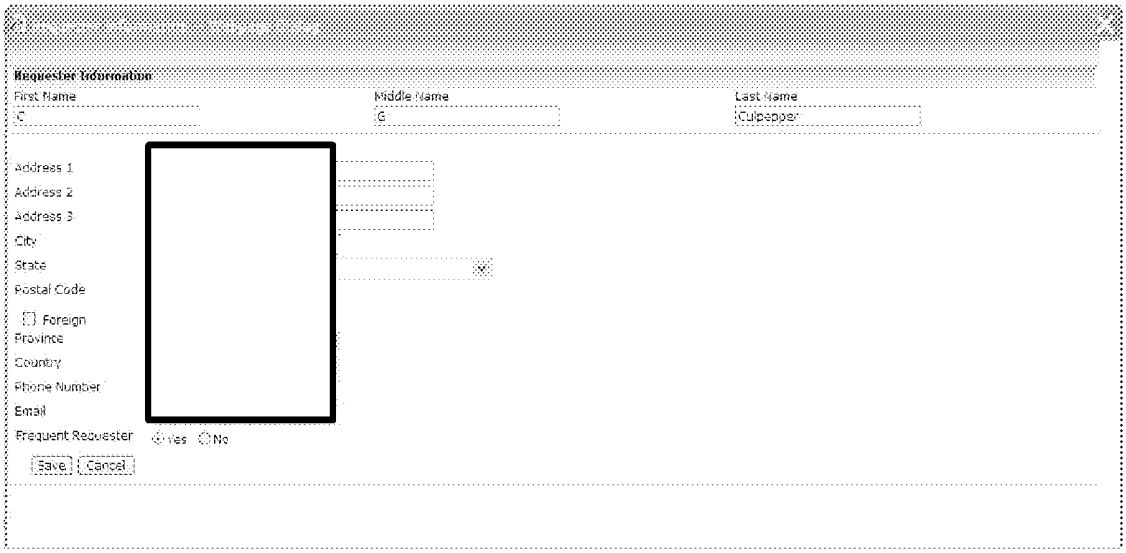
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

(b)(6)



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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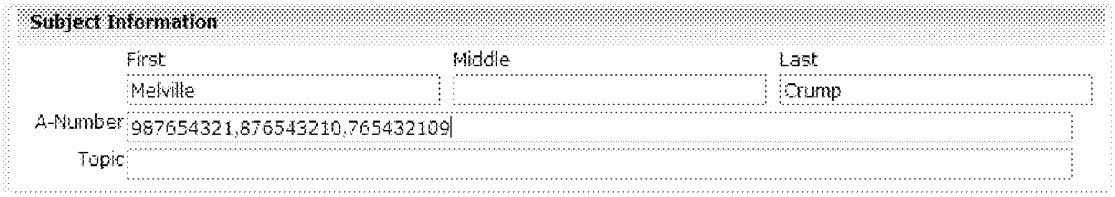
(b)(6)

Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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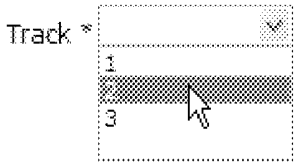
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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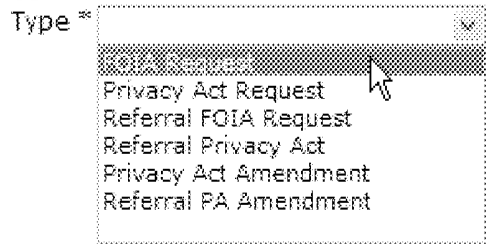
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

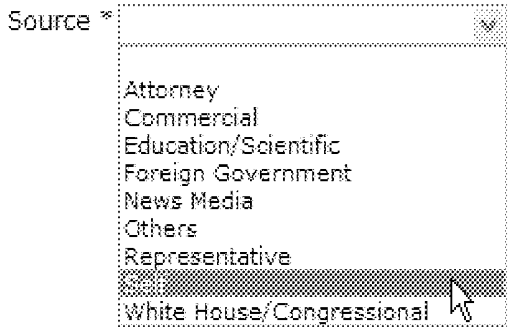
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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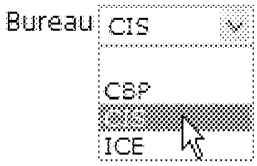
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



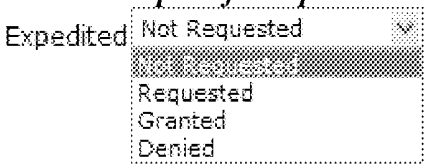
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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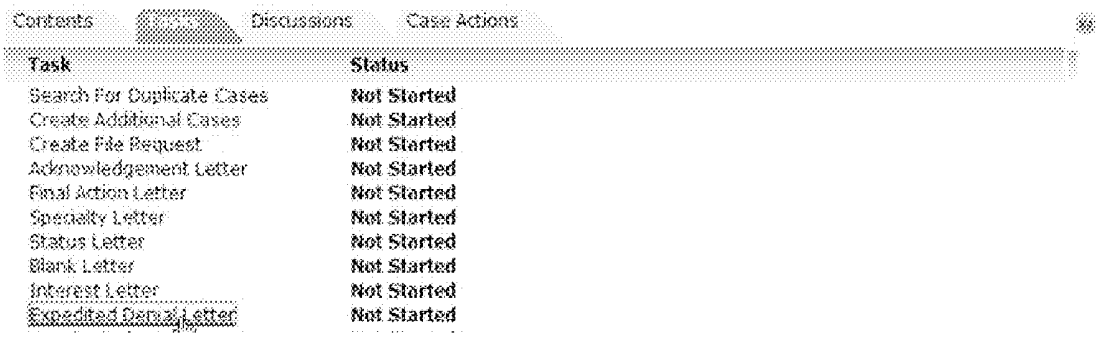
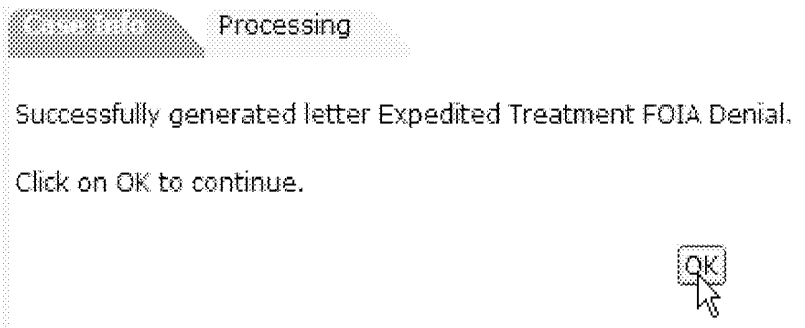
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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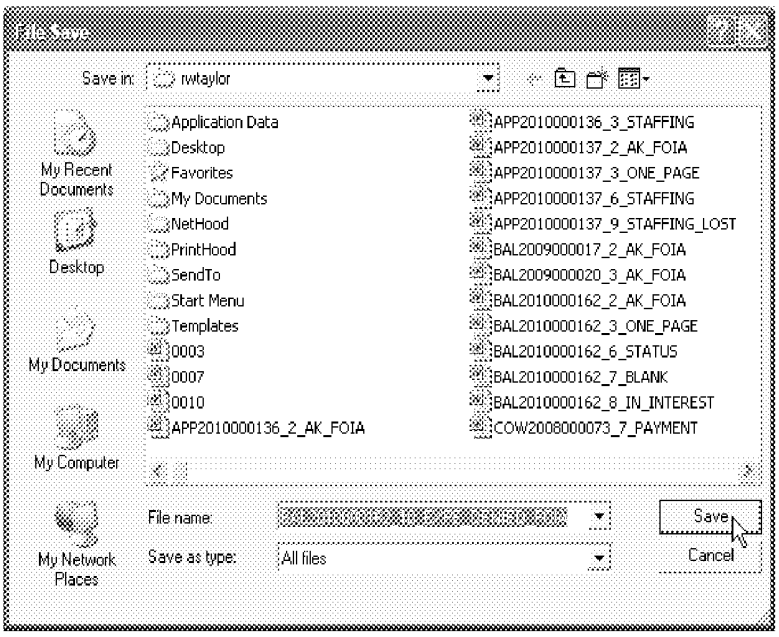

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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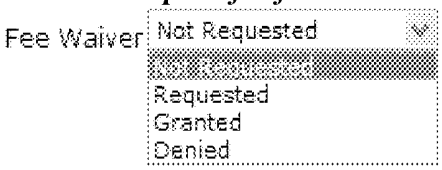
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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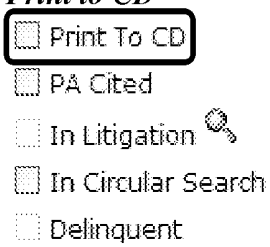
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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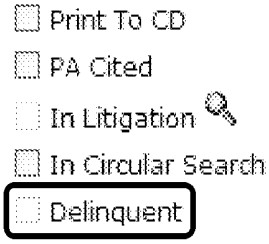
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

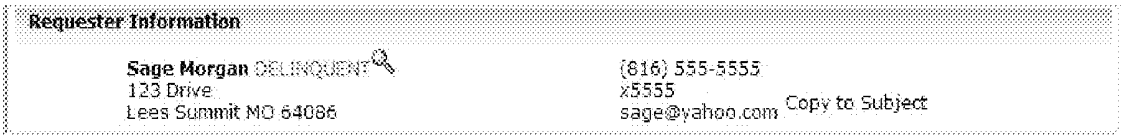
6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same requester, click the **Query** icon next to the delinquent notice.

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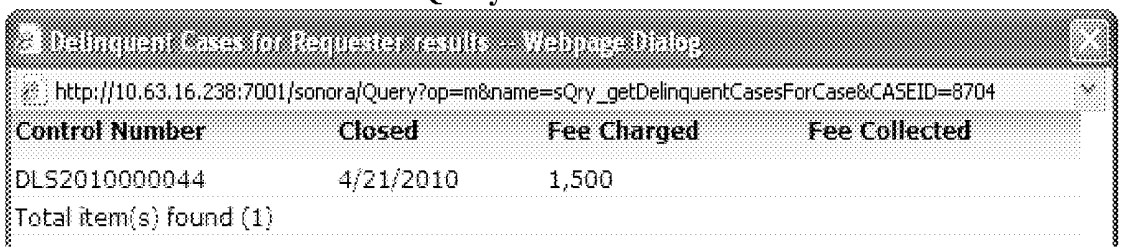
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

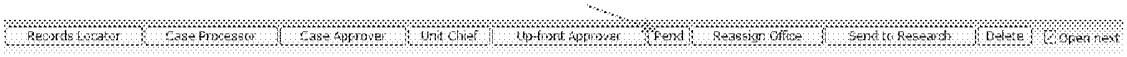
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Close this case as ER (created in error).

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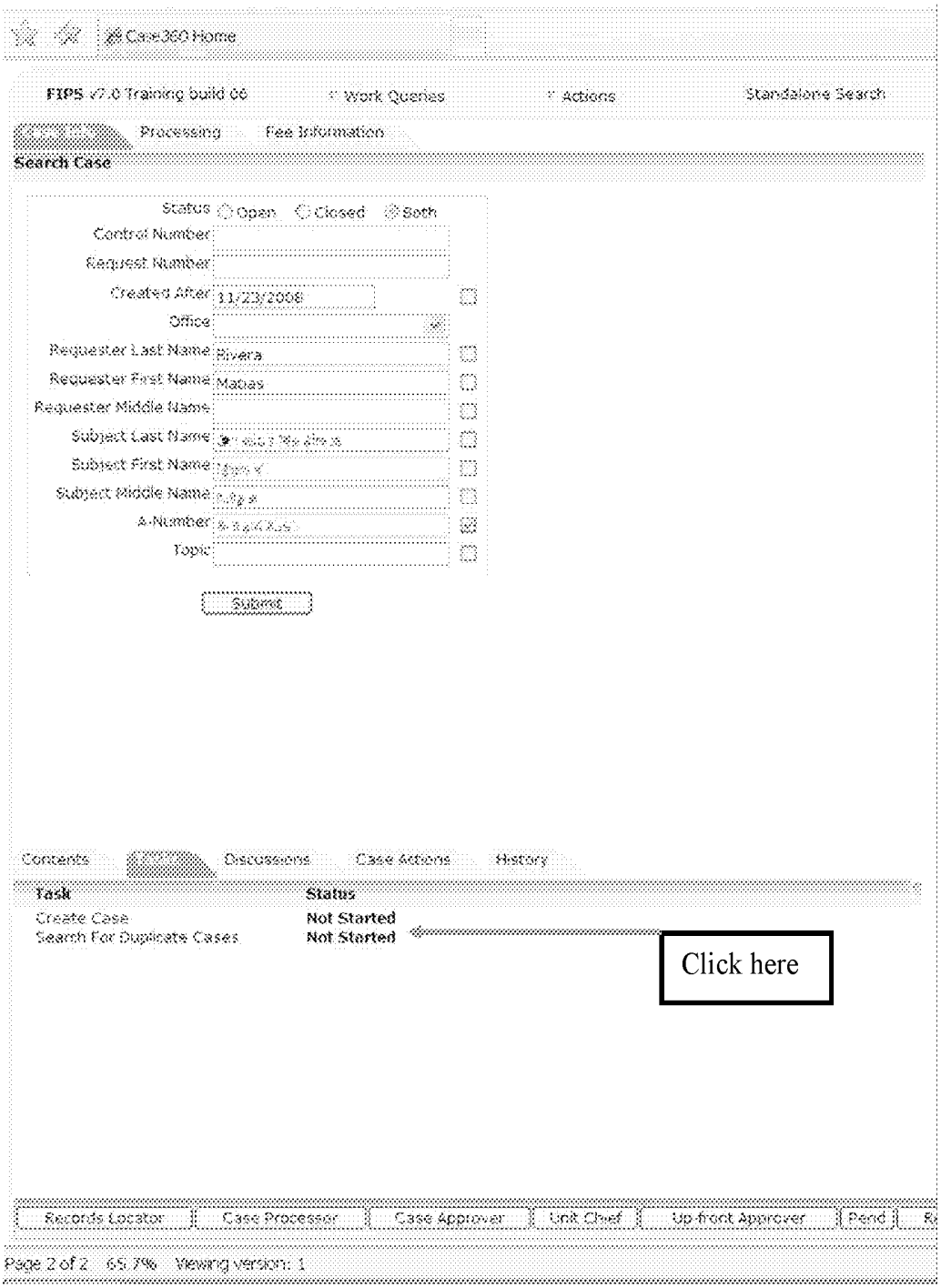

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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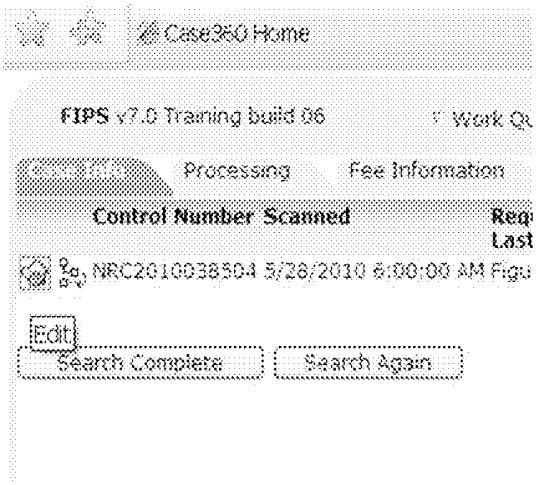
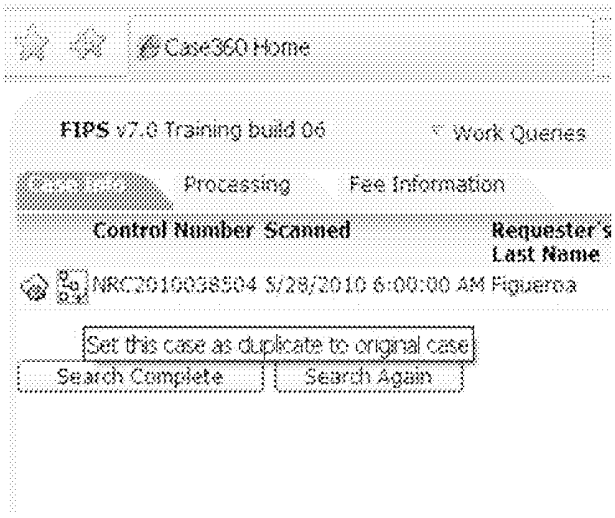


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. Instead, close this case as ER (created in error).

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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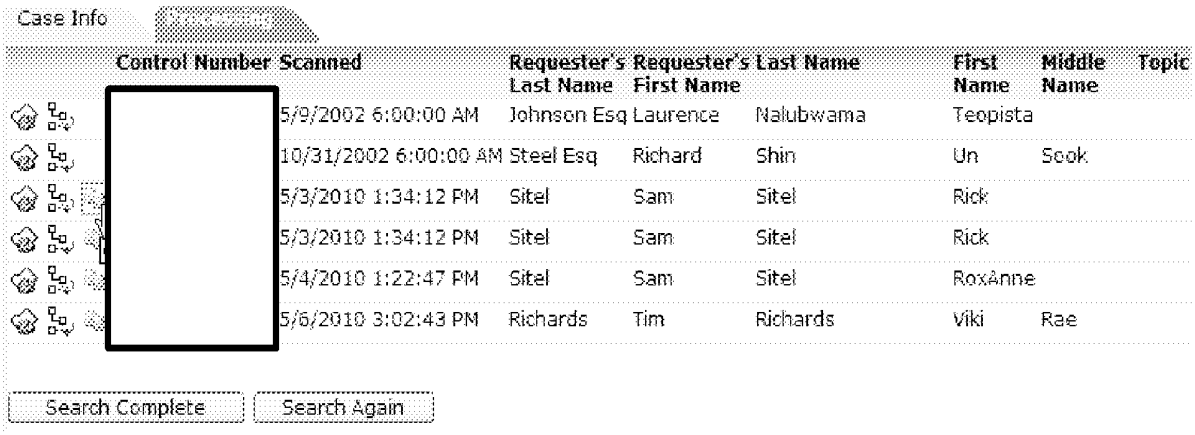
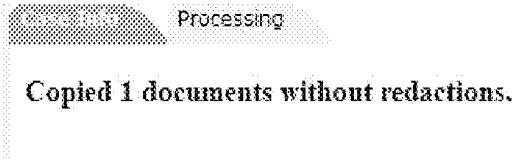
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

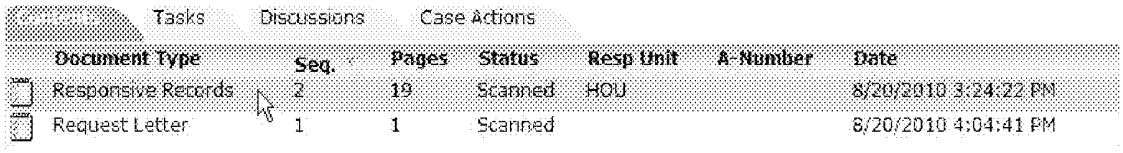
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

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required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment (4)*. Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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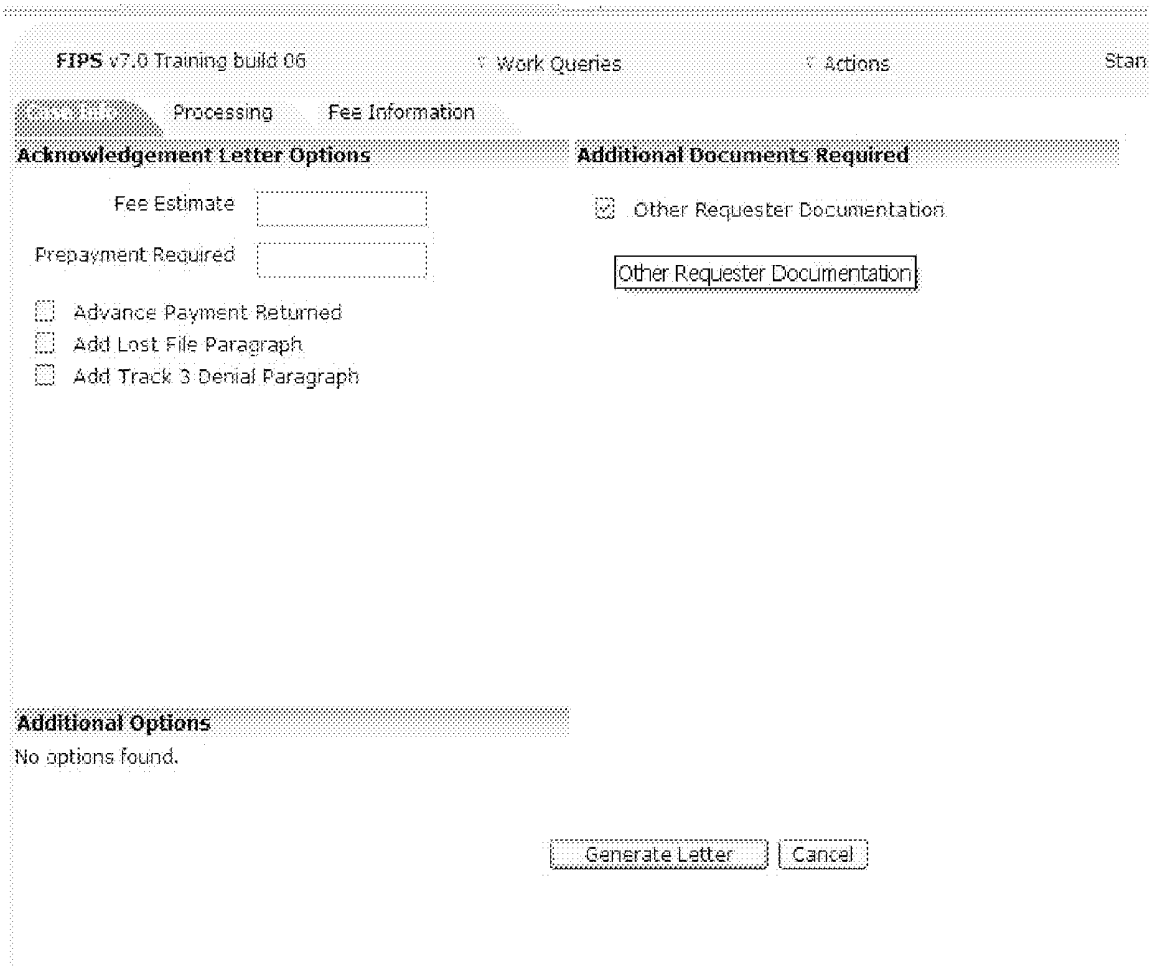
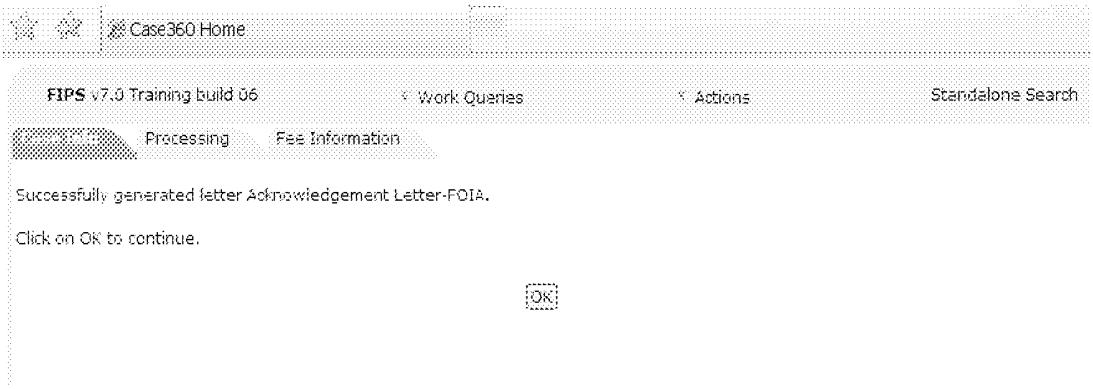


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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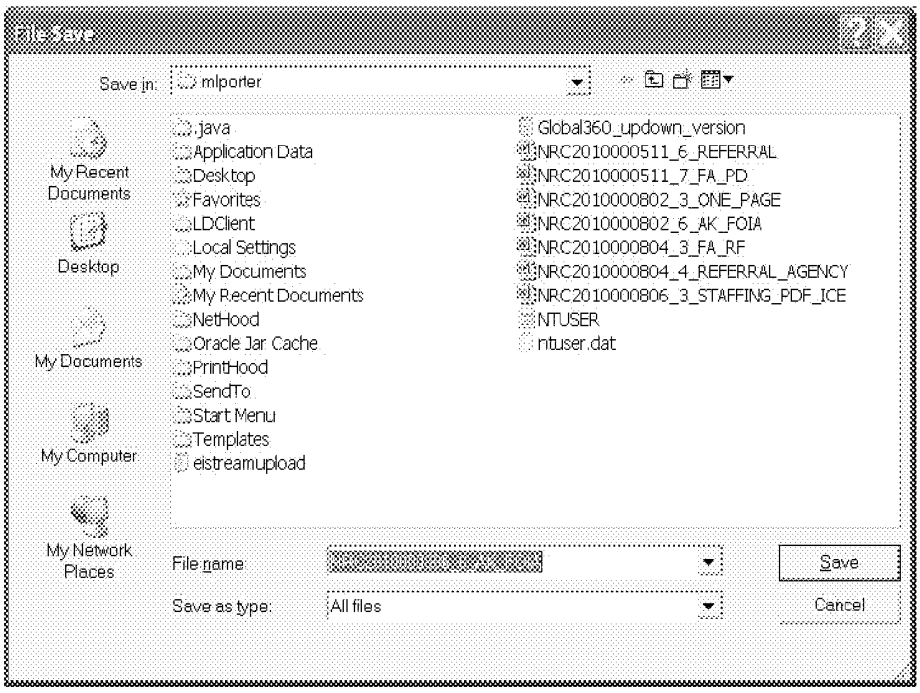

The acknowledgment letter will pop up:

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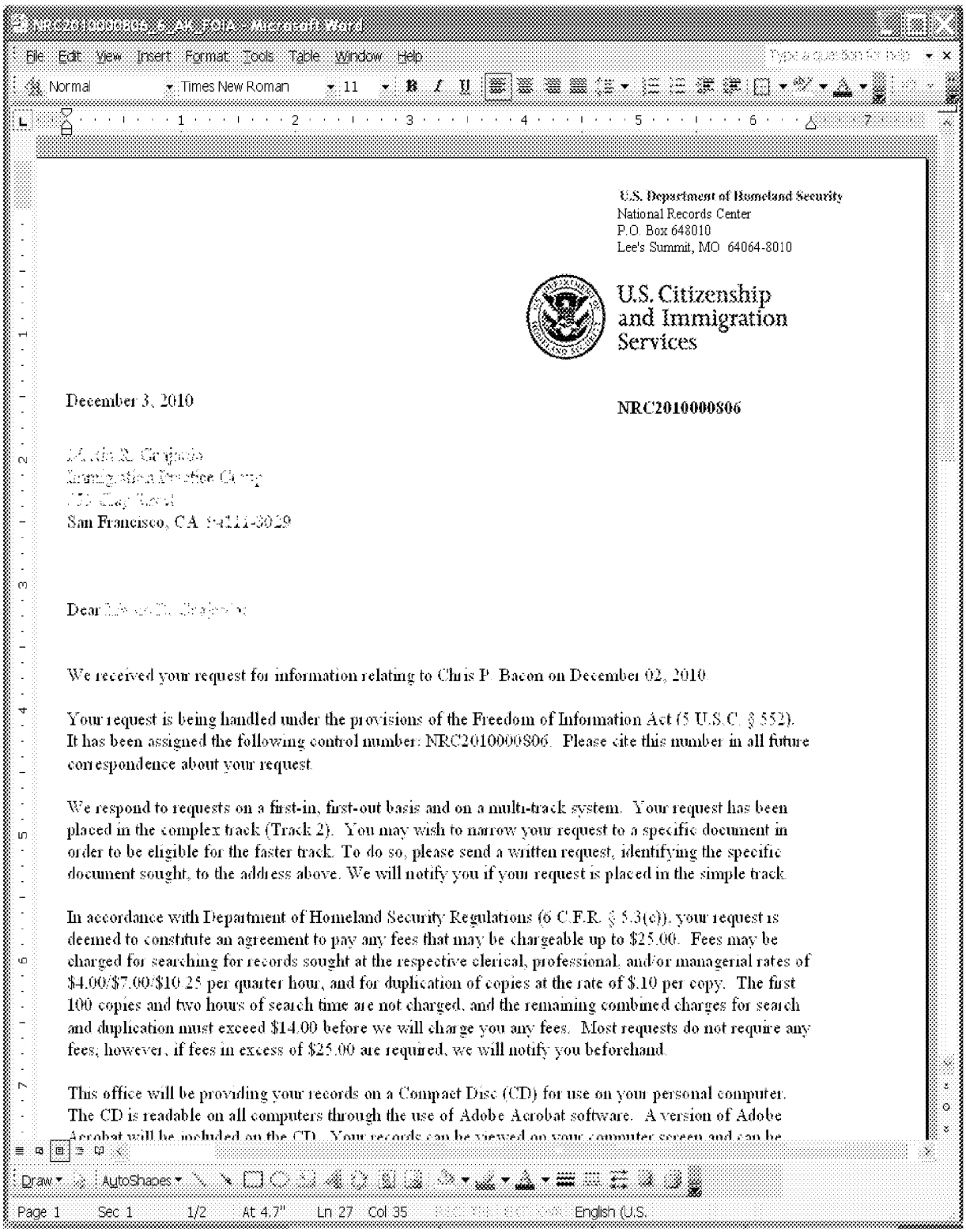

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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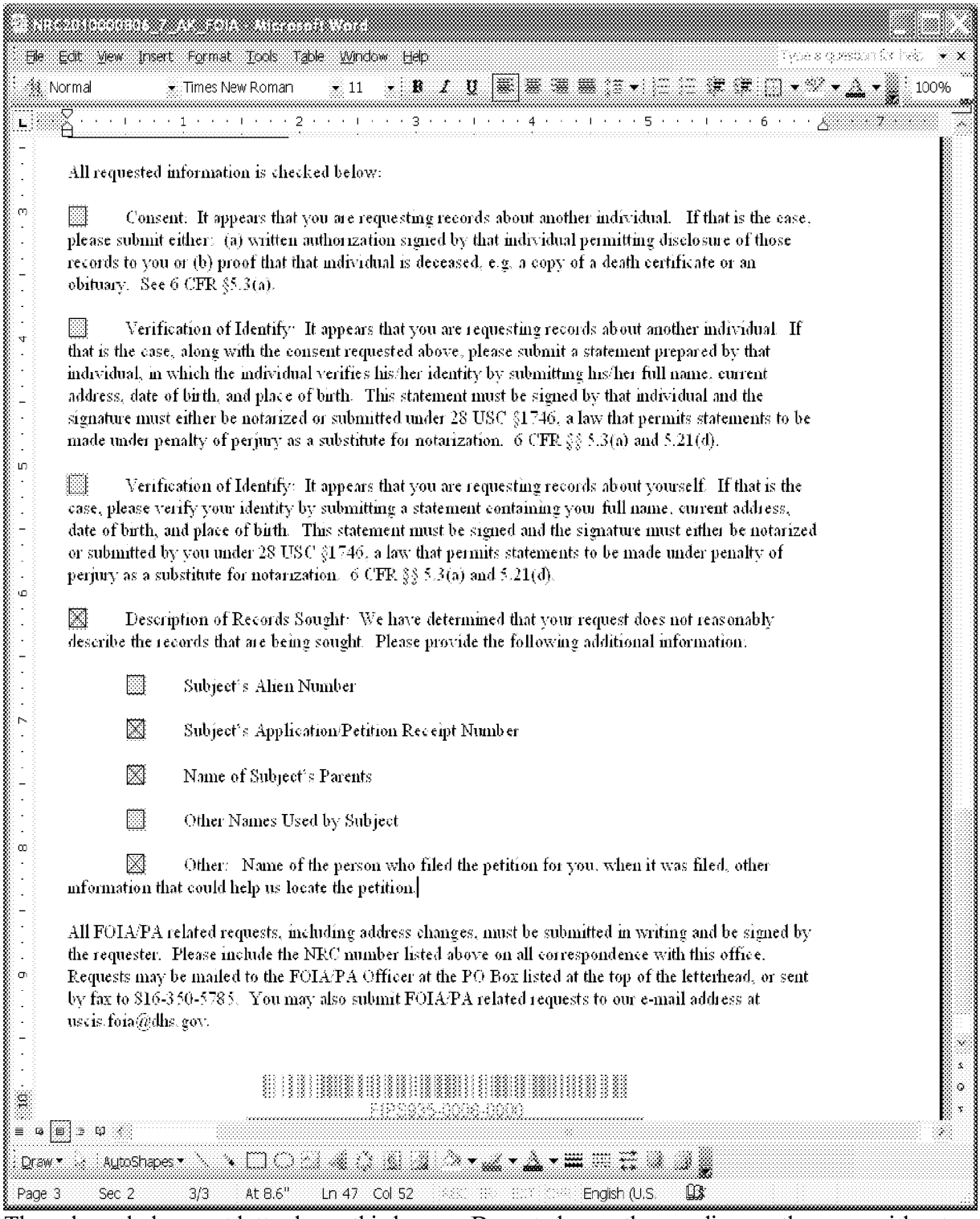

All requested information is checked below:

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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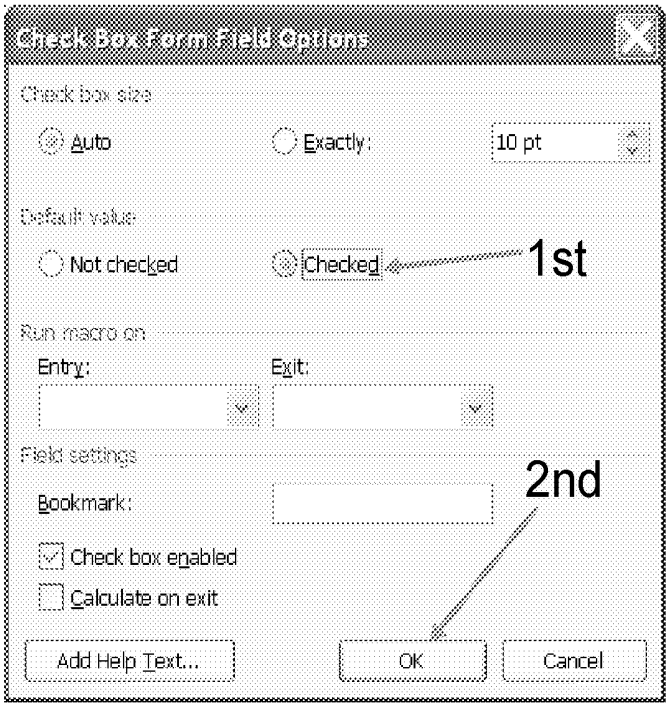
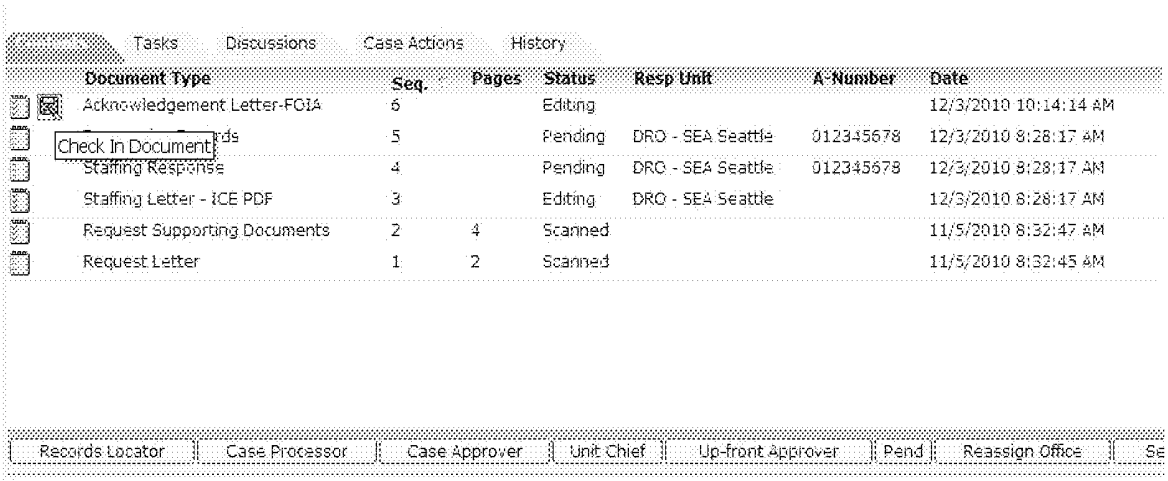


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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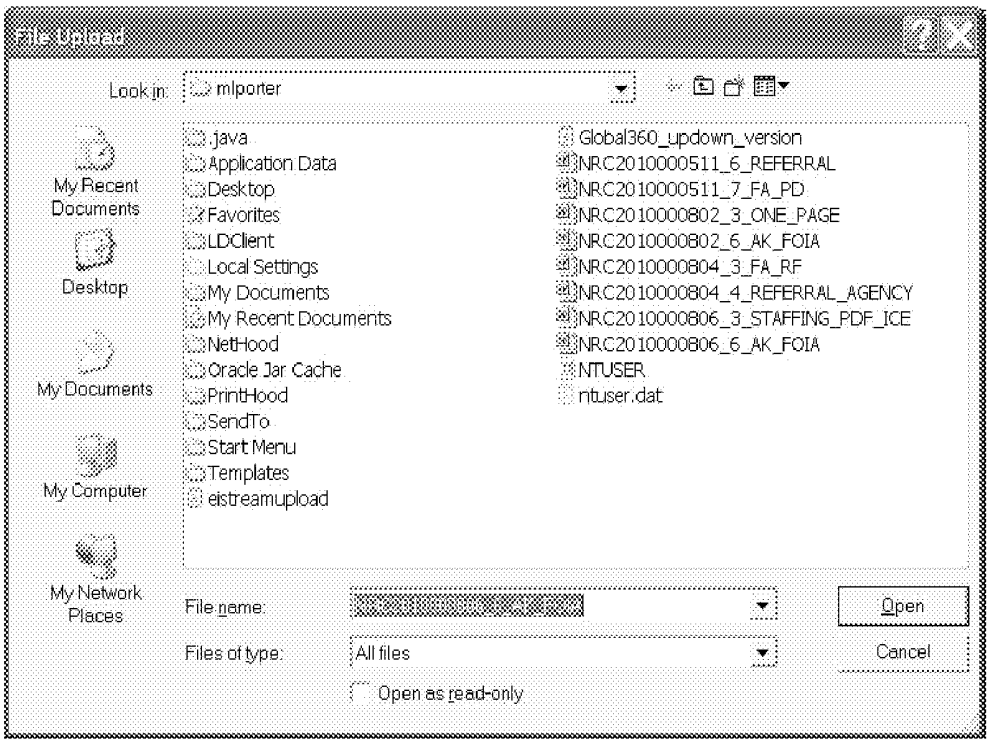
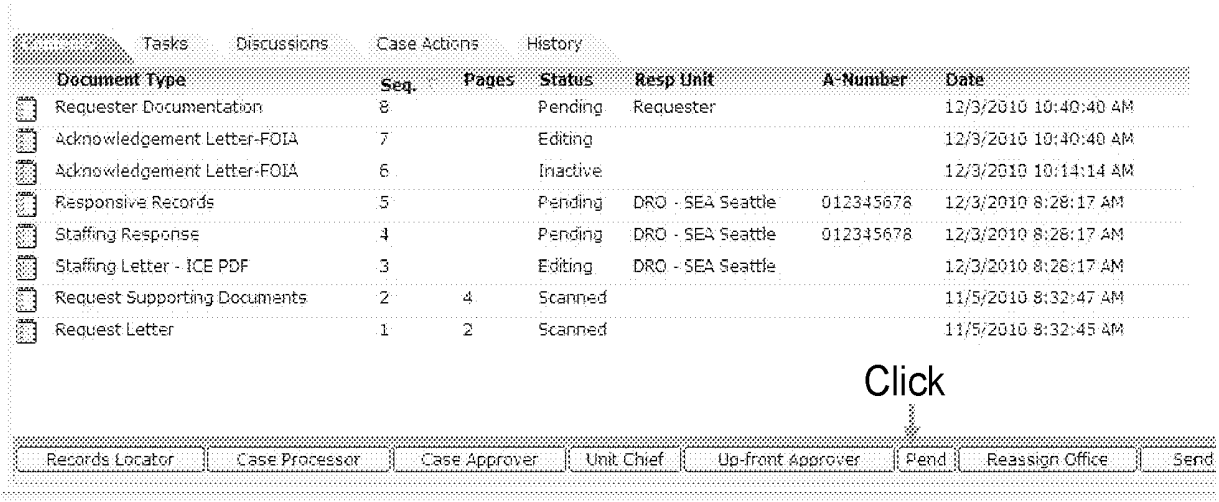


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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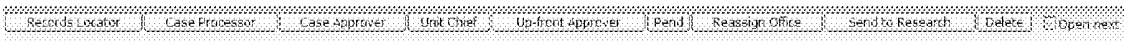
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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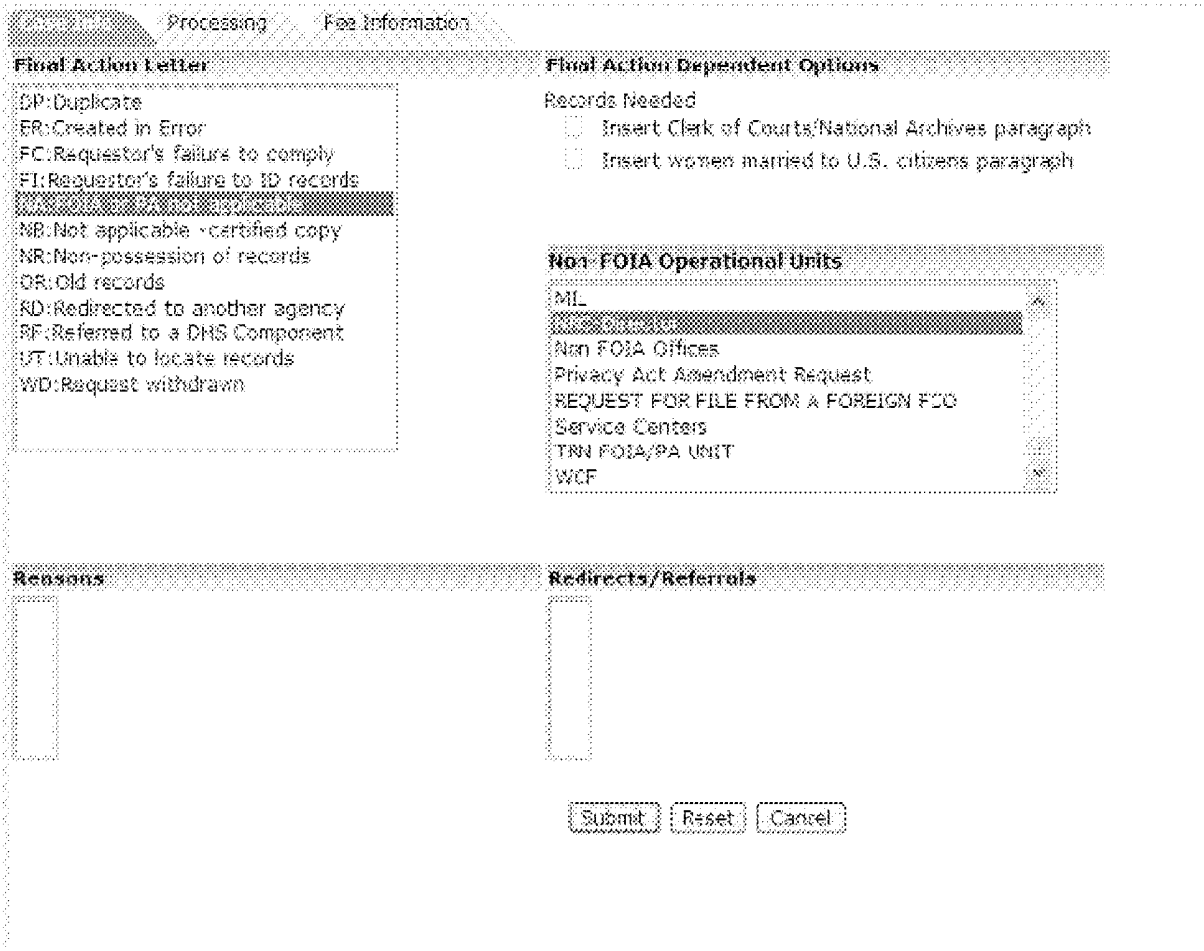

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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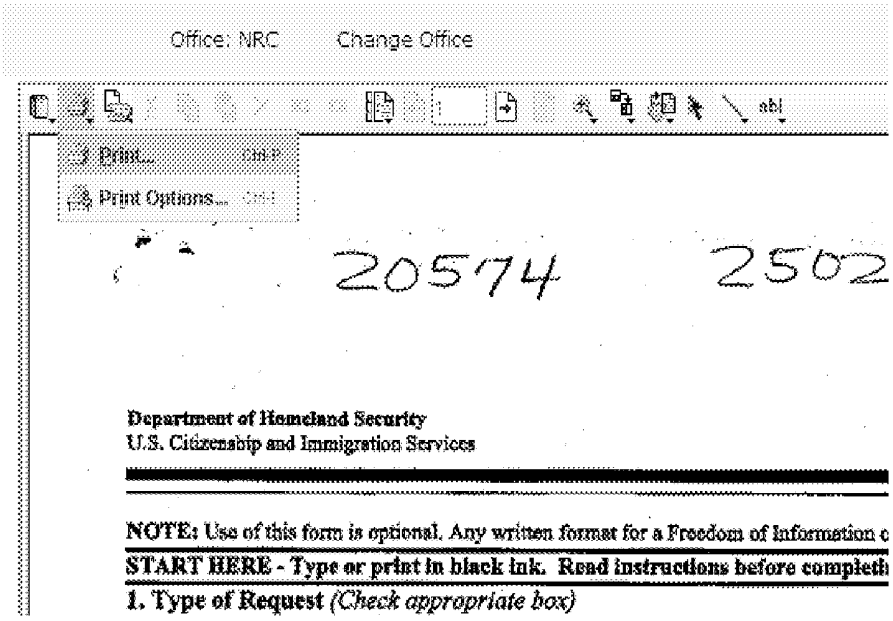
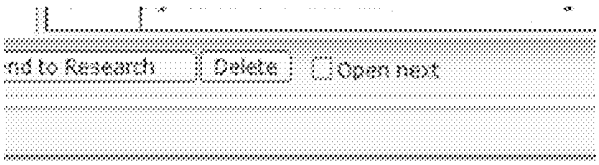


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

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9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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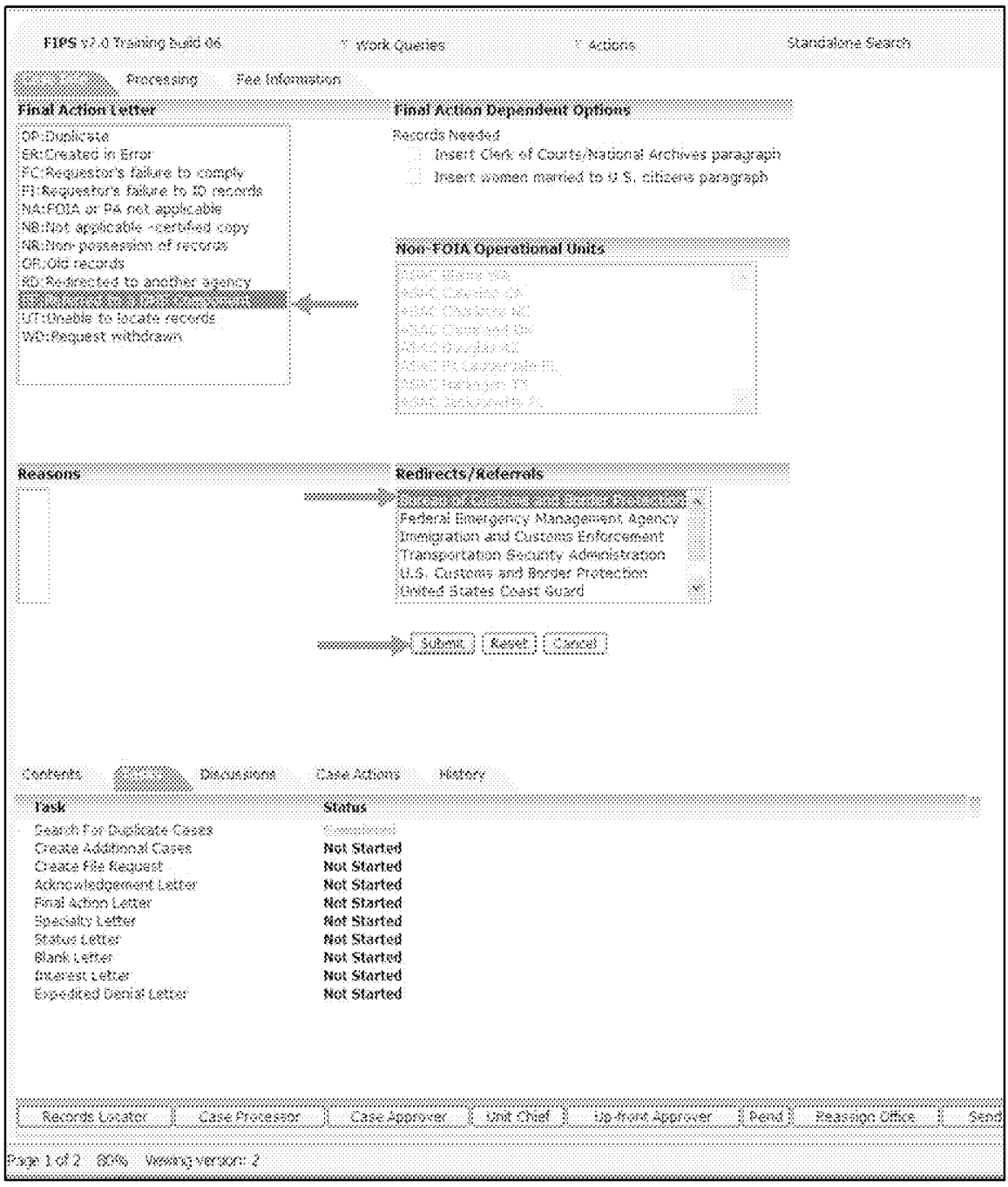

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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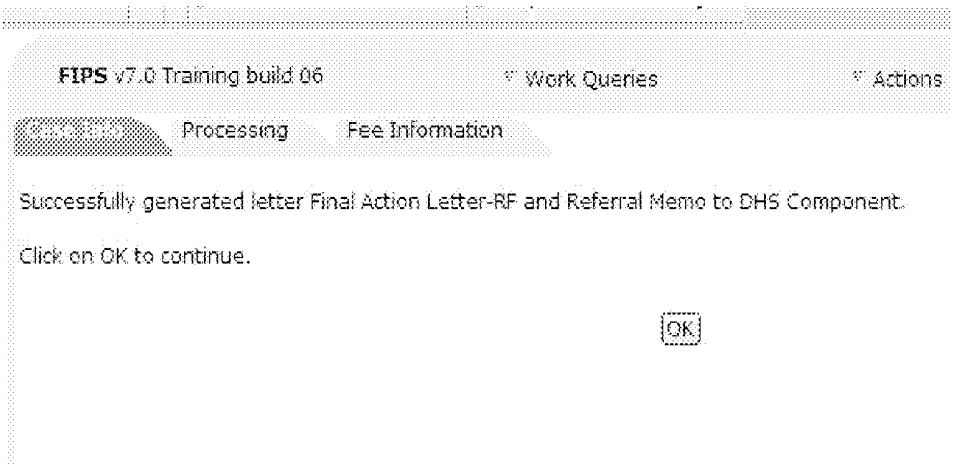
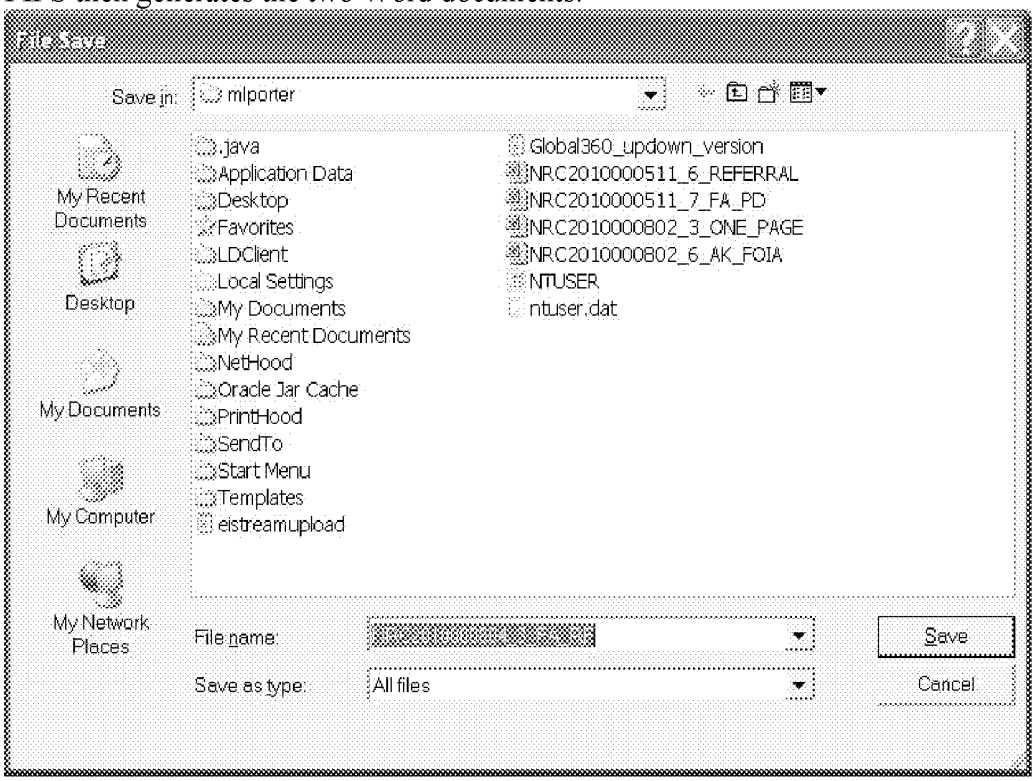


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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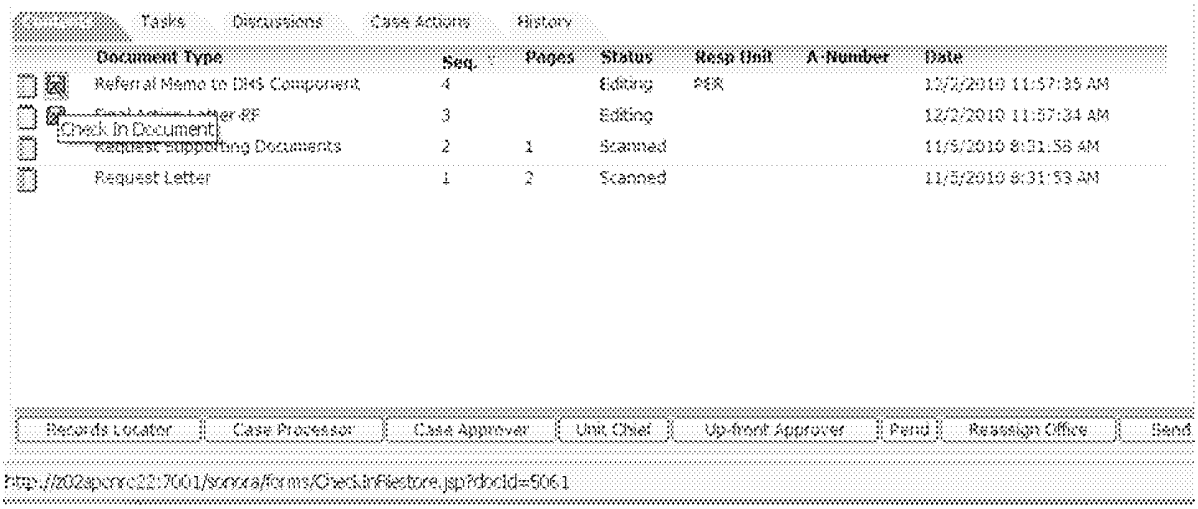
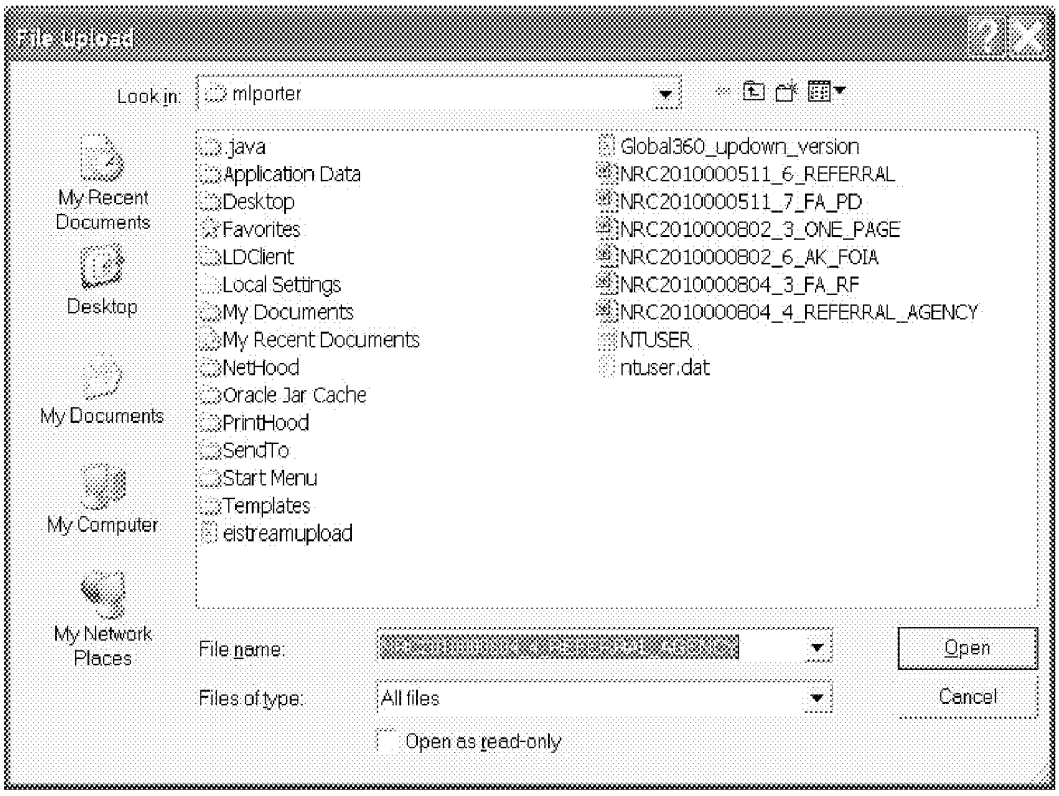


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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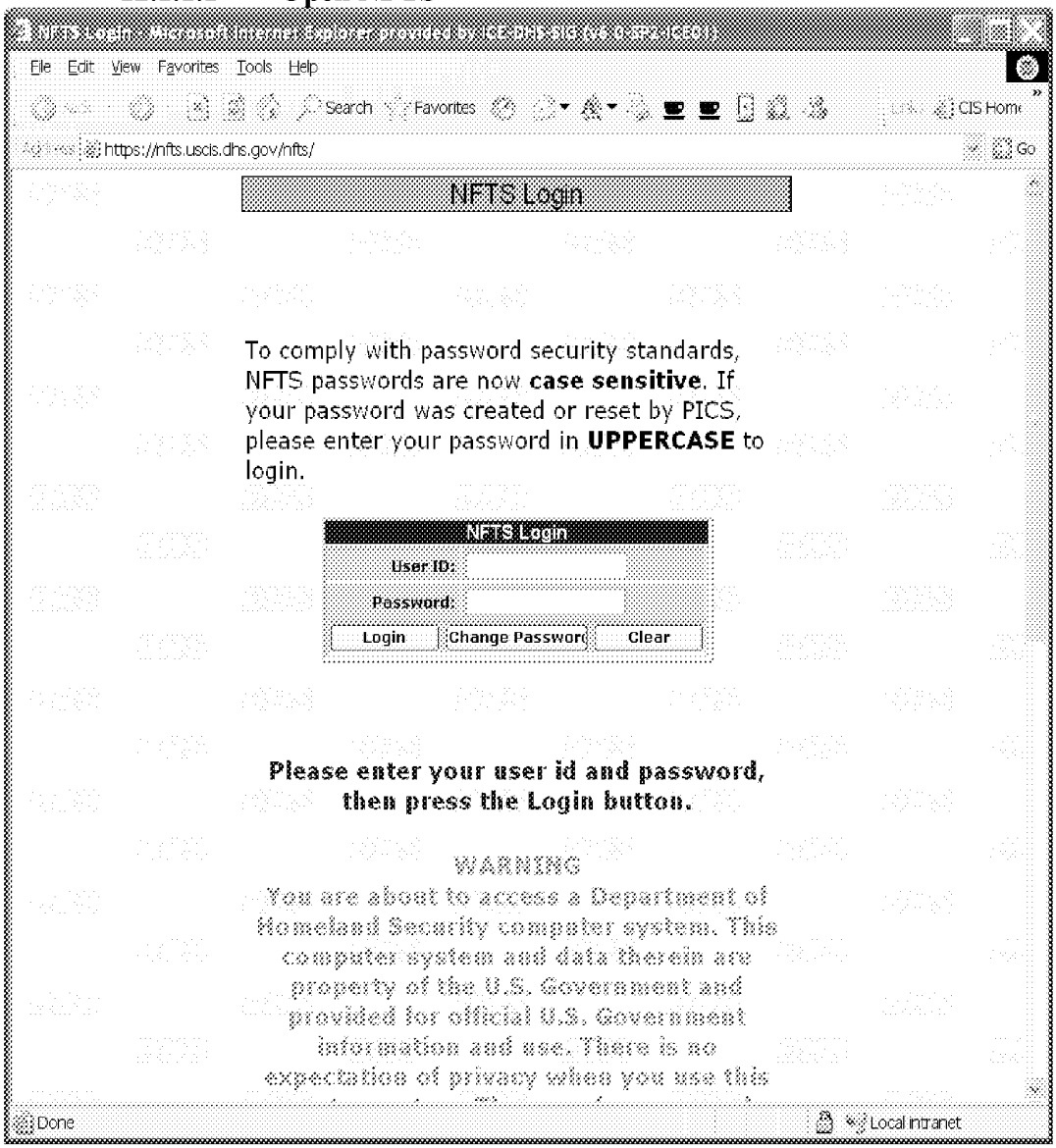
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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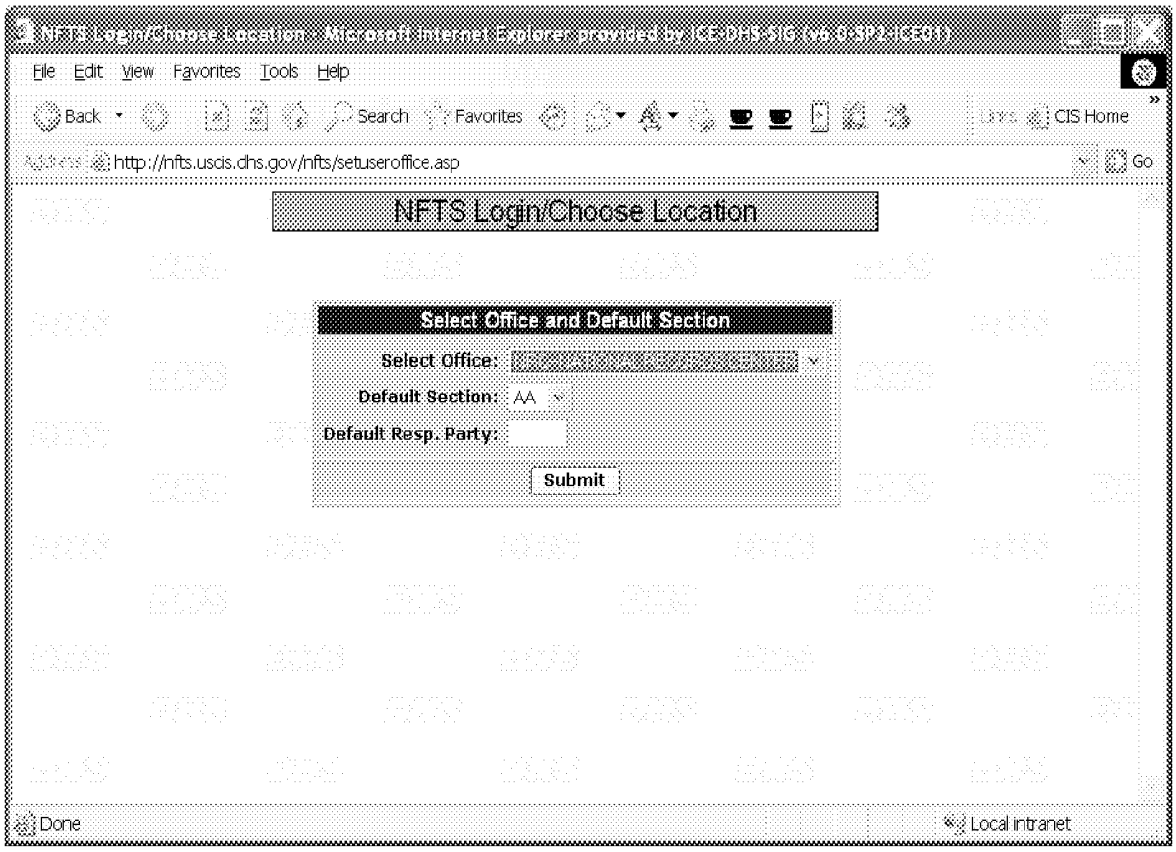
12.1.1.2 Submit your location



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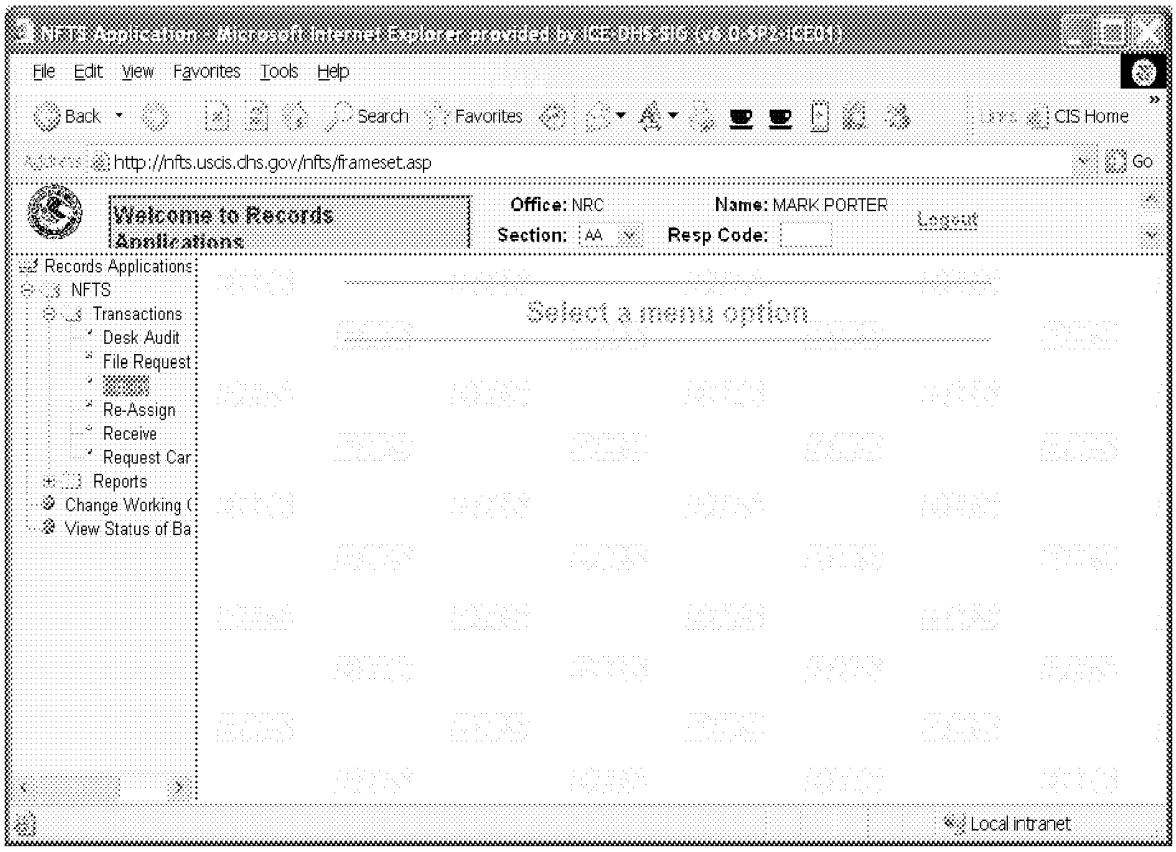
12.1.1.3 Select "Inquiry"



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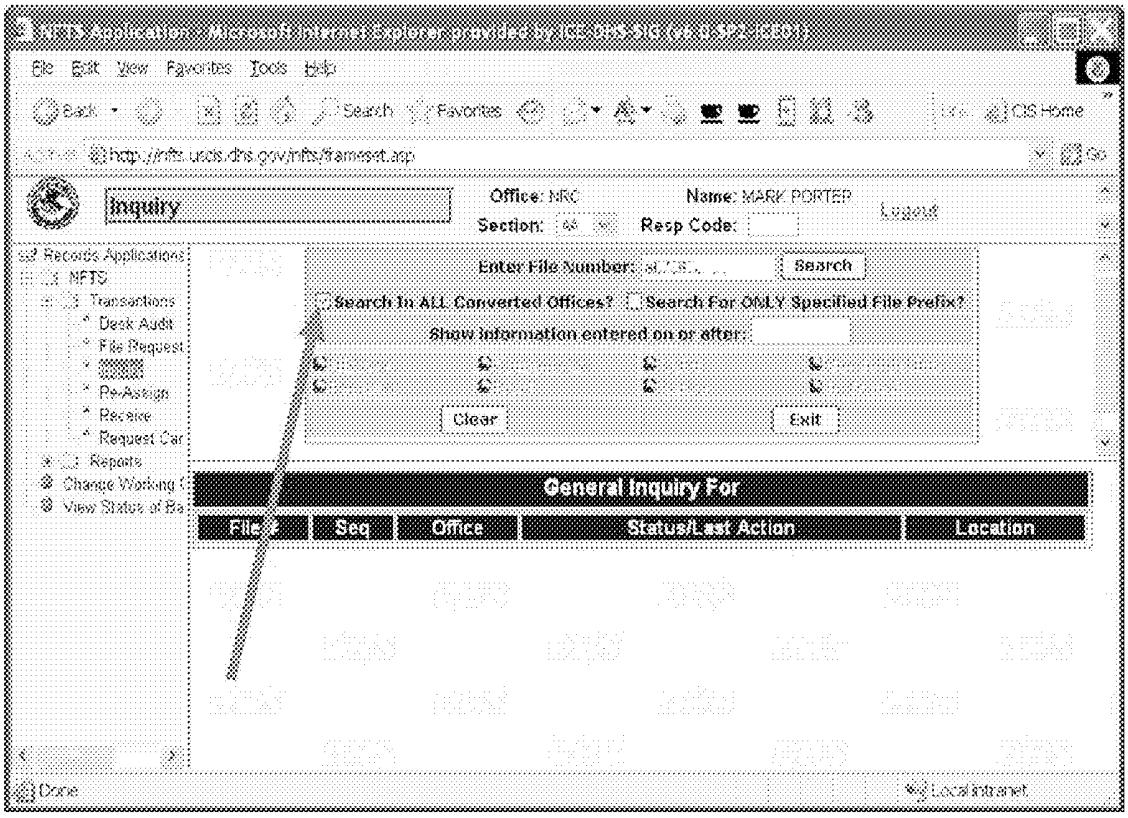
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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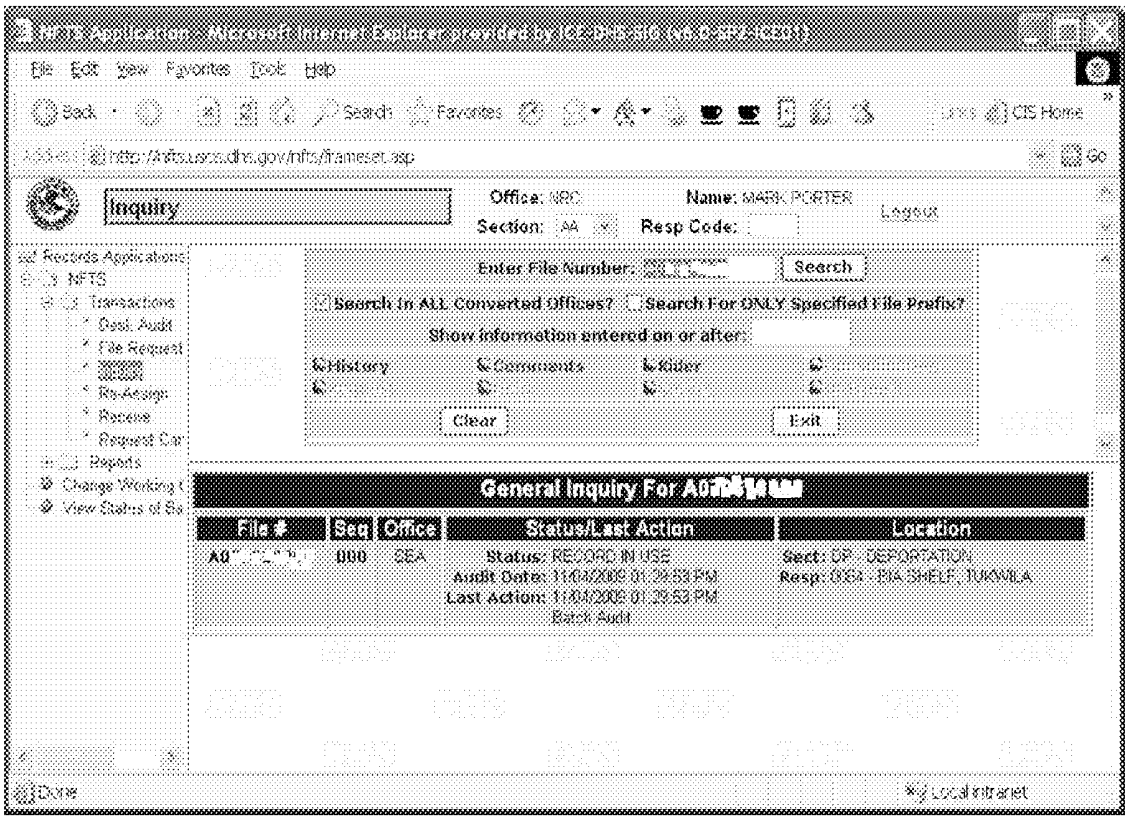
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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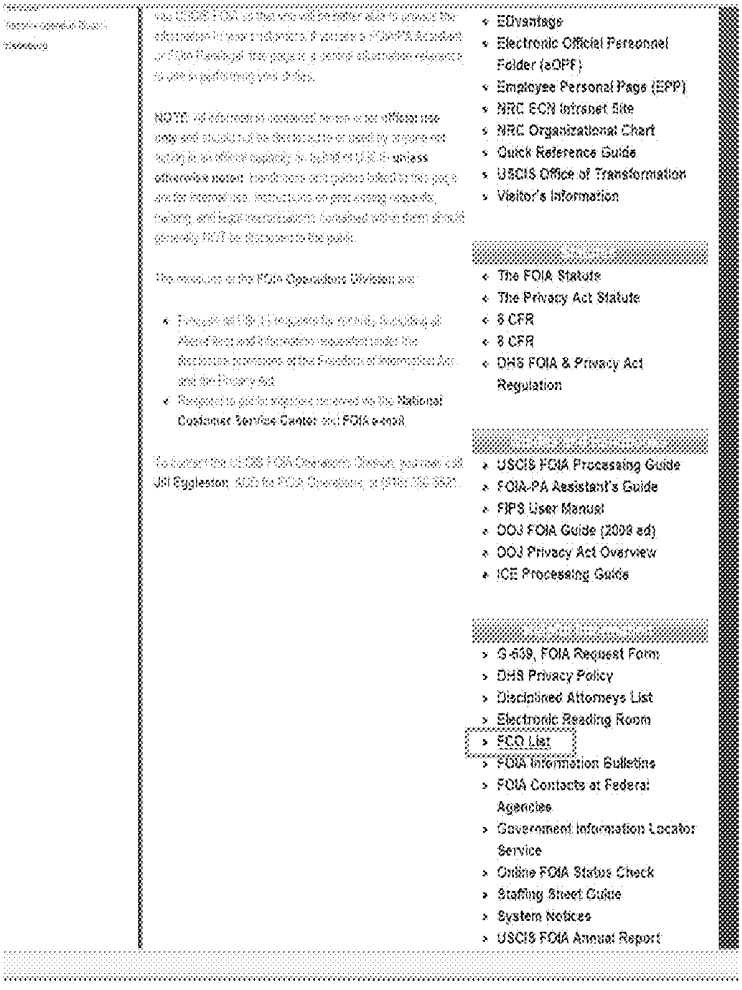
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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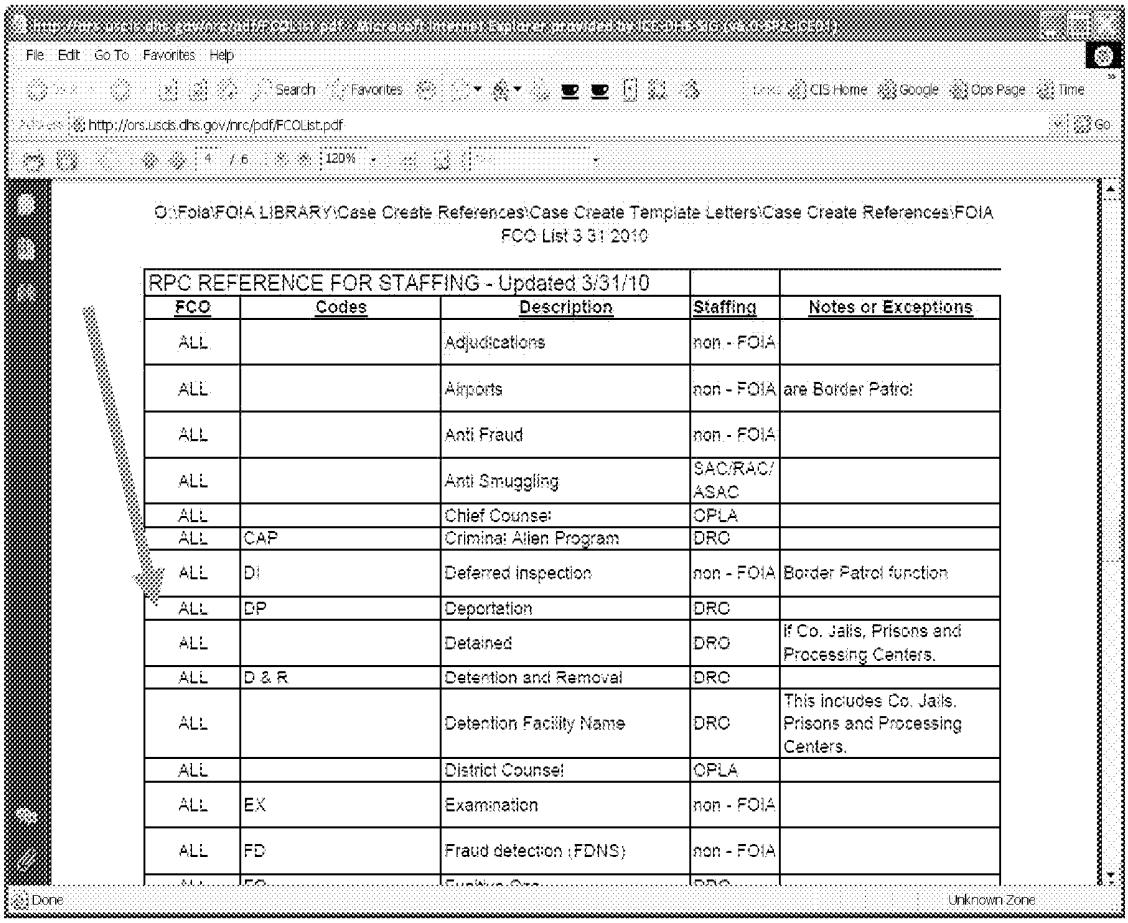
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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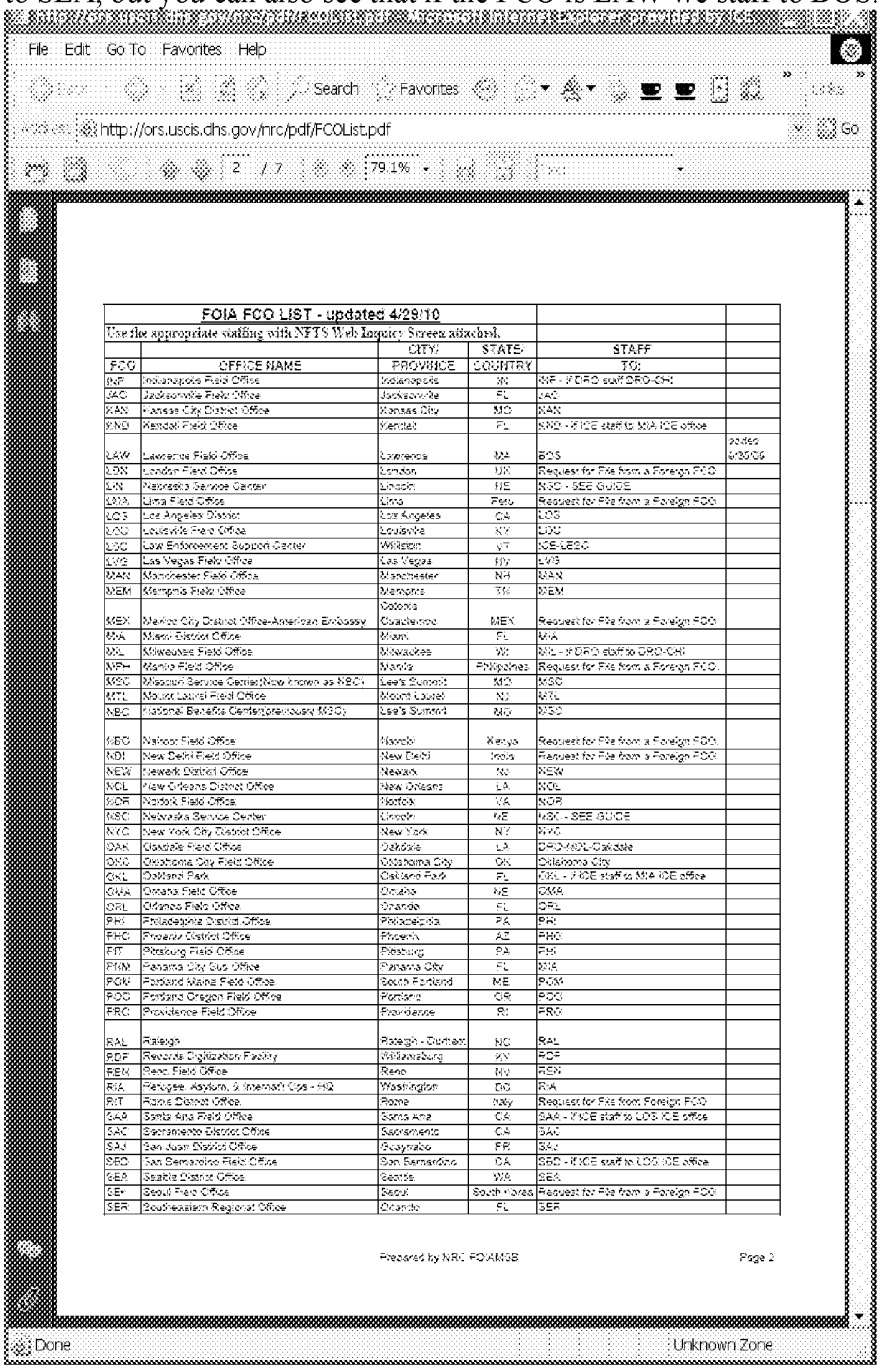
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

2 / 7 79.1%

FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKL	Milwaukee Field Office	Milwaukee	WI	MKL - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDL	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-MKL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOIA/PA

Page 2

Done

Unknown Zone

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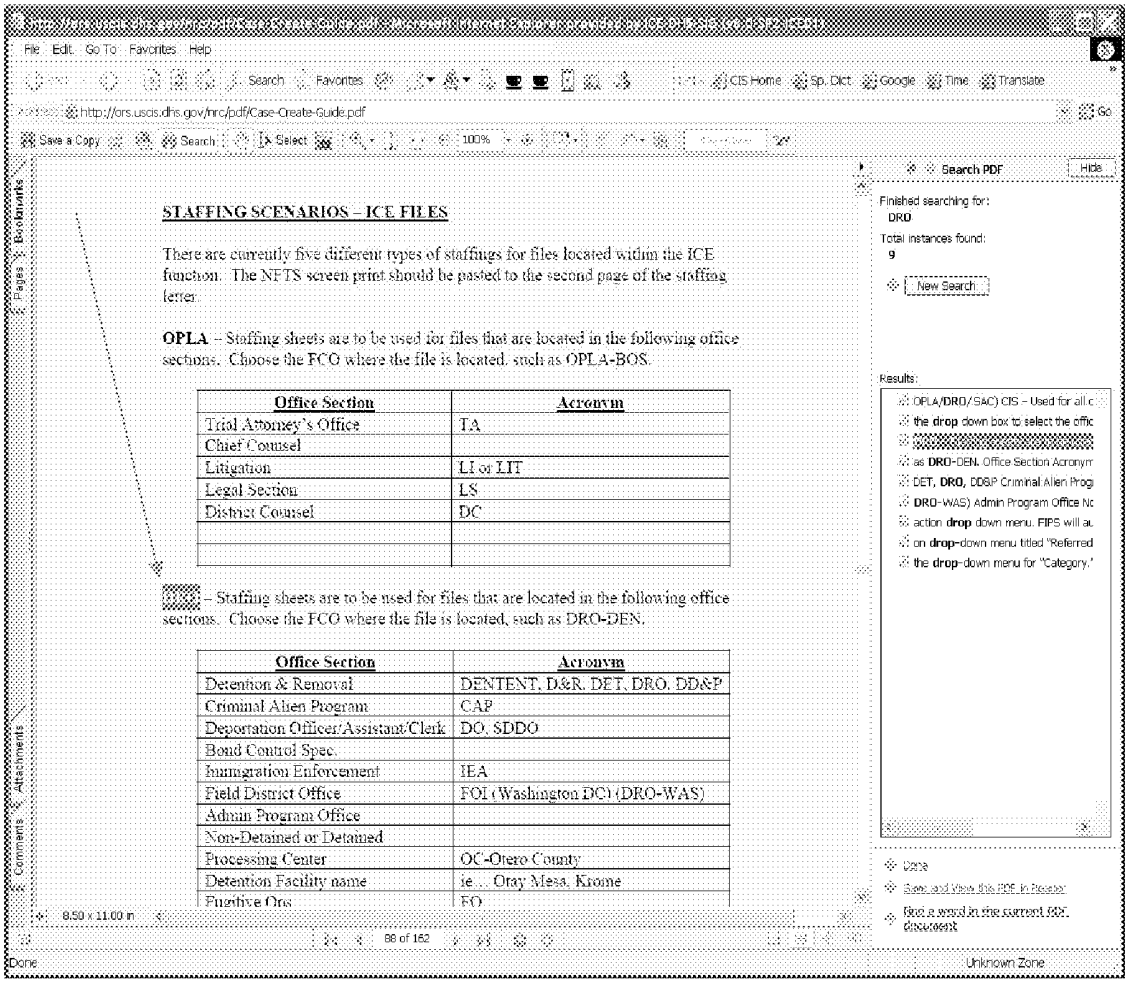
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OCC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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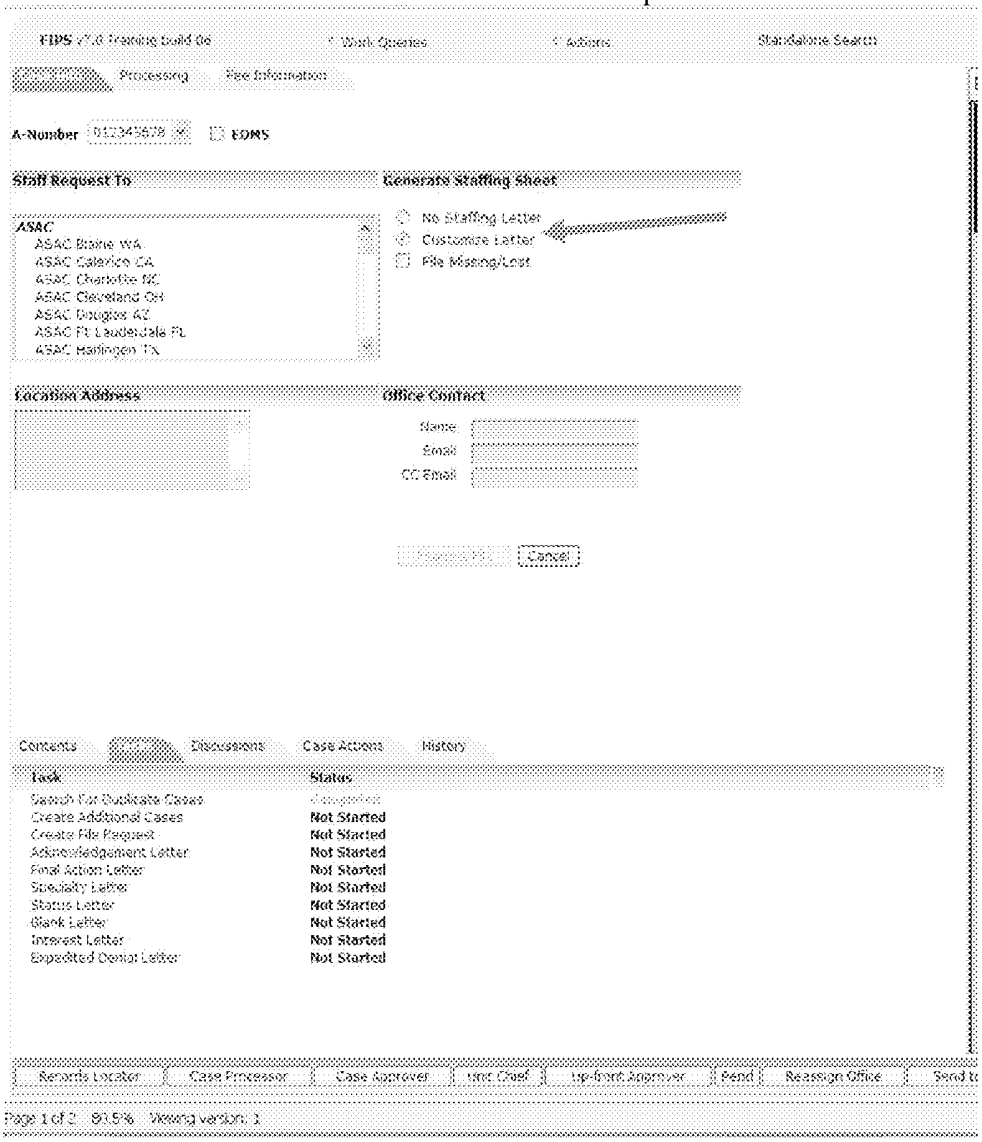
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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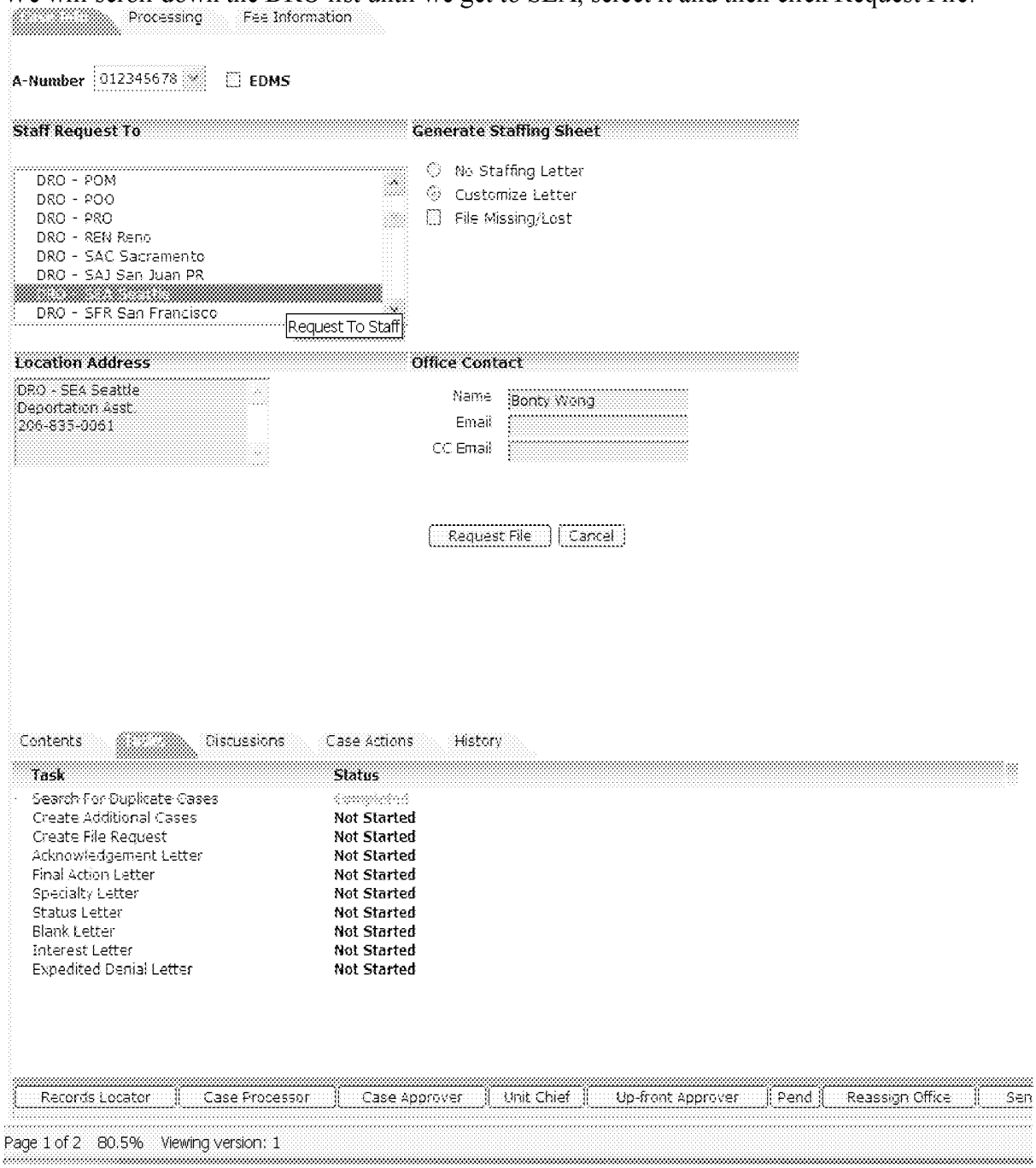
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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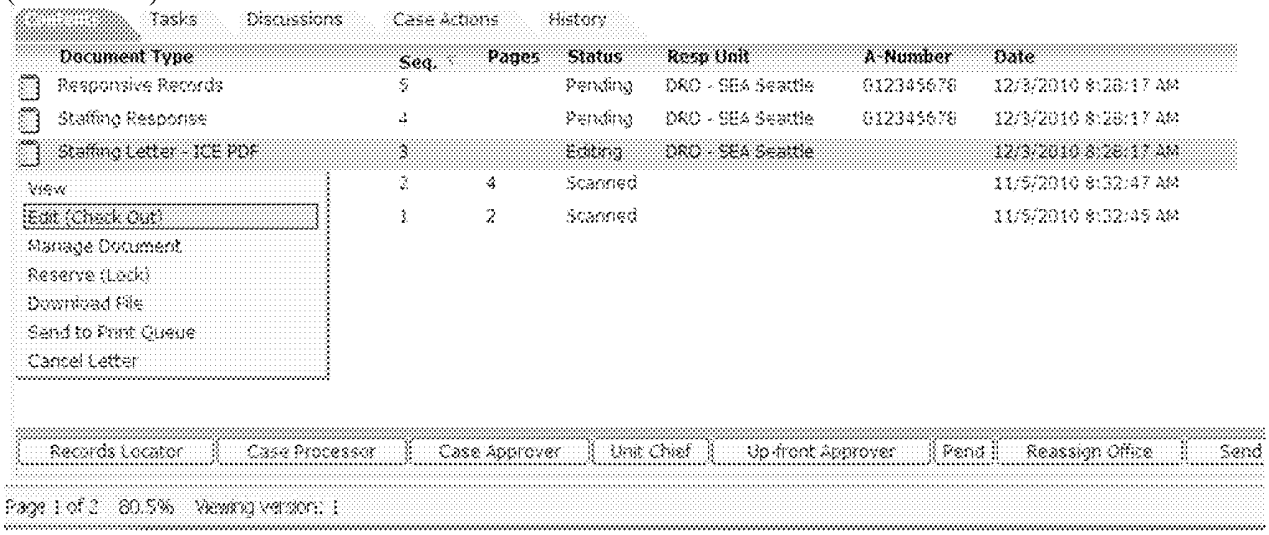
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."



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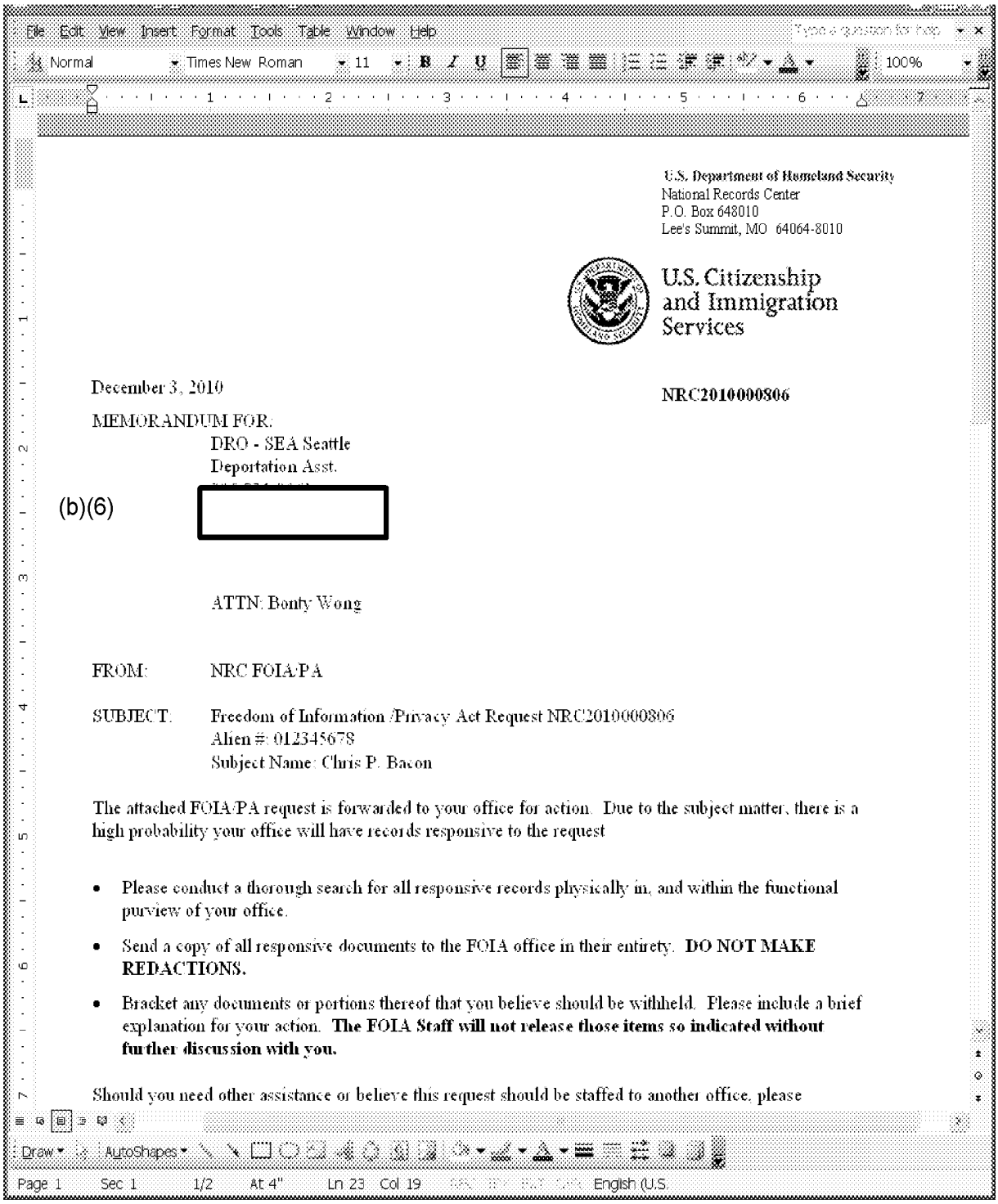
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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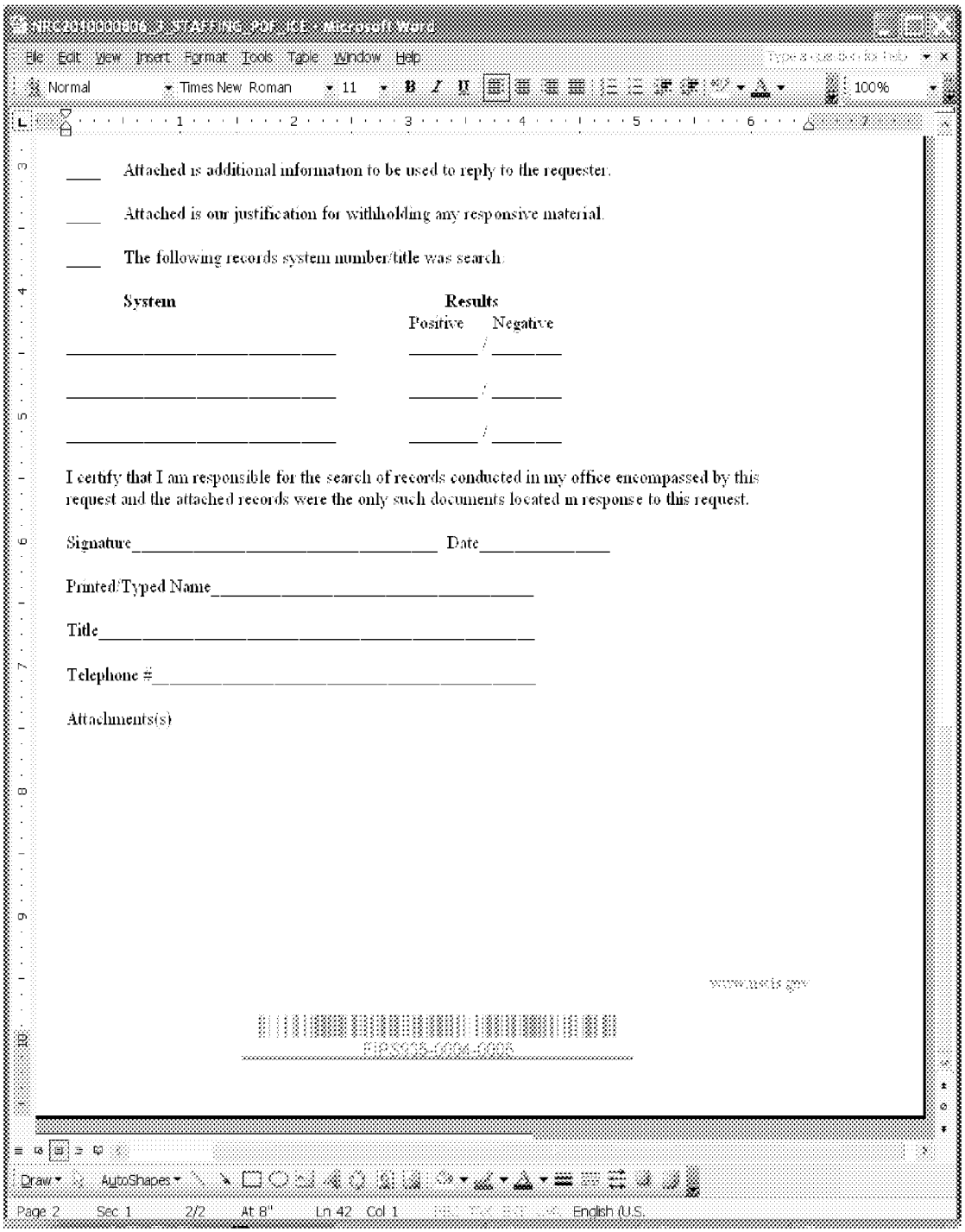
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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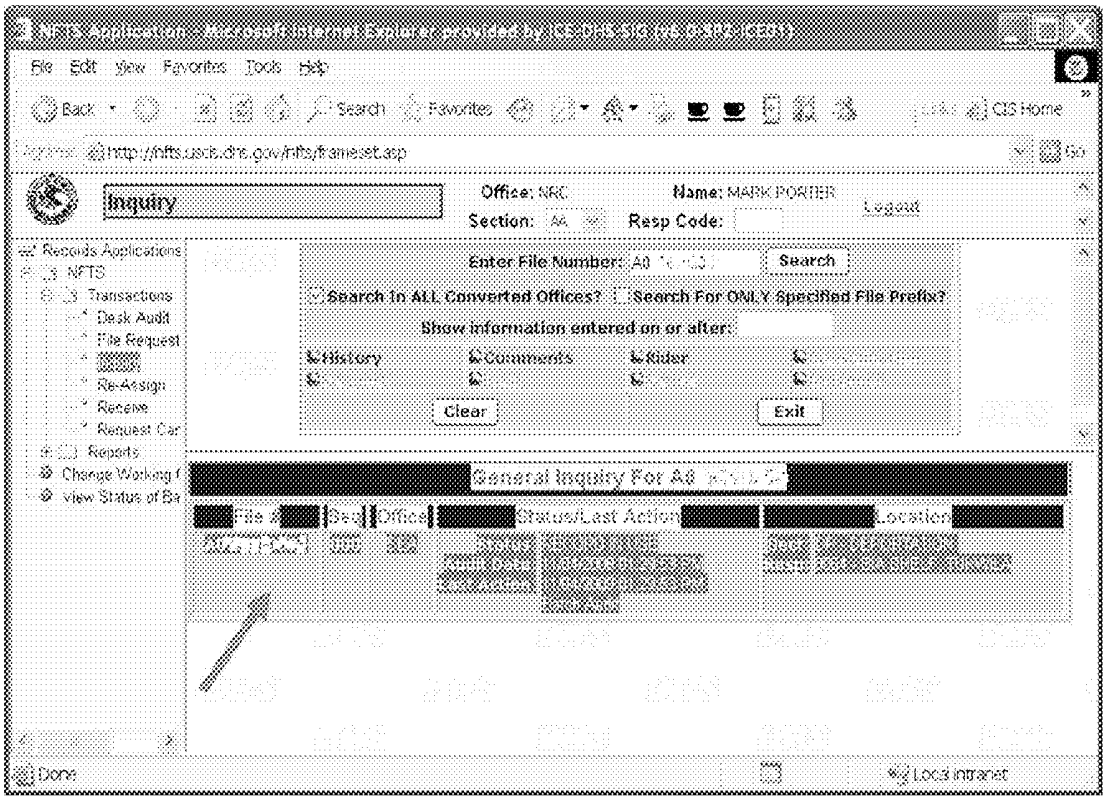
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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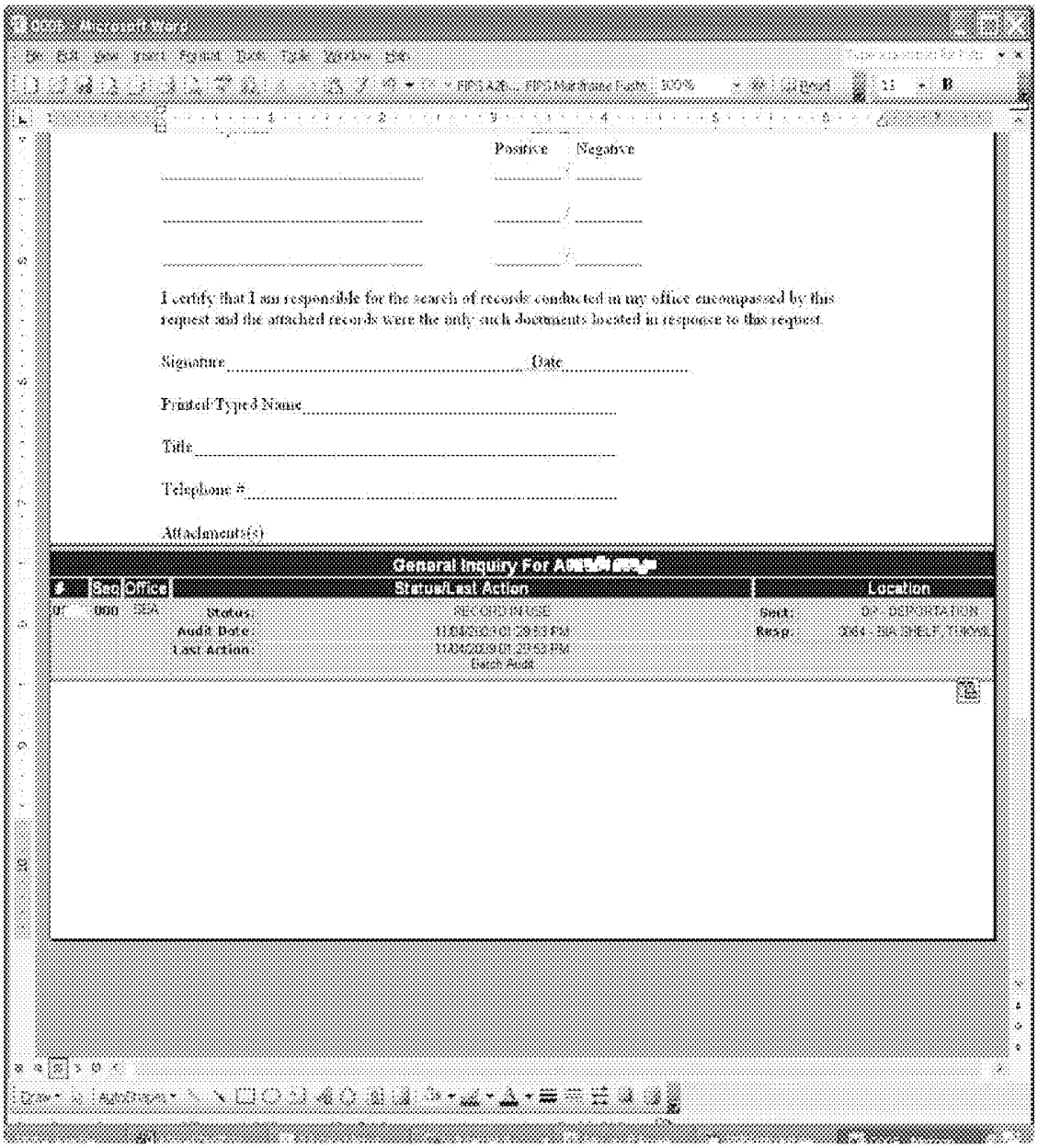
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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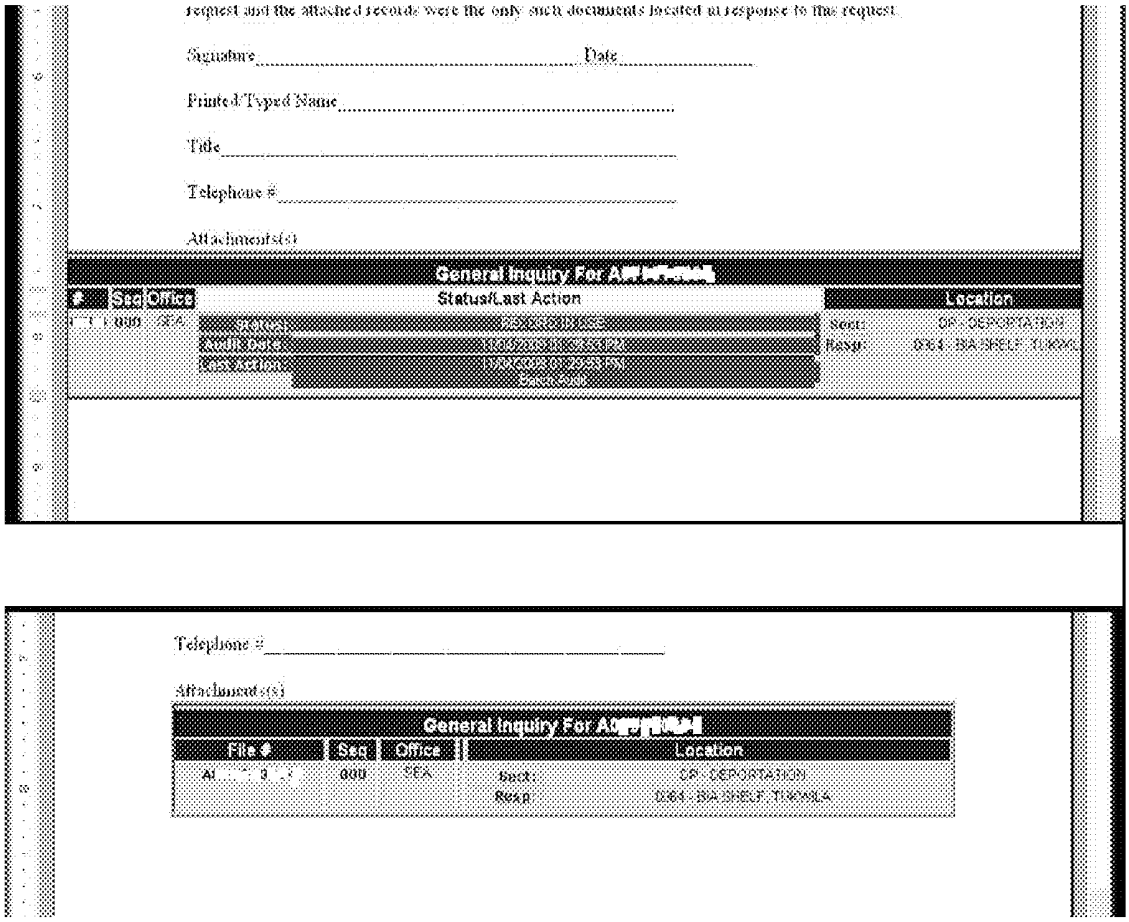
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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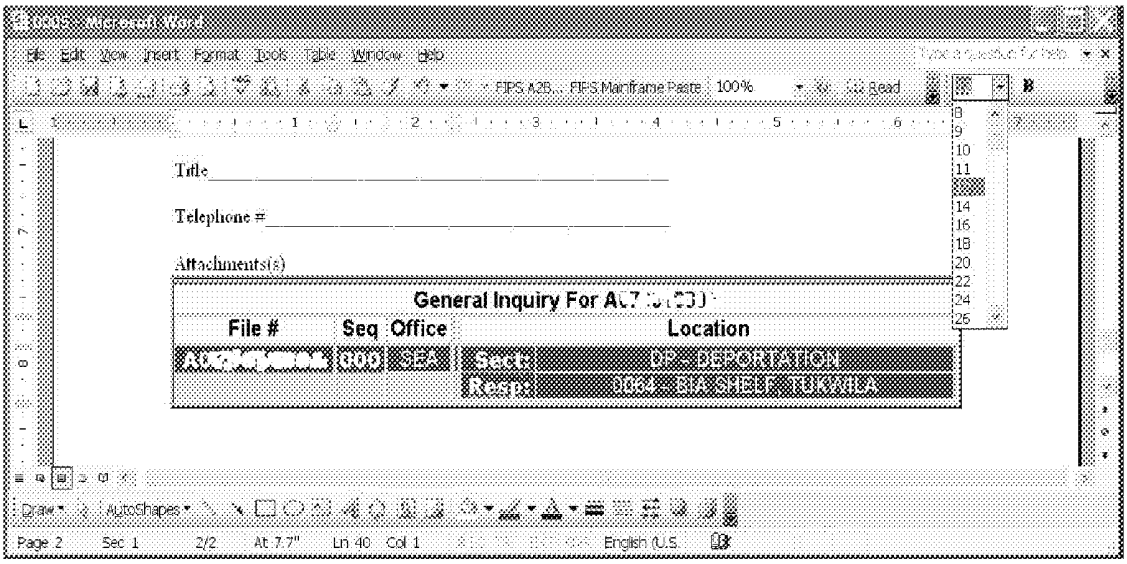
Next, highlight the whole area and change the font size to 12.



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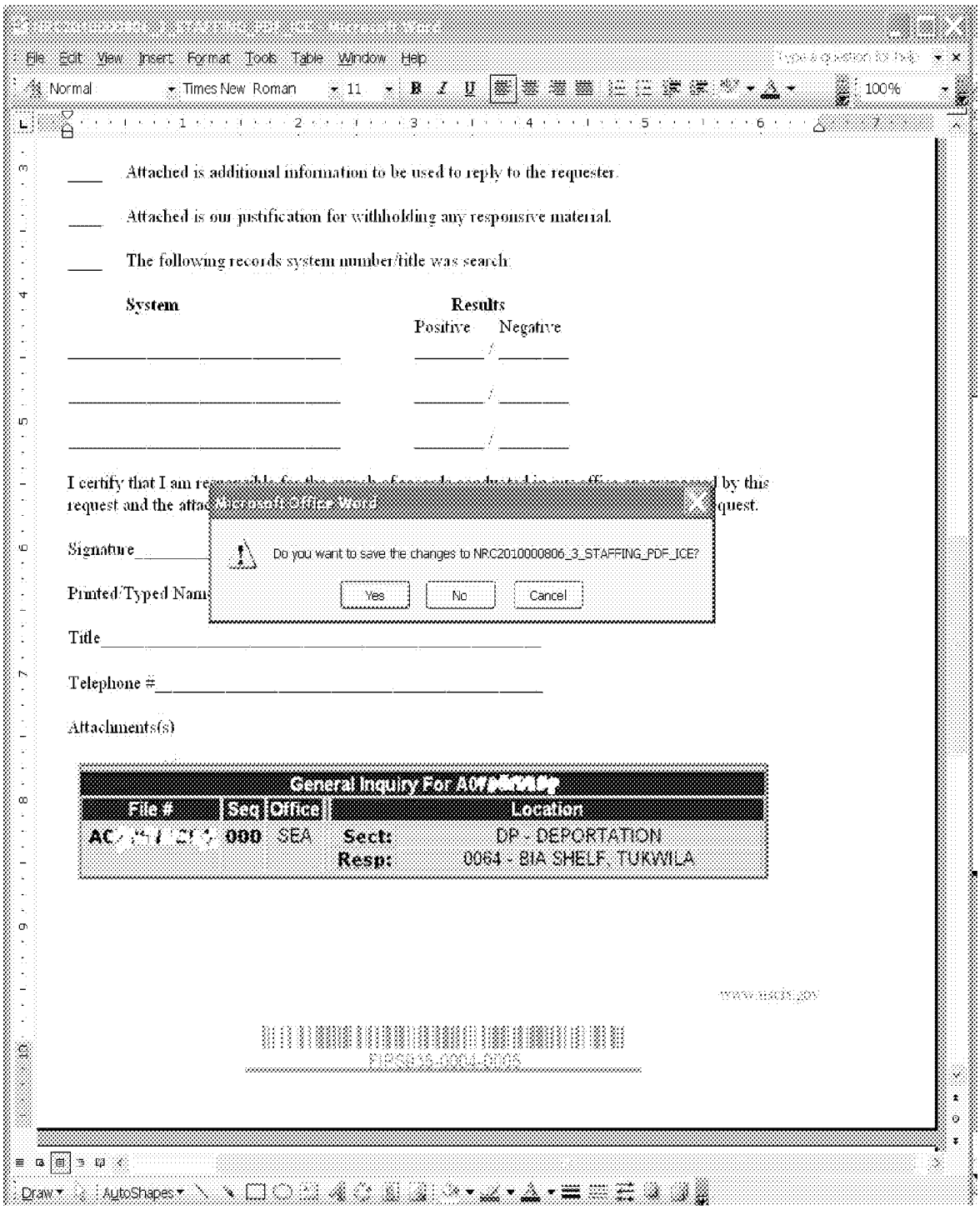
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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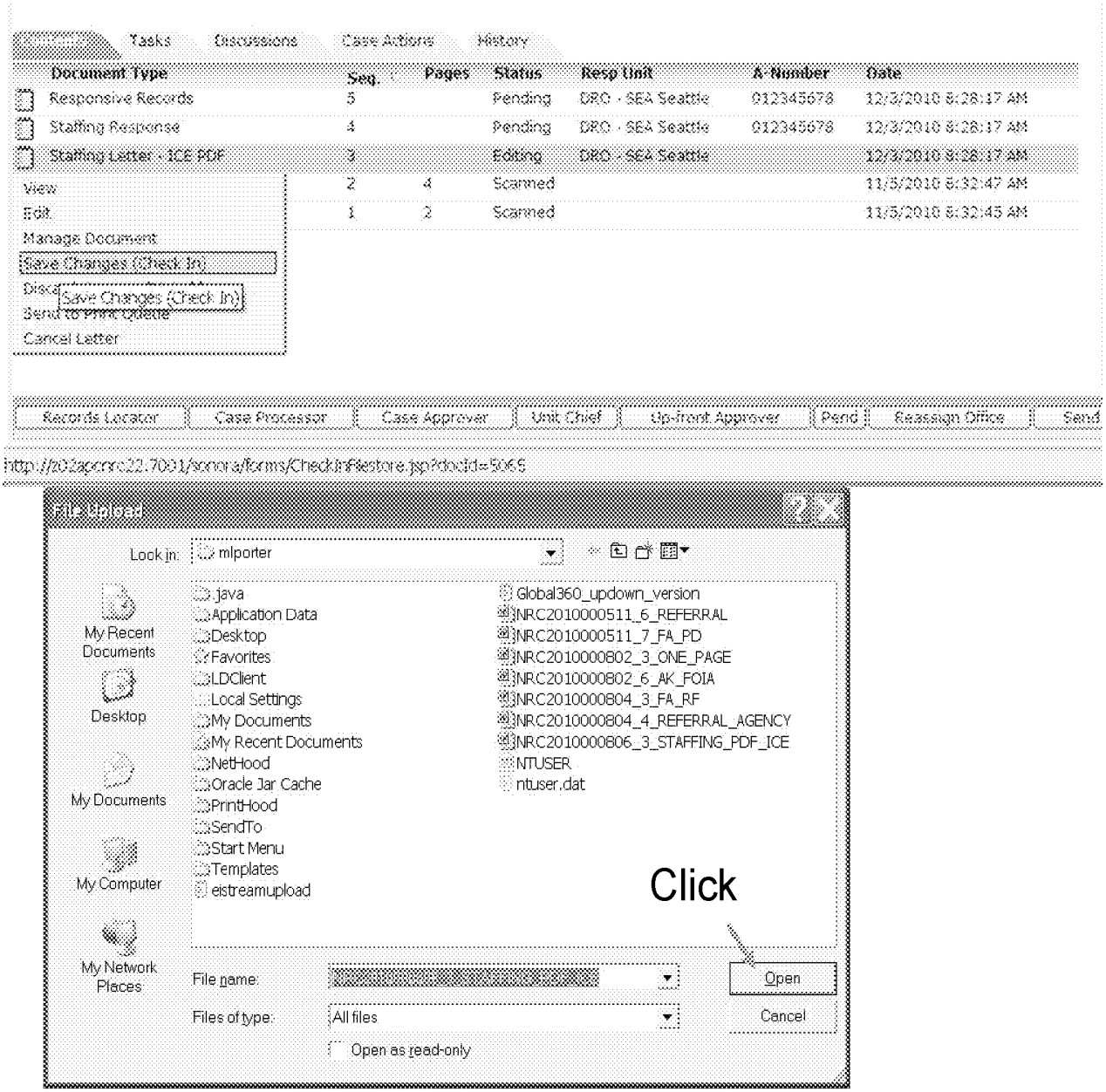
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

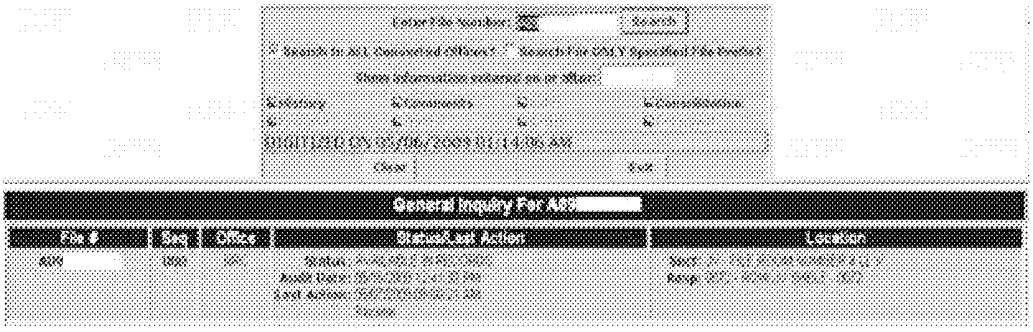
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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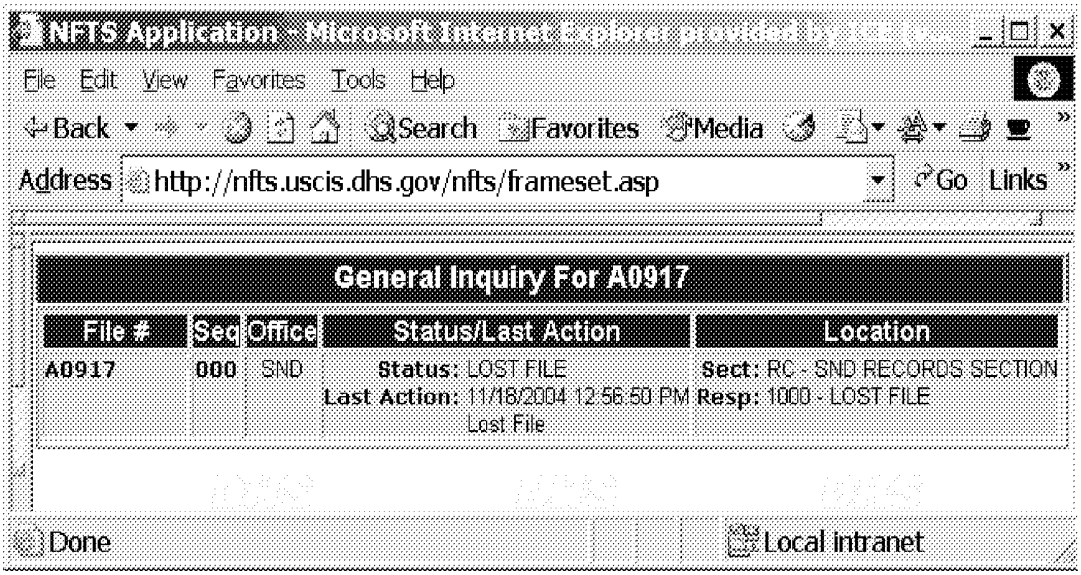
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

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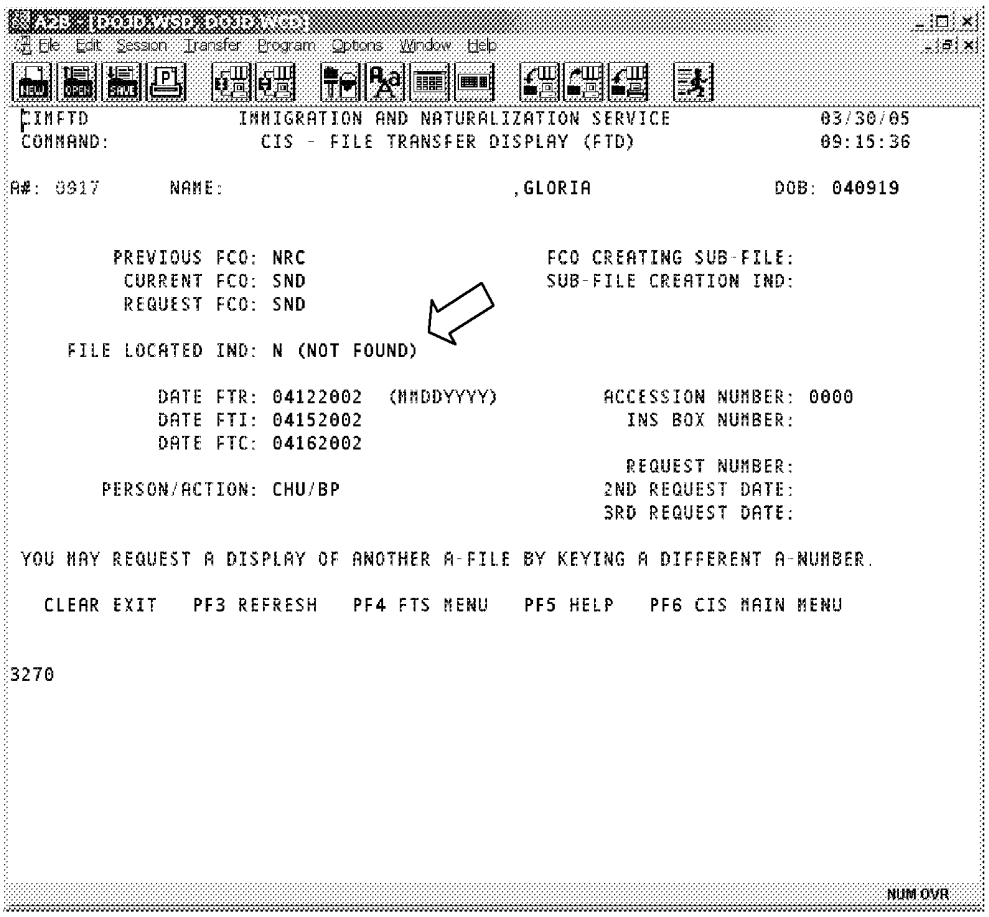
If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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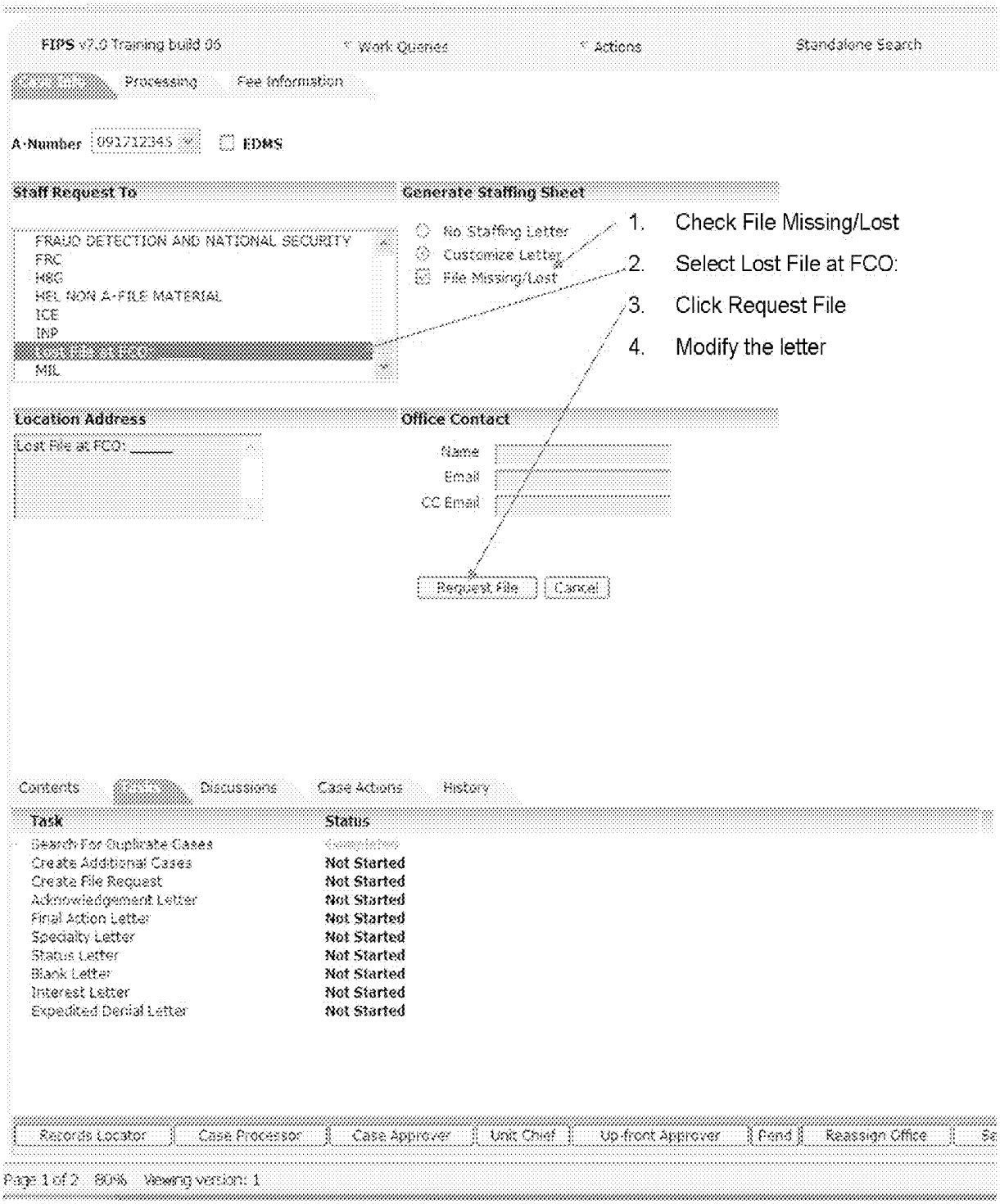

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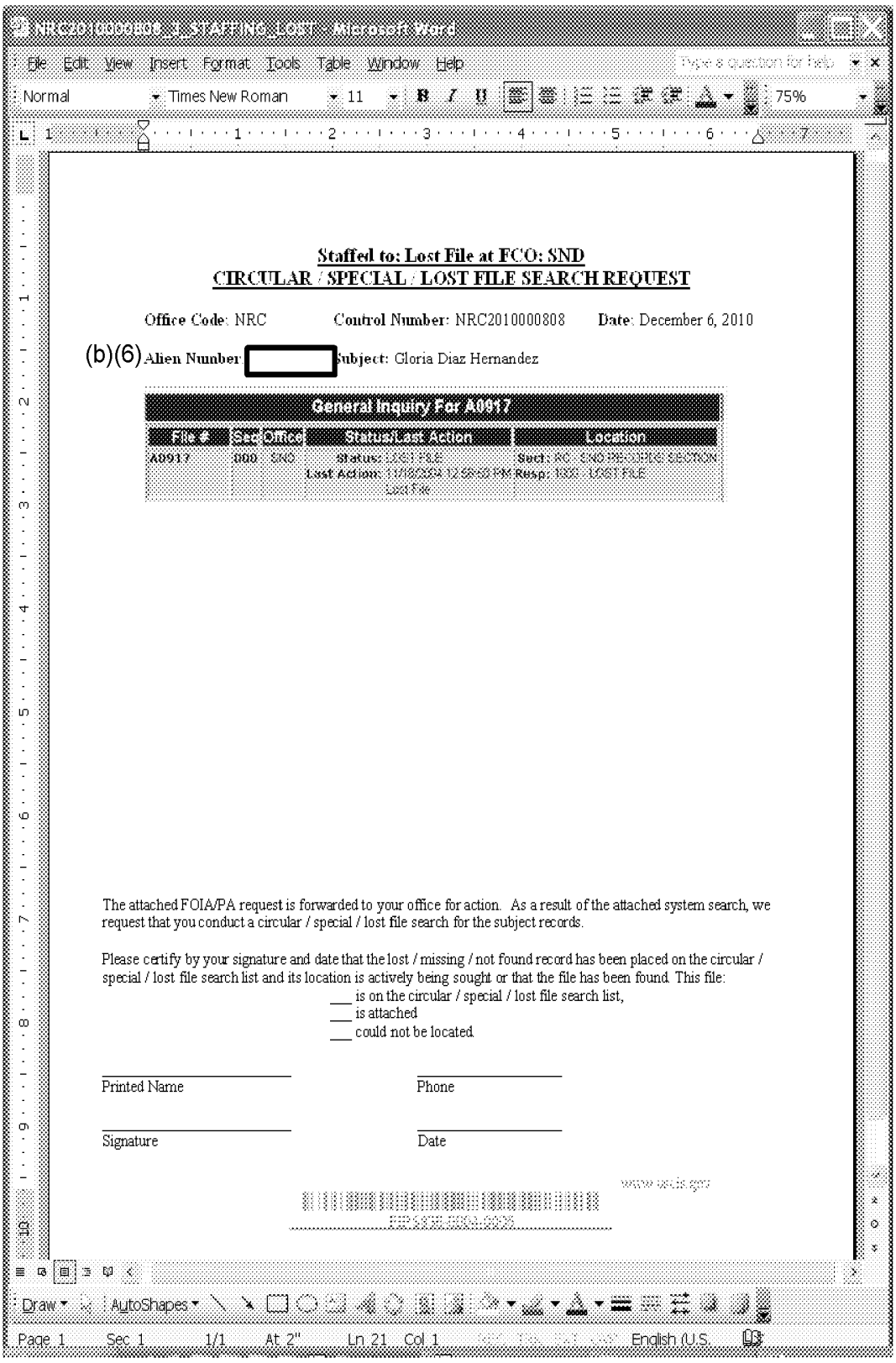

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

(b)(6) **Alien Number**: [redacted] **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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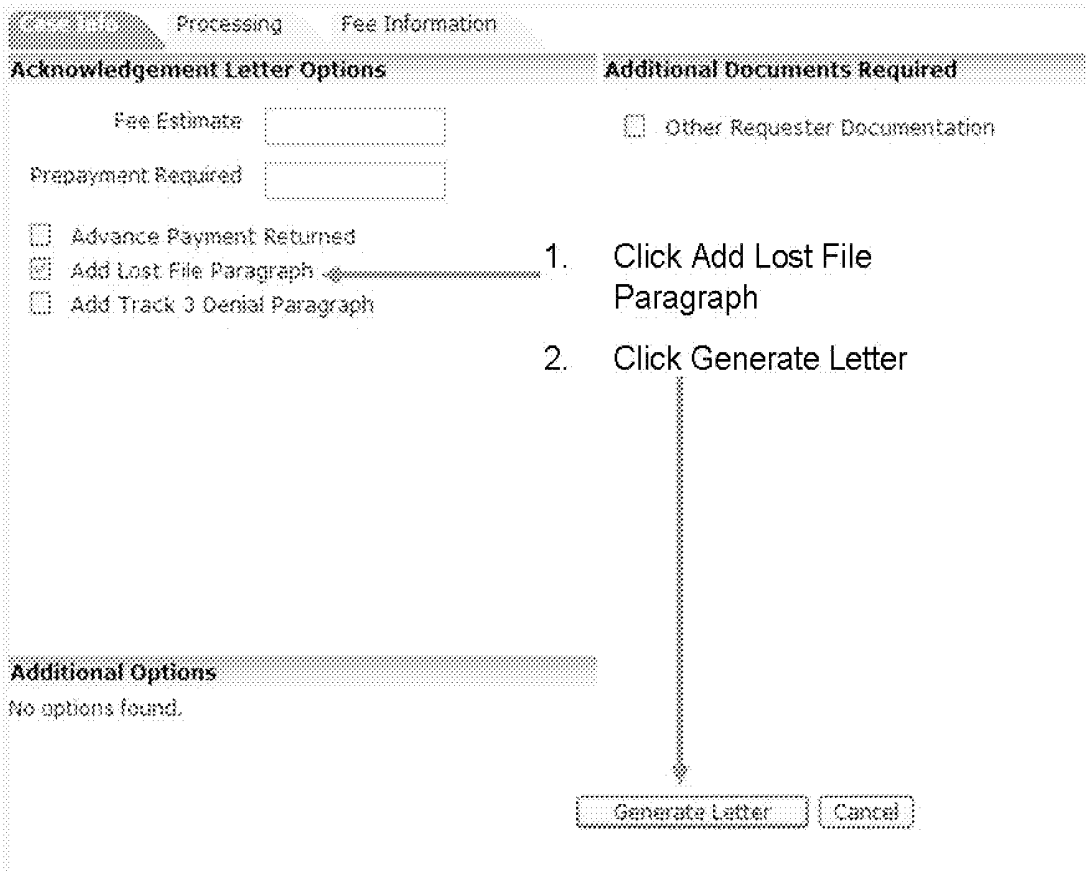

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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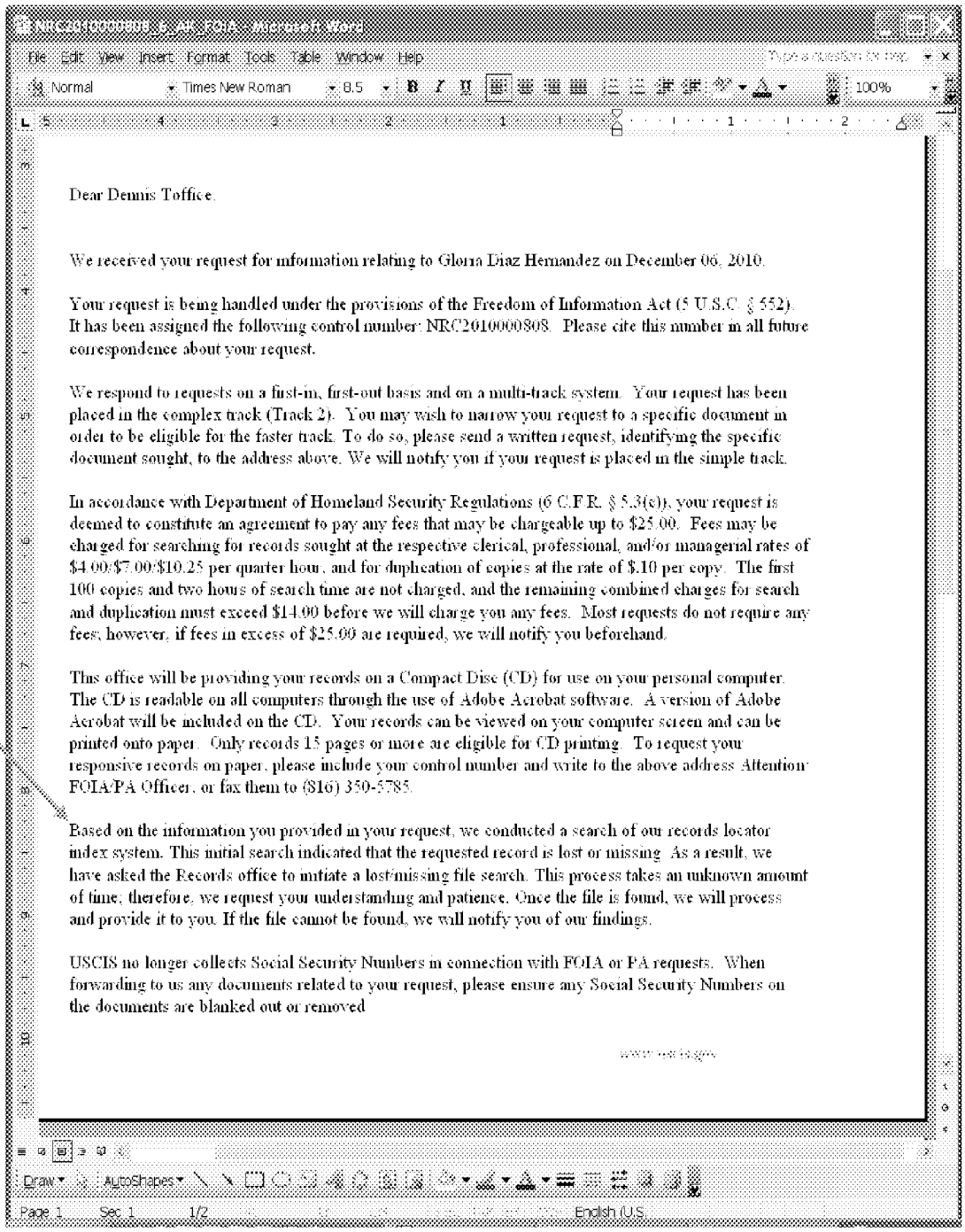

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or RNACS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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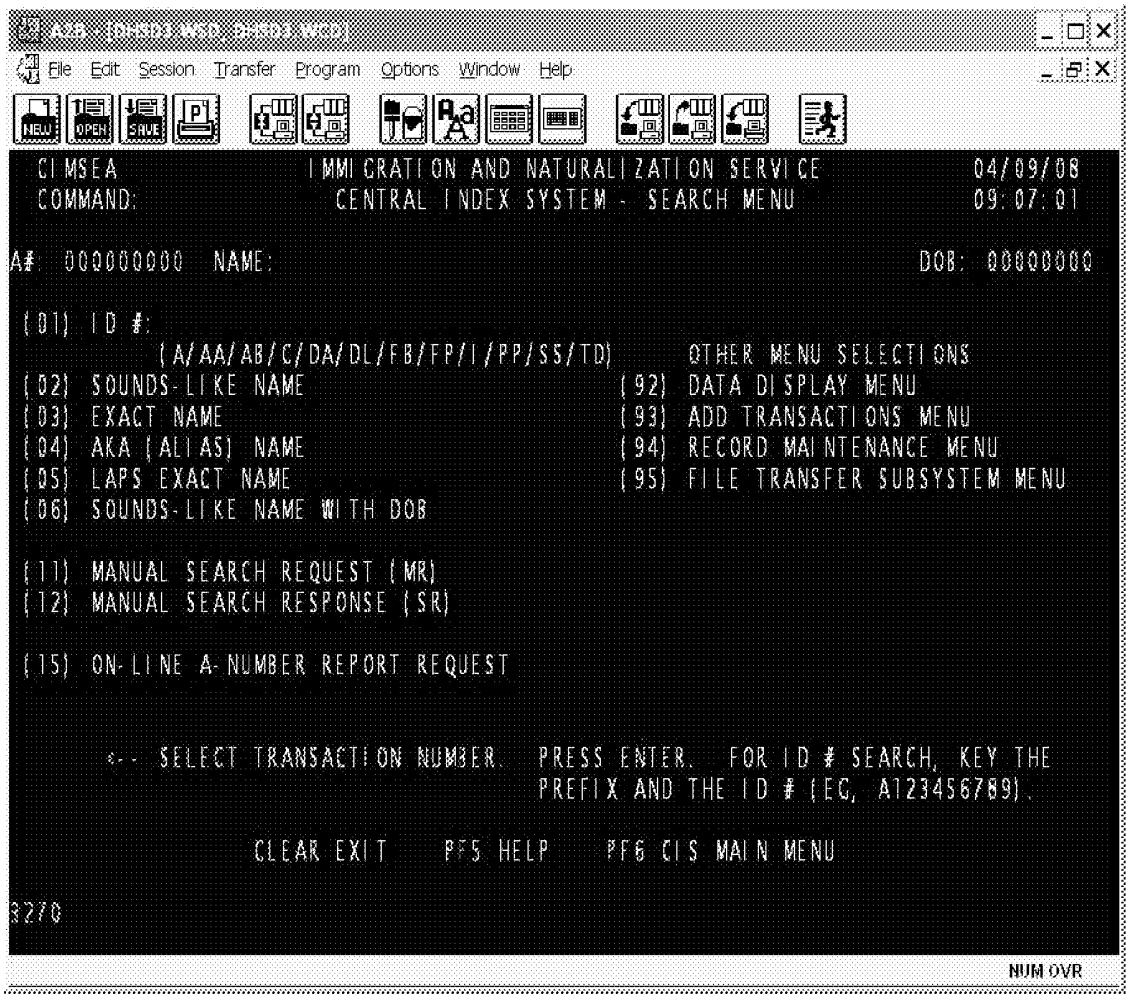

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers **(ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, (b)(6) [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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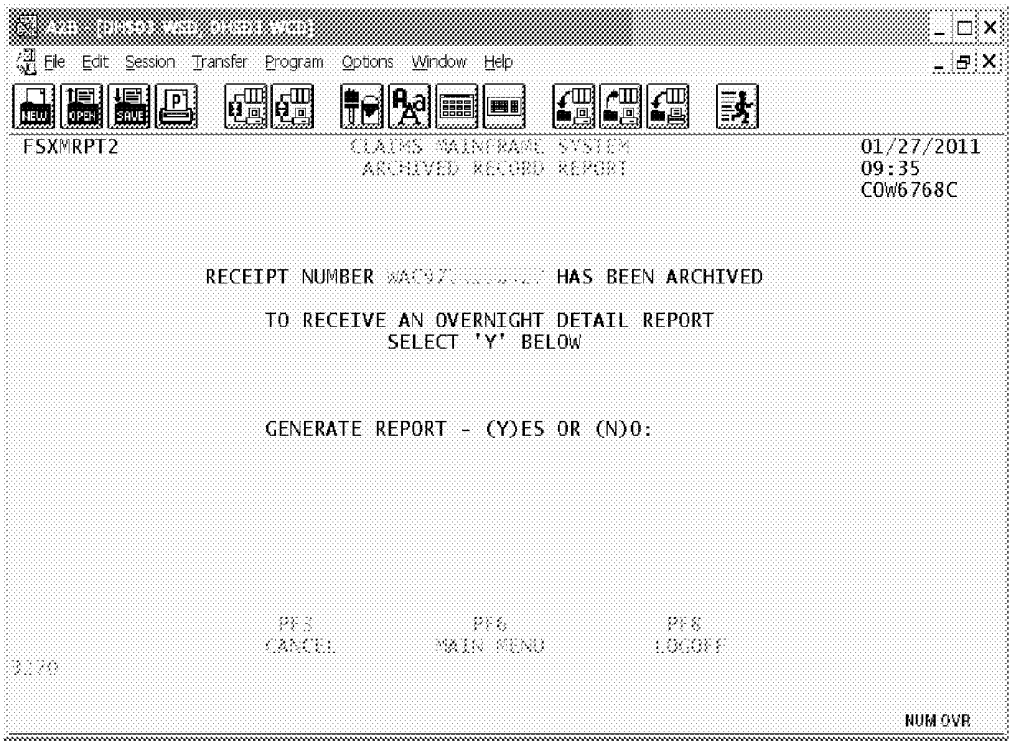
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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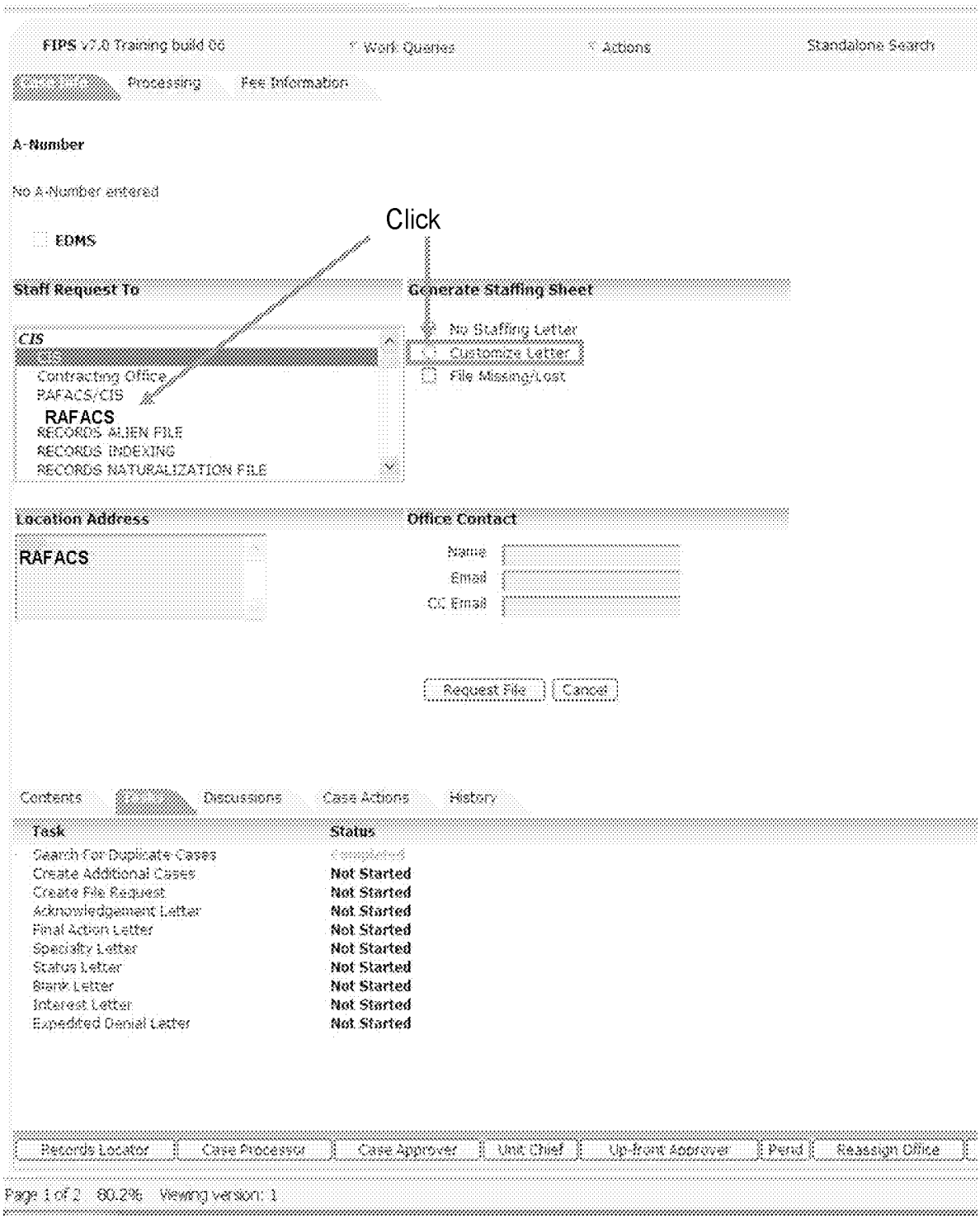

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
TO
JUN 08 2009
F.C.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
_____ is attached
_____ could not be located.

Printed Name Phone

WAC93

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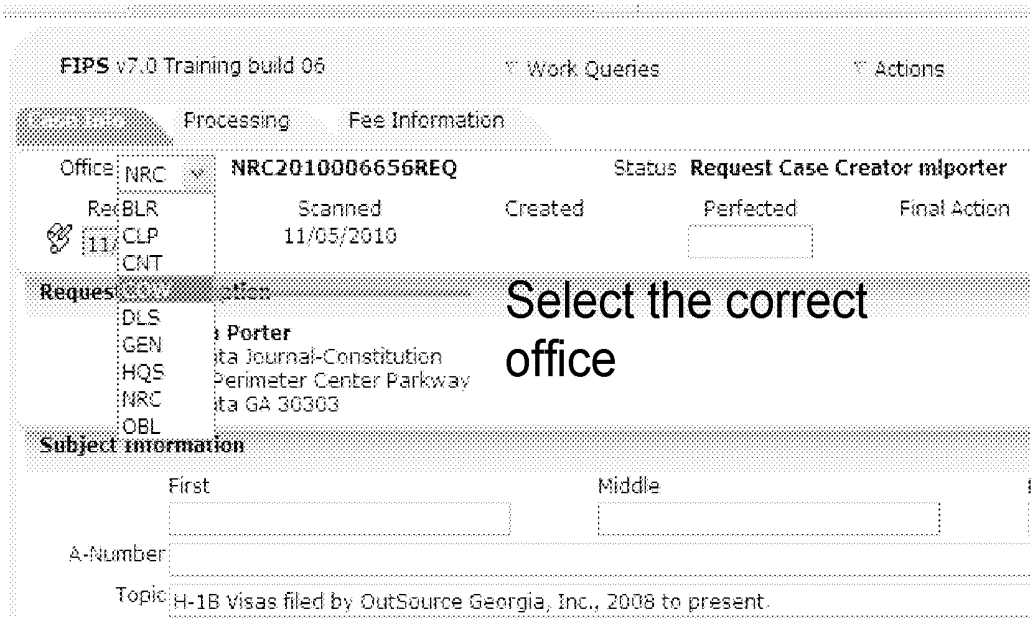
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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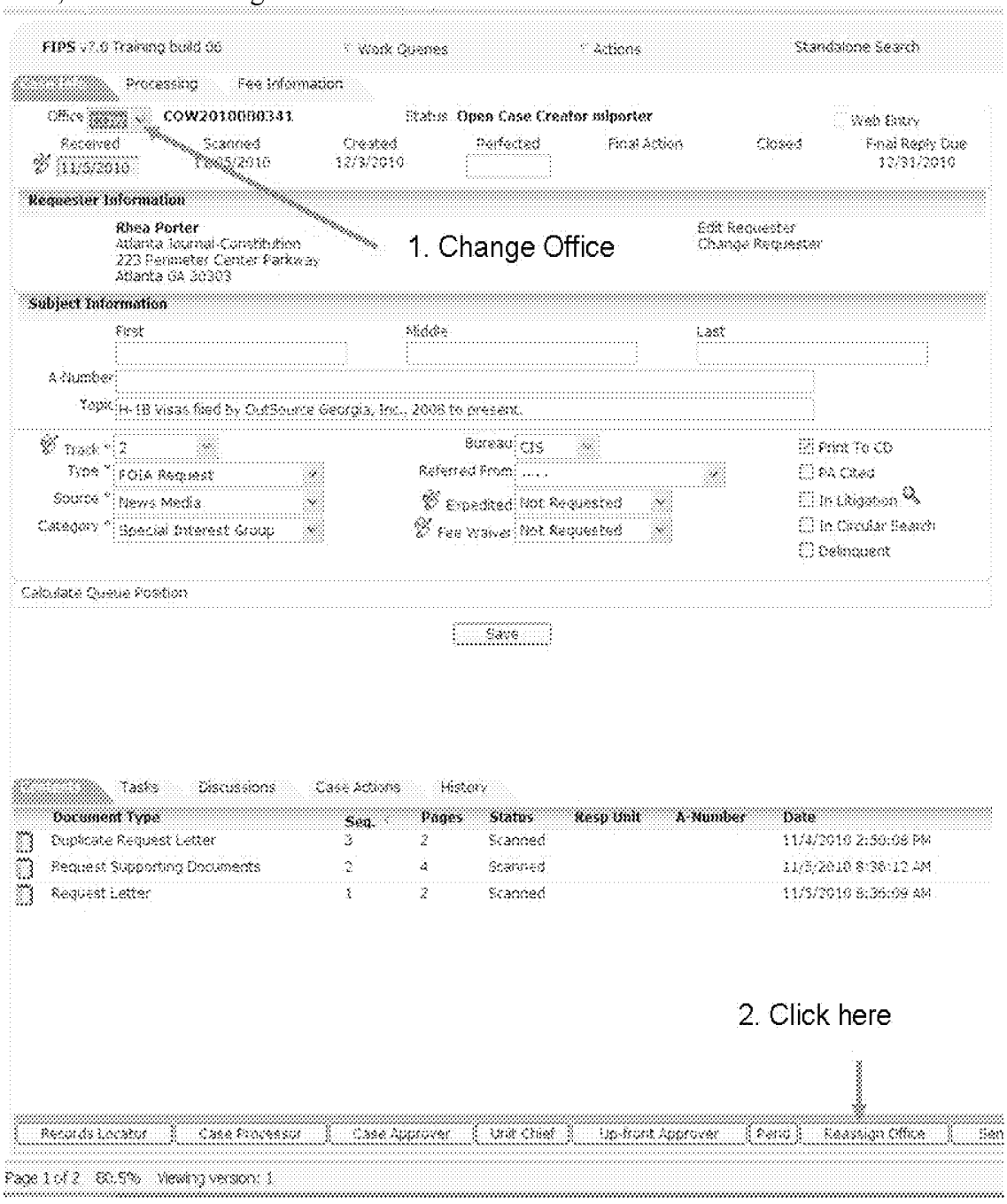
Next, click on "Reassign Office"



You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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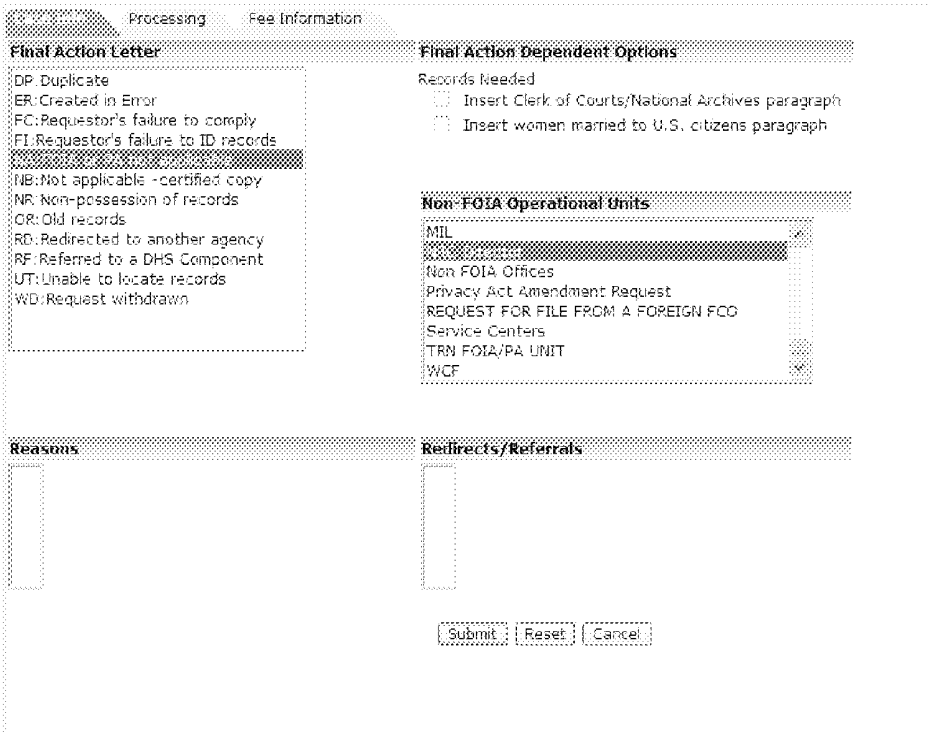
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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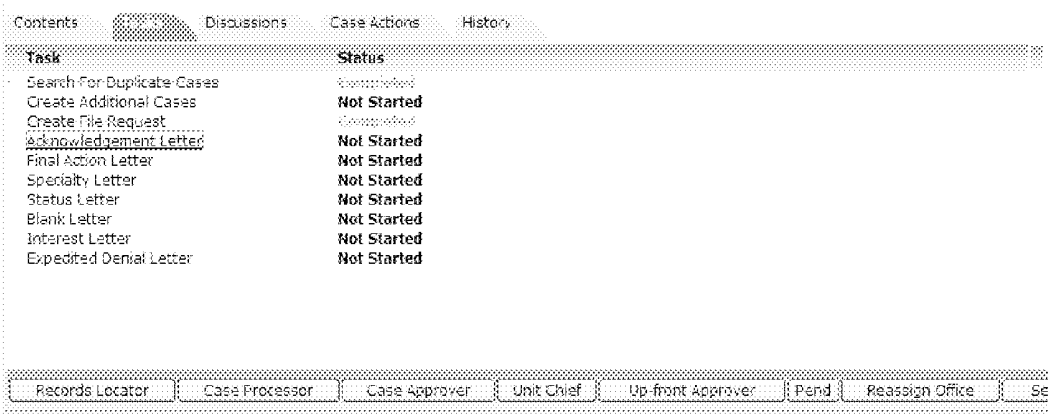
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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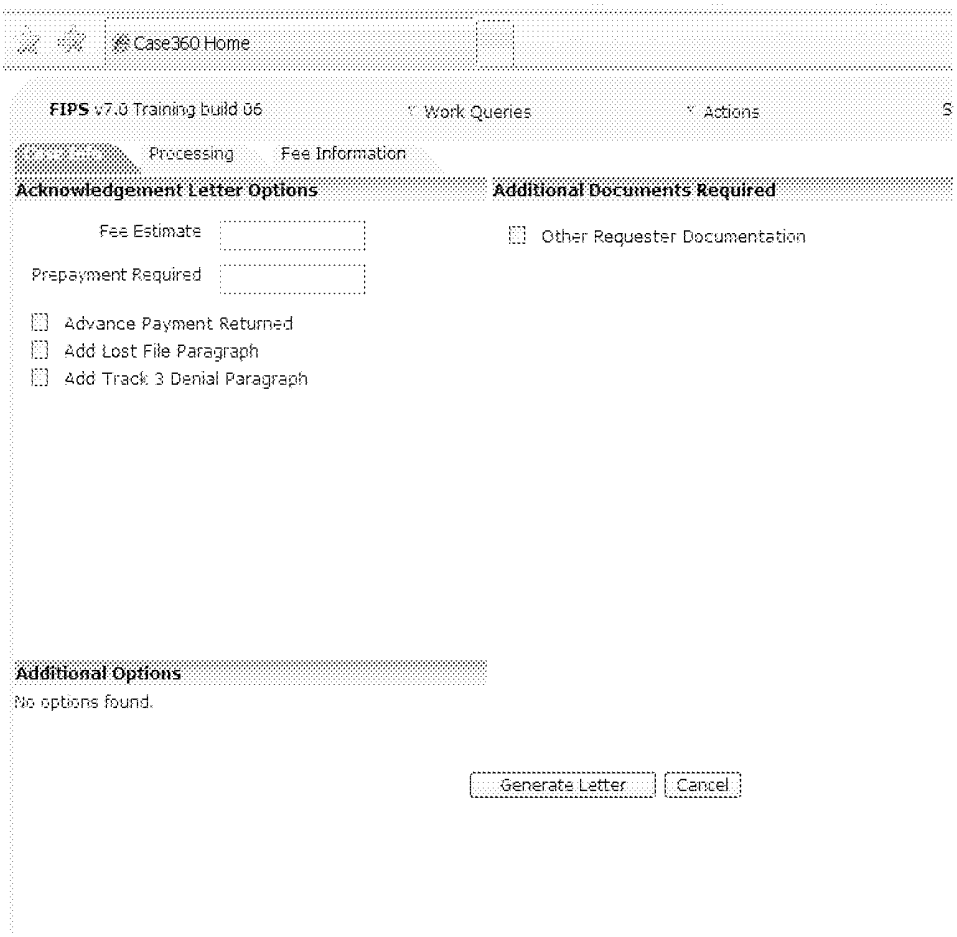
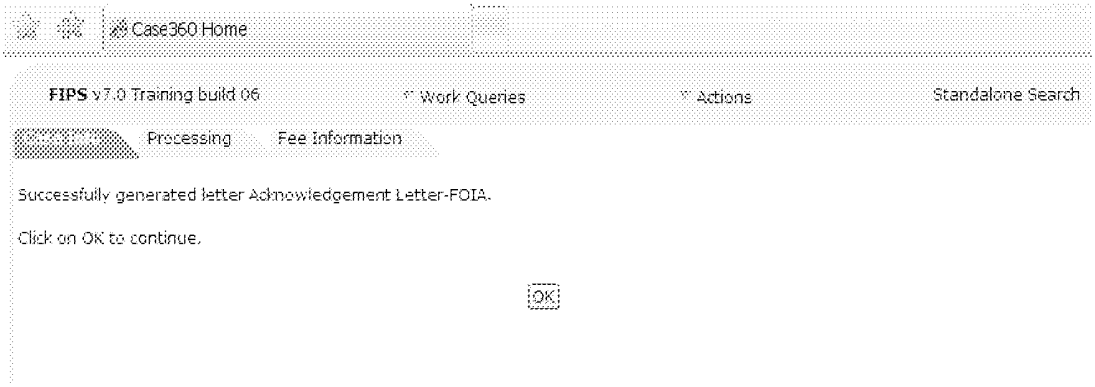


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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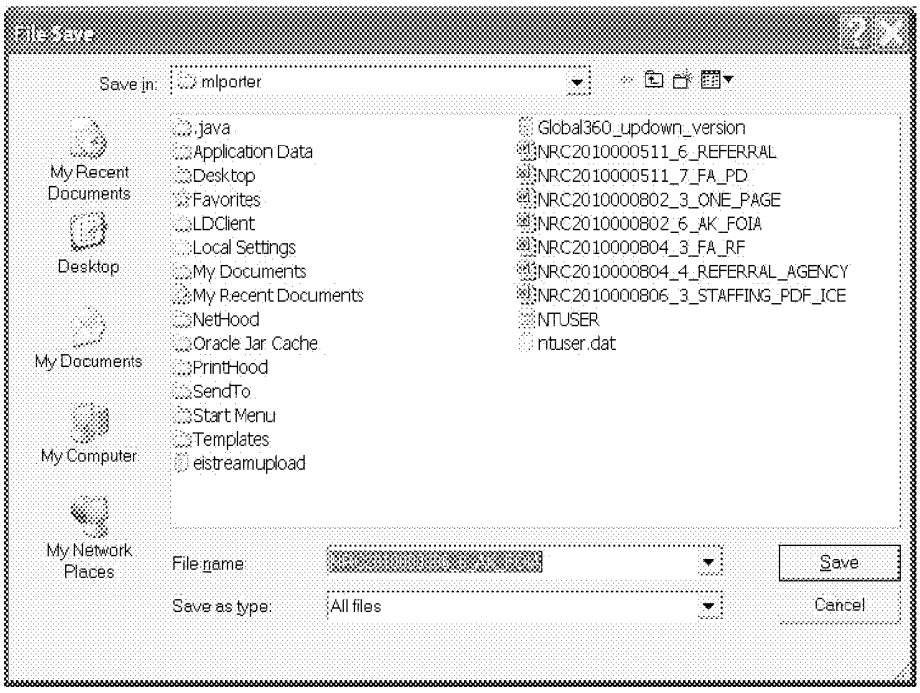

The acknowledgment letter will pop up:

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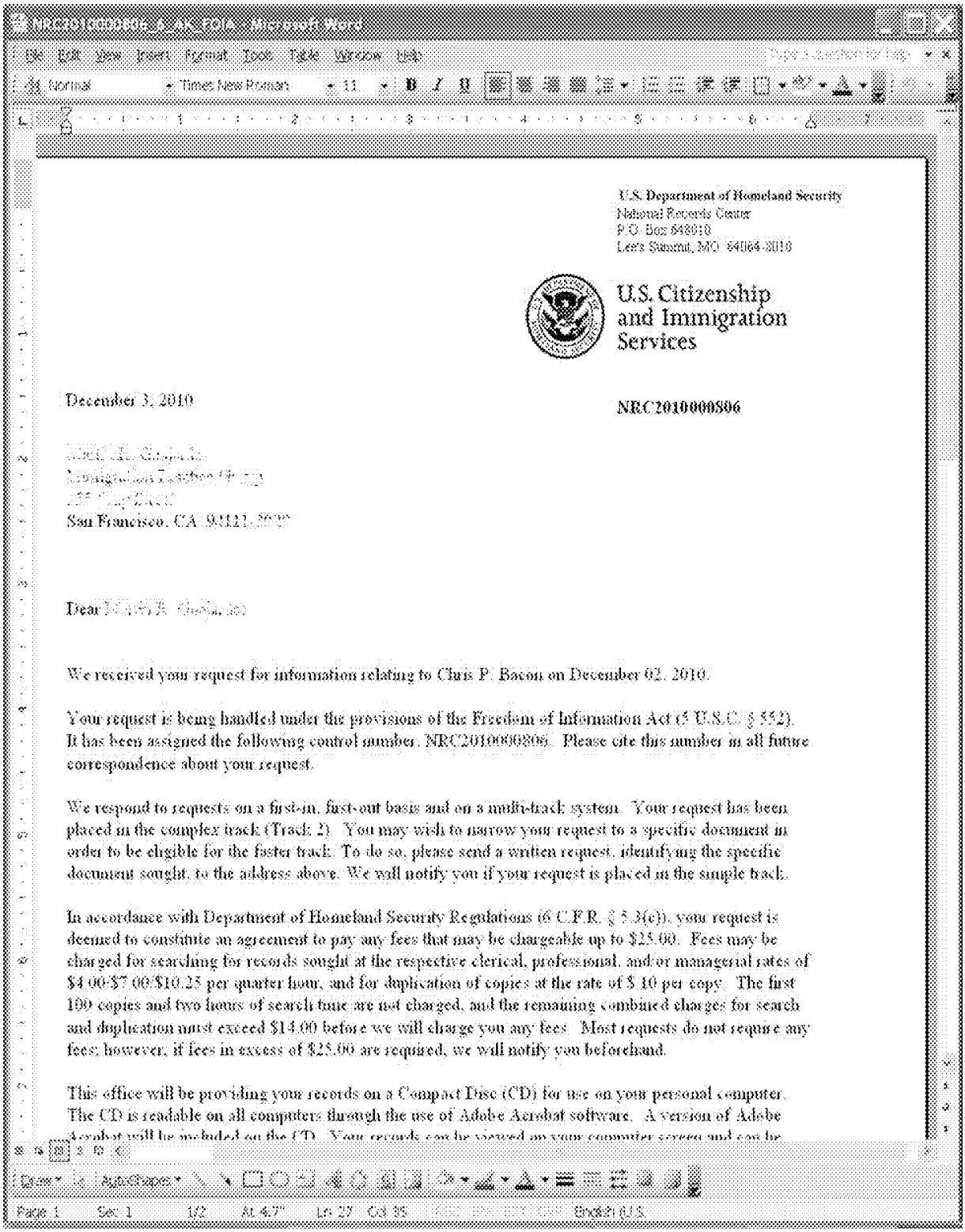

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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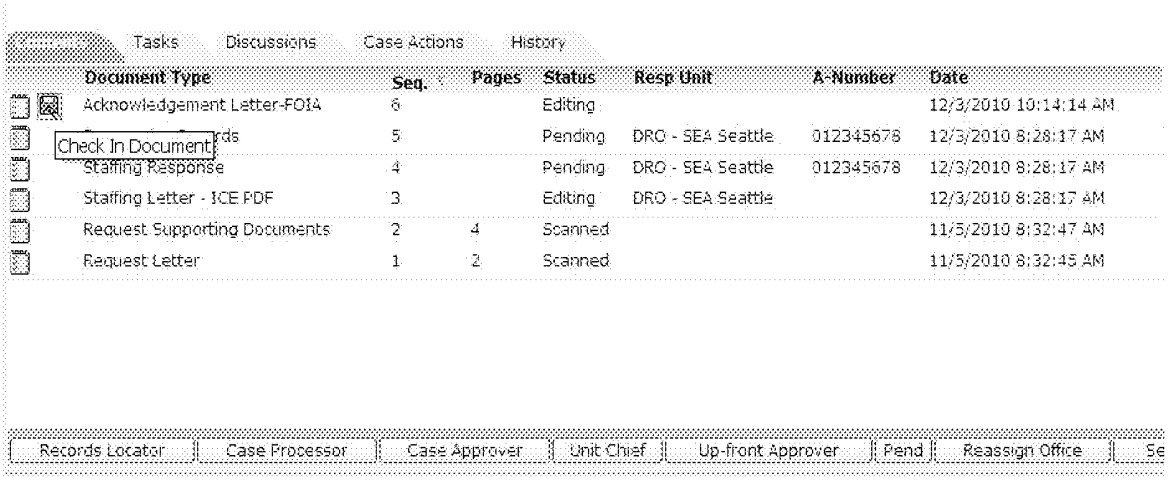
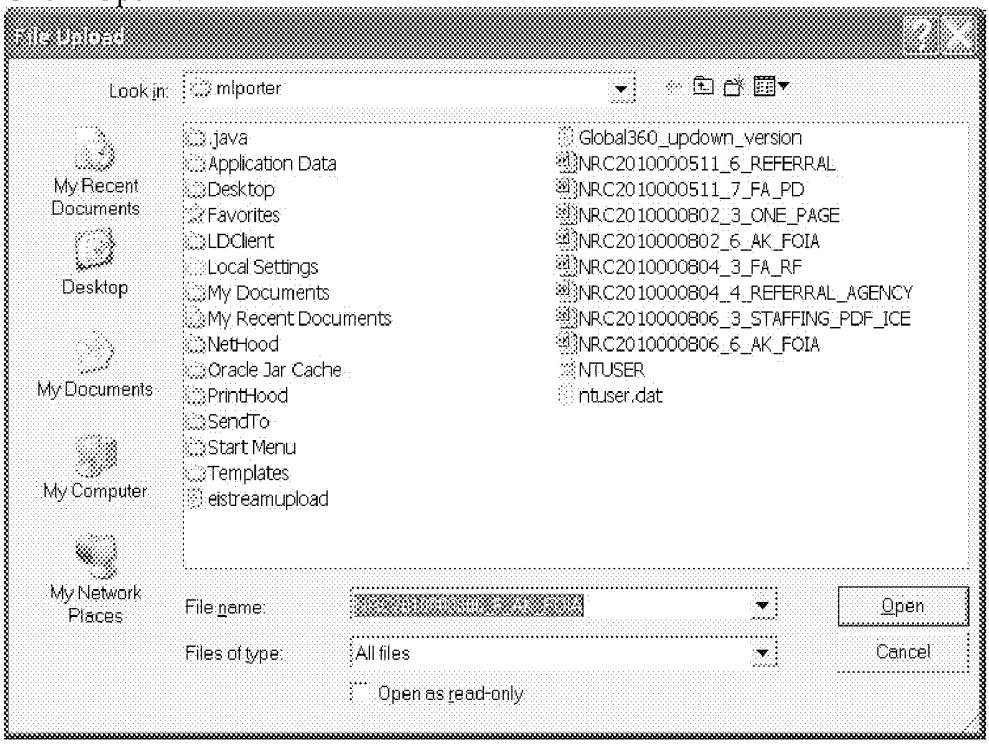


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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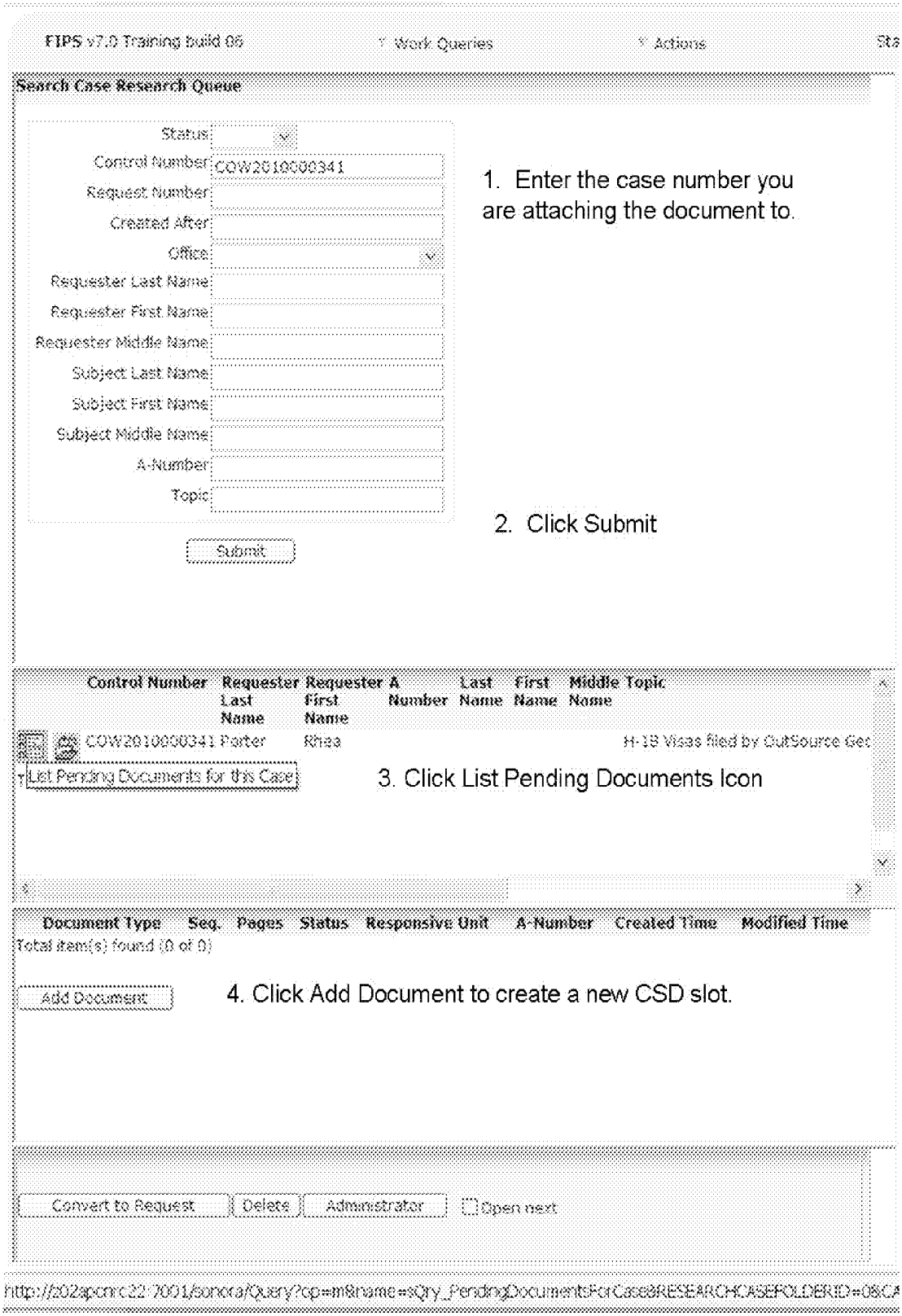

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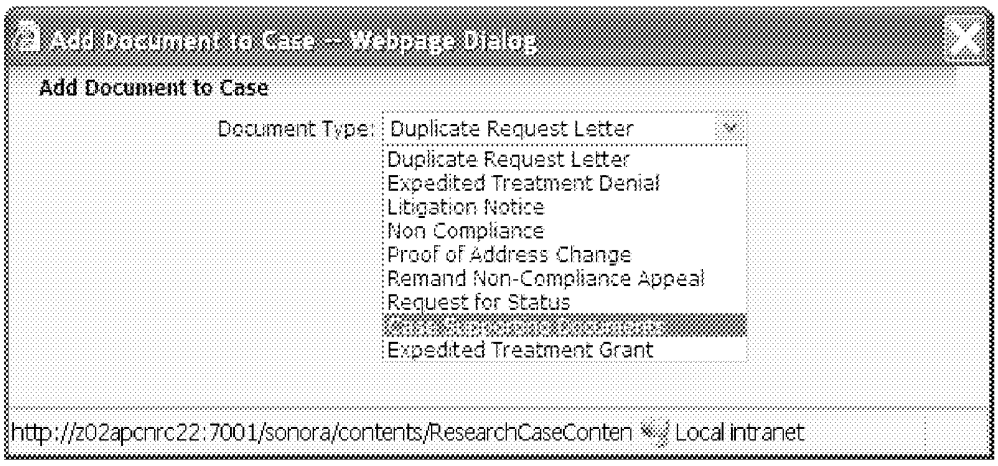

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

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4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper

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- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

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32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must

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then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

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32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot.

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However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

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34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

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Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Cuidad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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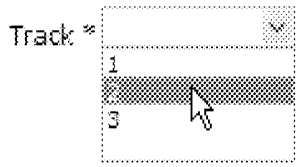
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

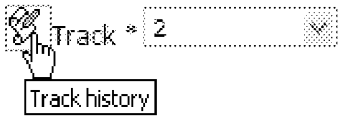
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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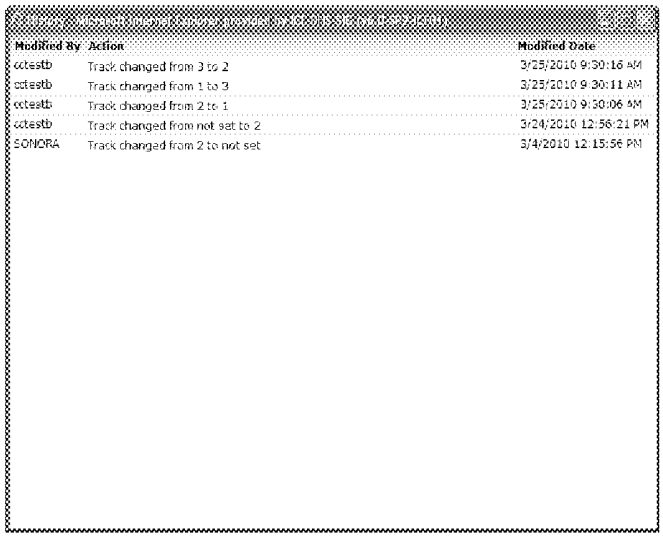
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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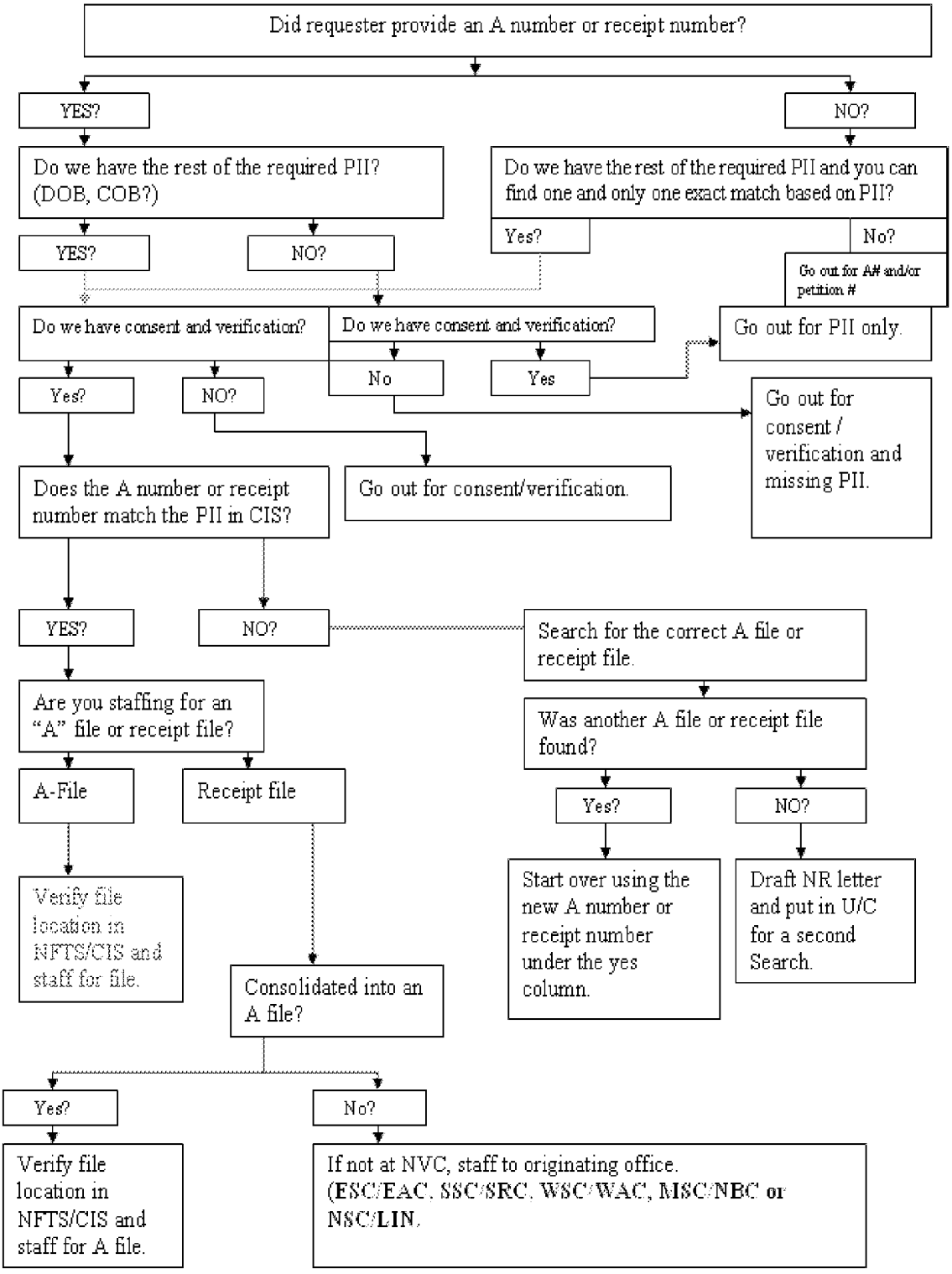
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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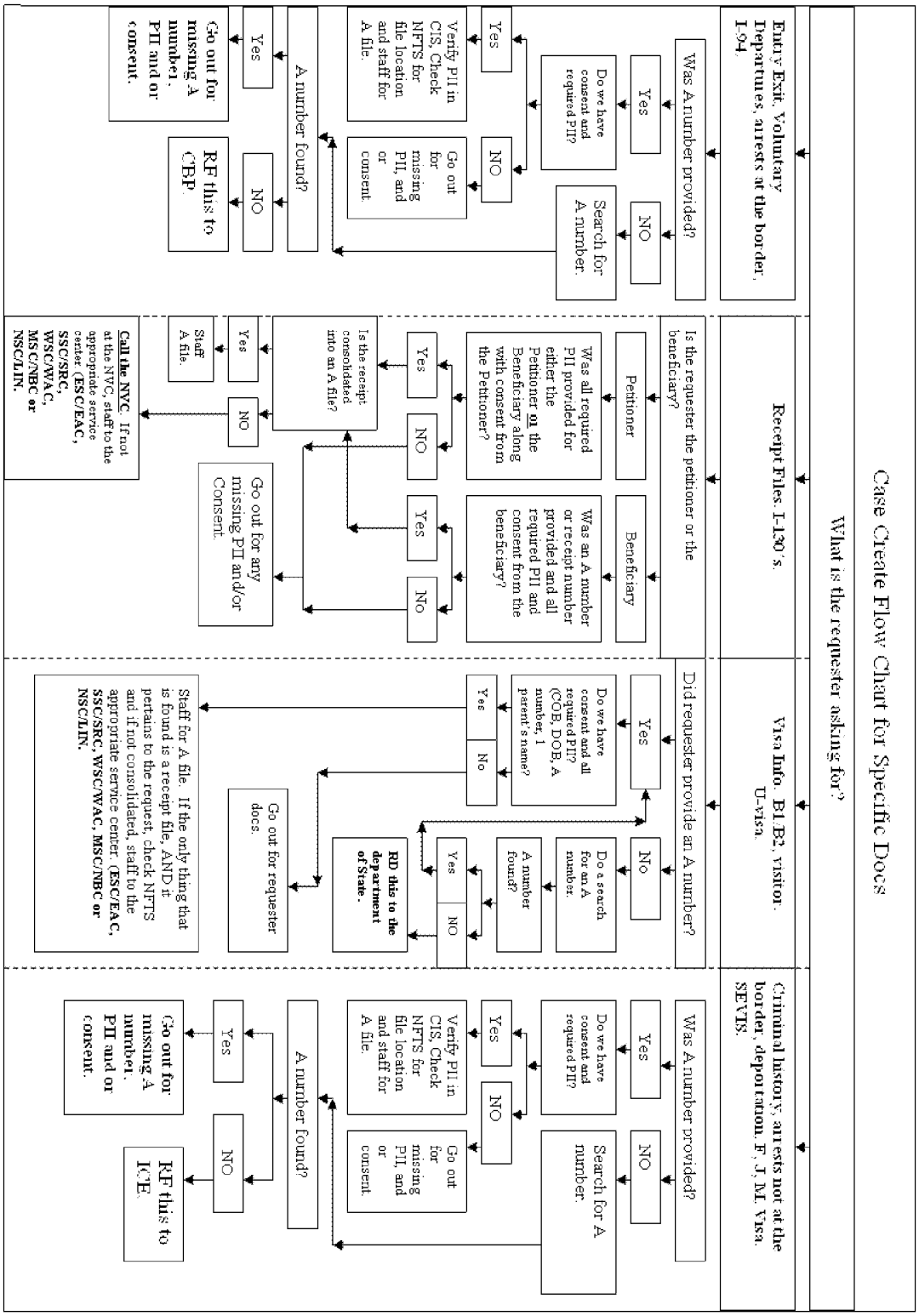

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APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-599-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 090-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-528-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSICAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSICAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSICAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSICAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSICAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSICAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSICAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSICAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSICAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSICAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSICAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSICAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

(b)(6) **12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information.*" Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information":

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- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

October 24, 2011

We have added a sentence to **Paragraph 8.21**, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

Paragraph 32.12 is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

> **32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

We have added a sentence to **Paragraph 34**, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

Paragraph 36 is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

[The following paragraph has been deleted in its entirety] Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

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Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** has been changed as follows (~~old version in strikethrough~~) (new version in red):

~~Just before you create the case,~~ Before you begin filling in the worksheet, you should look for duplicates.

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the *FOIA/PA Assistant's Guide*

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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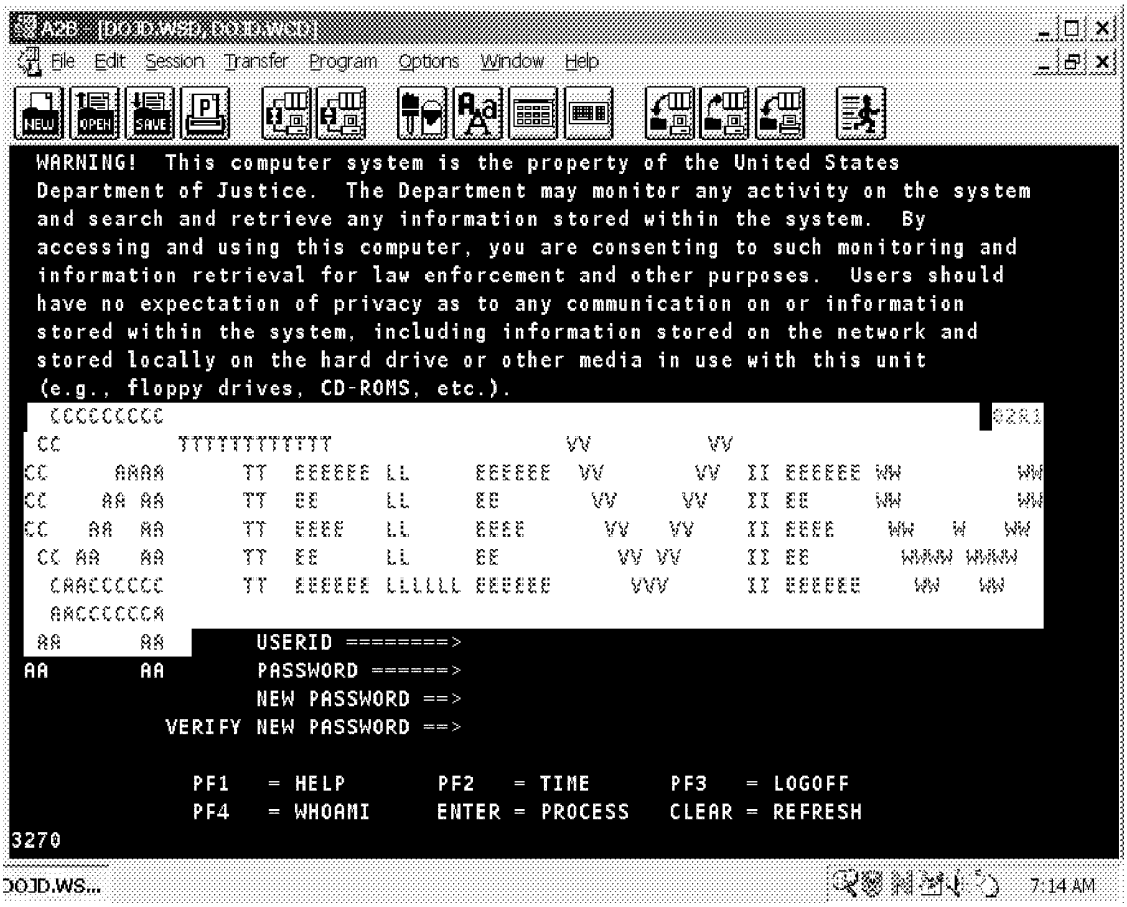
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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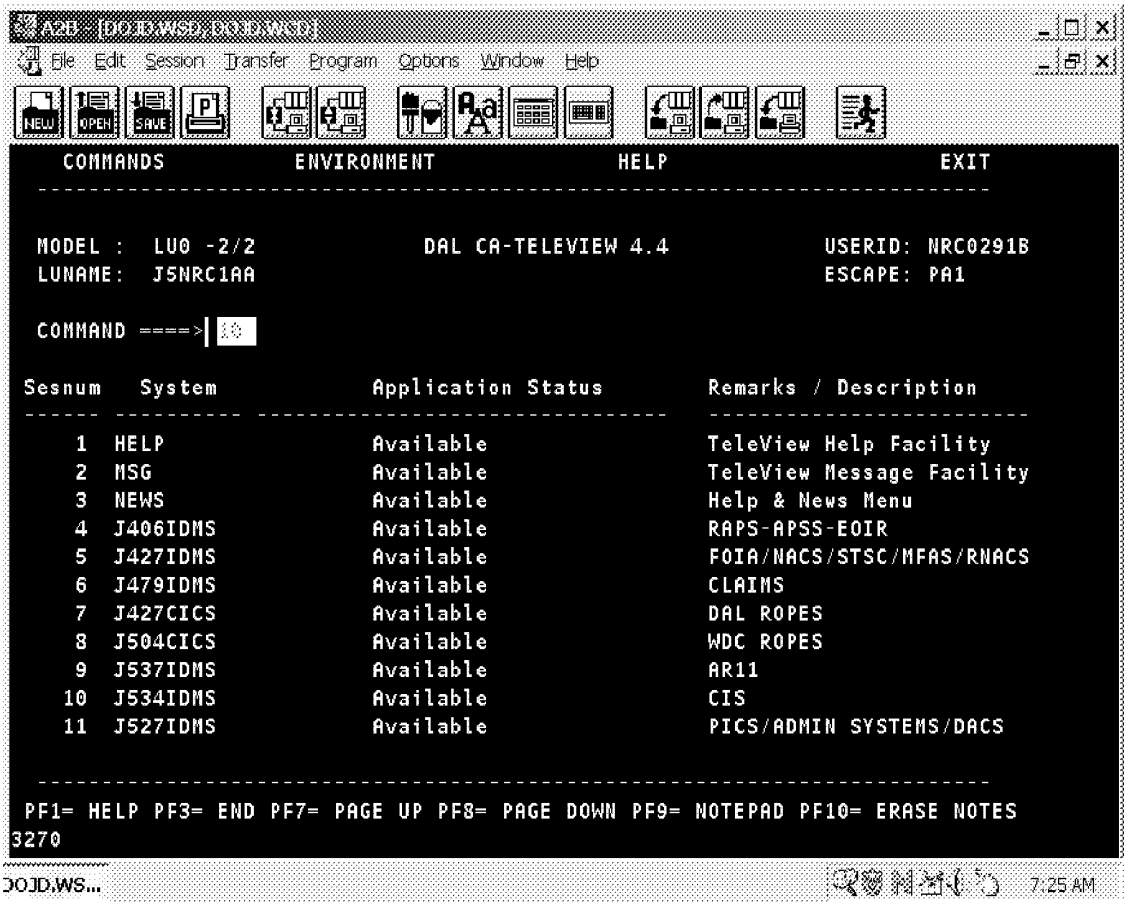
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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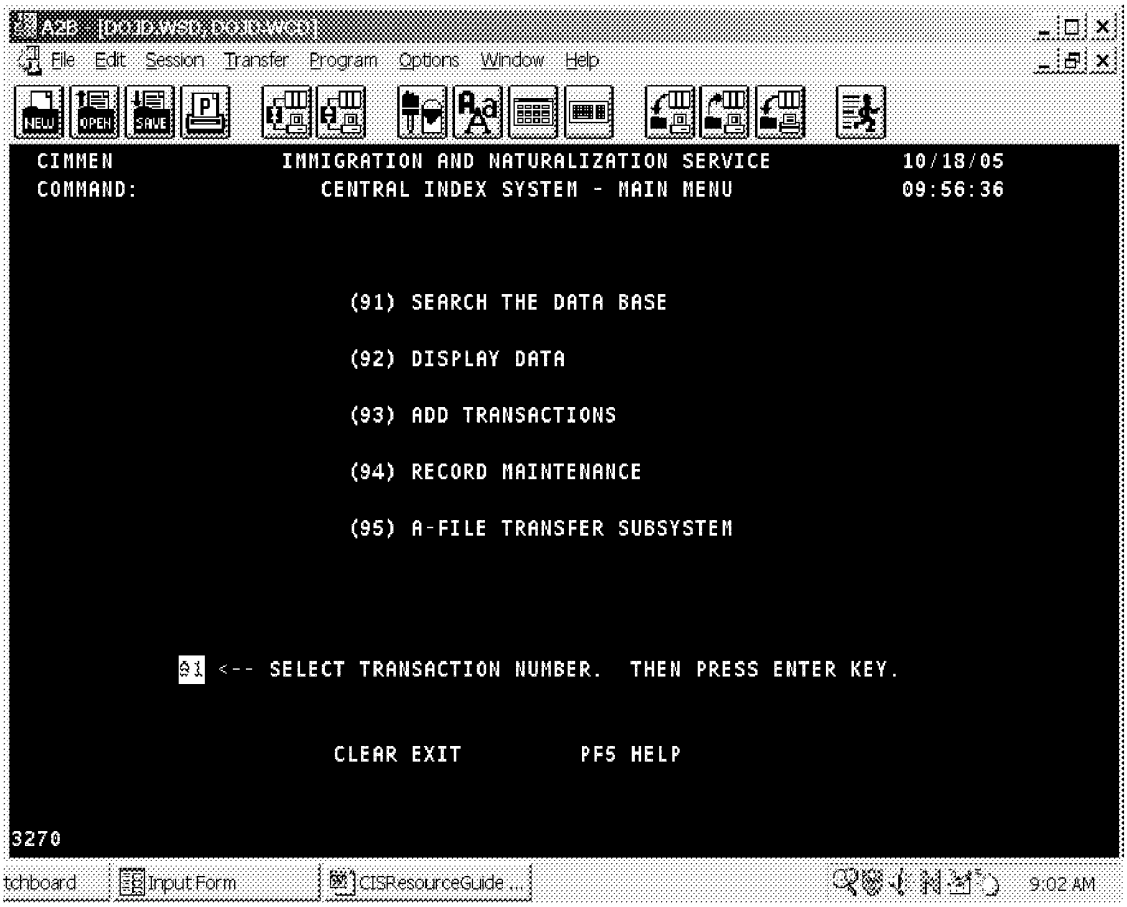
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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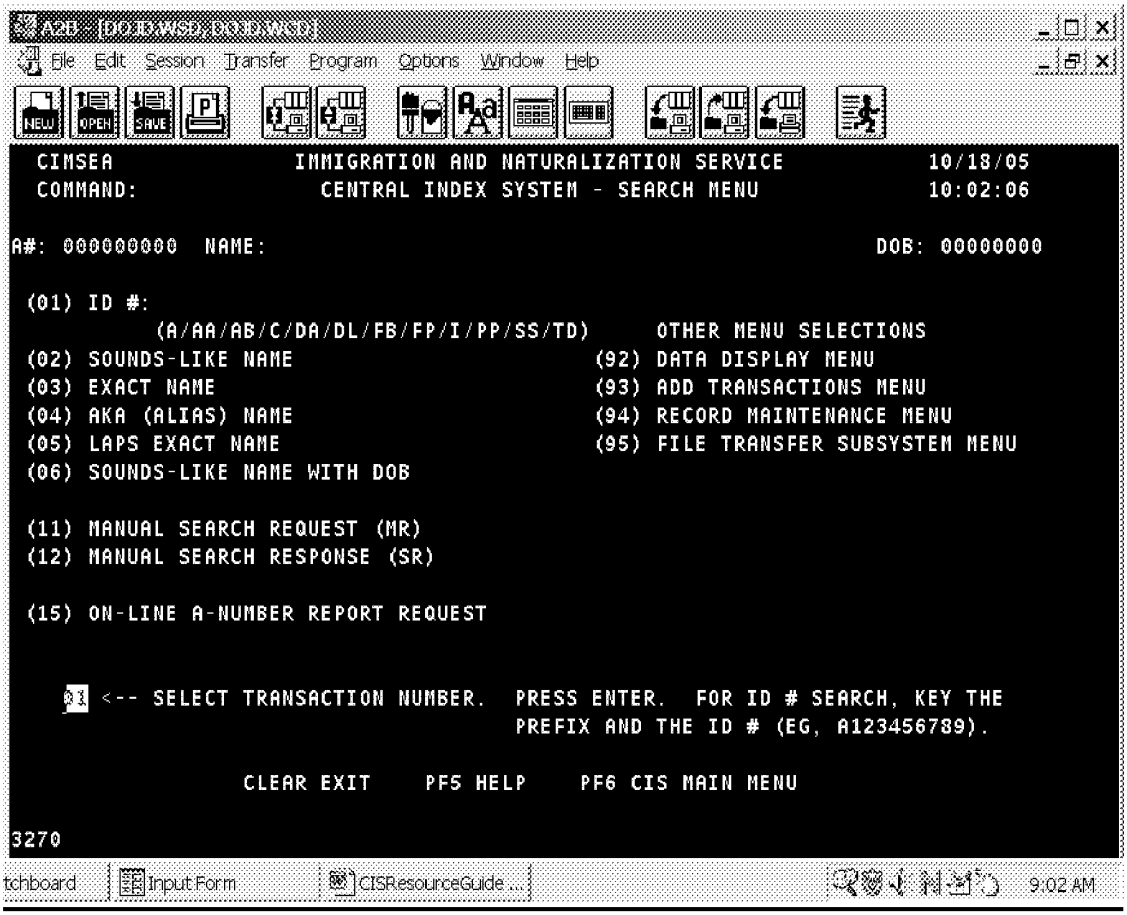
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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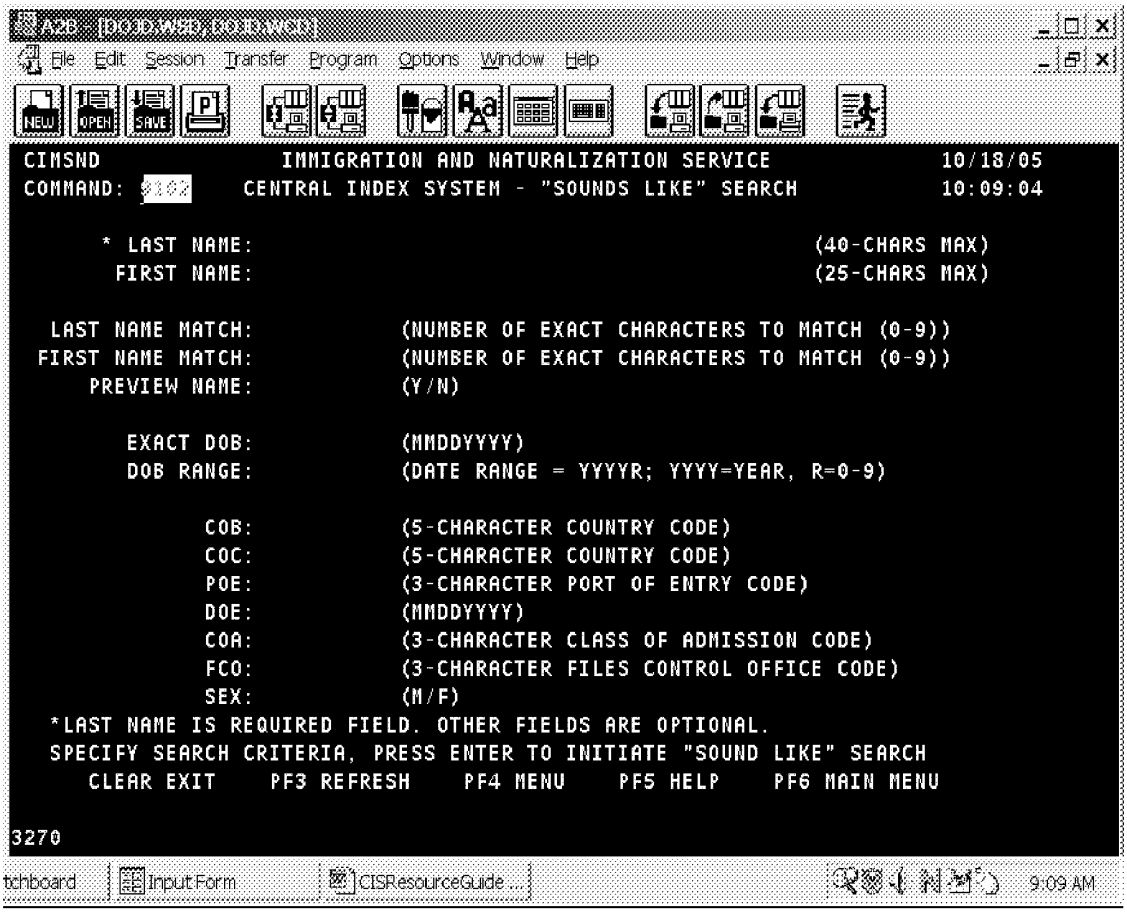

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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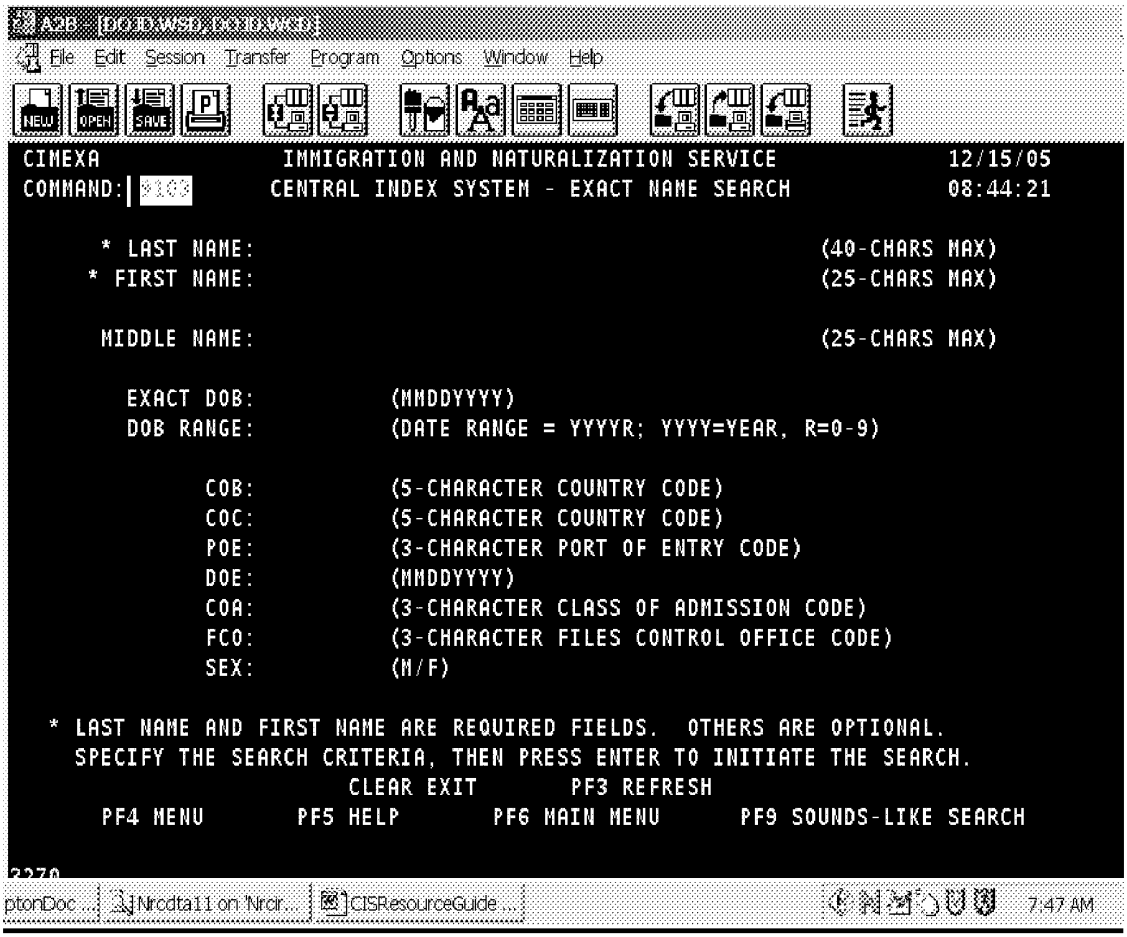
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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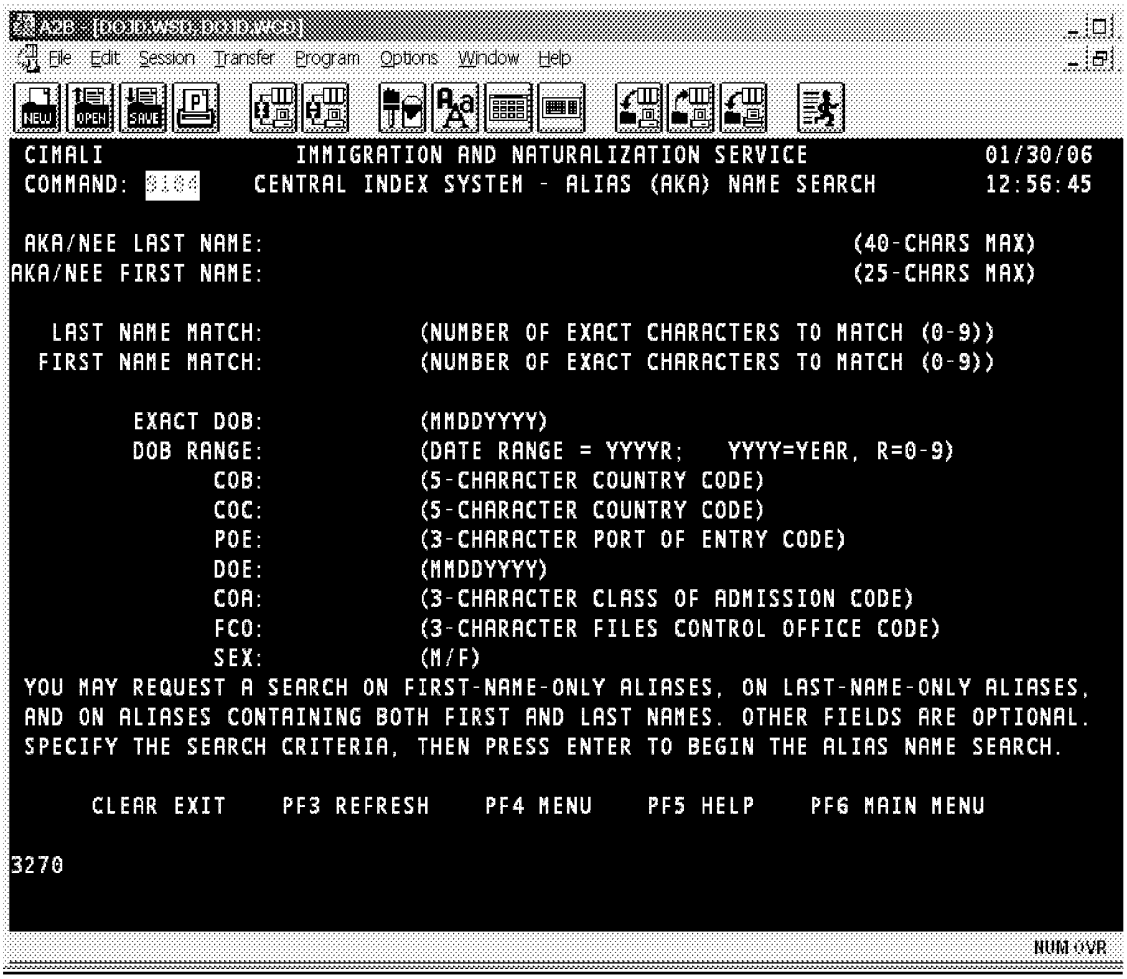
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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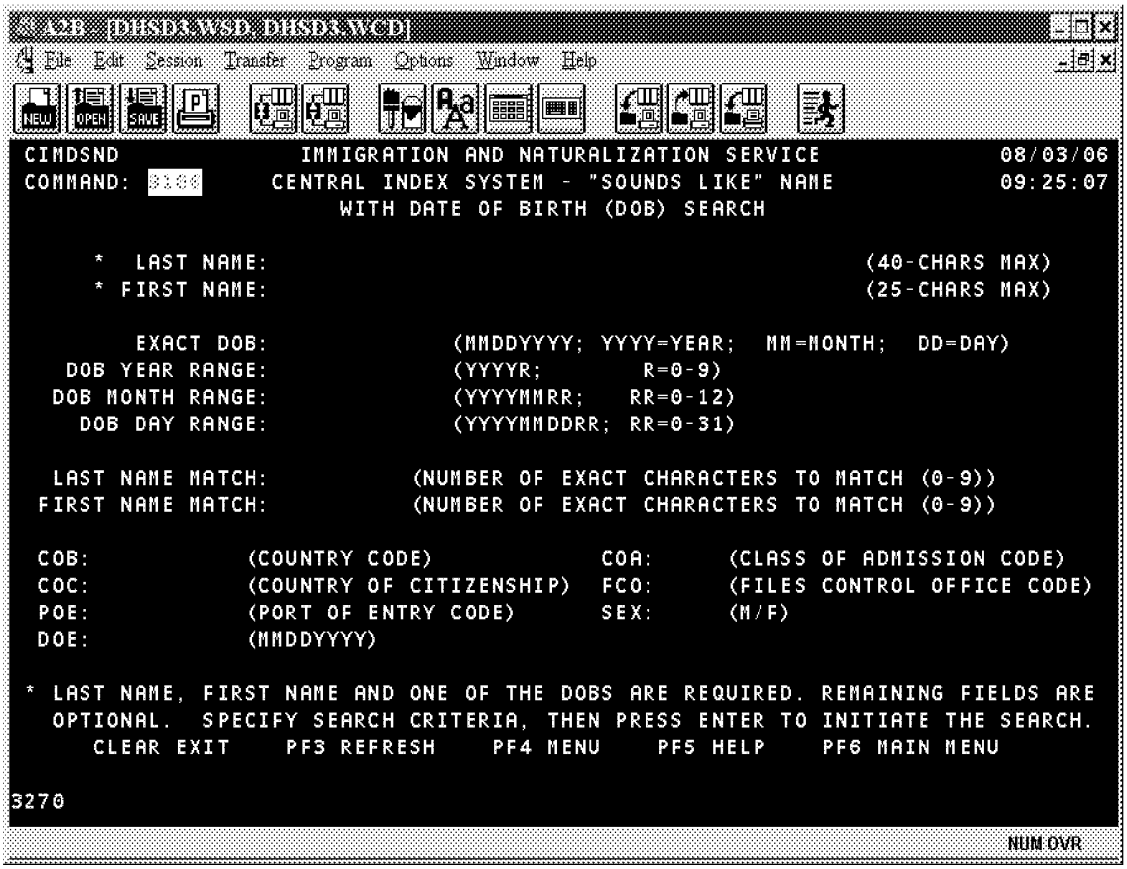
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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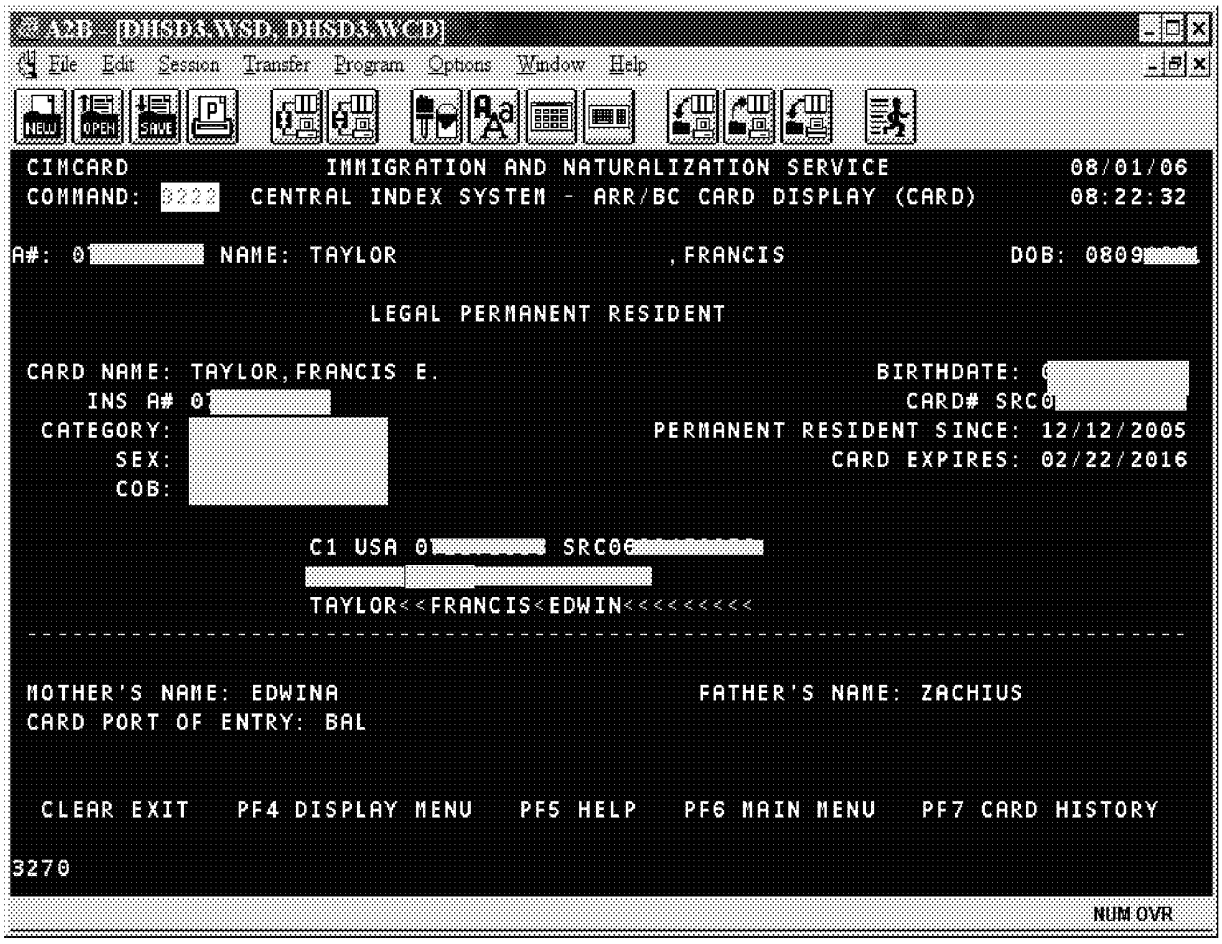
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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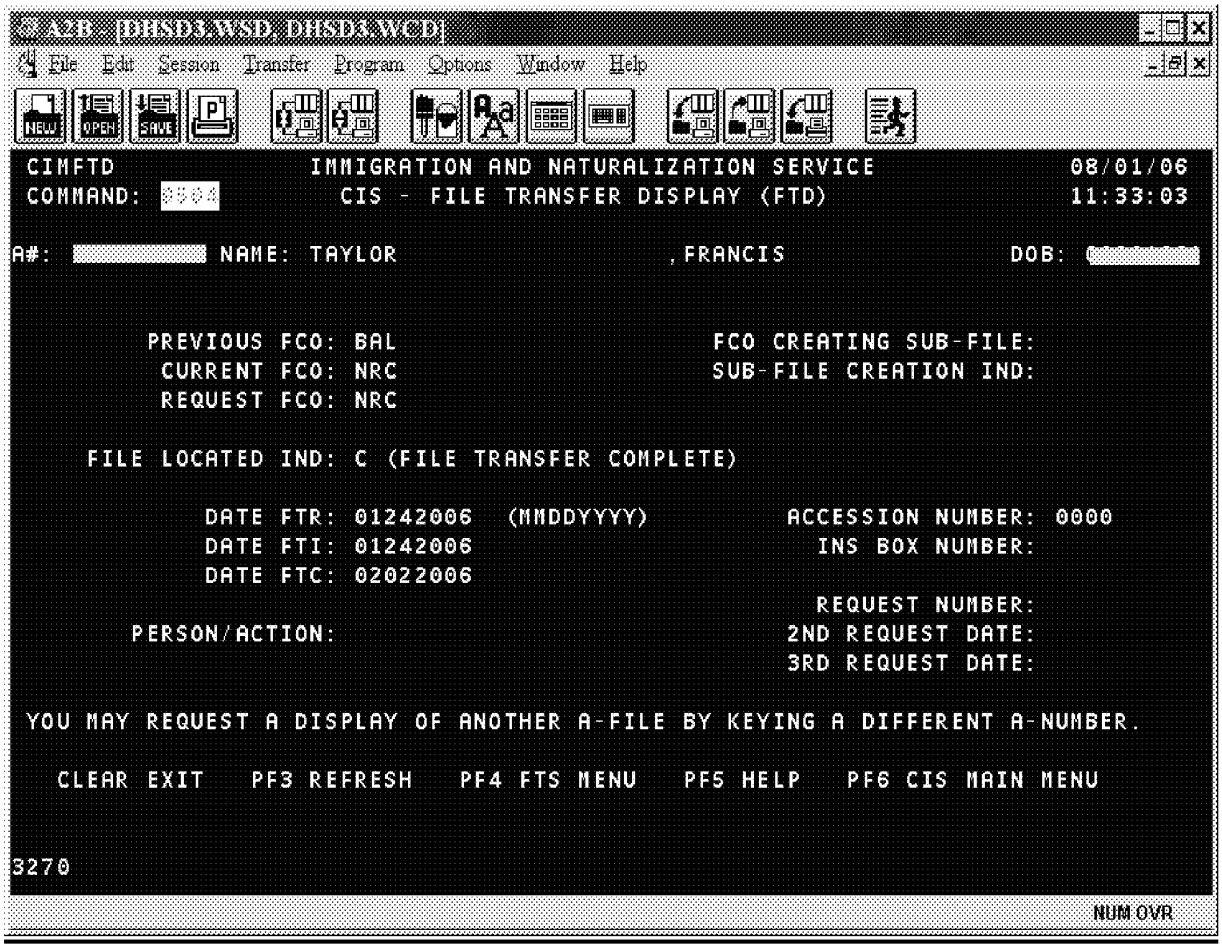
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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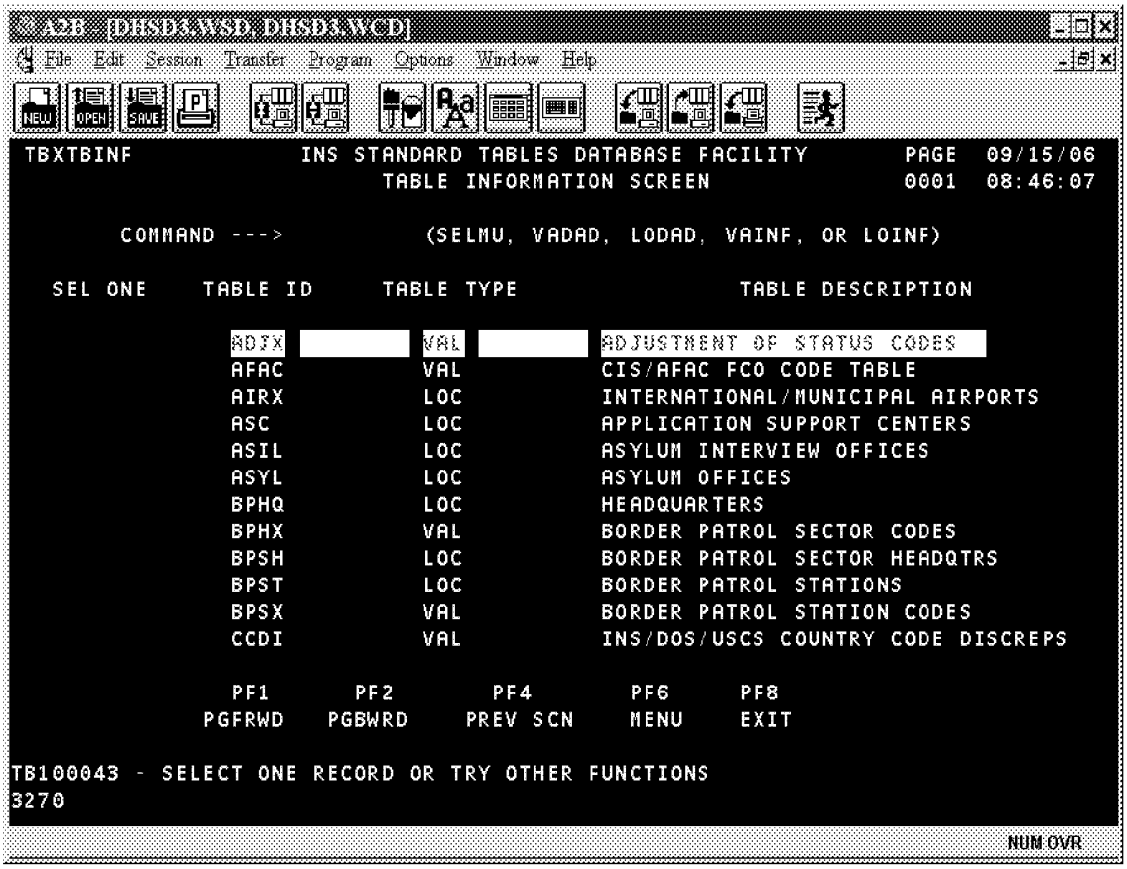
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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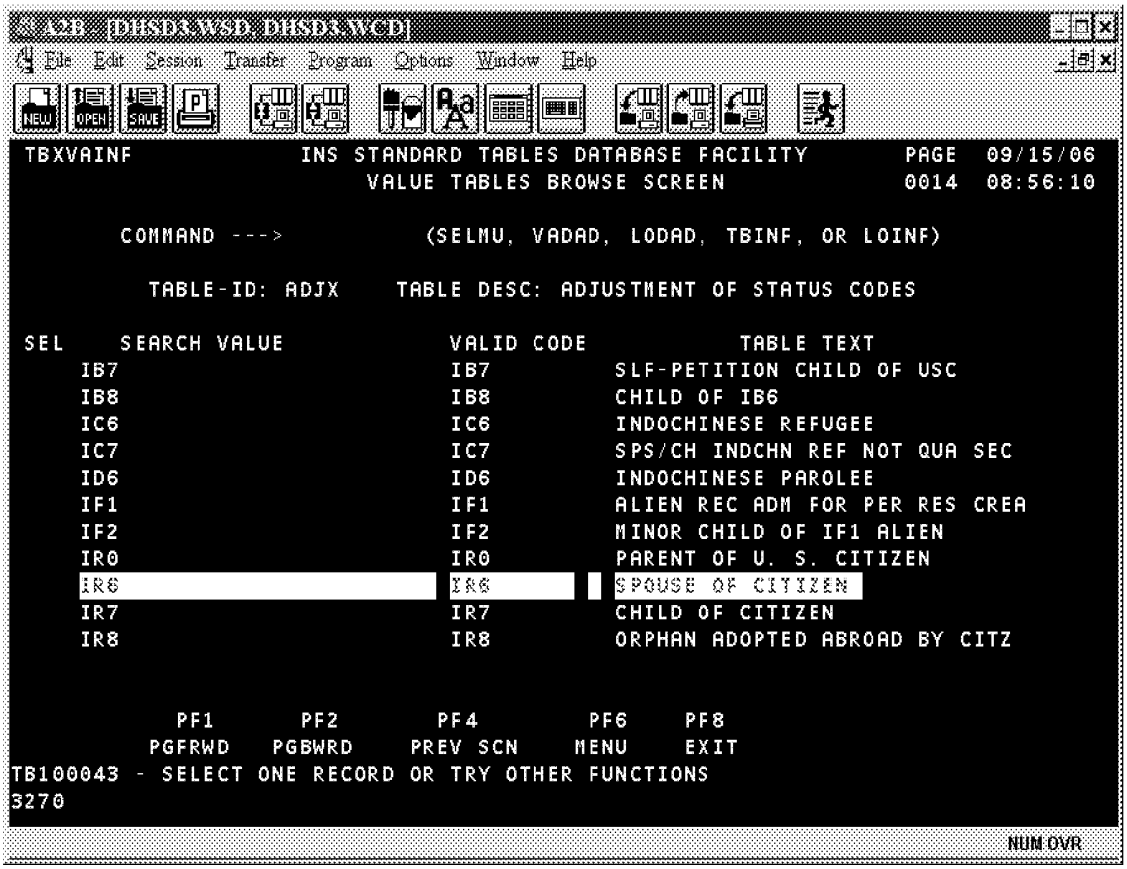
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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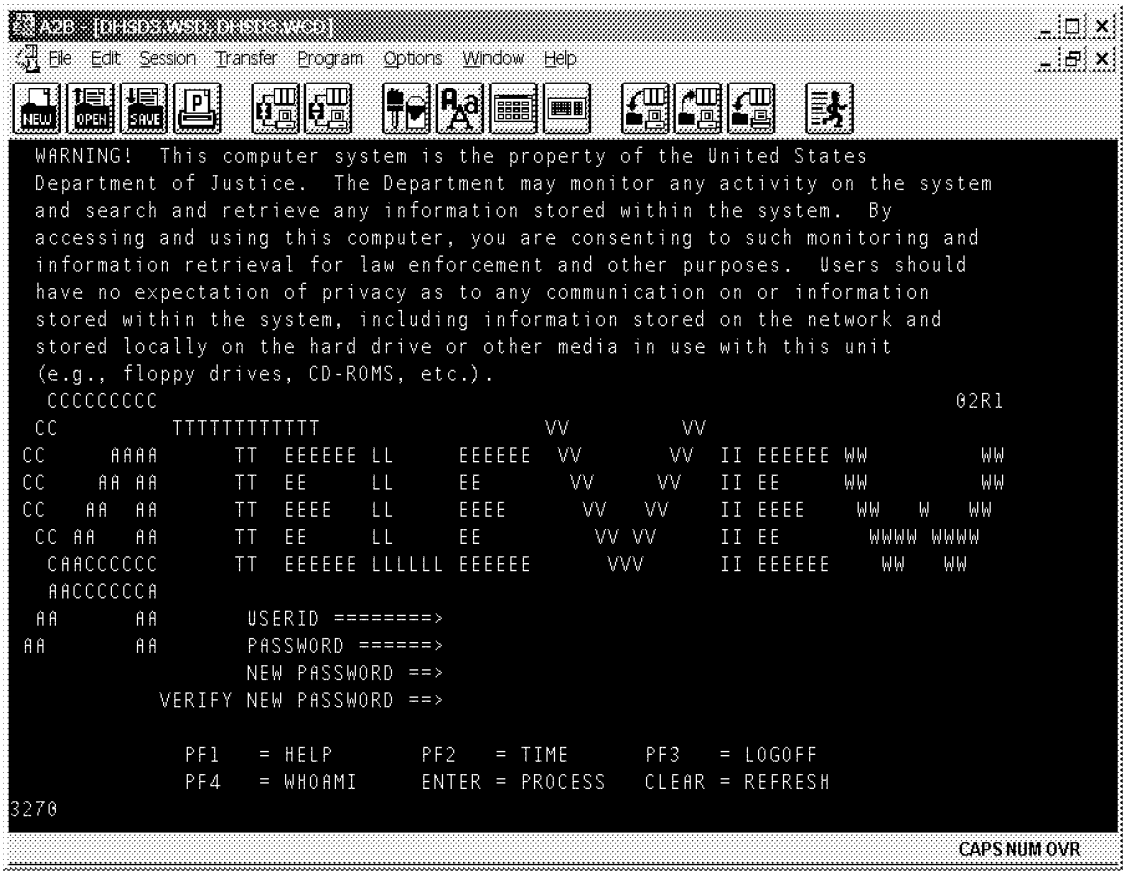
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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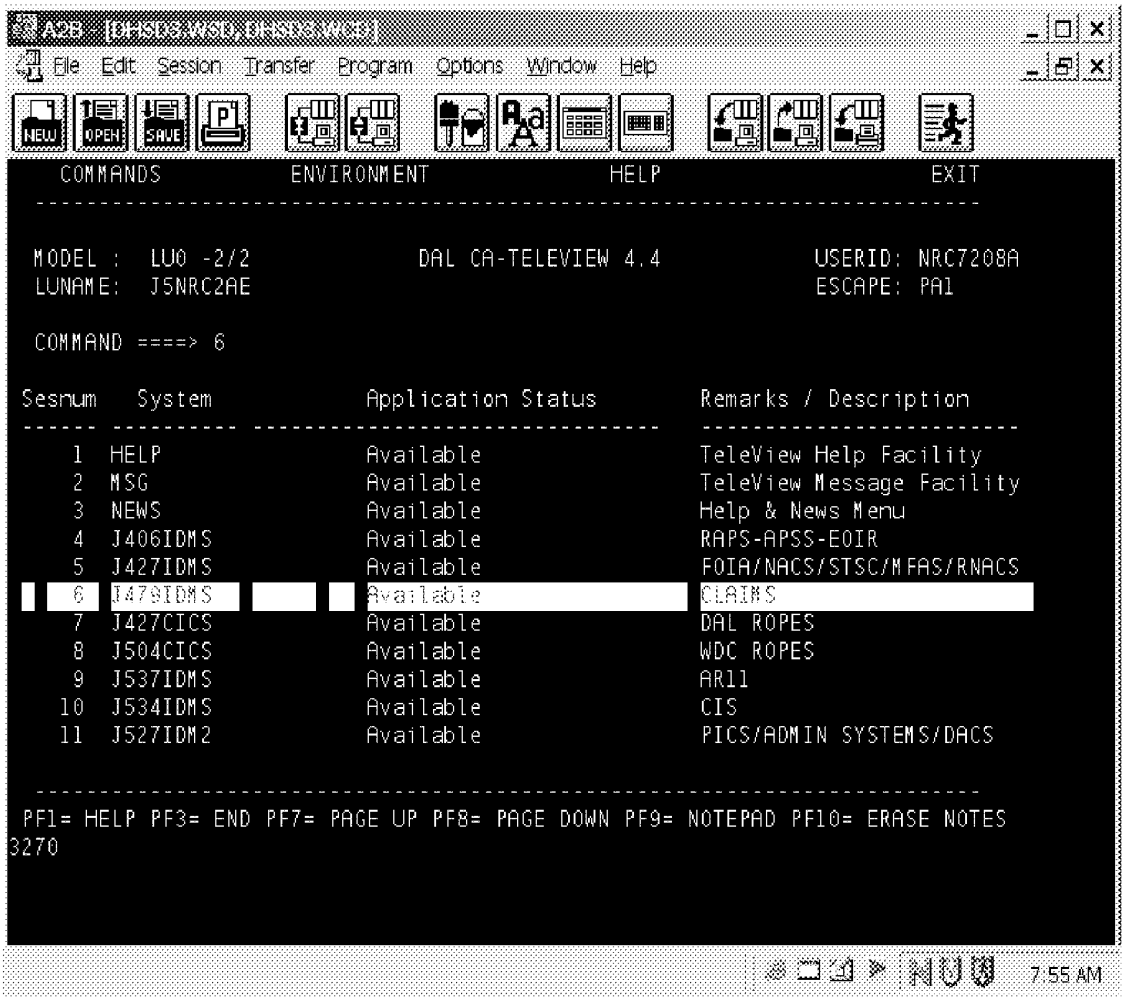
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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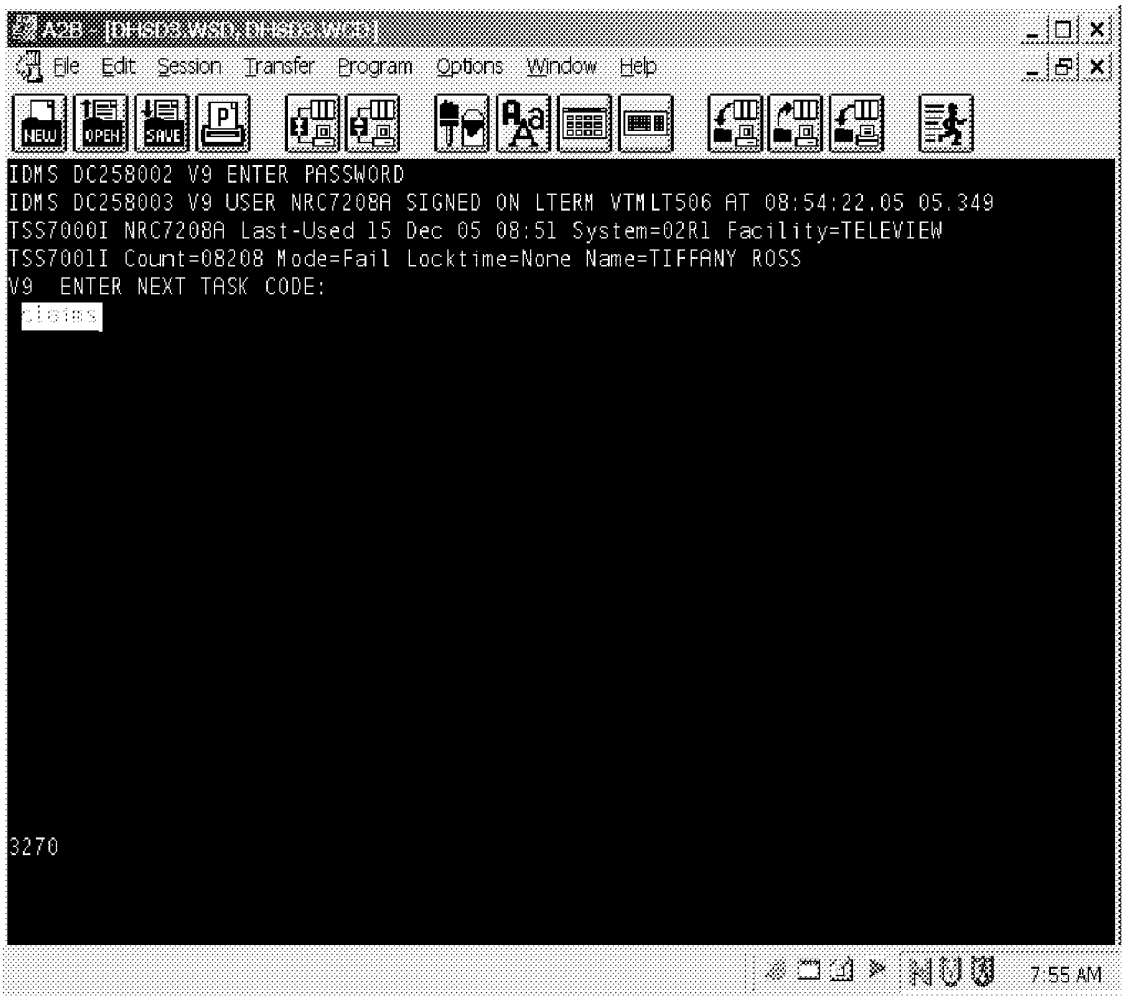
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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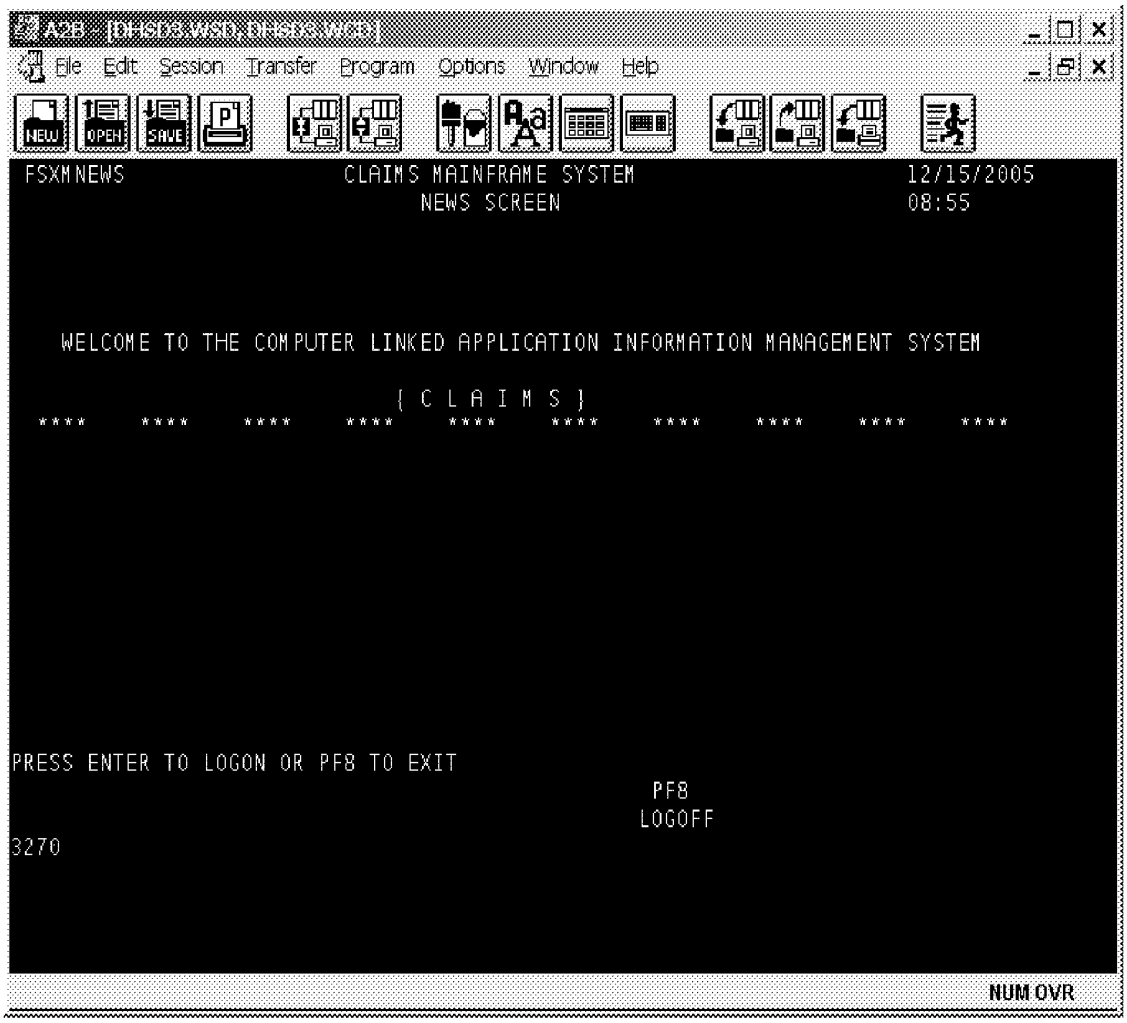
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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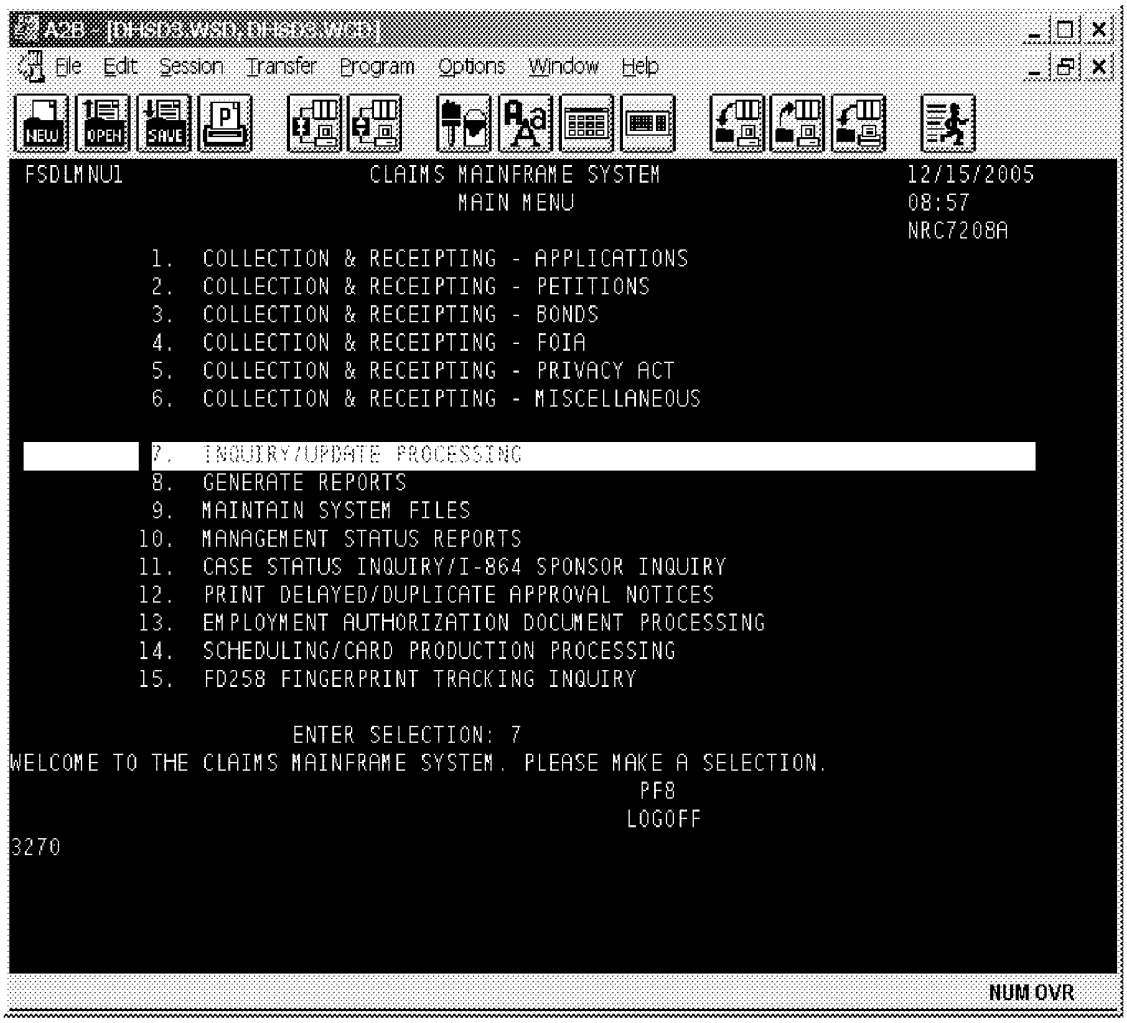
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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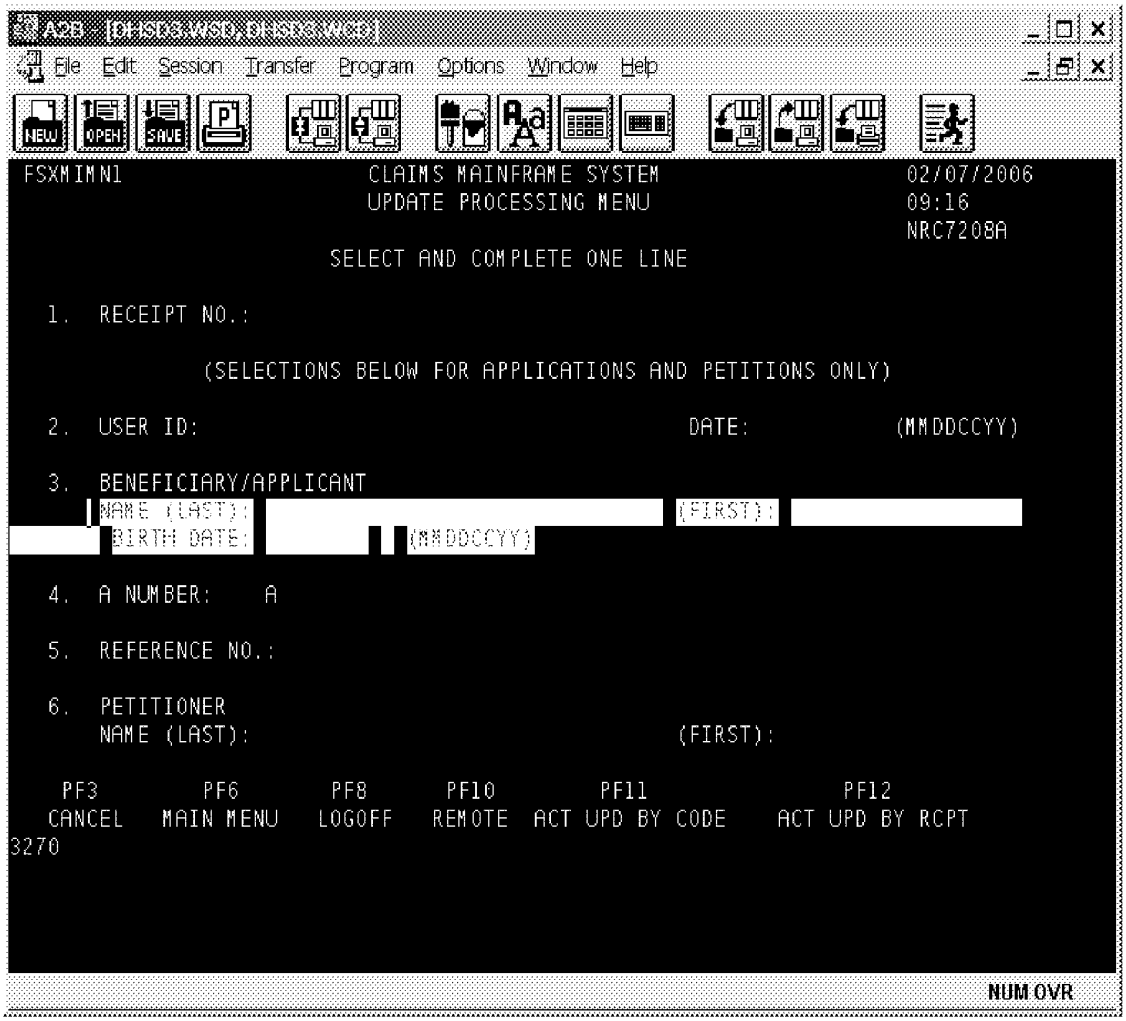
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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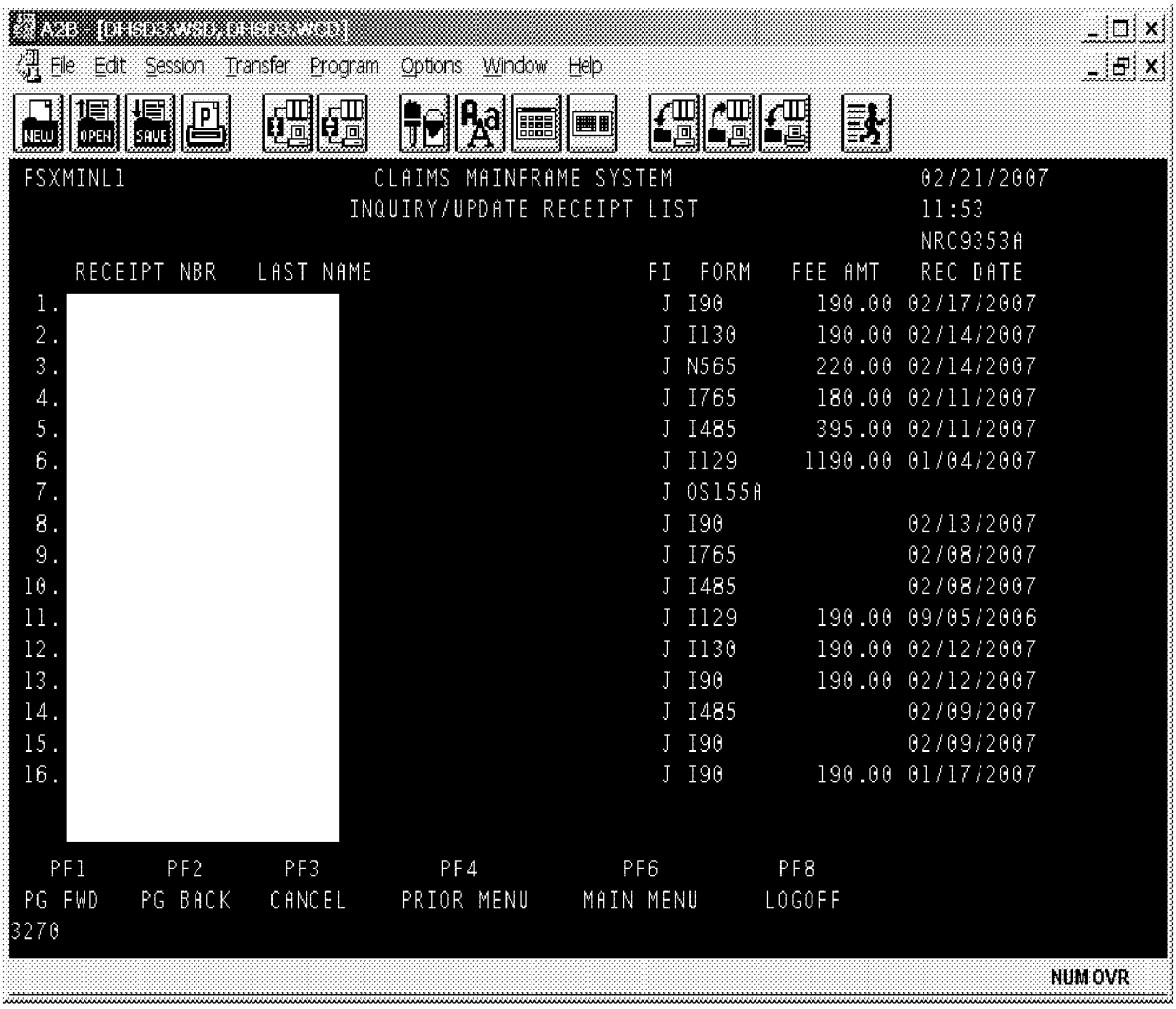
(b)(6)



If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed

(b)(6)

information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number [redacted] will be displayed.

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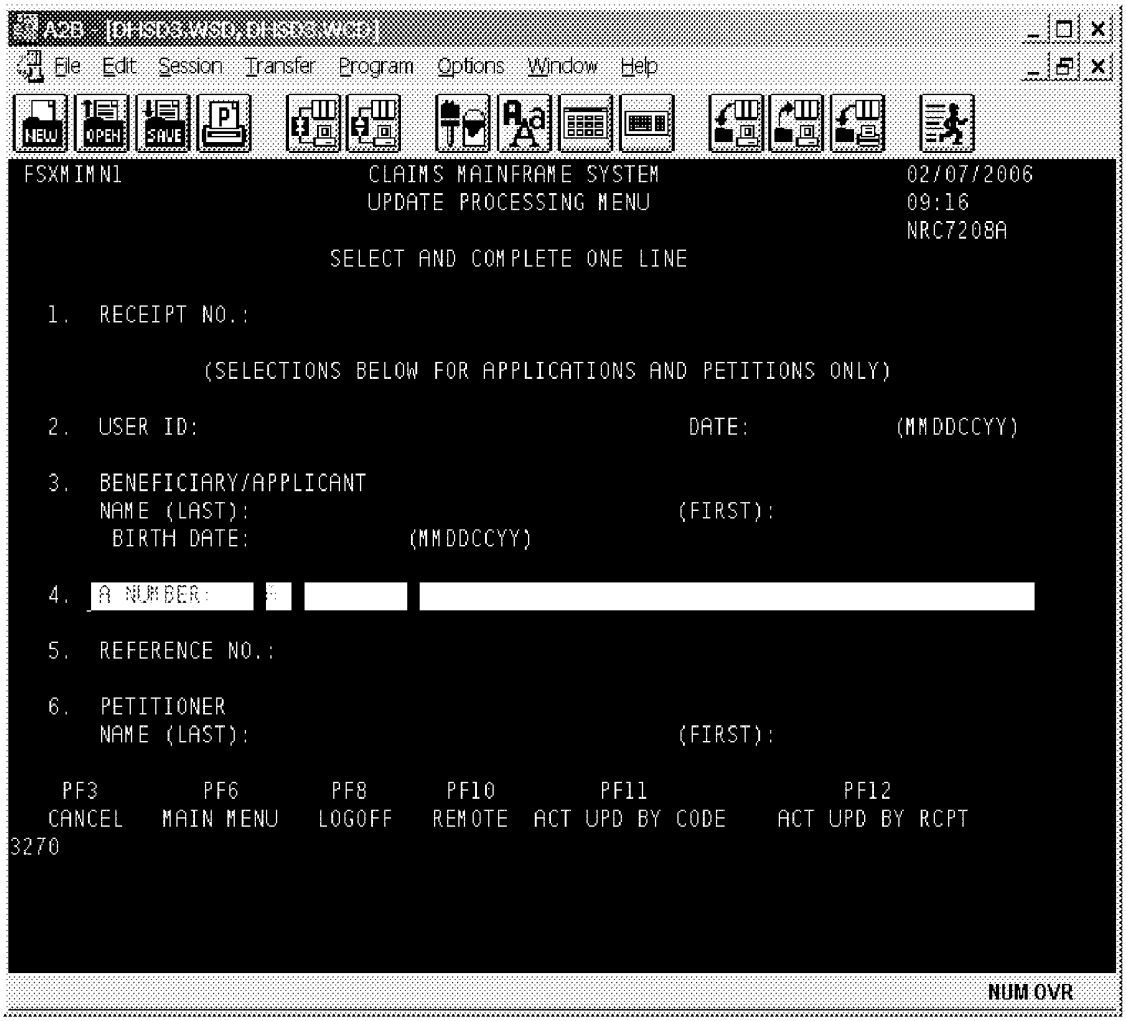
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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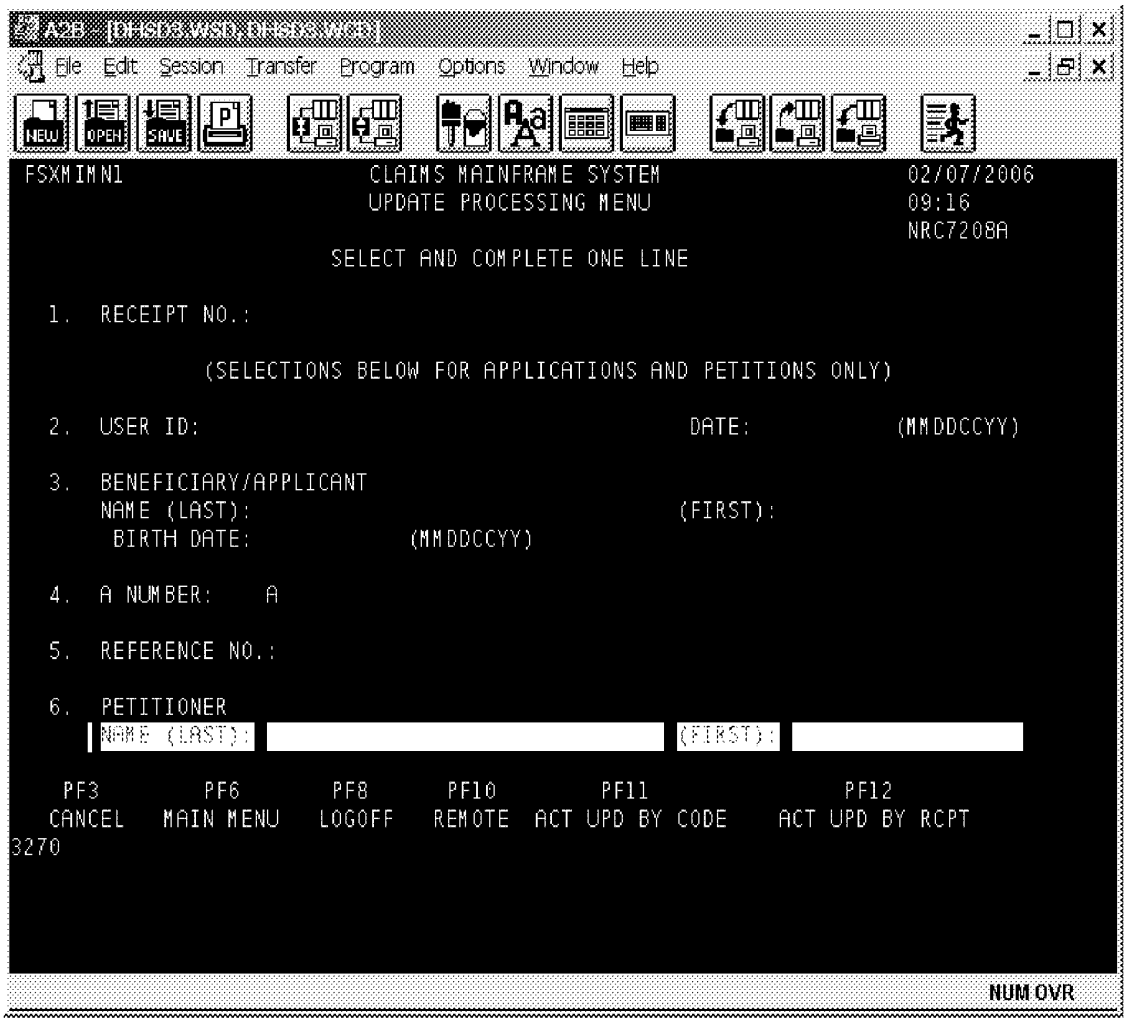
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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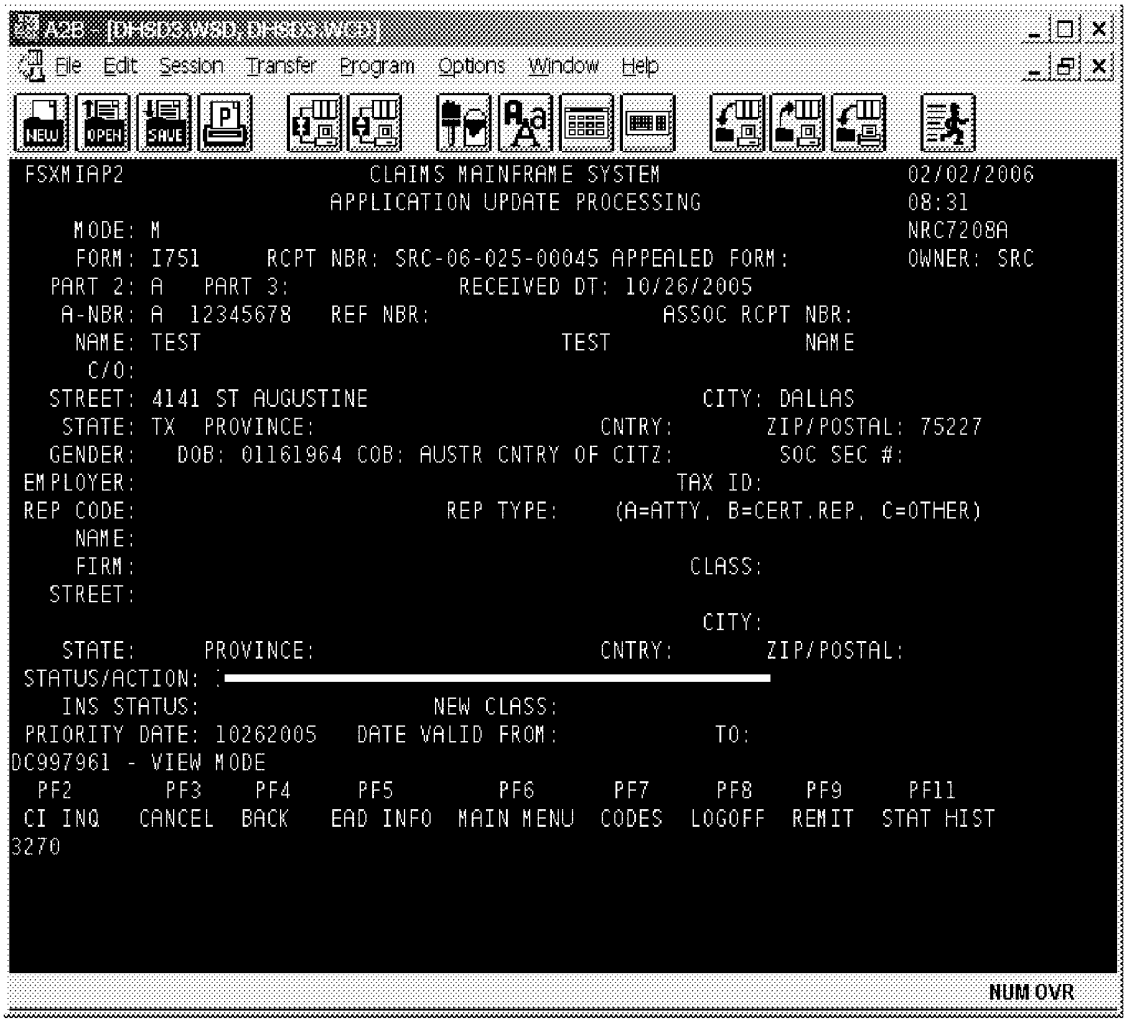
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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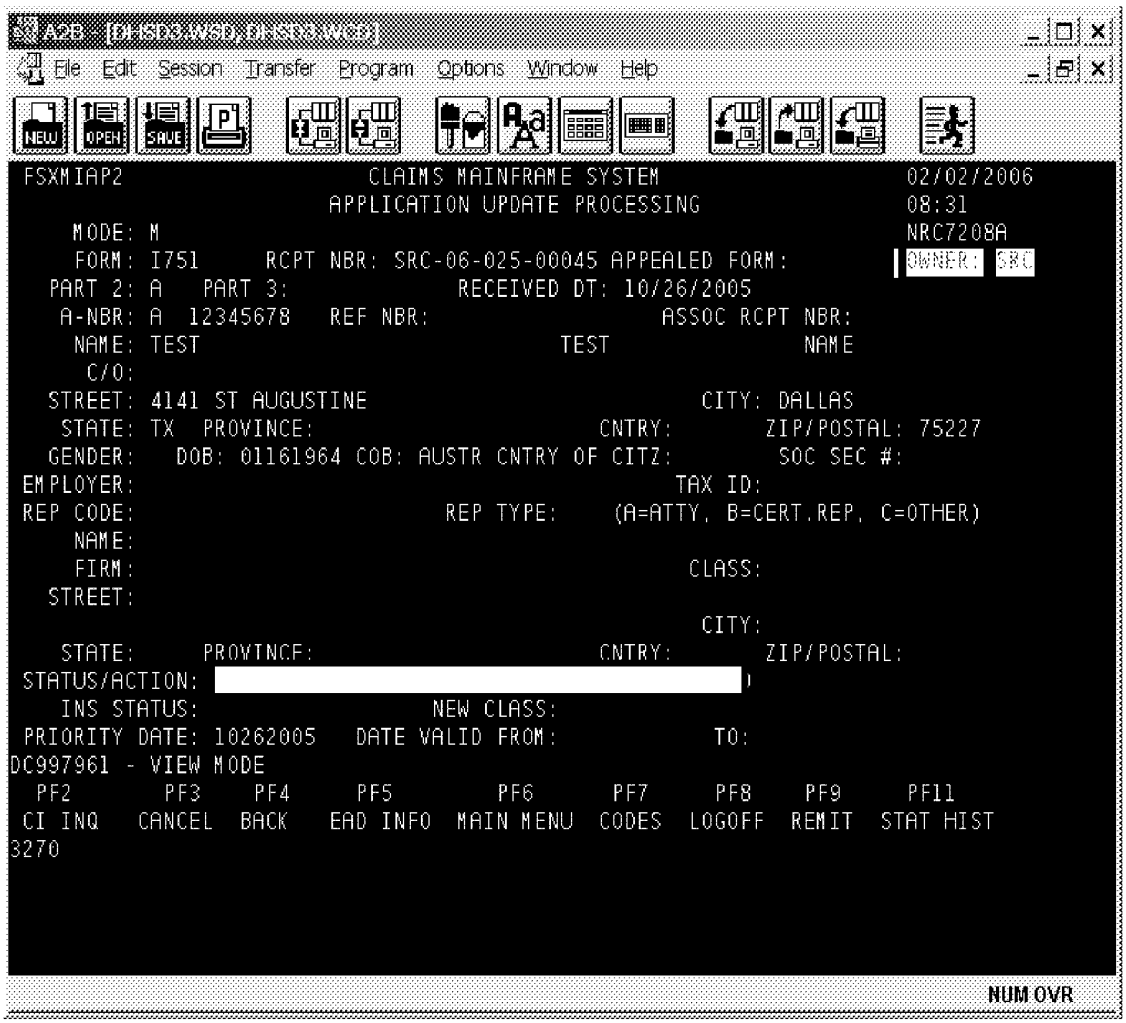
(b)(7)(e)



The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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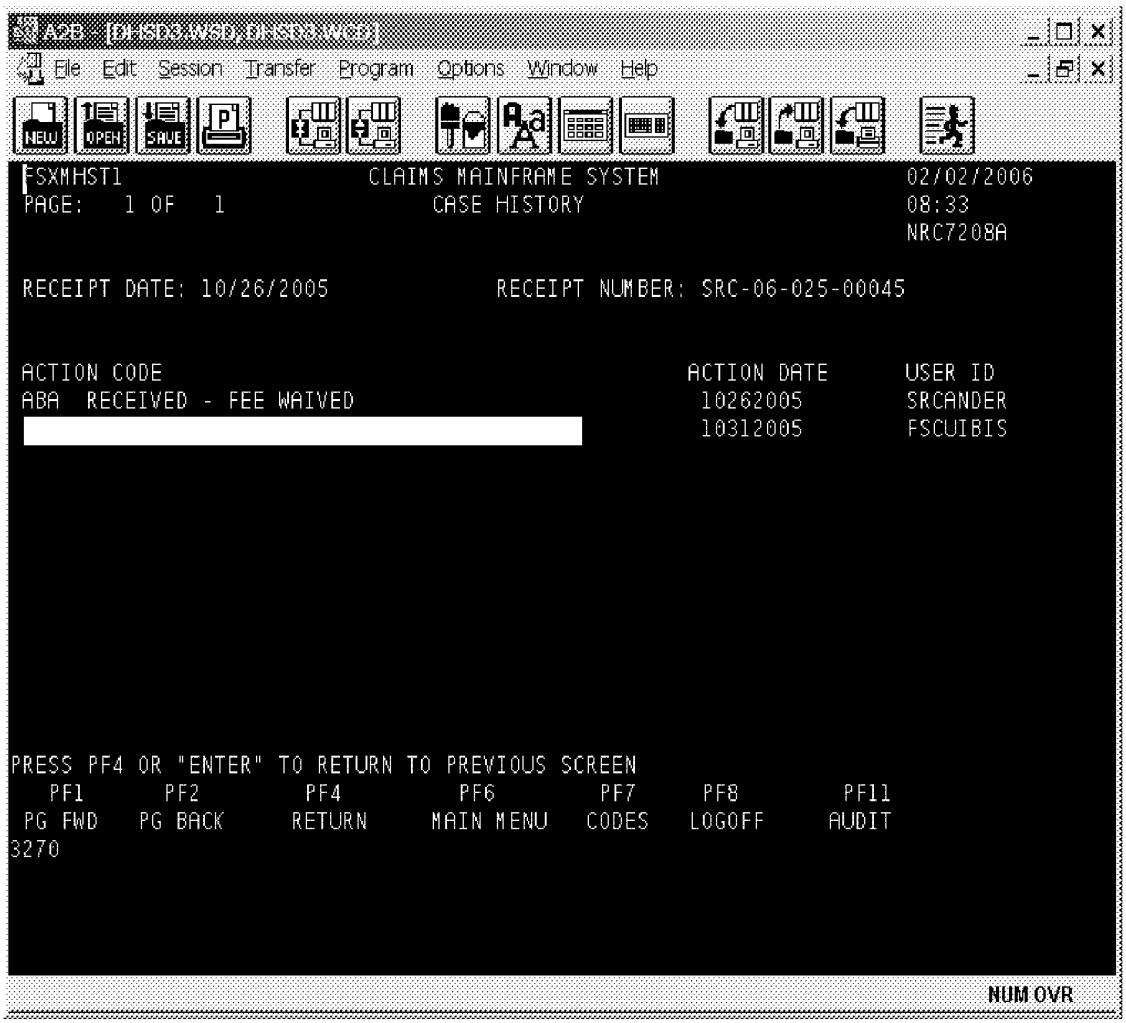
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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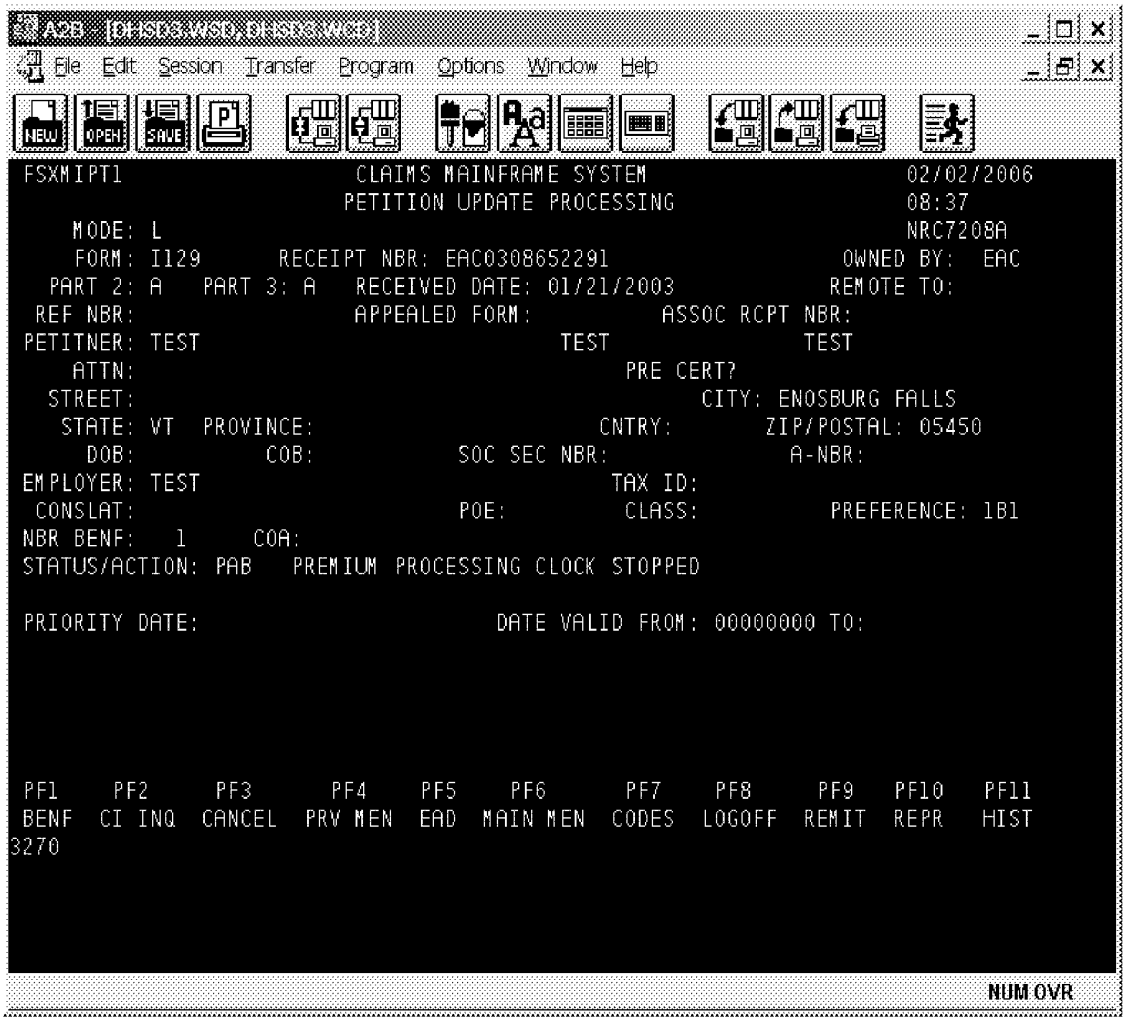
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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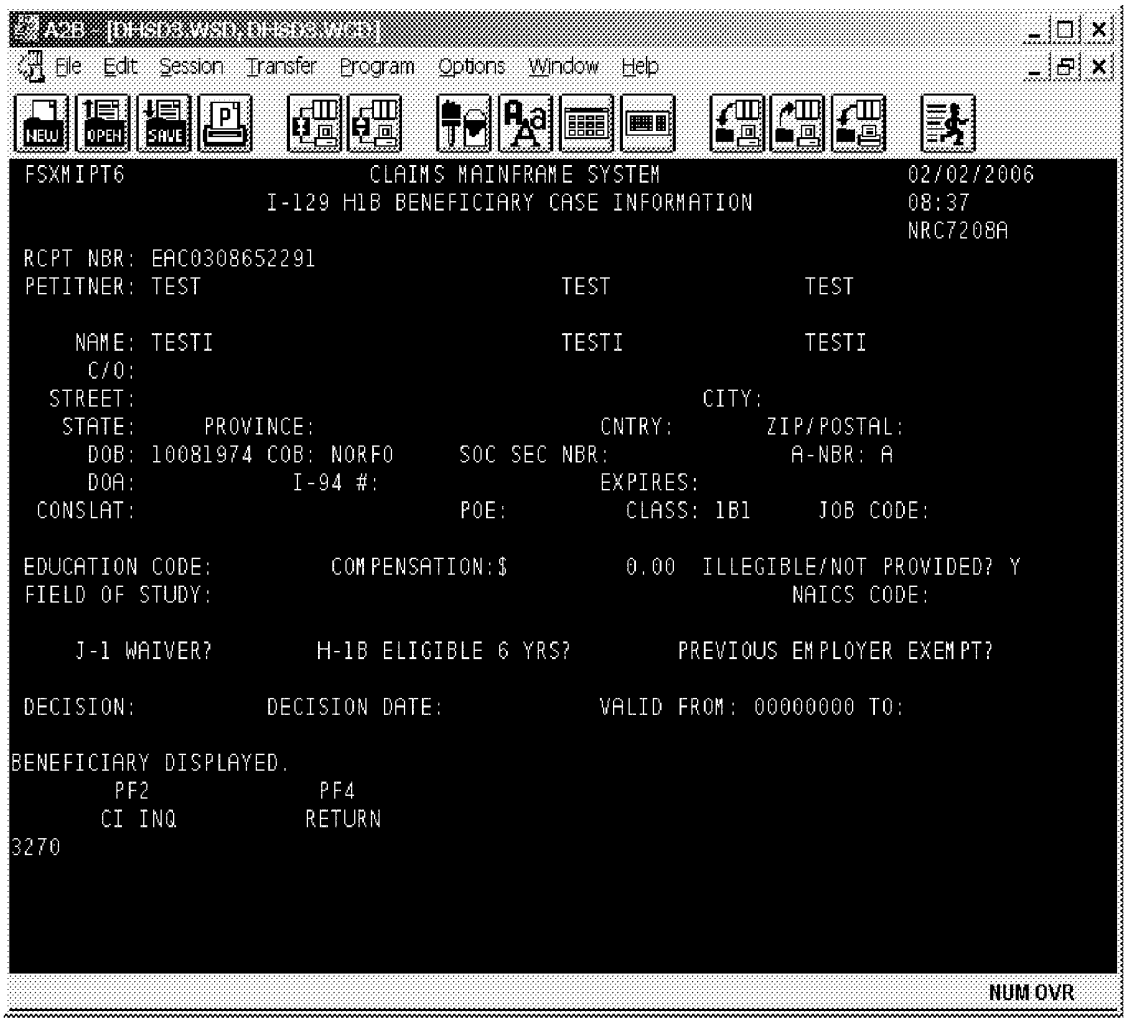
To see the beneficiary information press F1.



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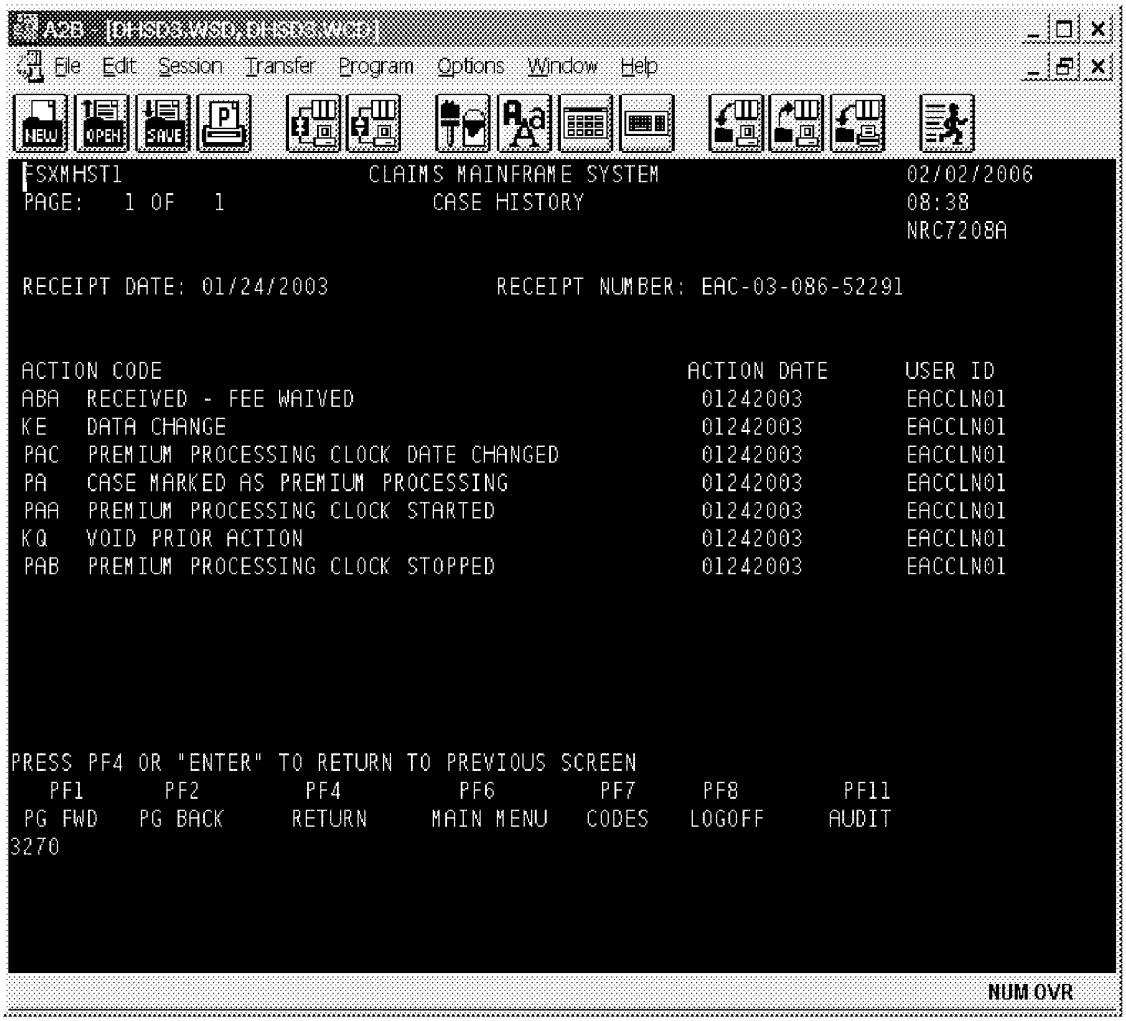
To view the history, press the F4 key to return to the previous screen, and enter F11.



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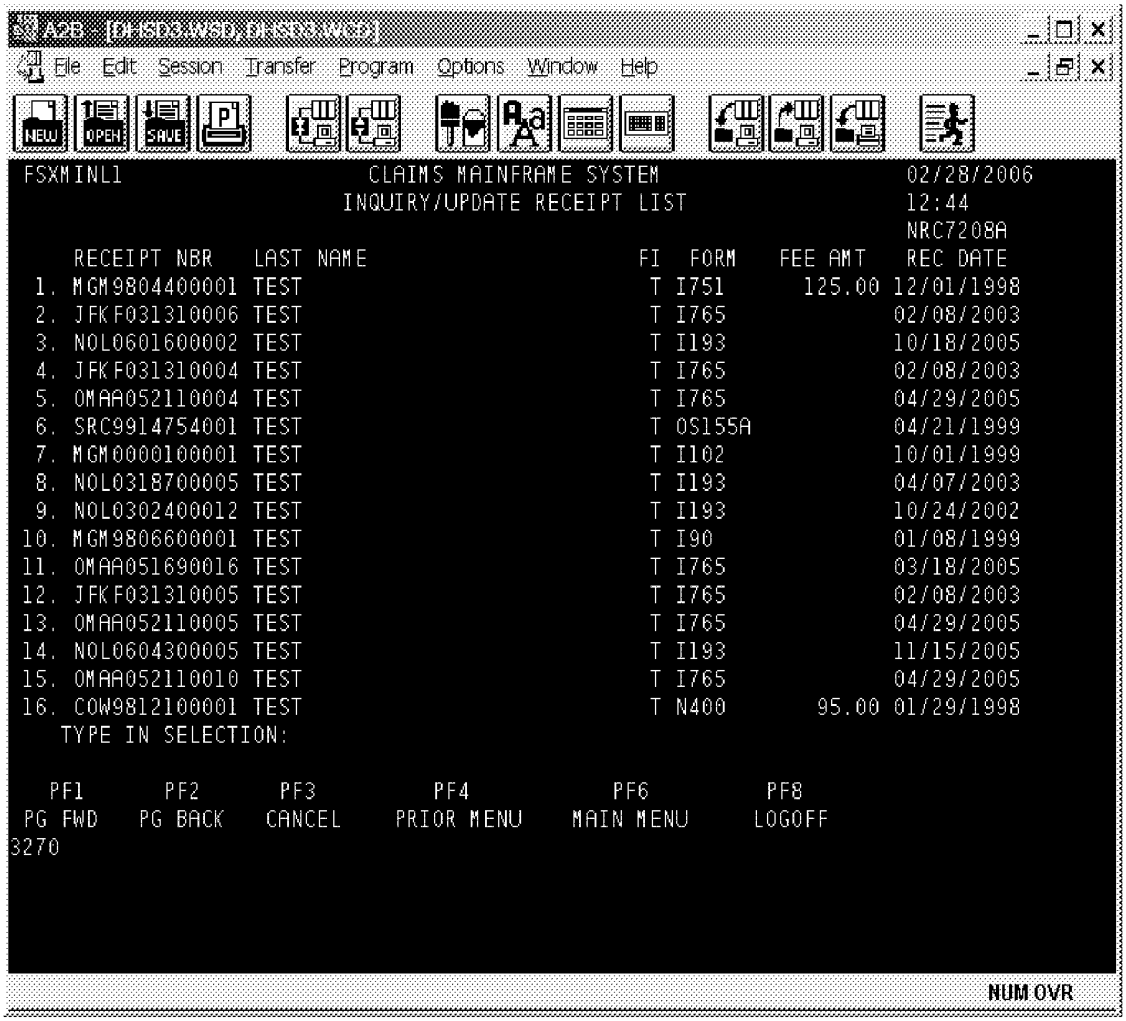

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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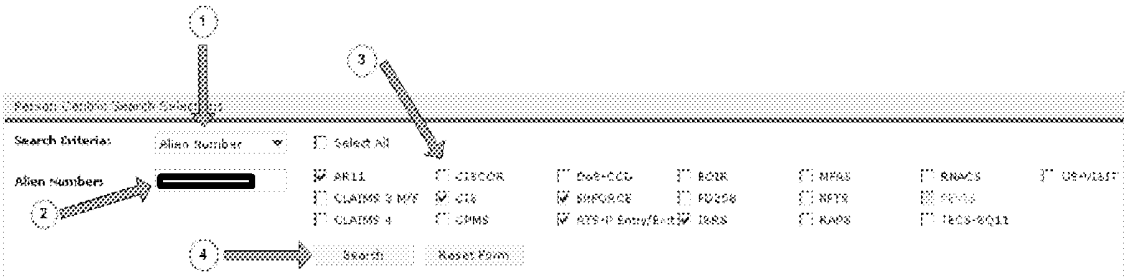
5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

(b)(6)



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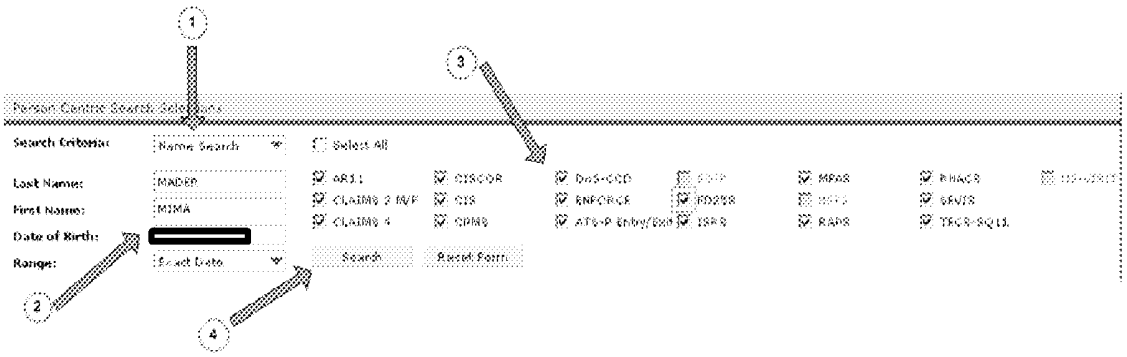

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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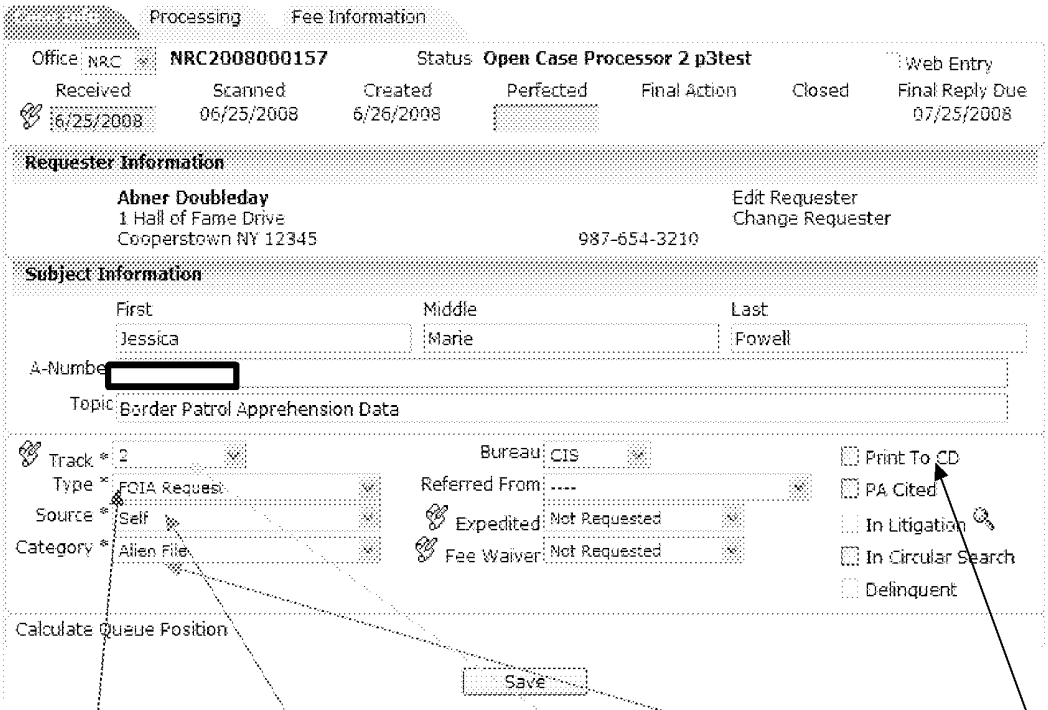

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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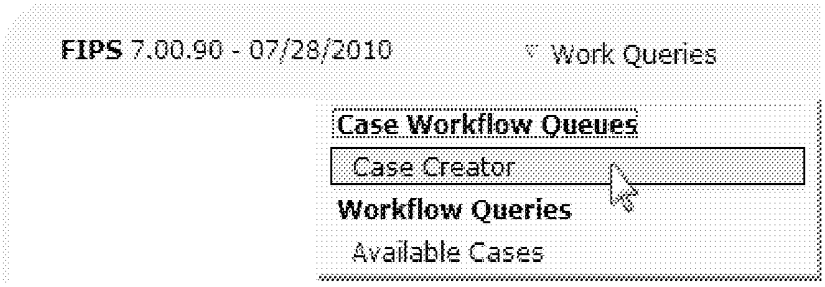
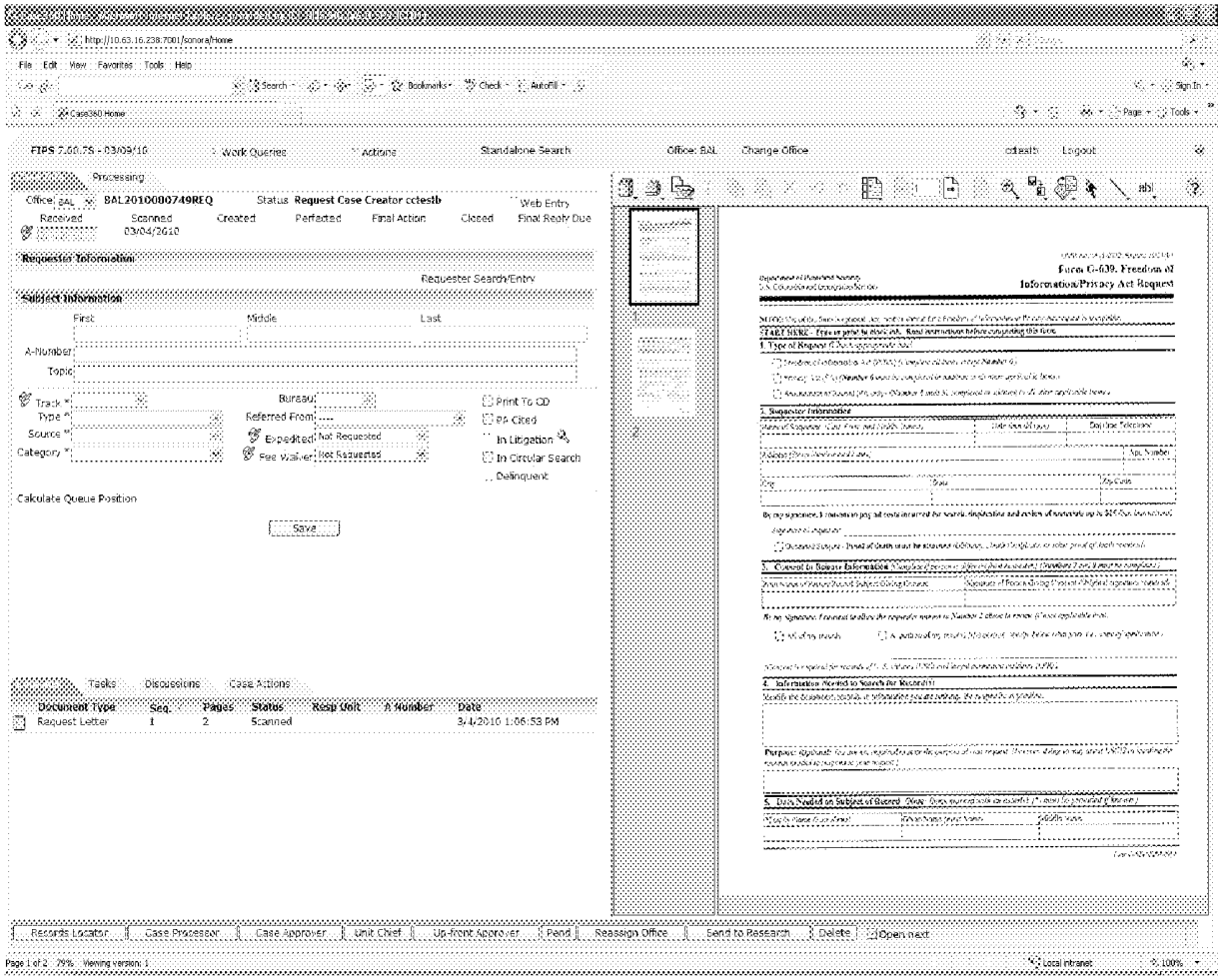
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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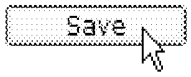
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes ('). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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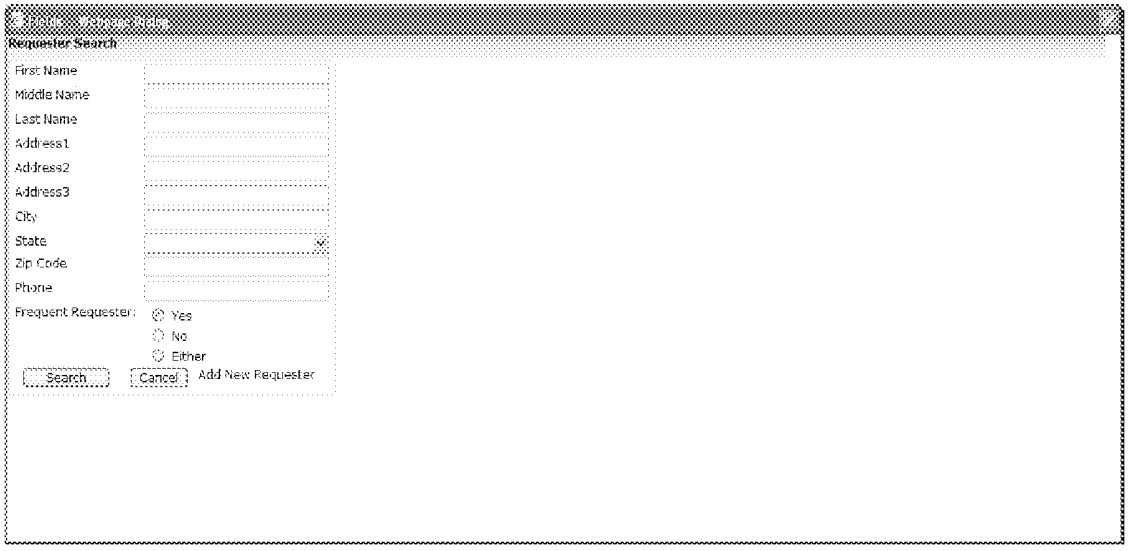
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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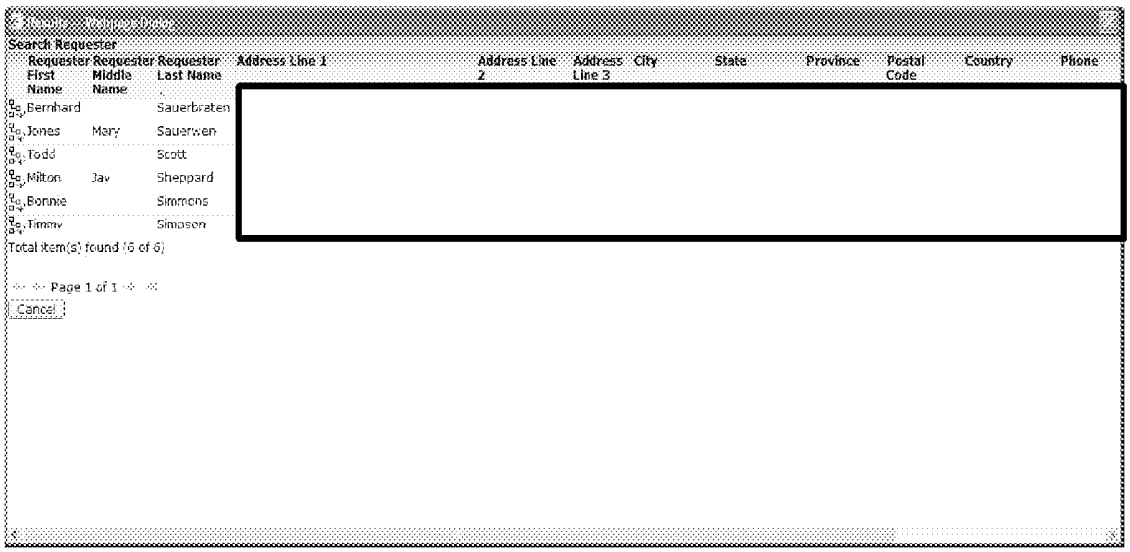
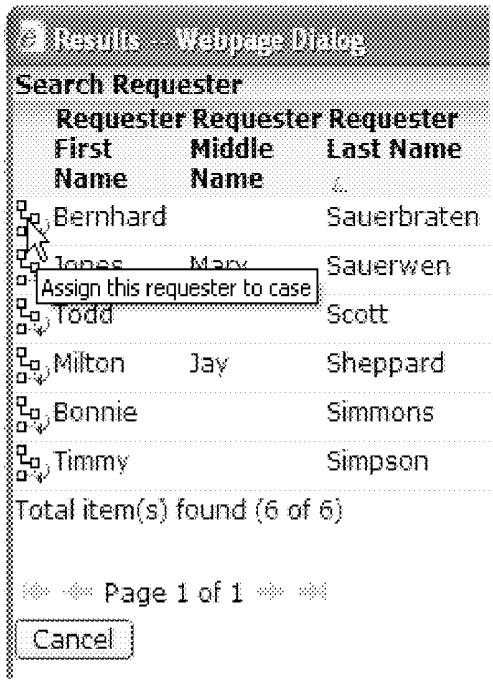


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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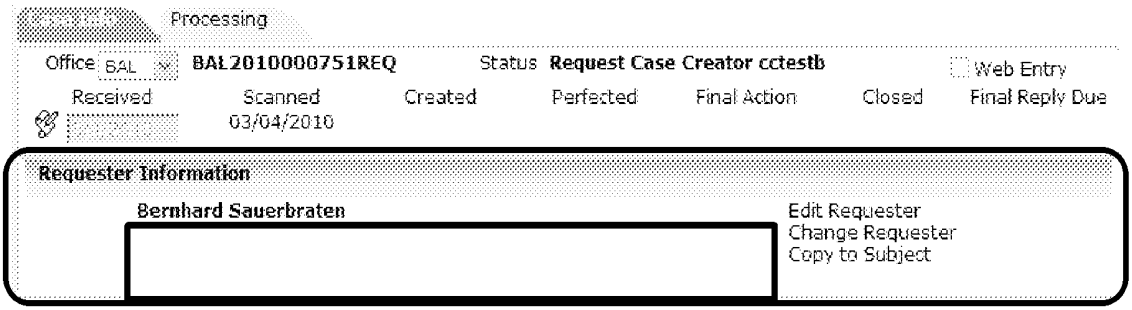

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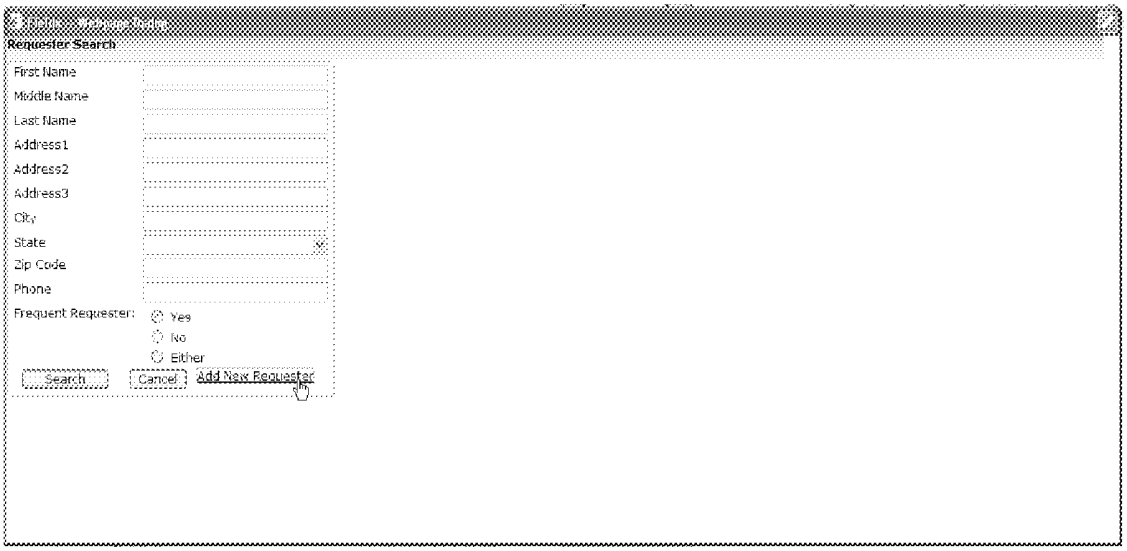
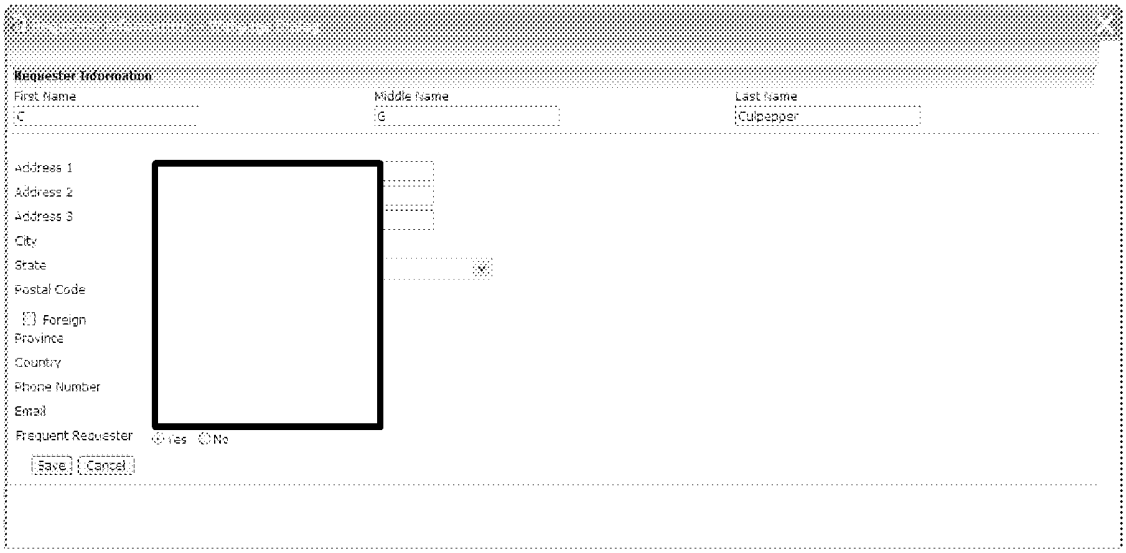
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

(b)(6)



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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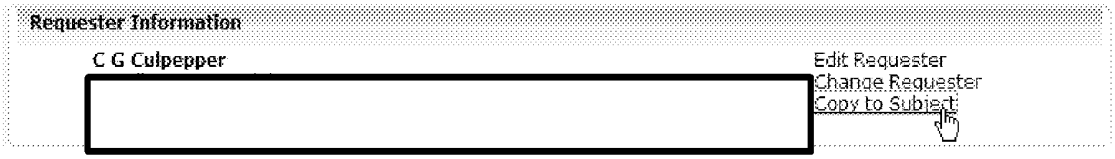
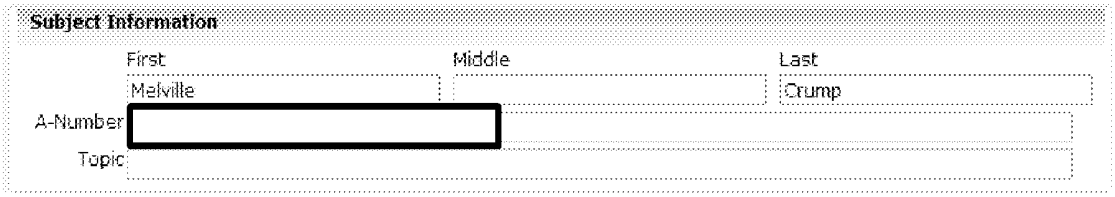


Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6)



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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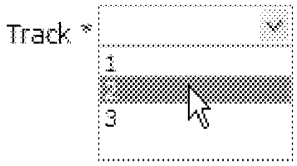
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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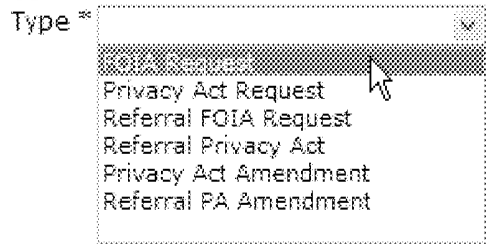
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

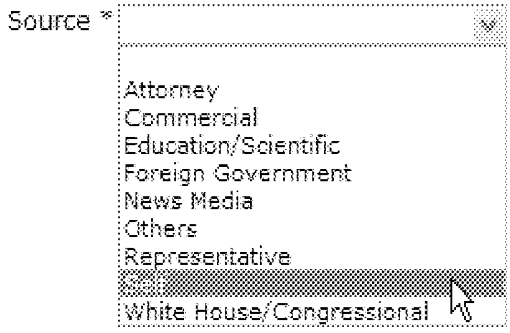
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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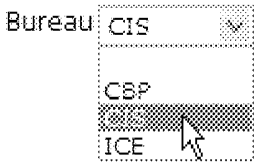
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



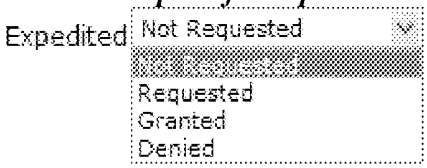
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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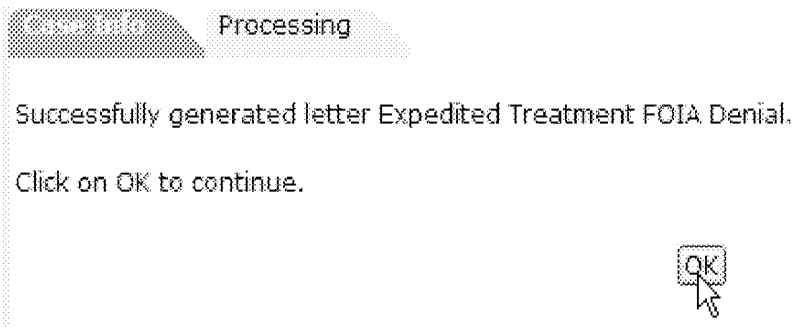
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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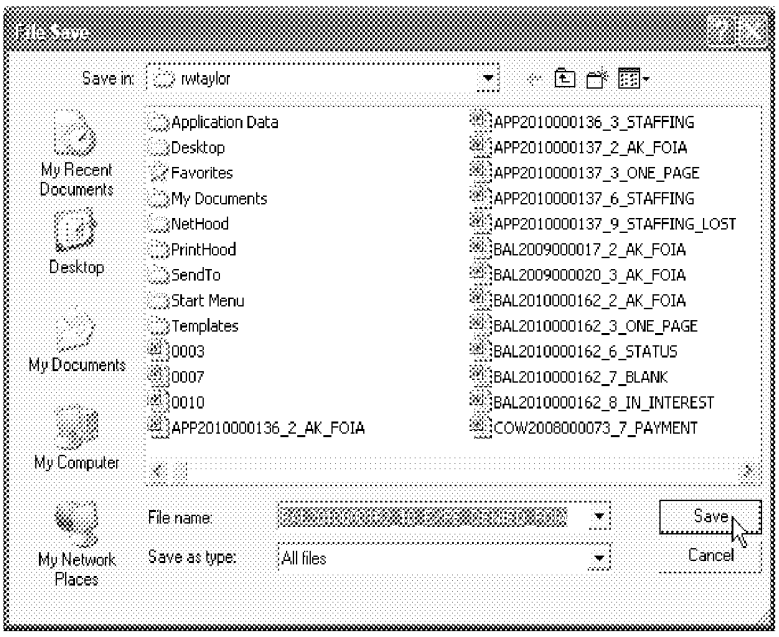

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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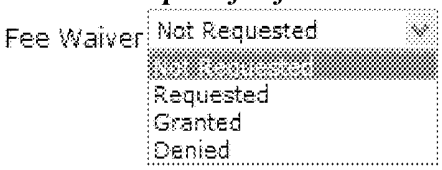
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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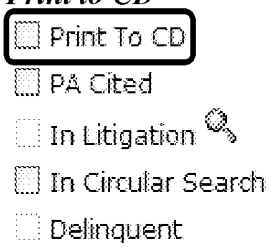
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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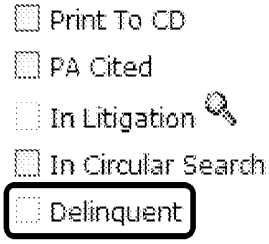
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

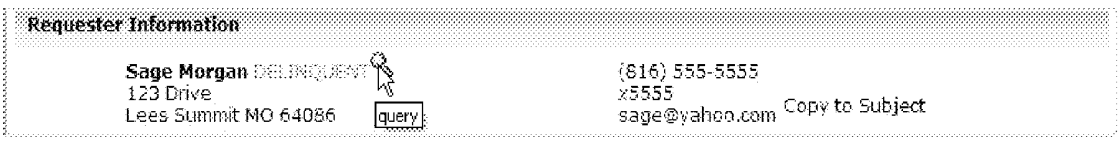
6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



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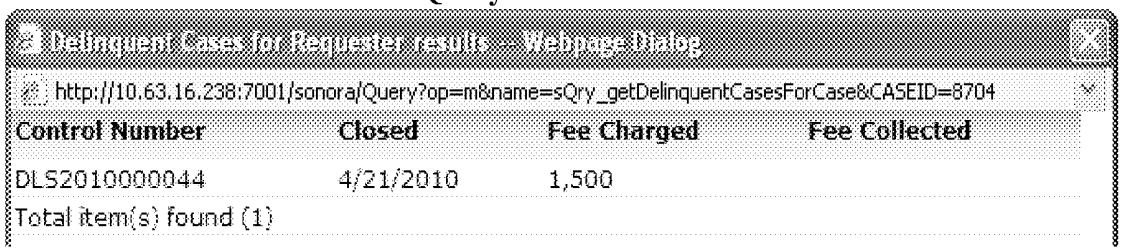
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

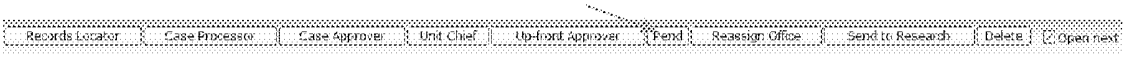
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

~~Just before you create the case~~, Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

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Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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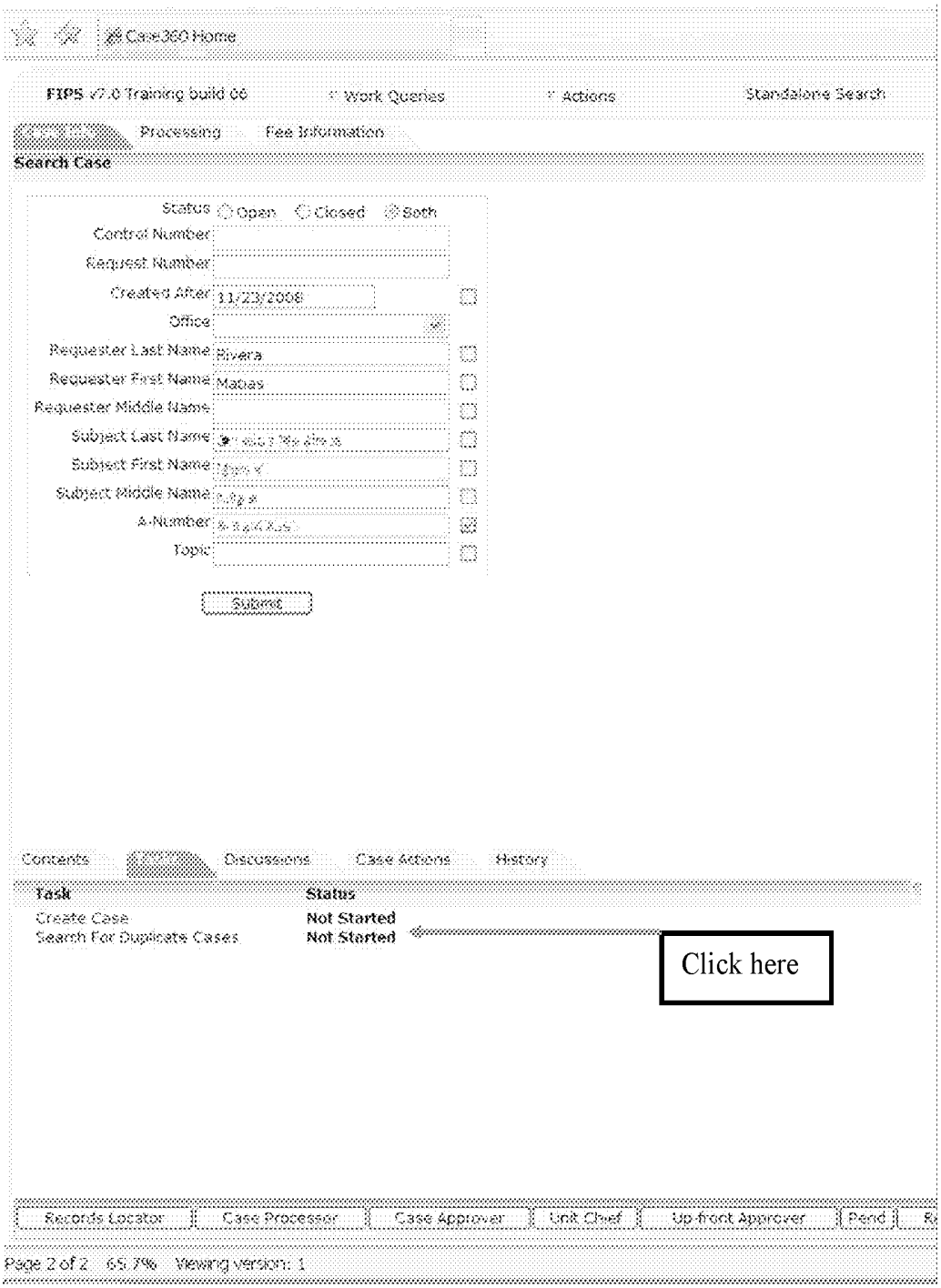

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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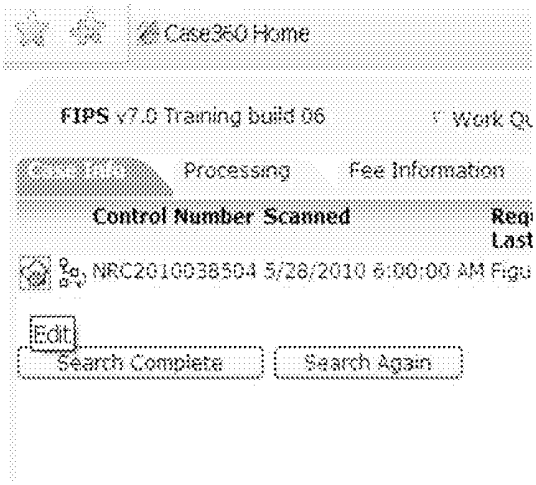
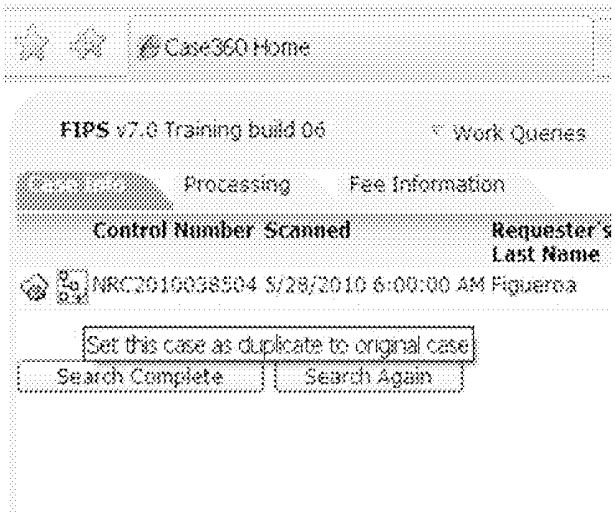


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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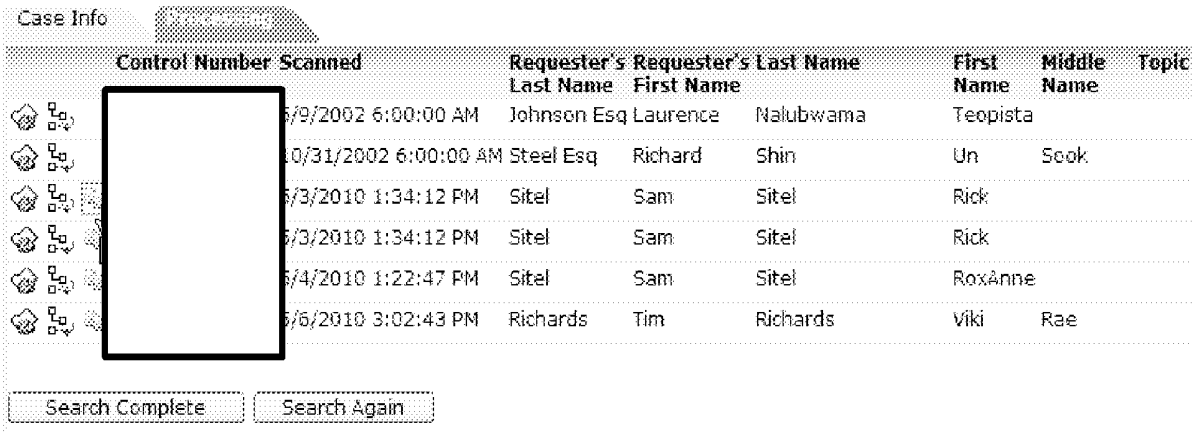
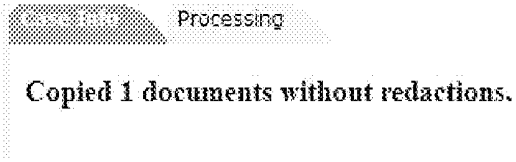
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

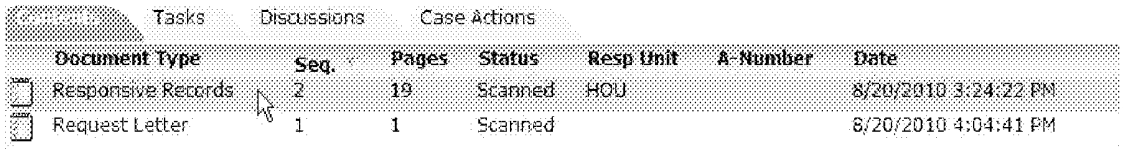
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

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required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

"I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
Executed on (date).
(SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

"I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
(SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment* . Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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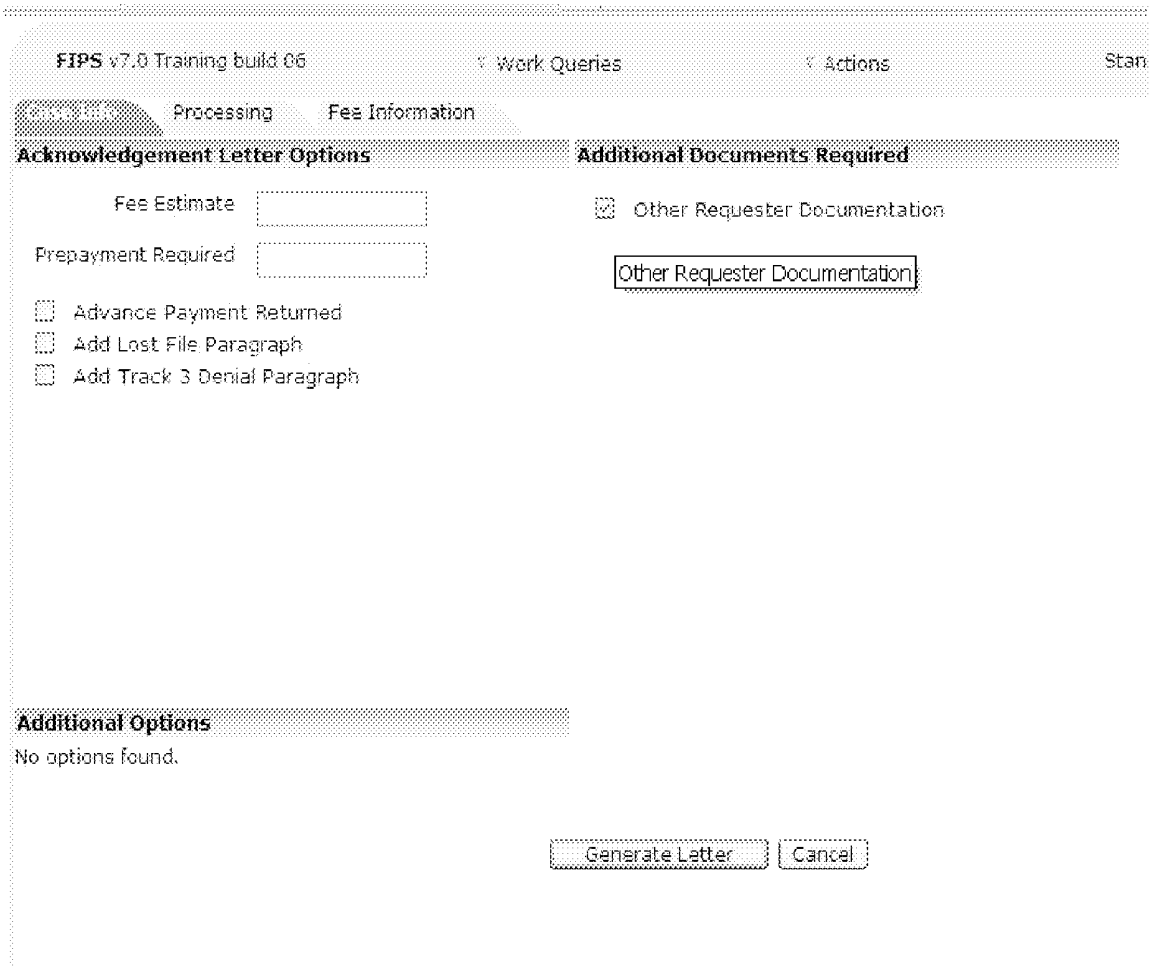
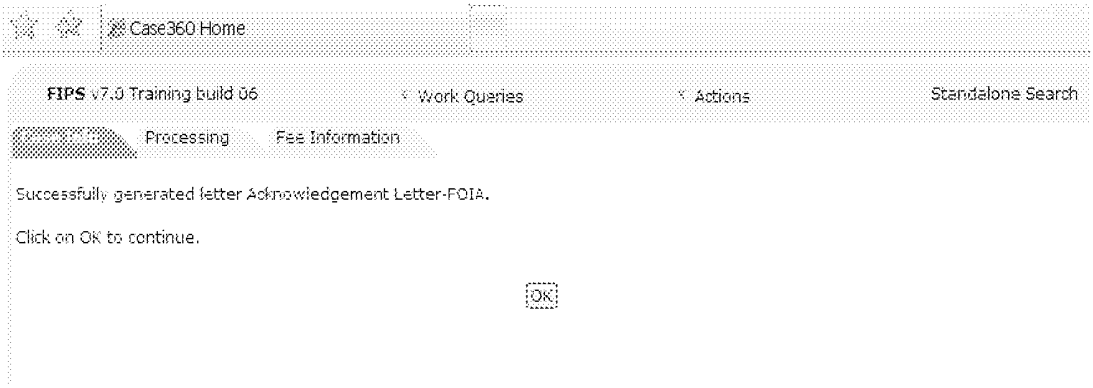


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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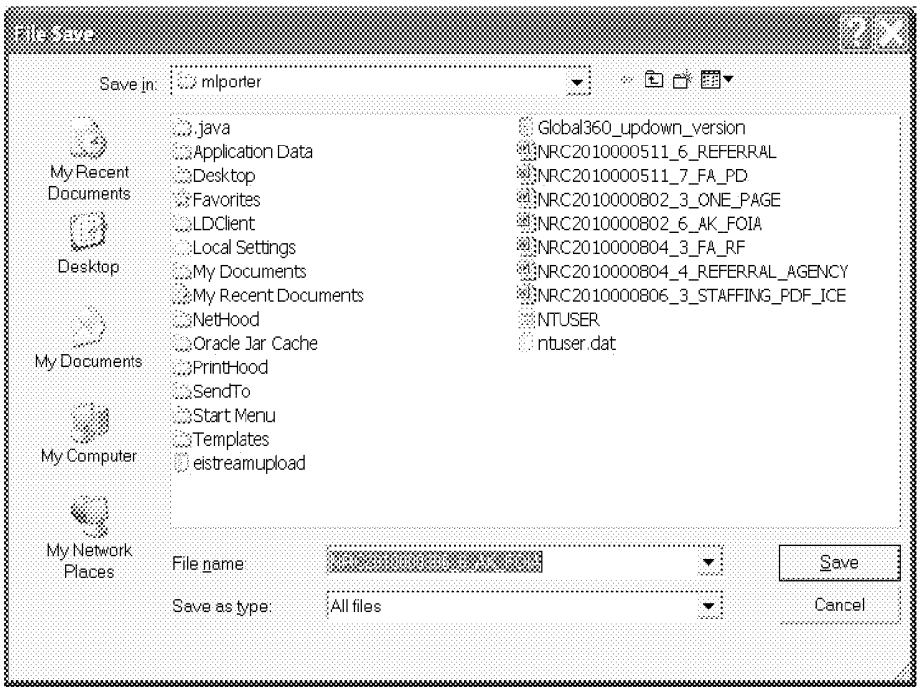

The acknowledgment letter will pop up:

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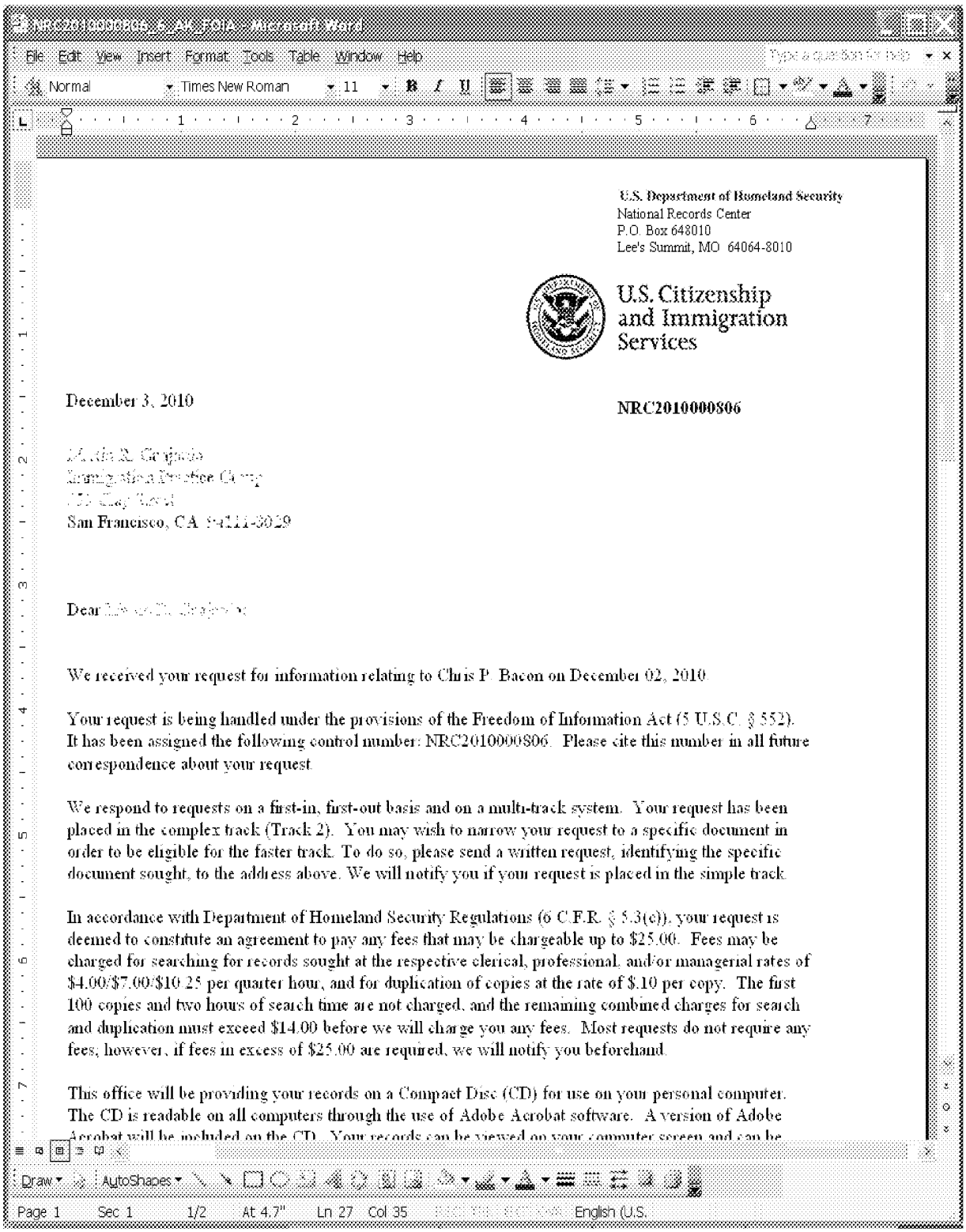

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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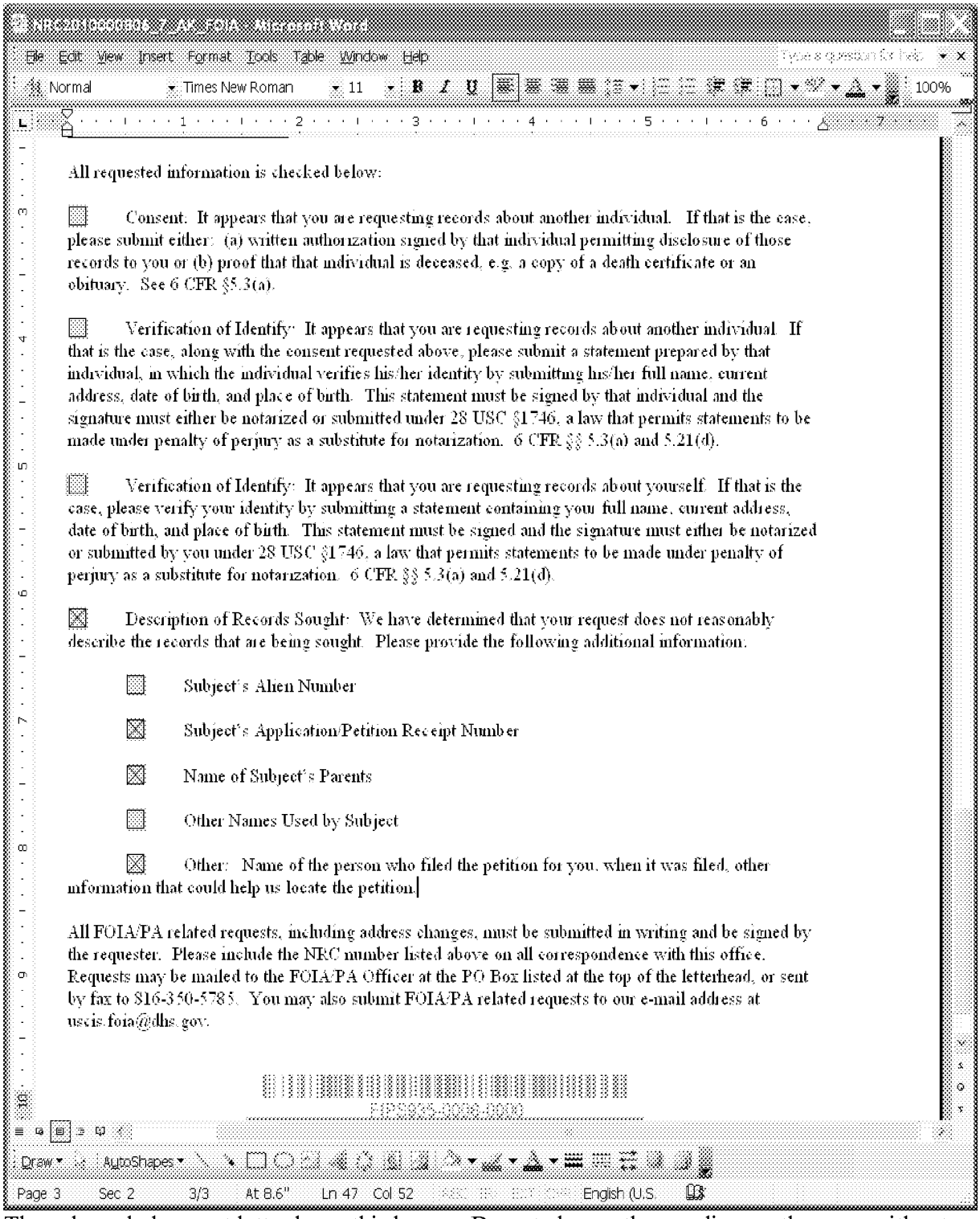

All requested information is checked below:

☐ Consent. It appears that you are requesting records about another individual. If that is the case, please submit either: (a) written authorization signed by that individual permitting disclosure of those records to you or (b) proof that that individual is deceased, e.g. a copy of a death certificate or an obituary. See 6 CFR §5.3(a).

☐ Verification of Identity: It appears that you are requesting records about another individual. If that is the case, along with the consent requested above, please submit a statement prepared by that individual, in which the individual verifies his/her identity by submitting his/her full name, current address, date of birth, and place of birth. This statement must be signed by that individual and the signature must either be notarized or submitted under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☐ Verification of Identity: It appears that you are requesting records about yourself. If that is the case, please verify your identity by submitting a statement containing your full name, current address, date of birth, and place of birth. This statement must be signed and the signature must either be notarized or submitted by you under 28 USC §1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. 6 CFR §§ 5.3(a) and 5.21(d).

☒ Description of Records Sought: We have determined that your request does not reasonably describe the records that are being sought. Please provide the following additional information.

- ☐ Subject's Alien Number
- ☒ Subject's Application/Petition Receipt Number
- ☒ Name of Subject's Parents
- ☐ Other Names Used by Subject
- ☒ Other: Name of the person who filed the petition for you, when it was filed, other information that could help us locate the petition.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the NRC number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to 816-350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@dhs.gov.

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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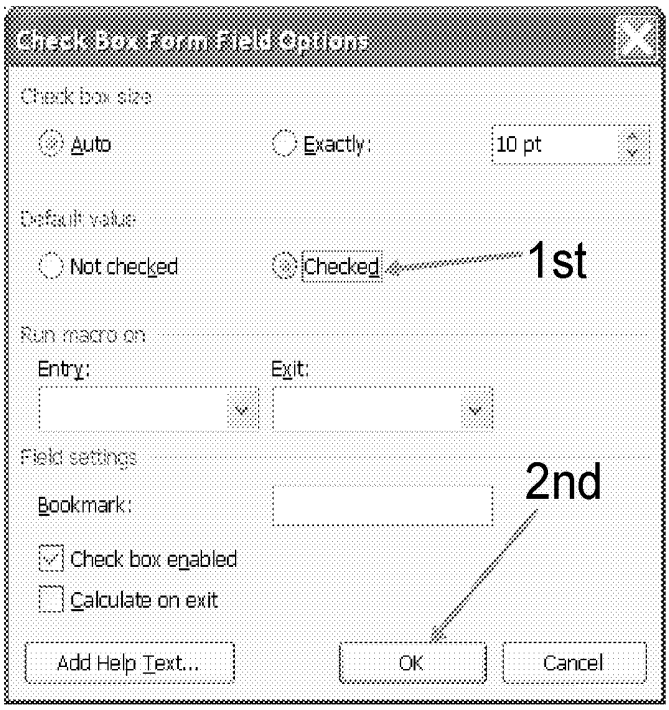
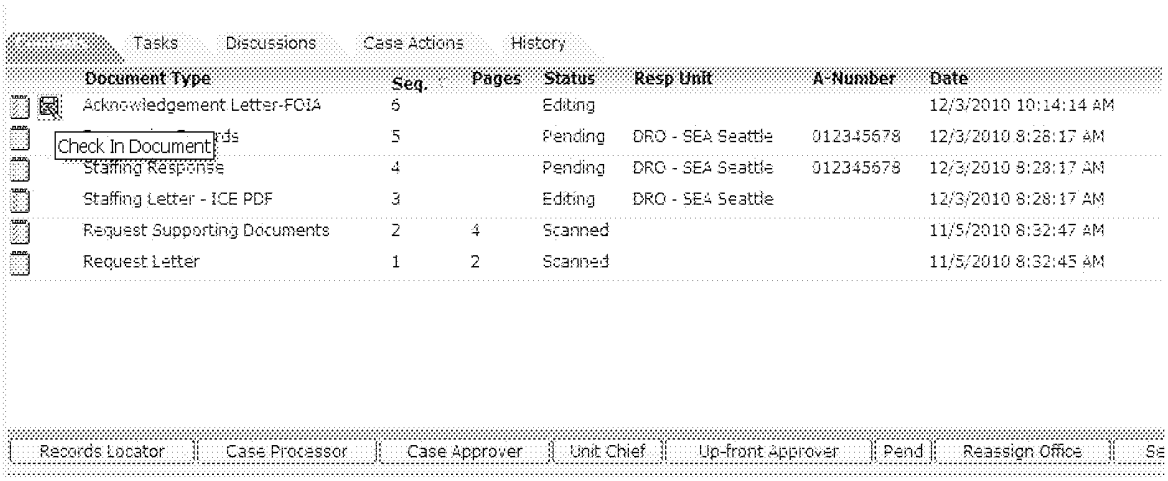


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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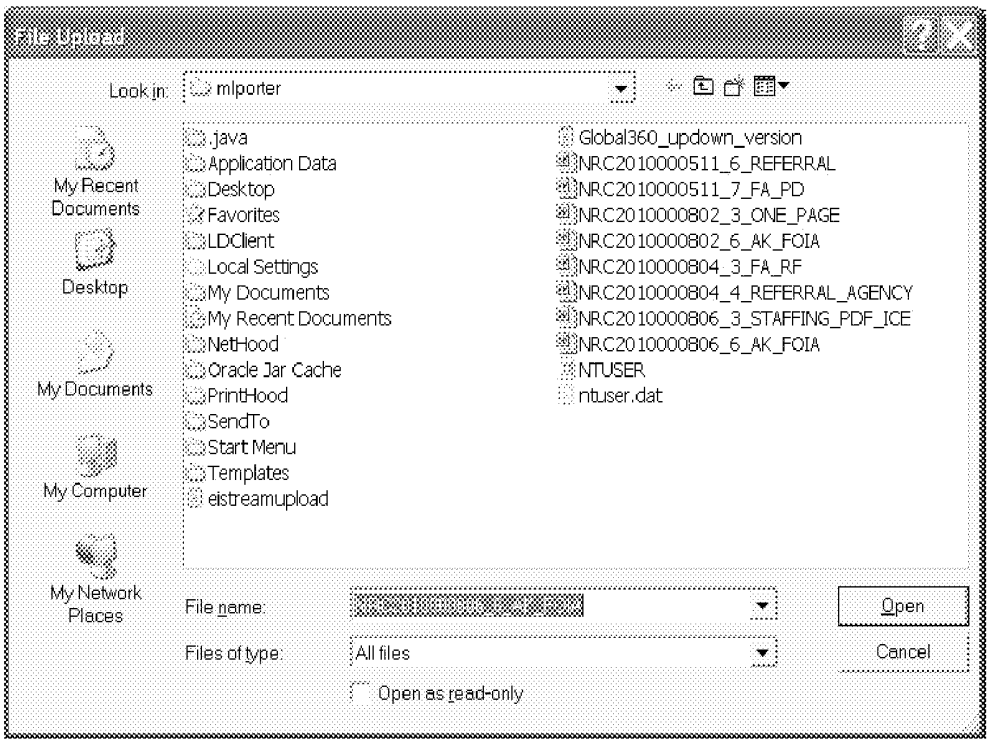
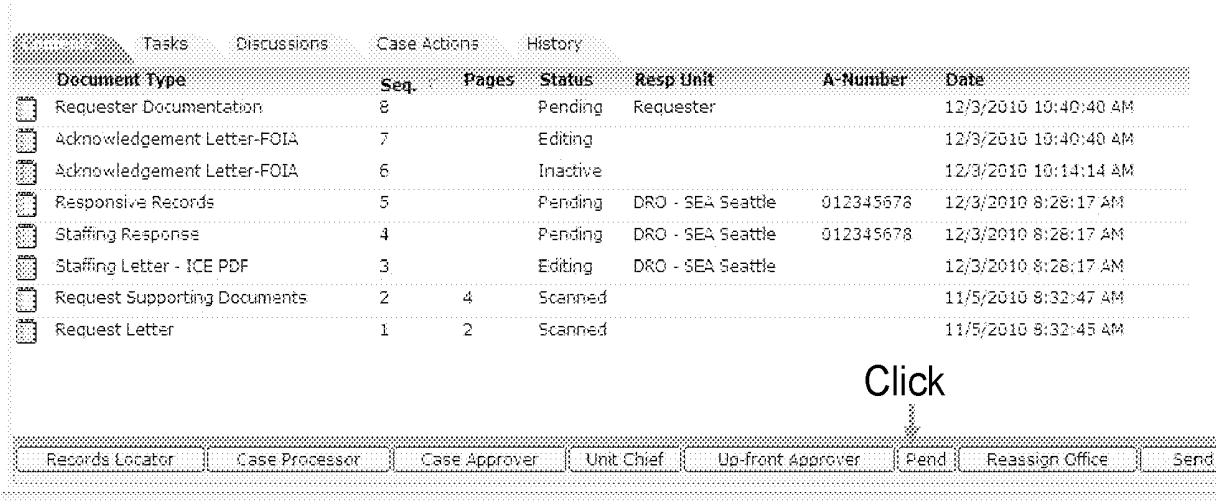


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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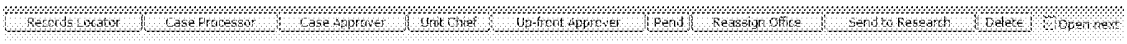
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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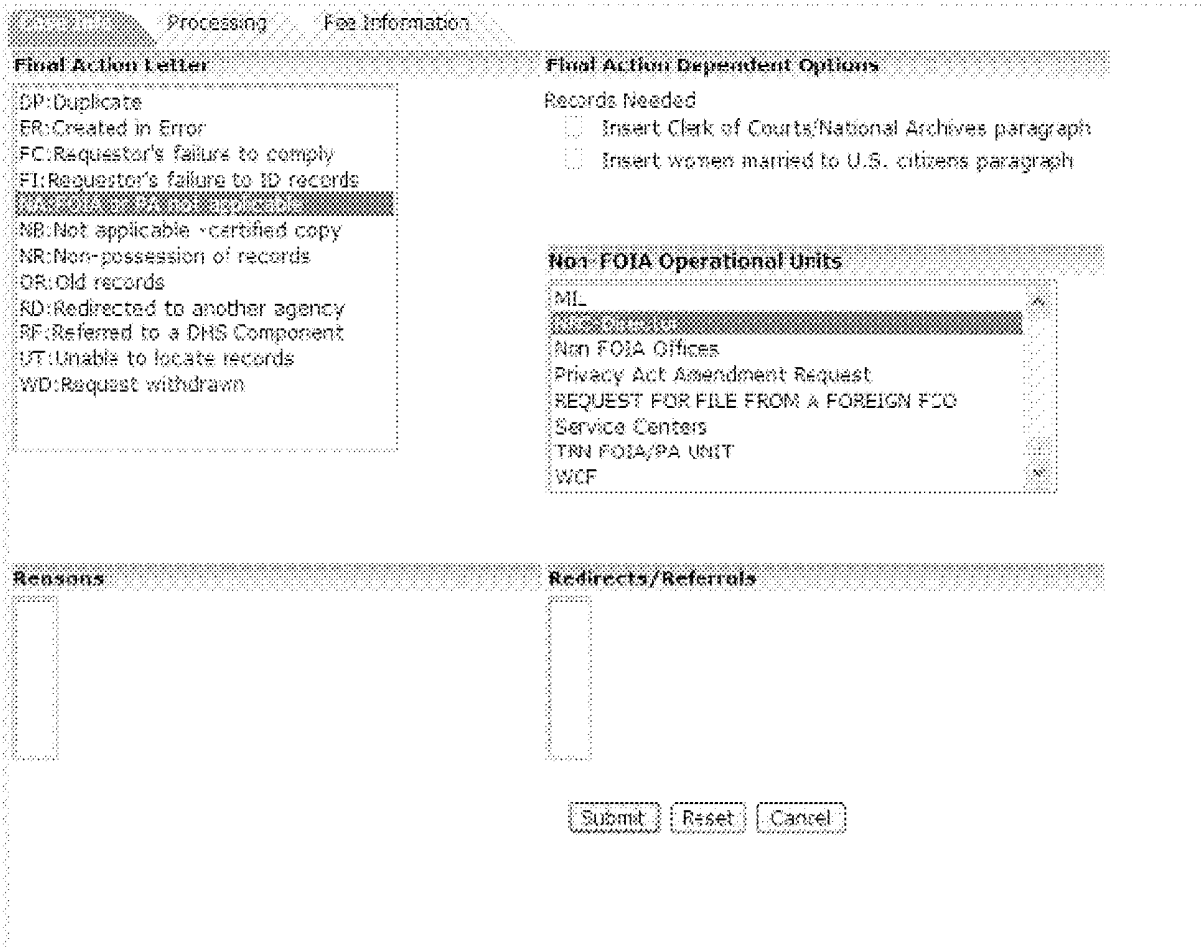

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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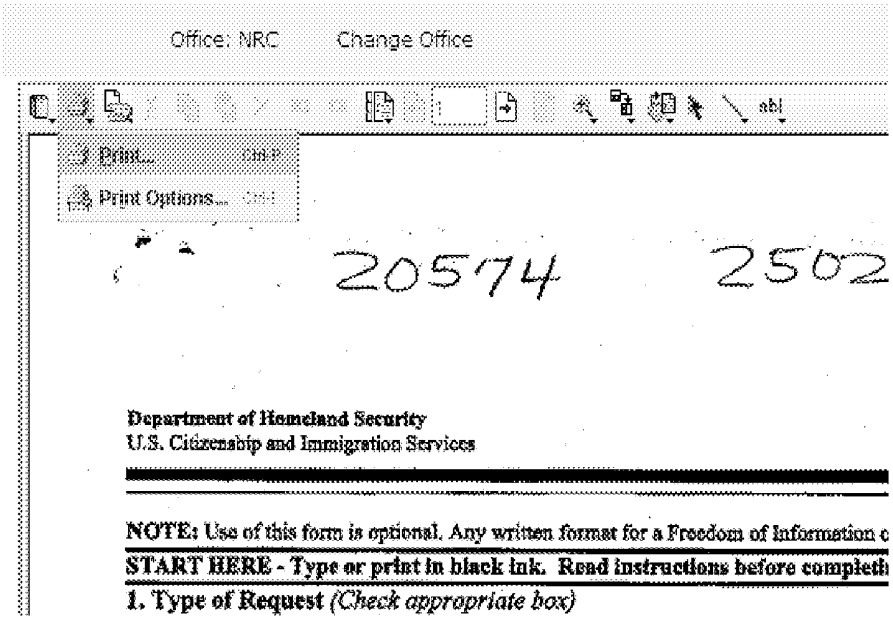
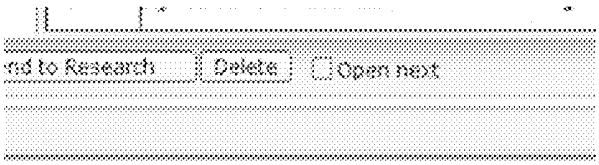


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

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Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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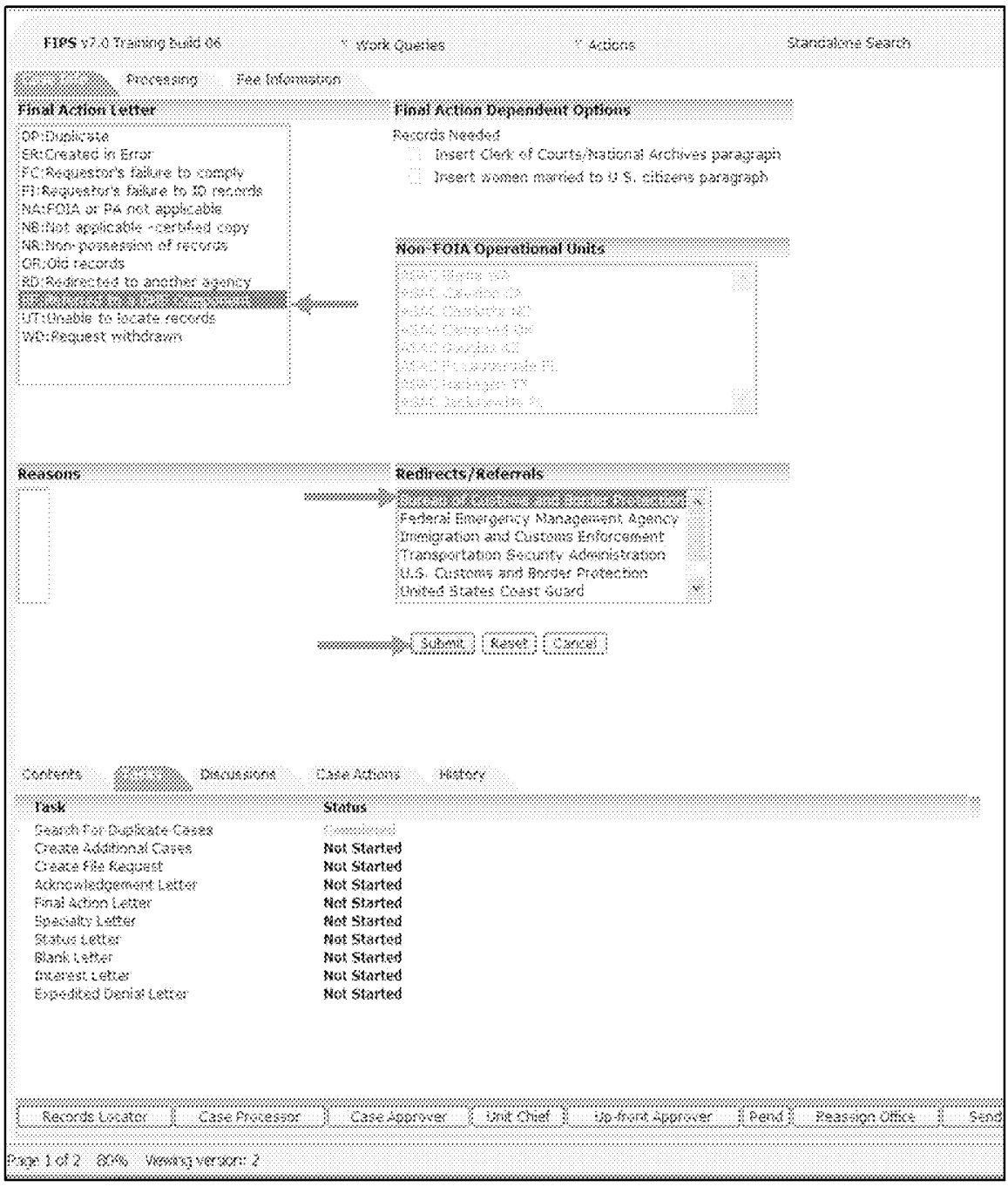

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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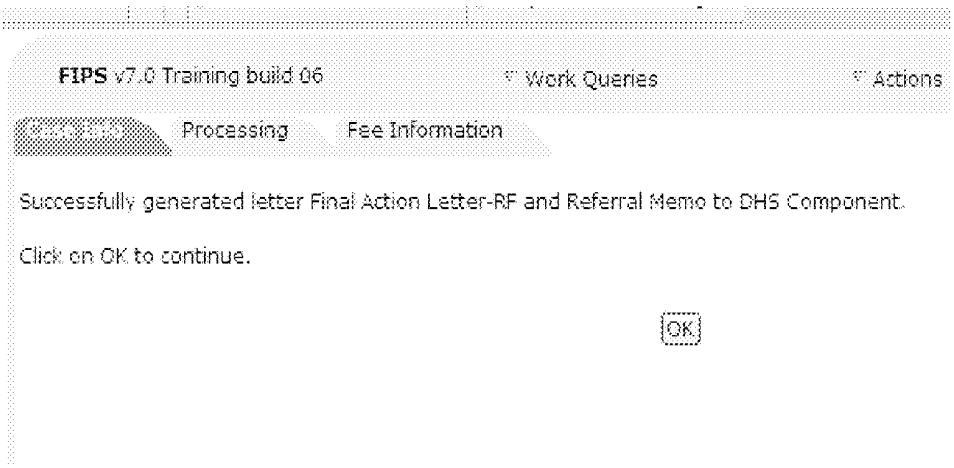
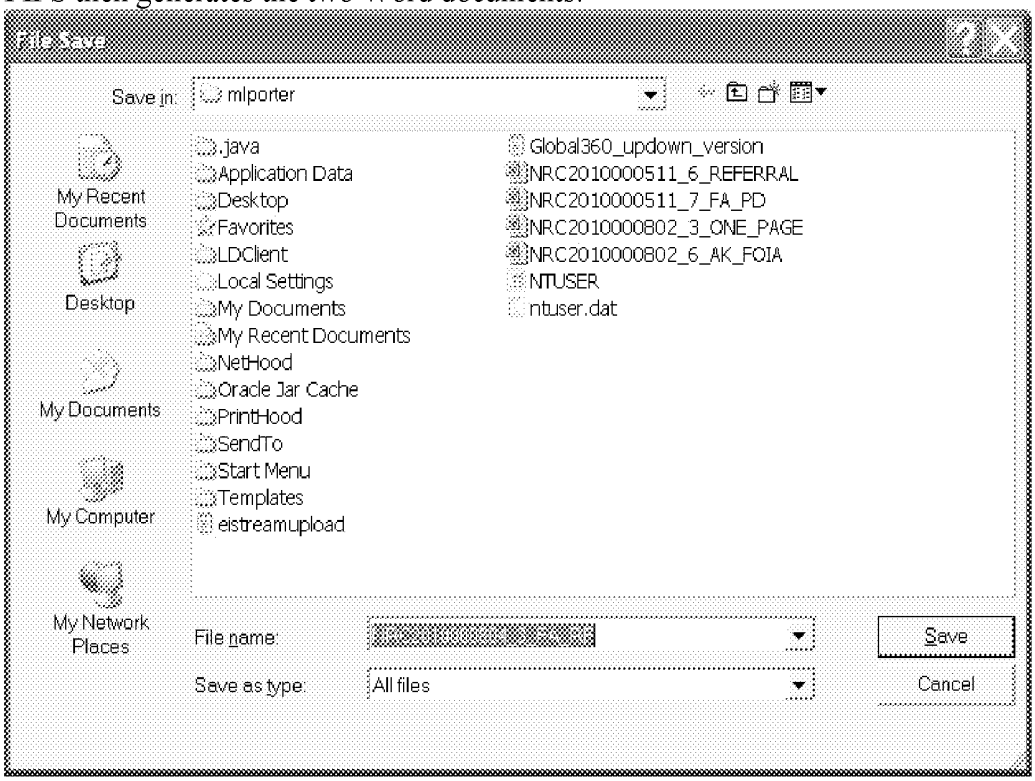


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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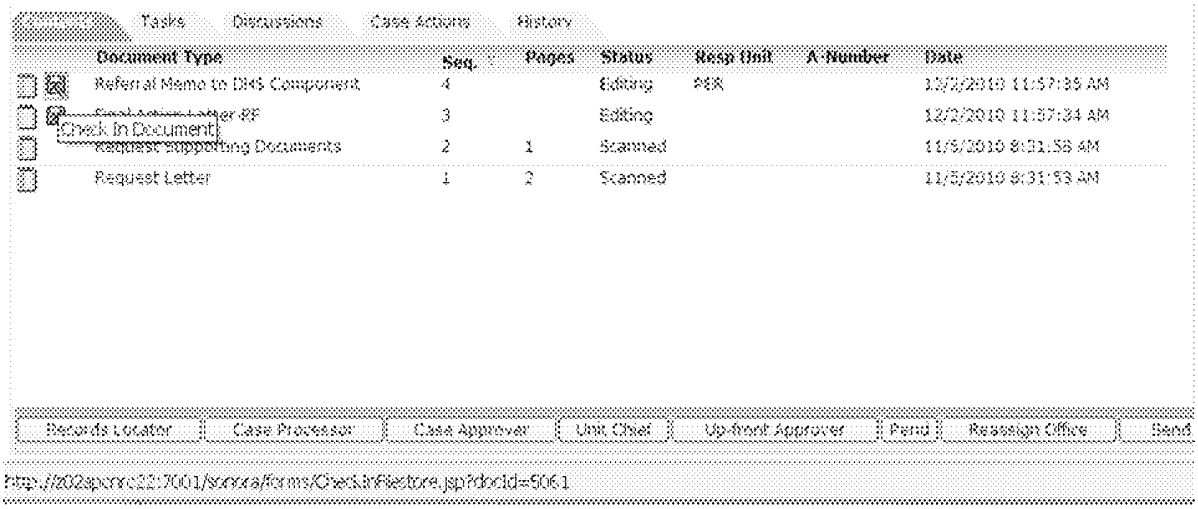
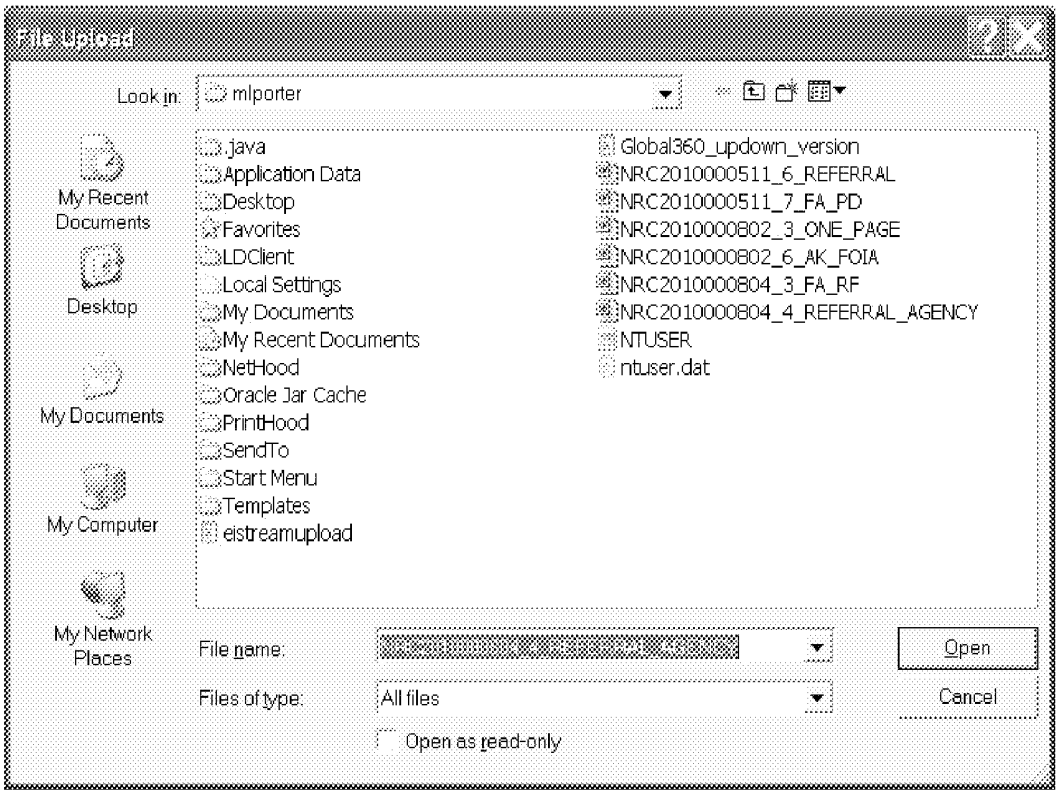


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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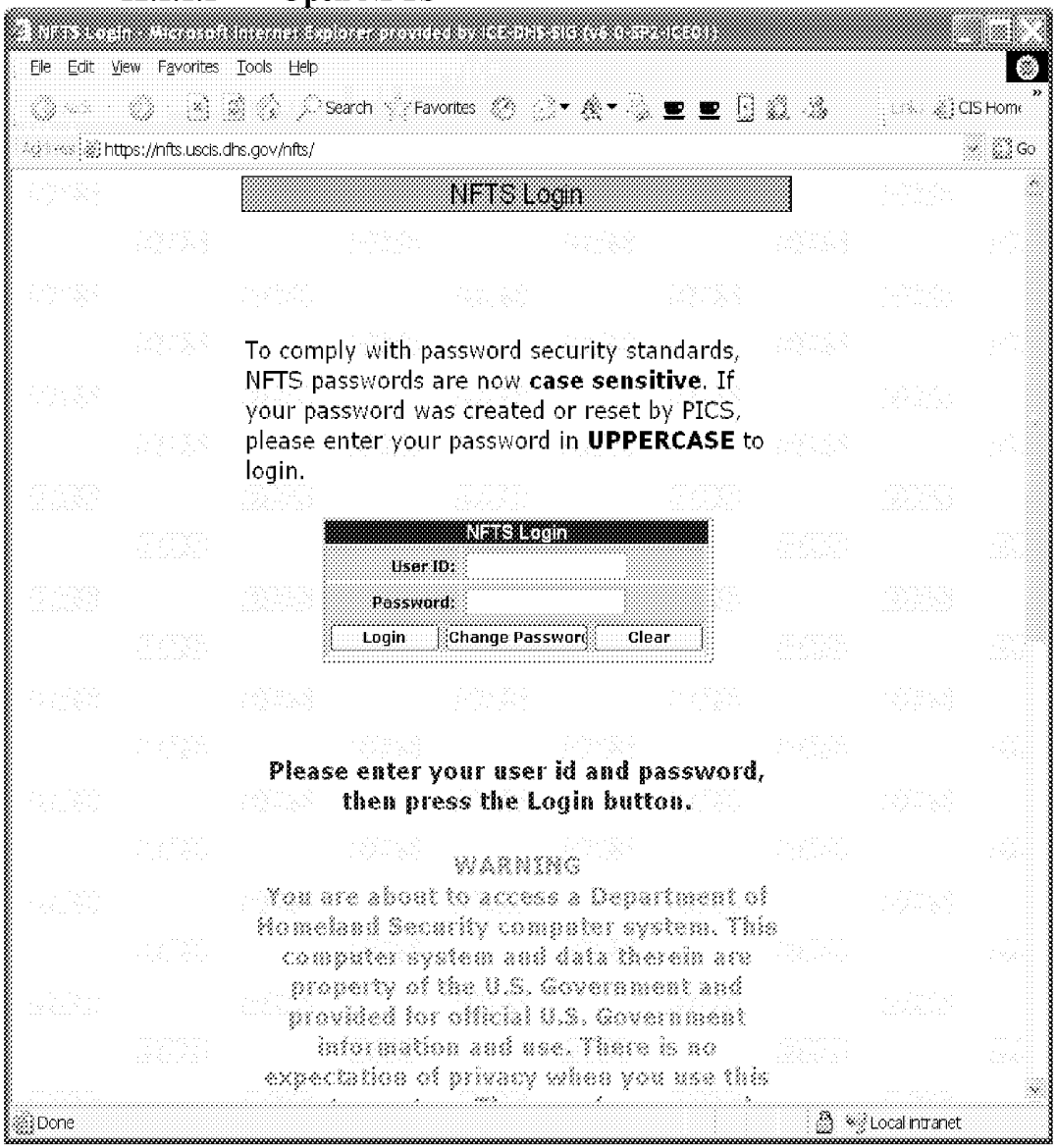
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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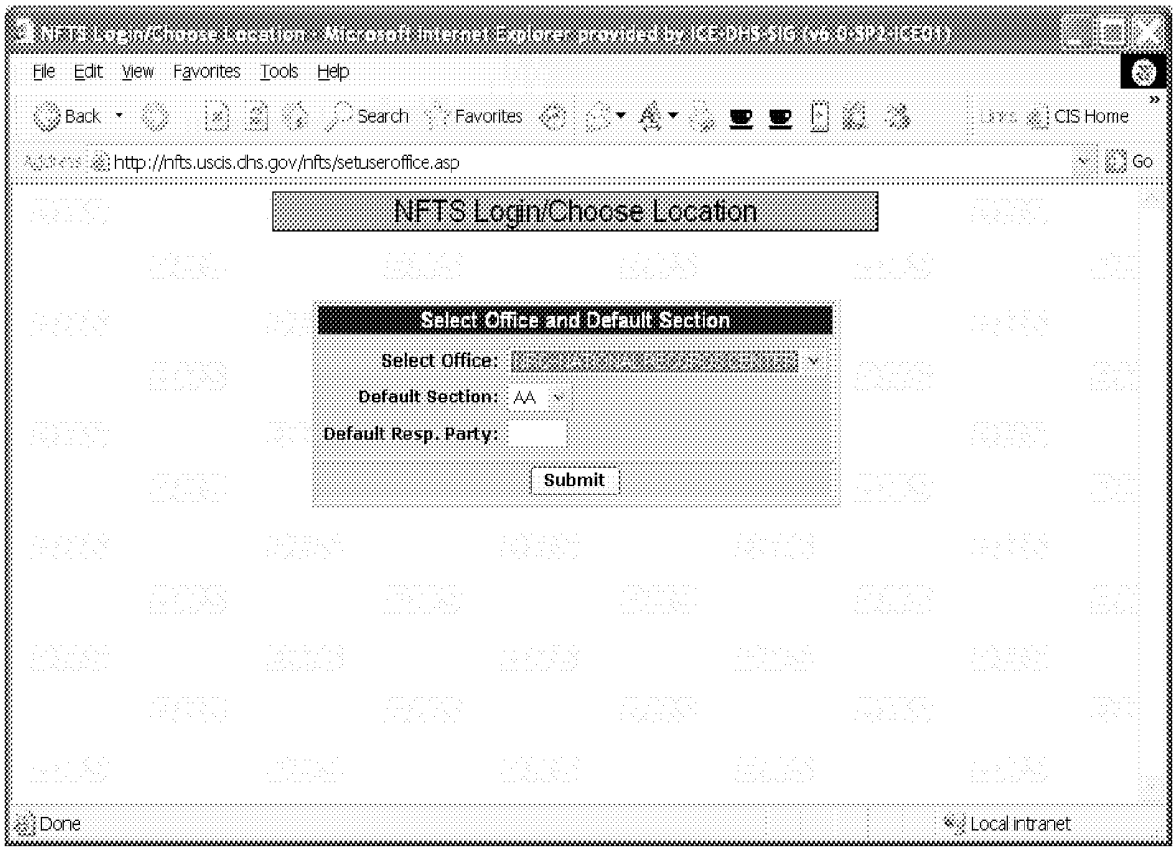
12.1.1.2 Submit your location



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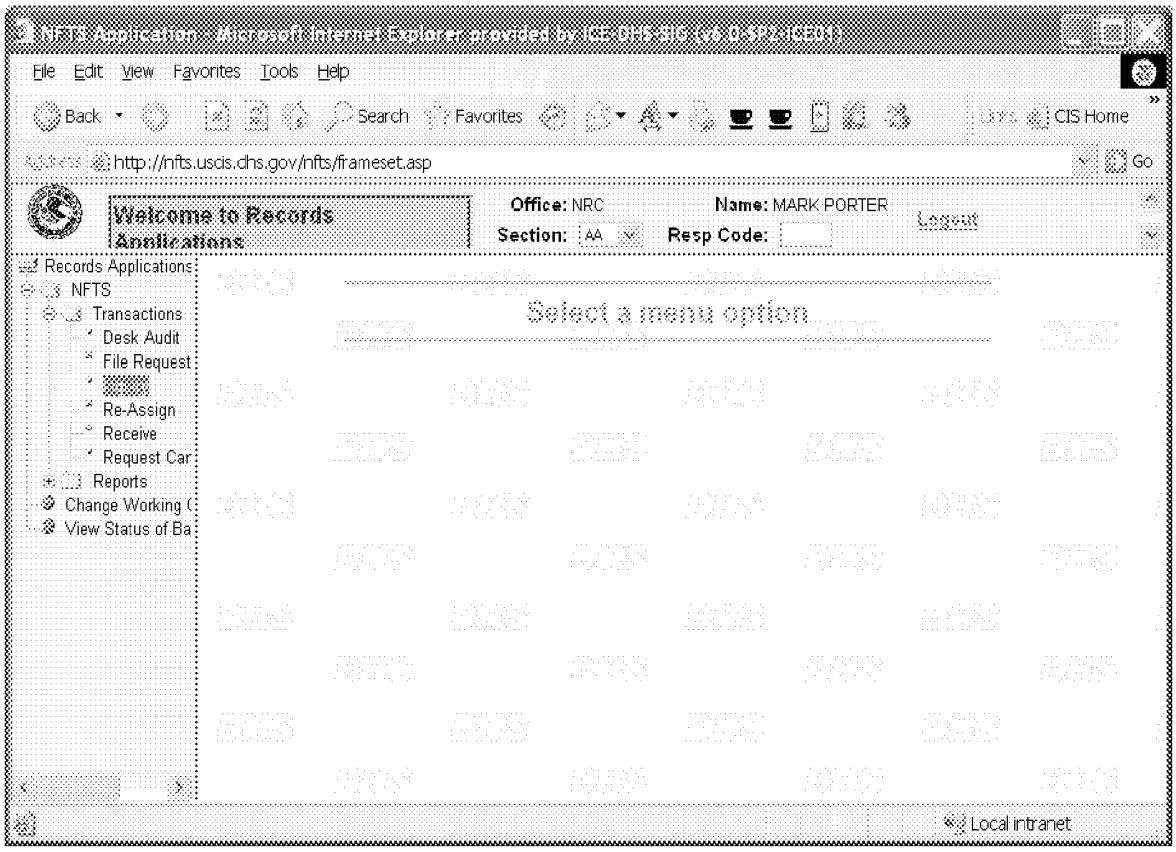
12.1.1.3 Select "Inquiry"



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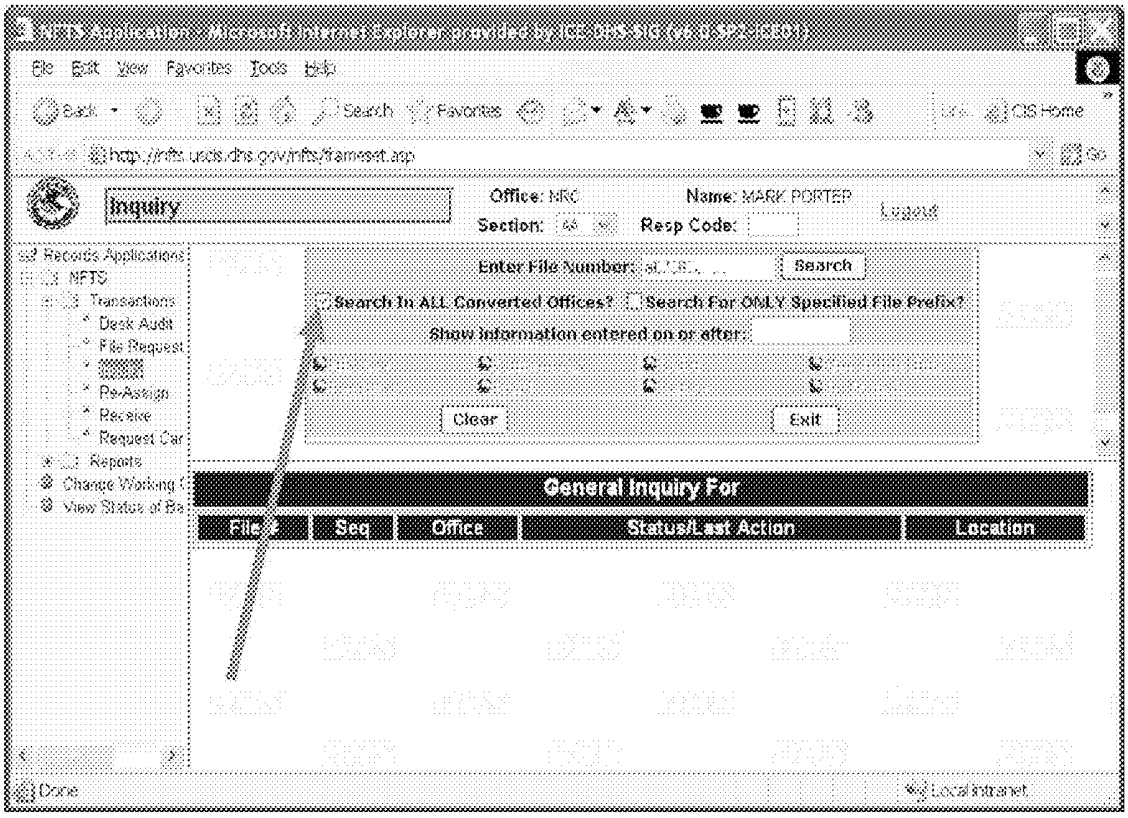
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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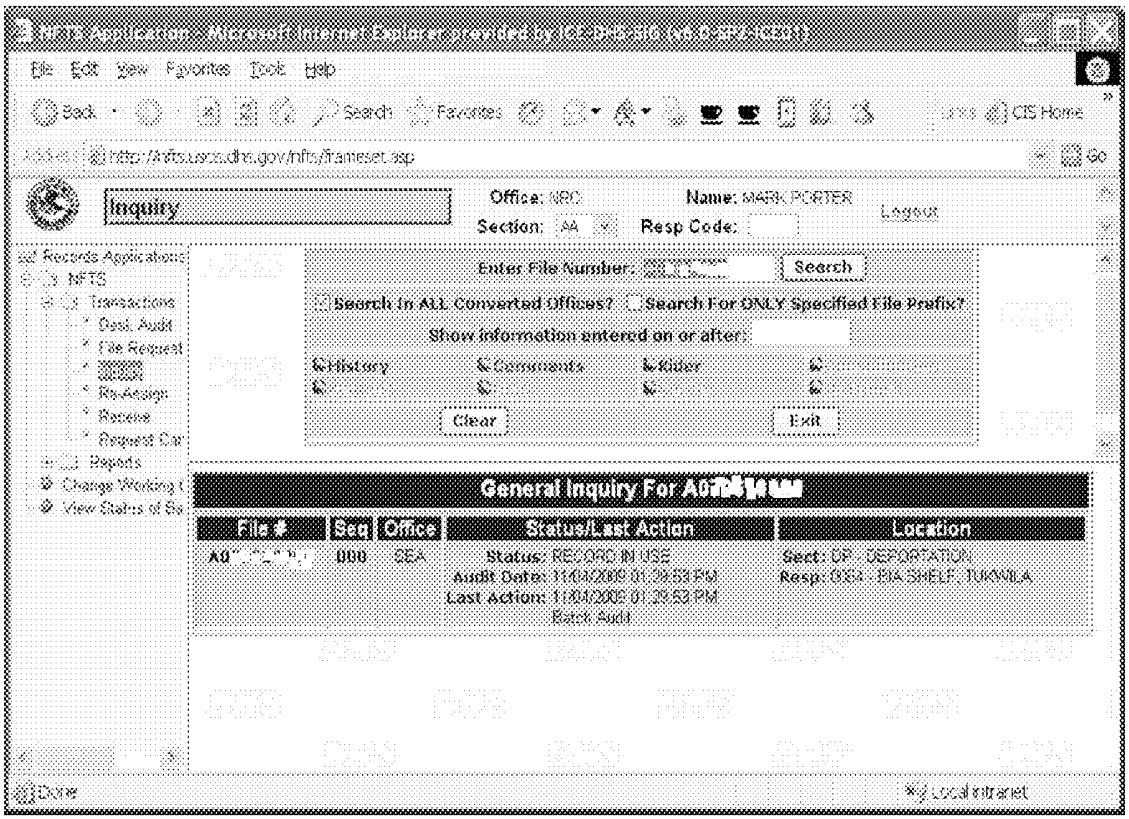
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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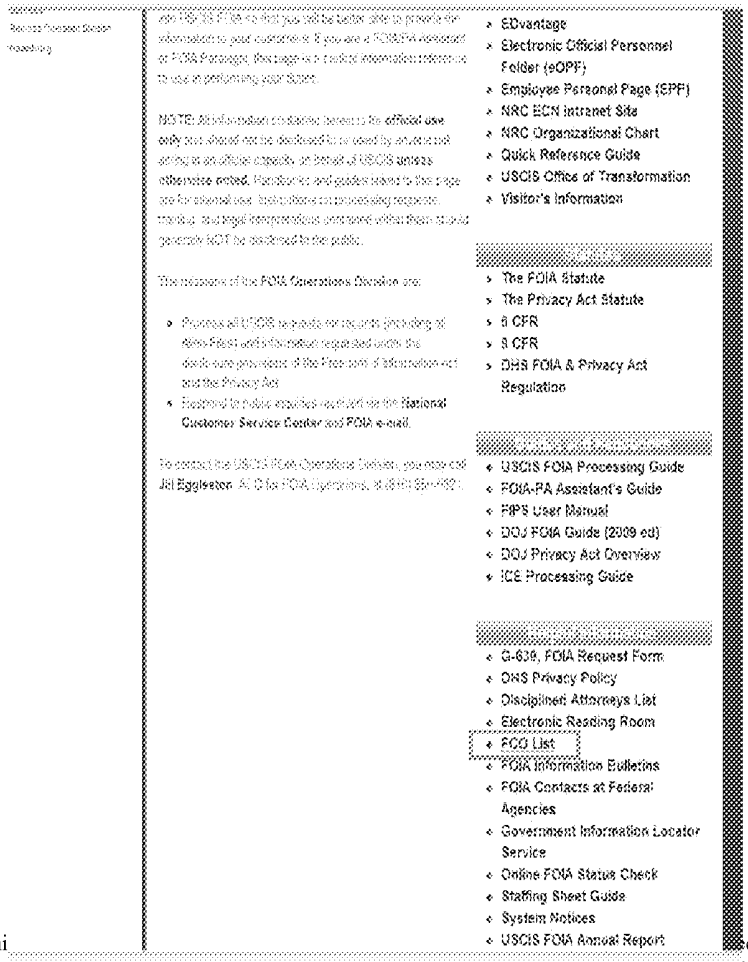
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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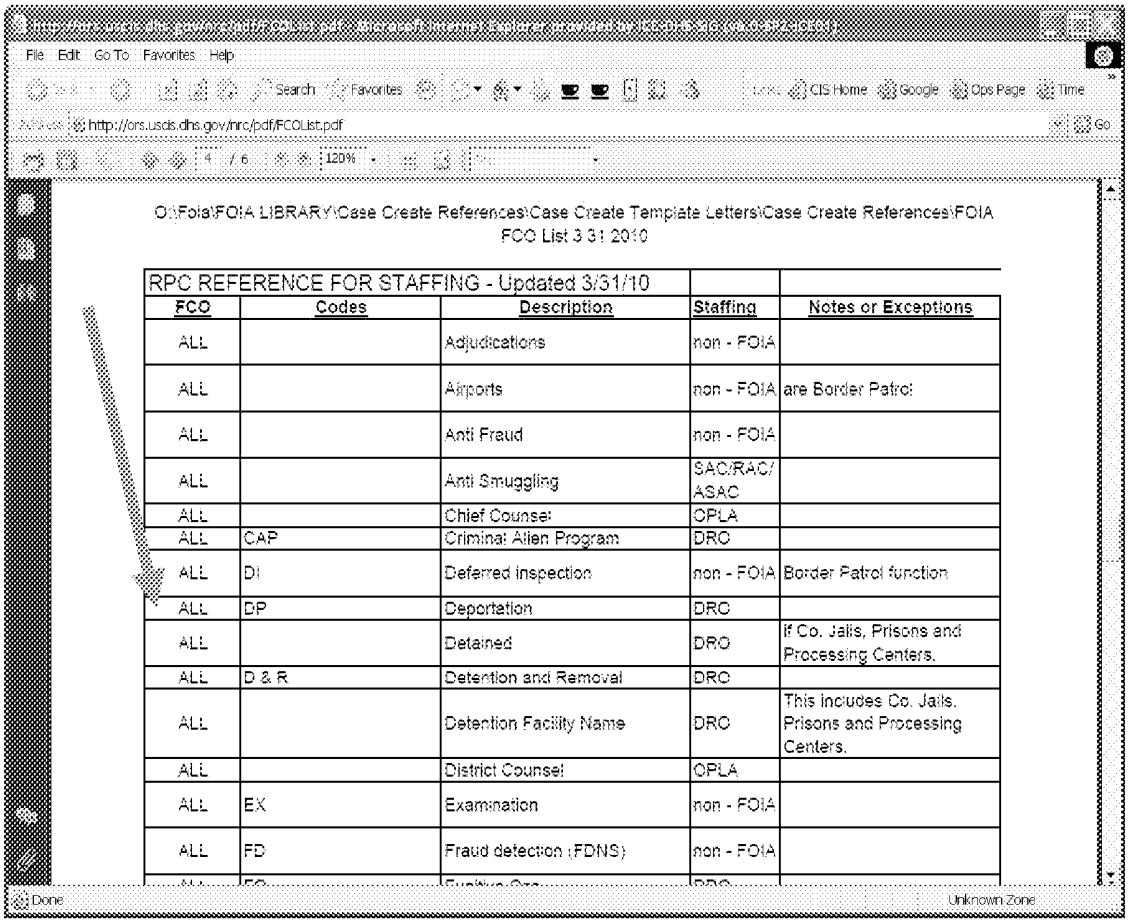
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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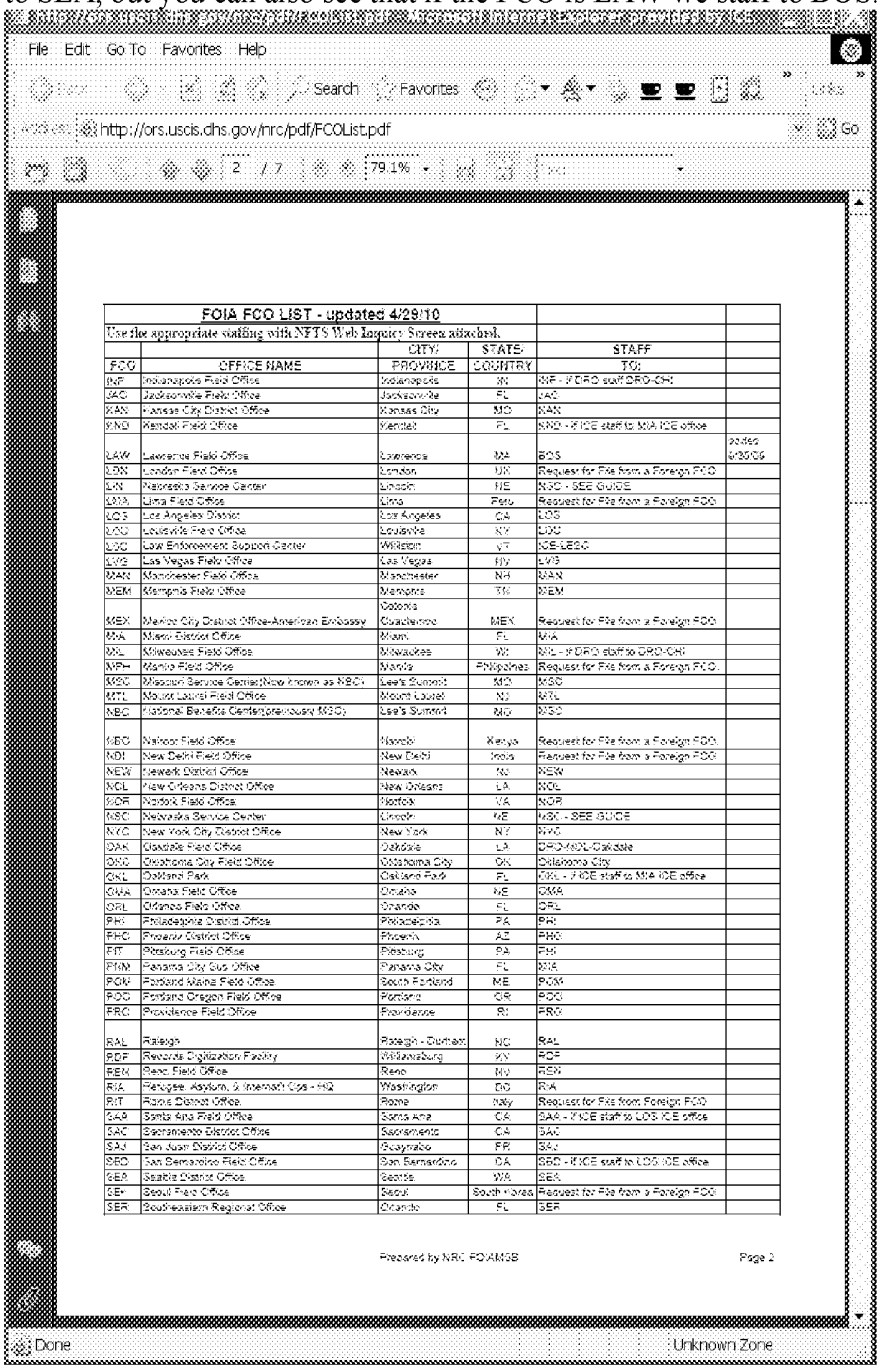
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LIM	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKE	Milwaukee Field Office	Milwaukee	WI	MKE - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOIA/PA

Page 2

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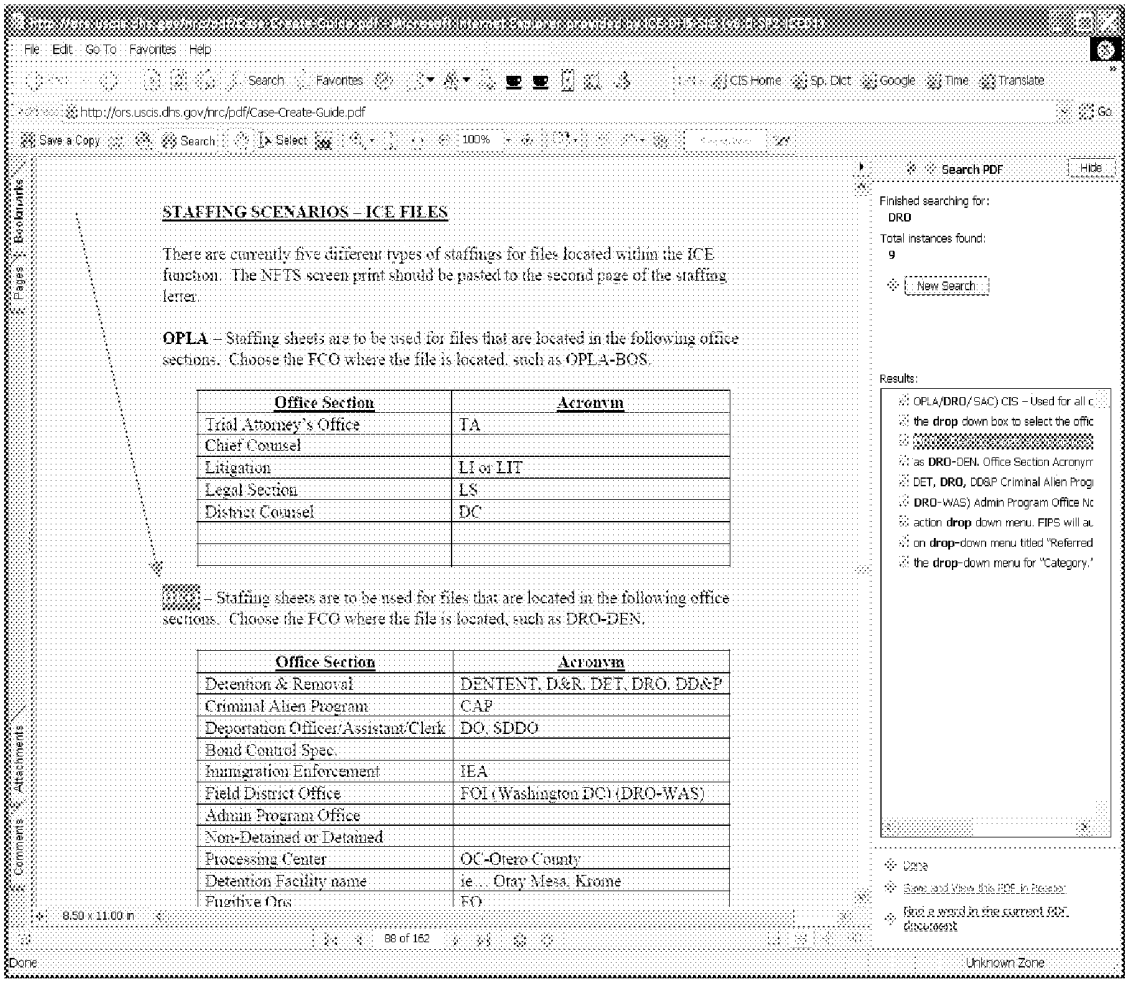
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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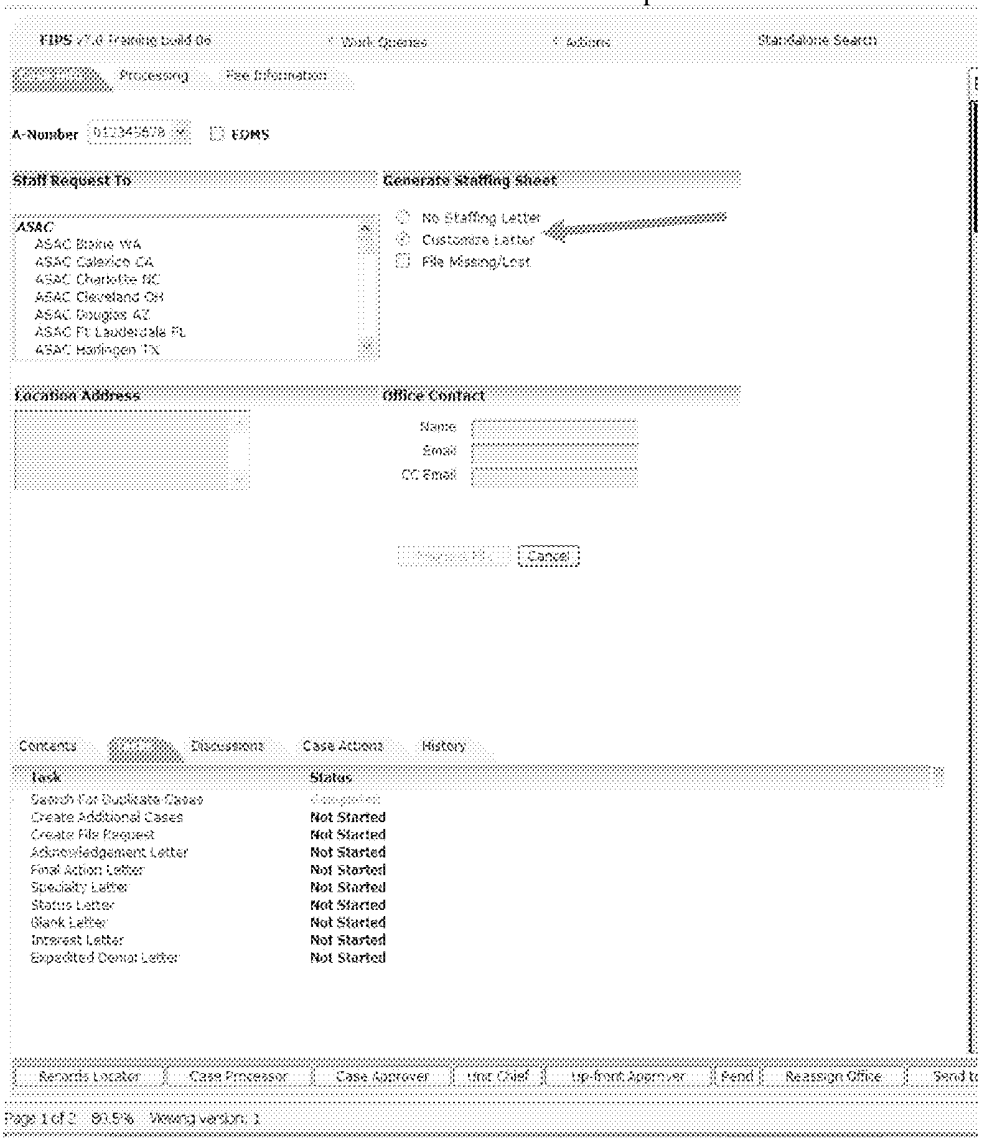
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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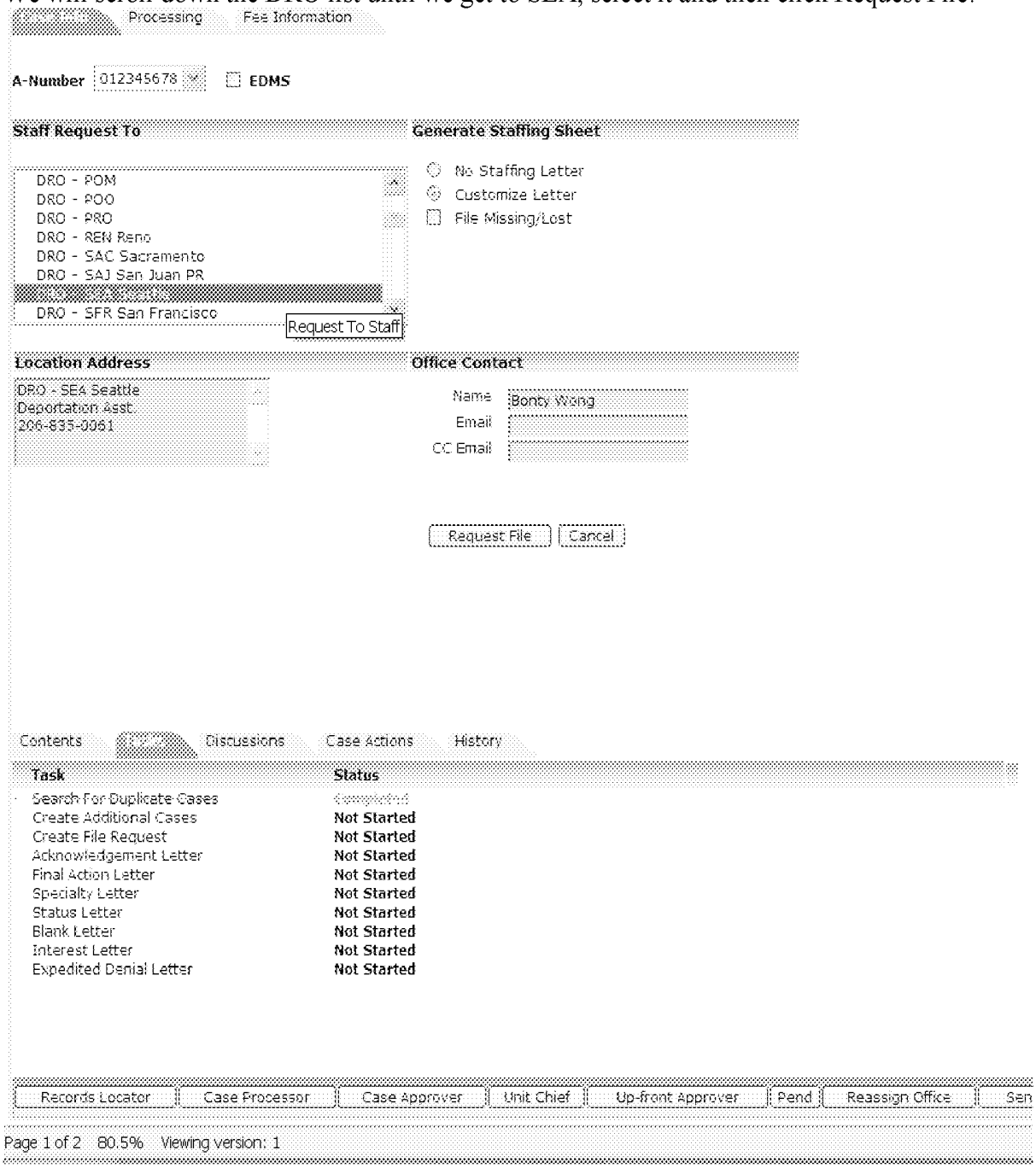
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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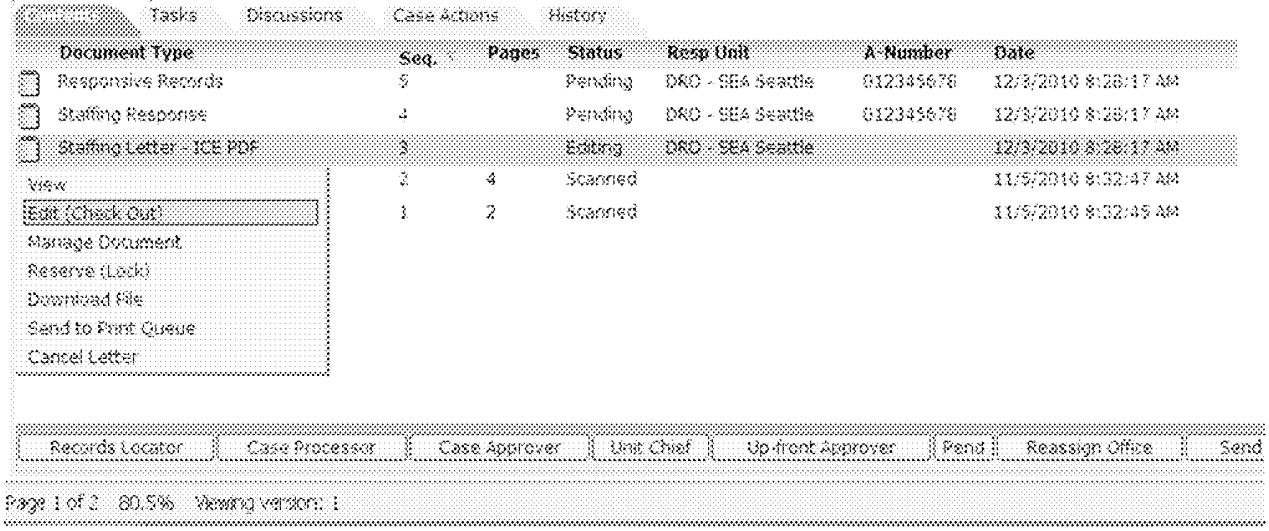
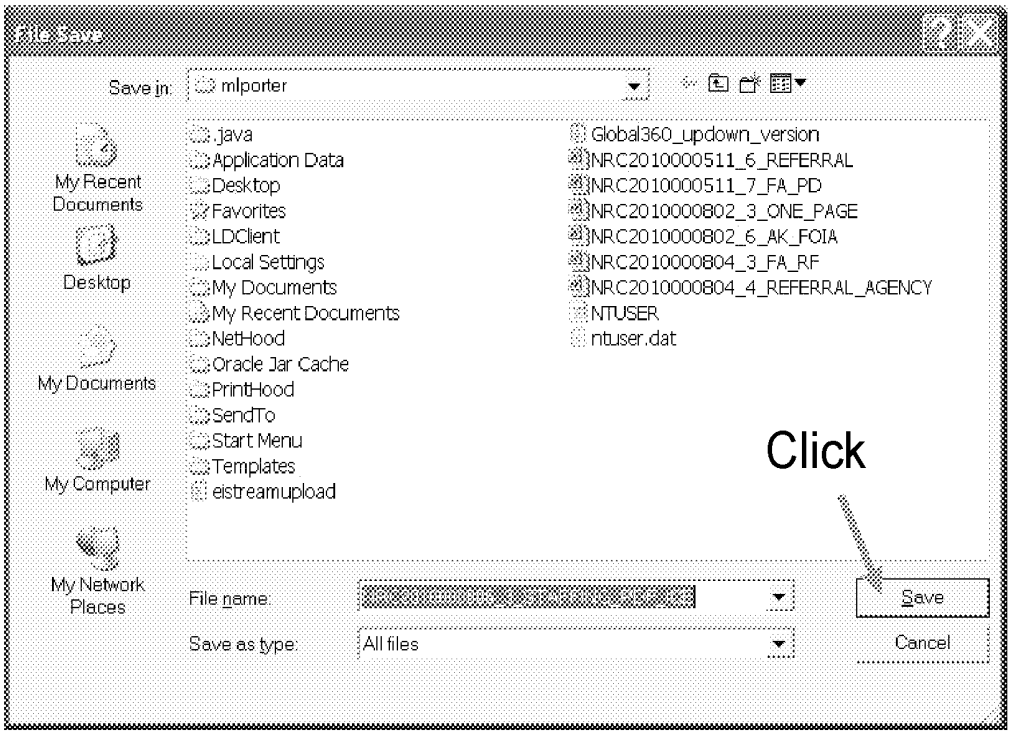
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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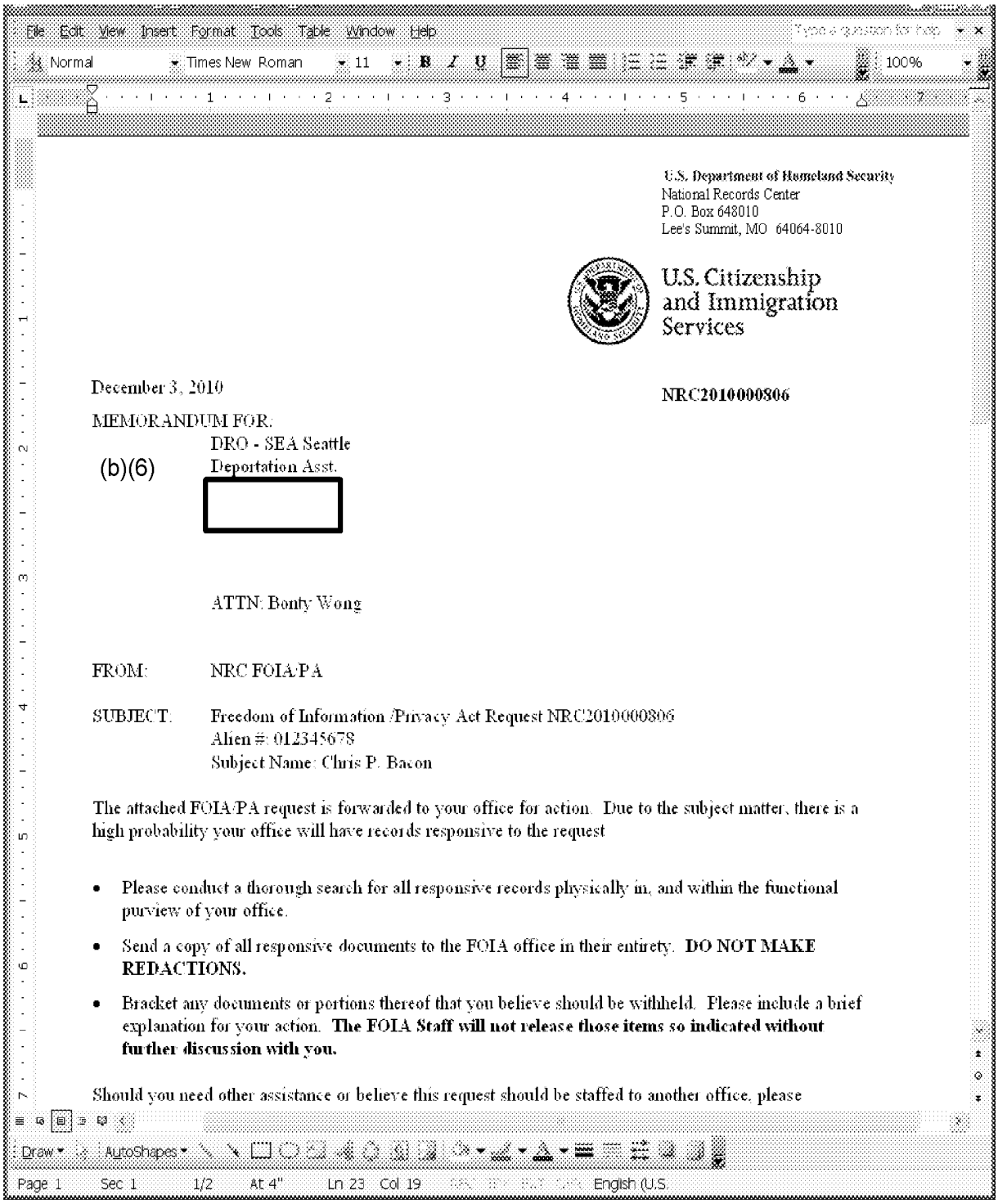
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
(b)(6) Deportation Asst.

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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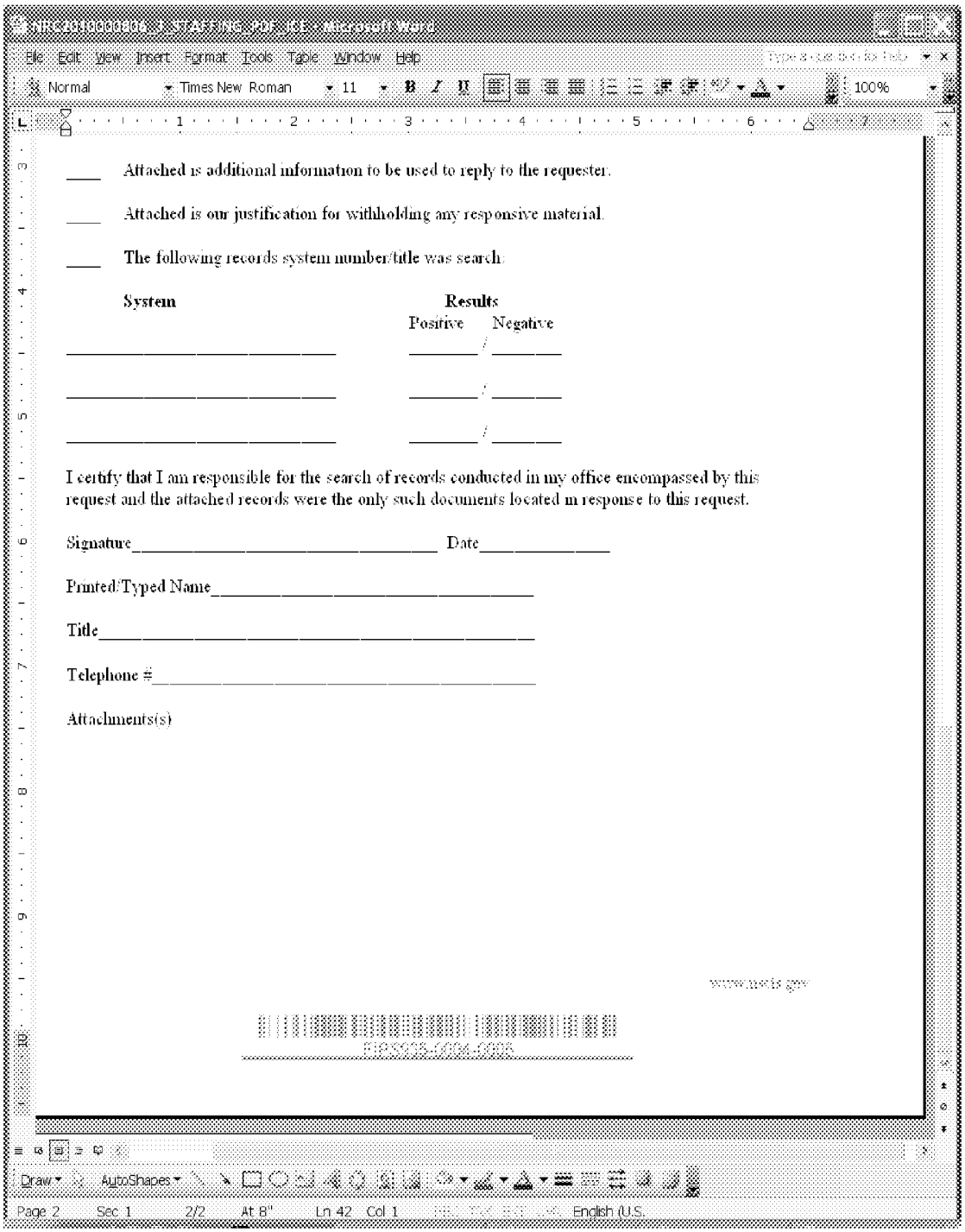
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



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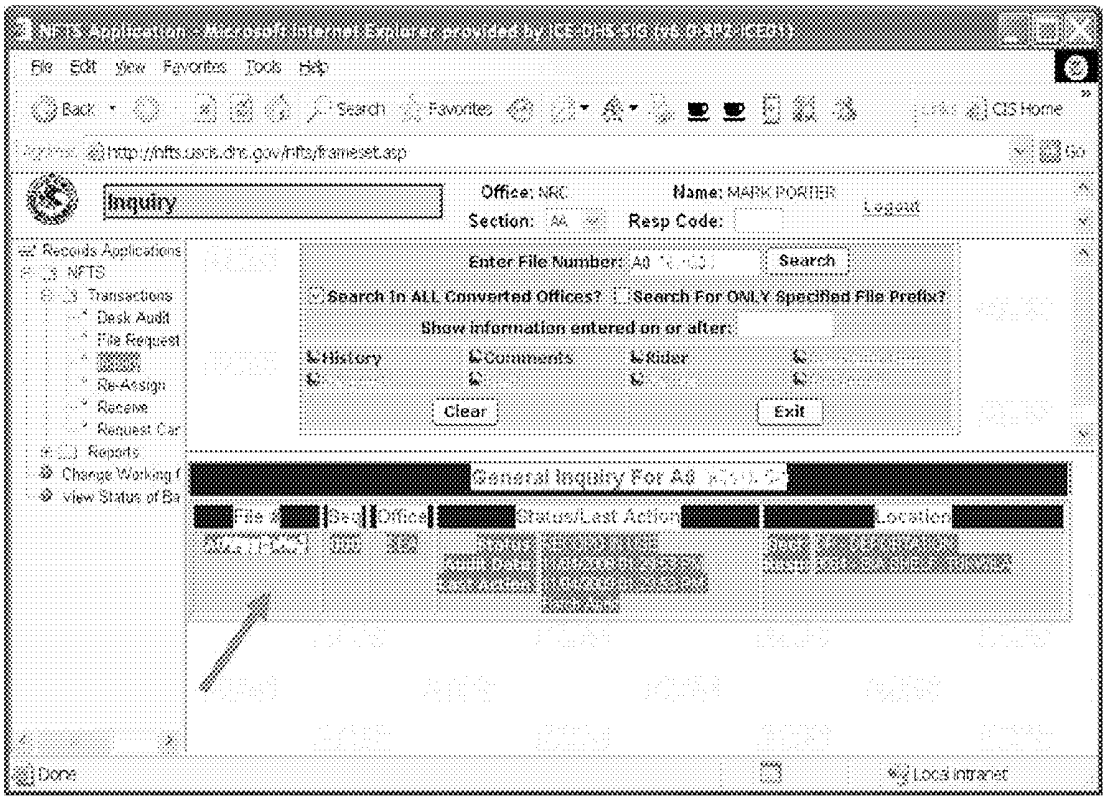
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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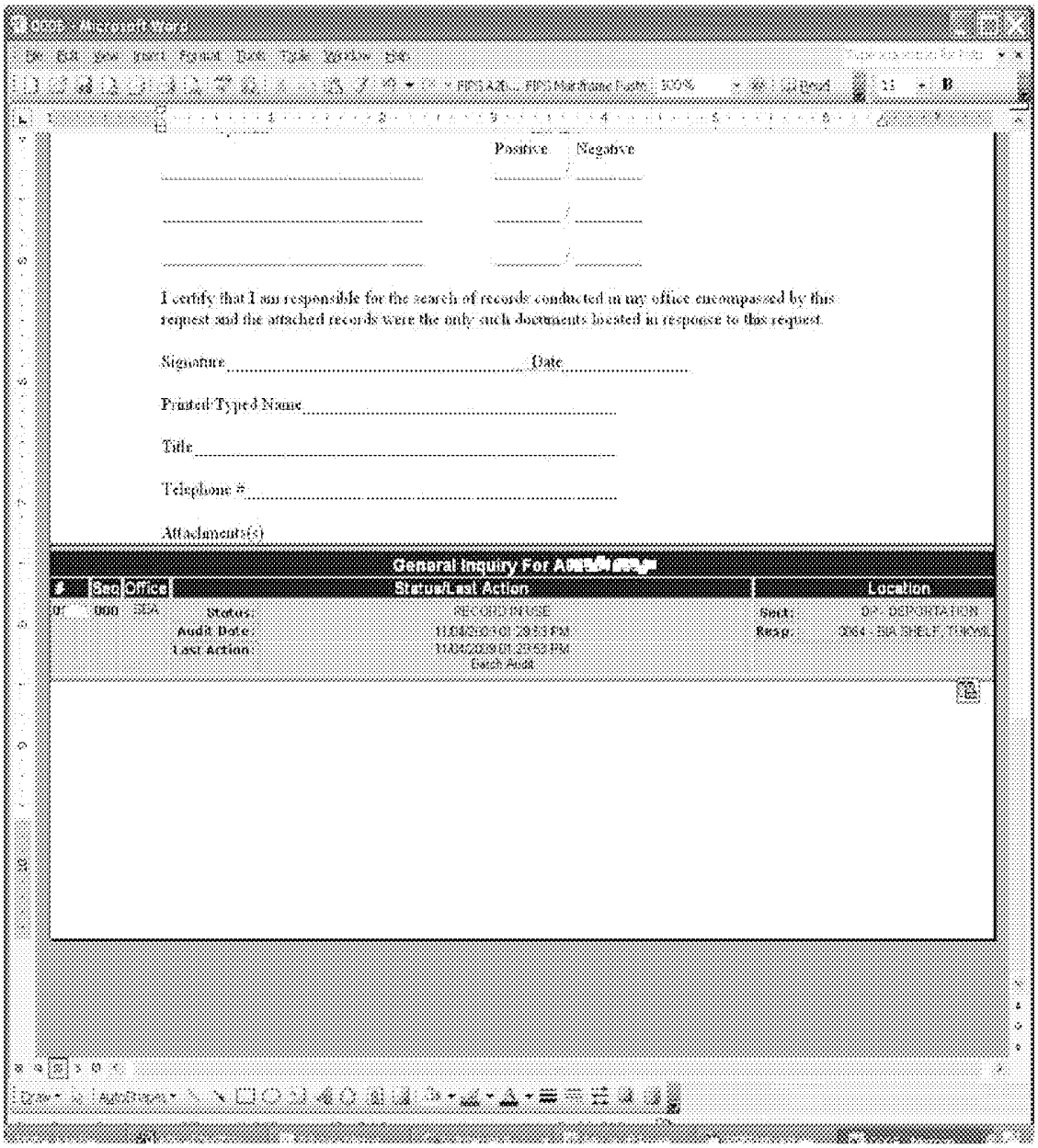
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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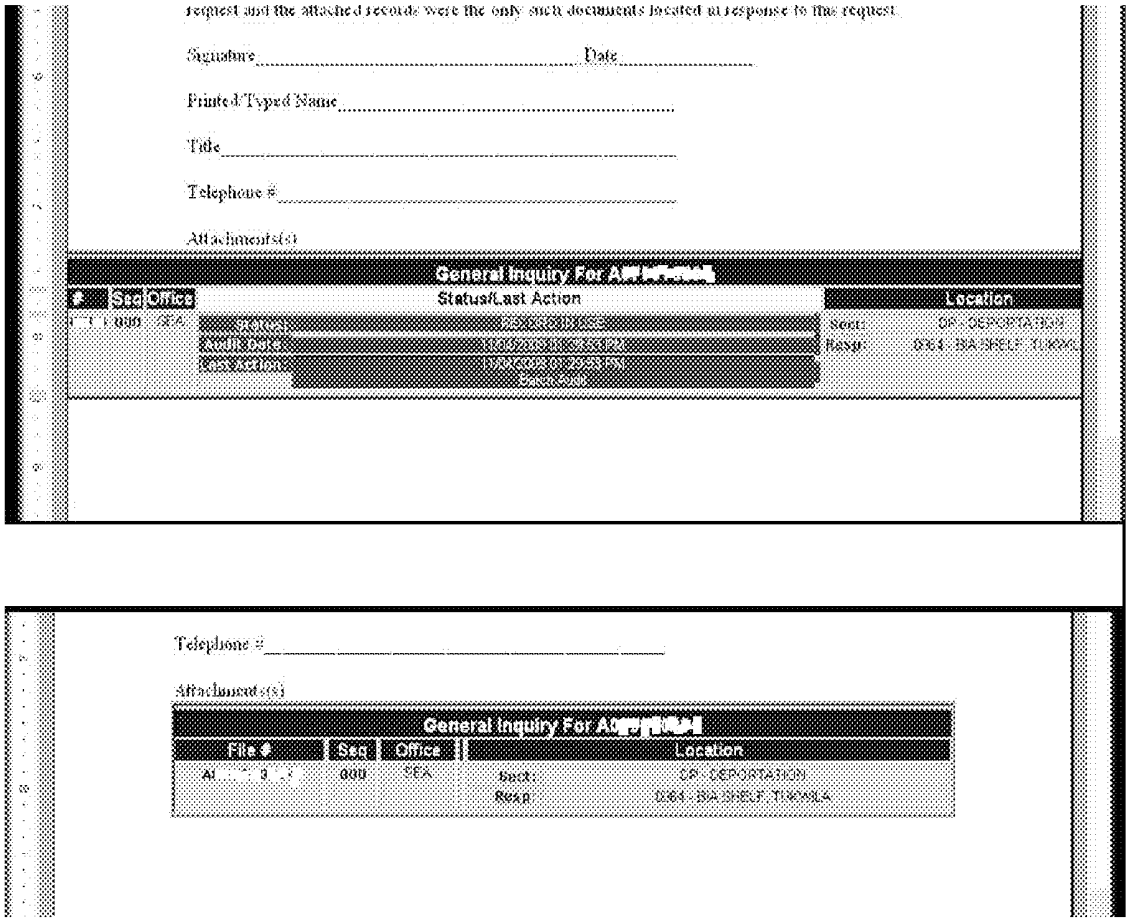
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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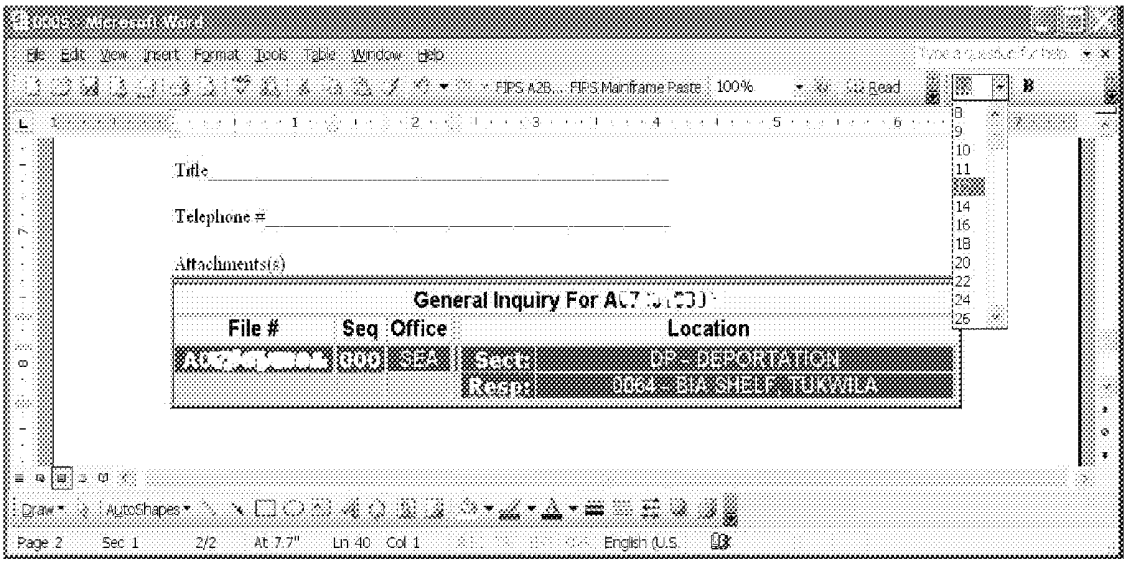
Next, highlight the whole area and change the font size to 12.



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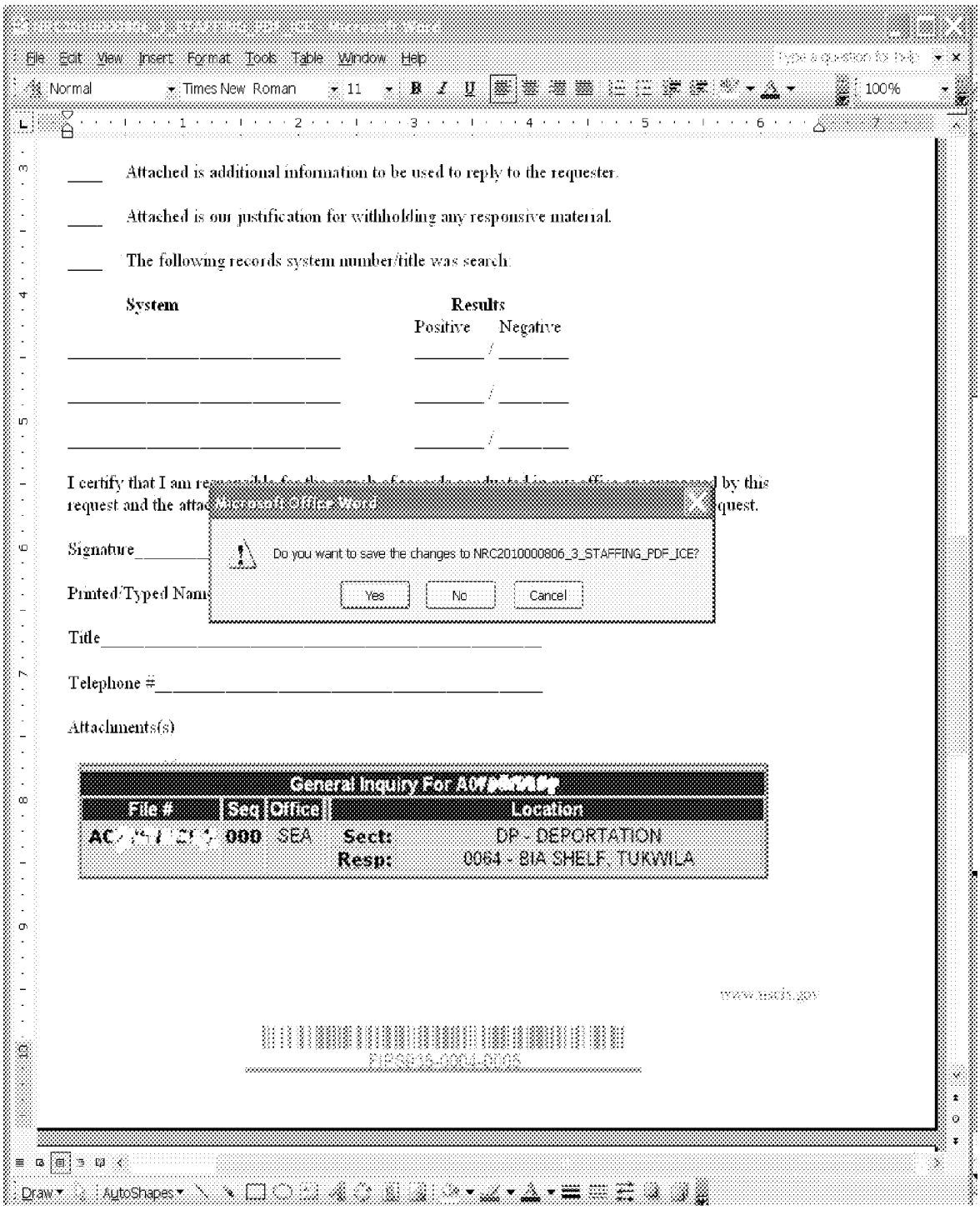
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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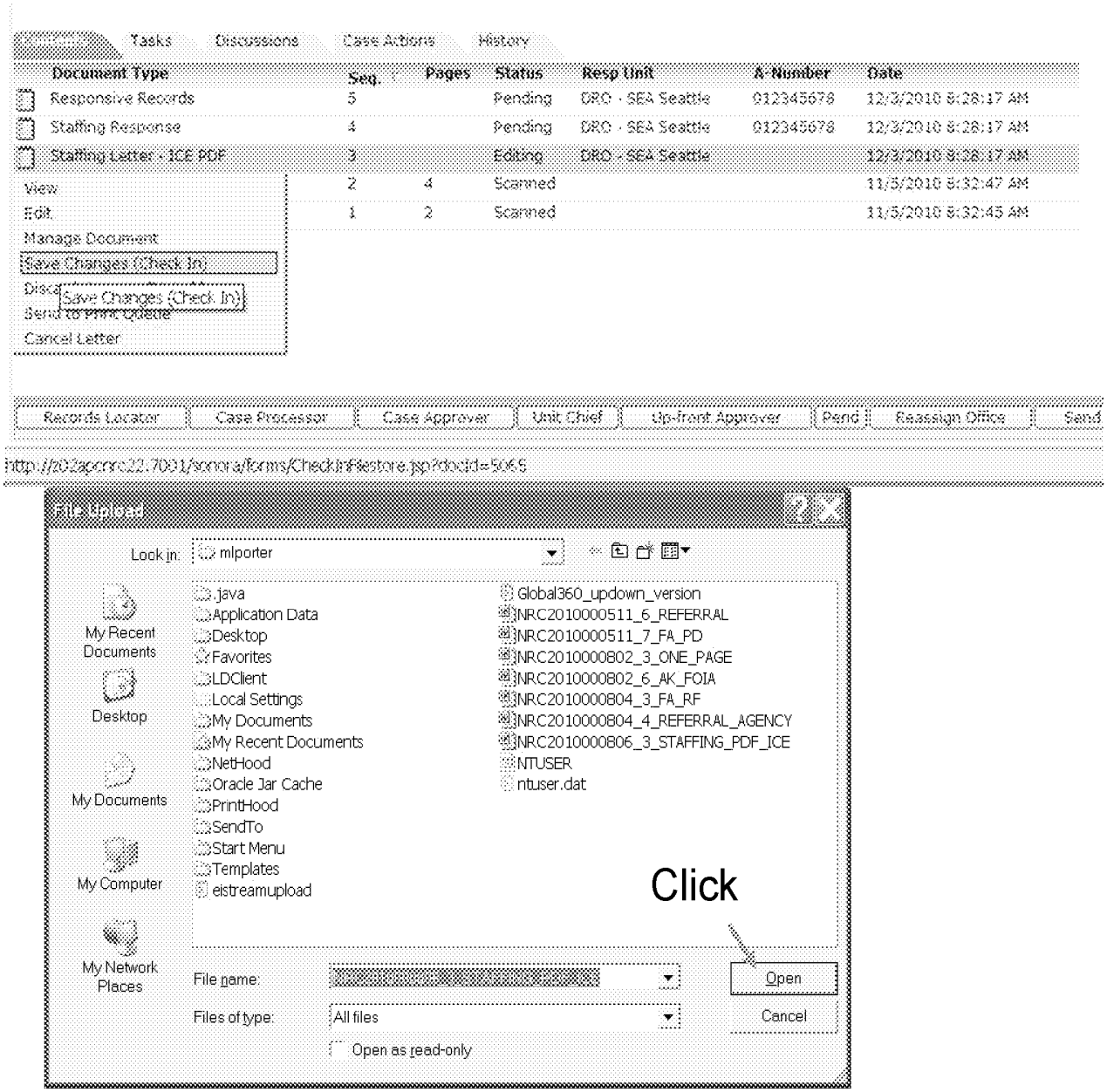
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

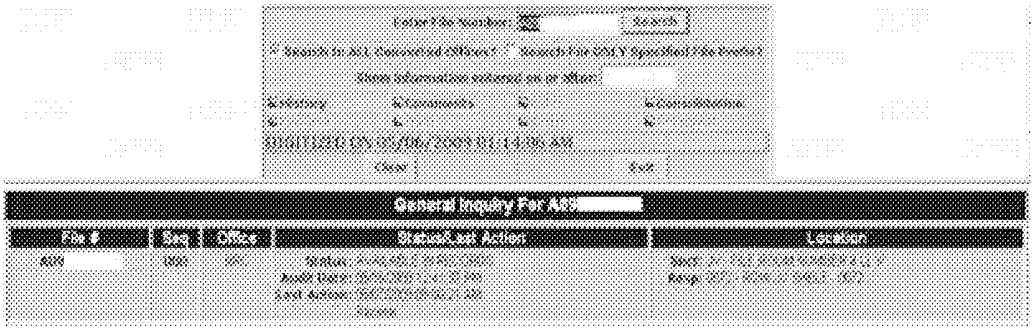
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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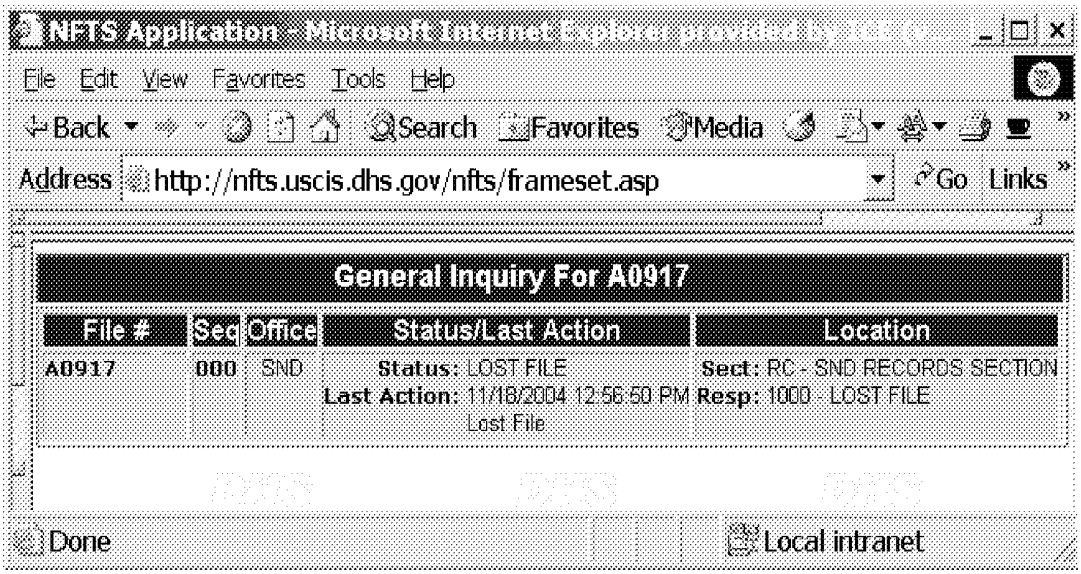
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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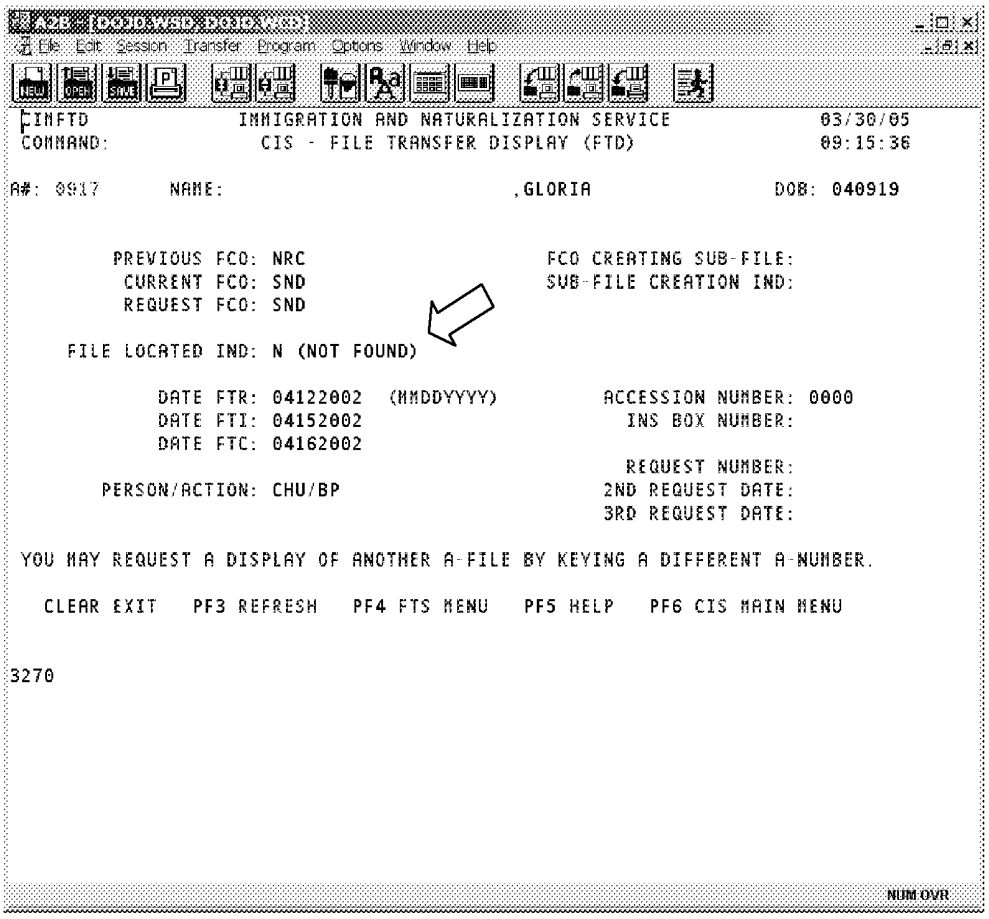
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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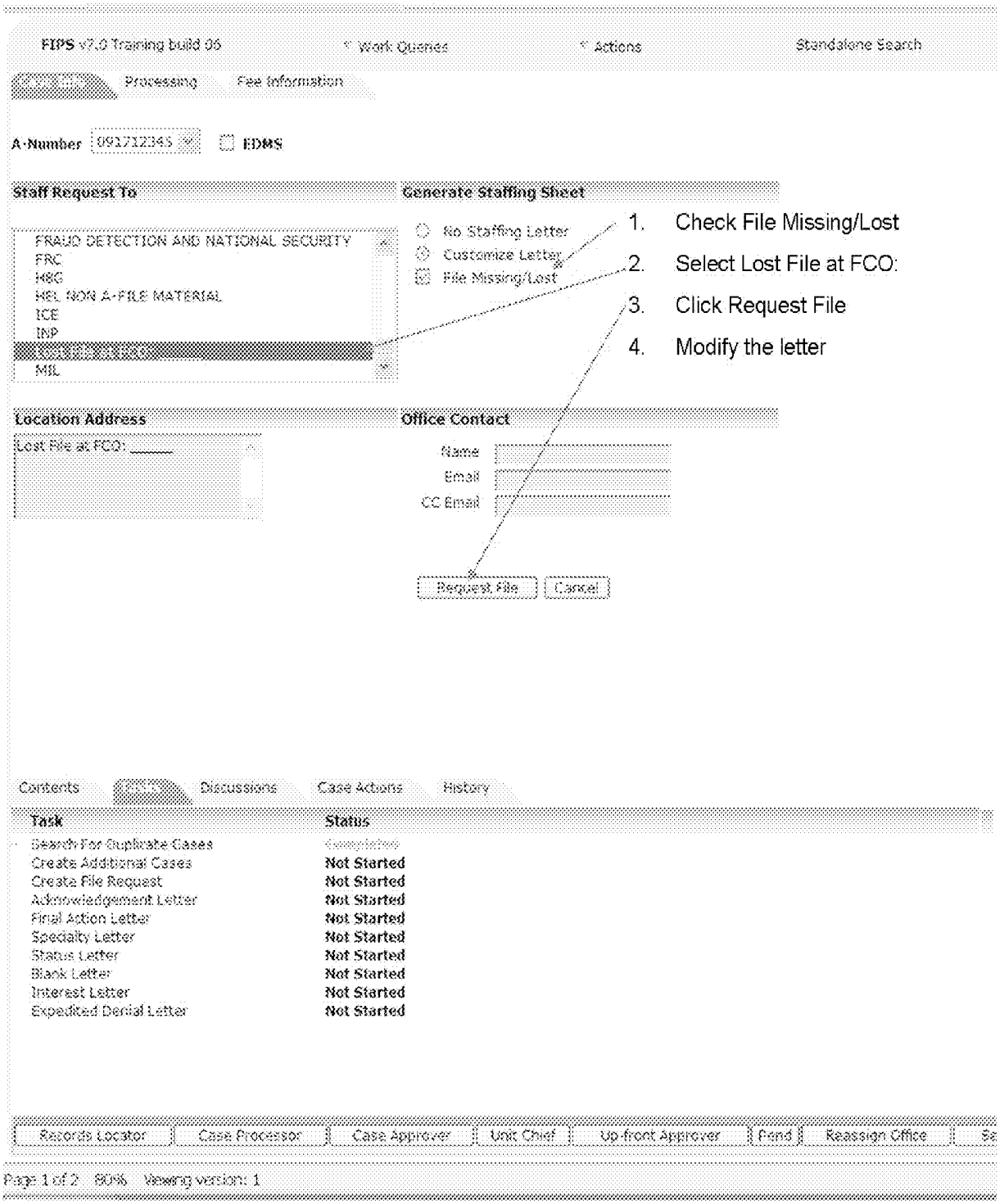

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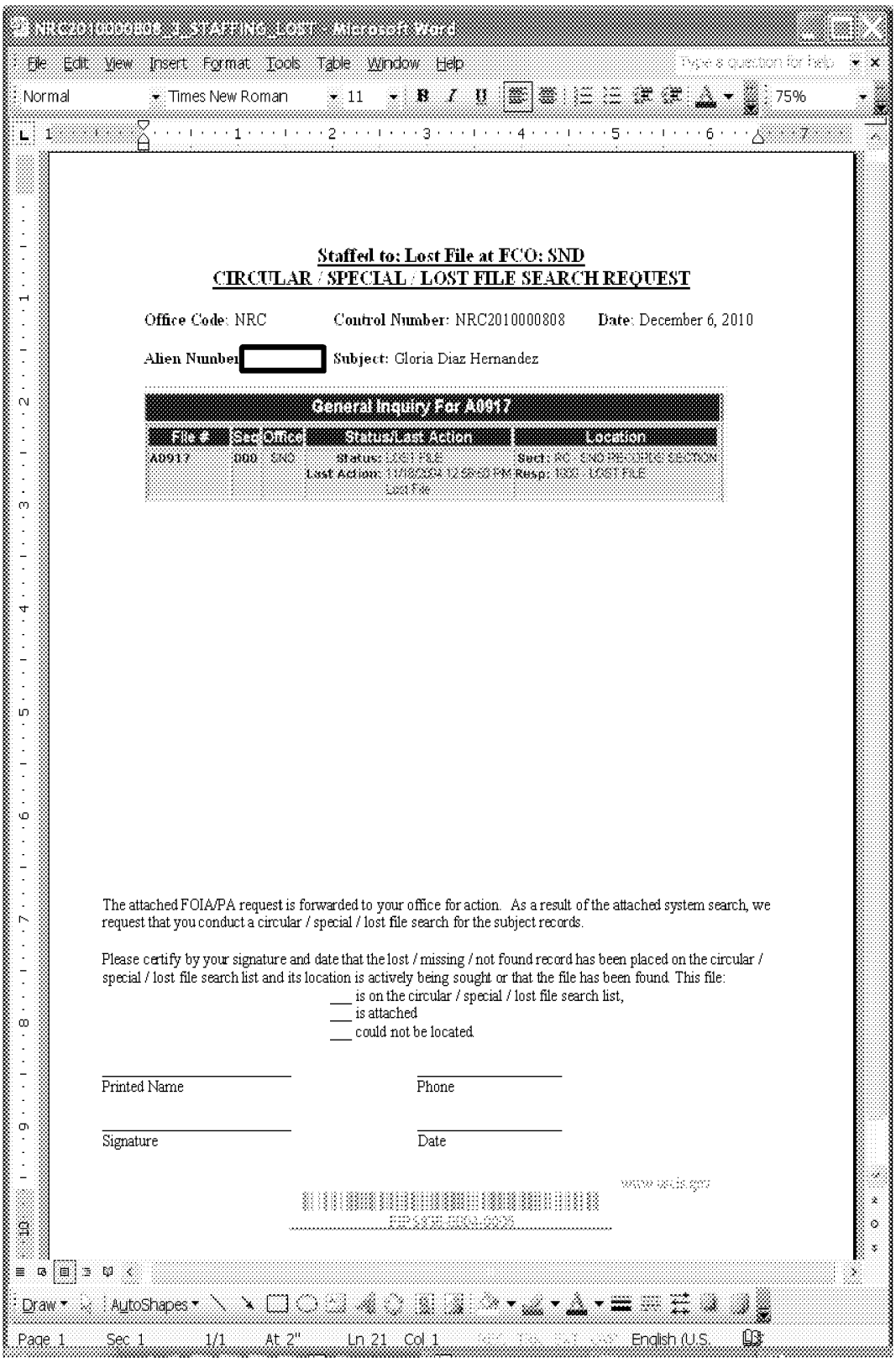
(b)(6)



Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

Alien Number [redacted] **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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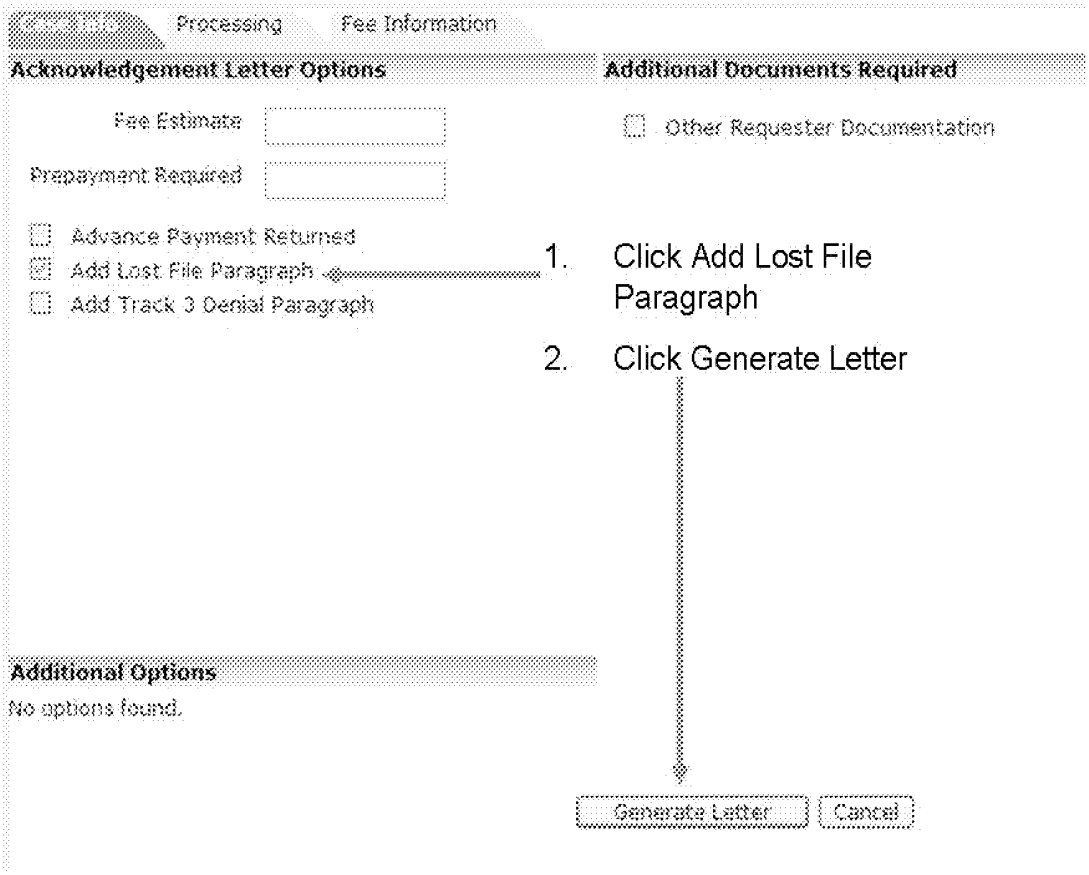

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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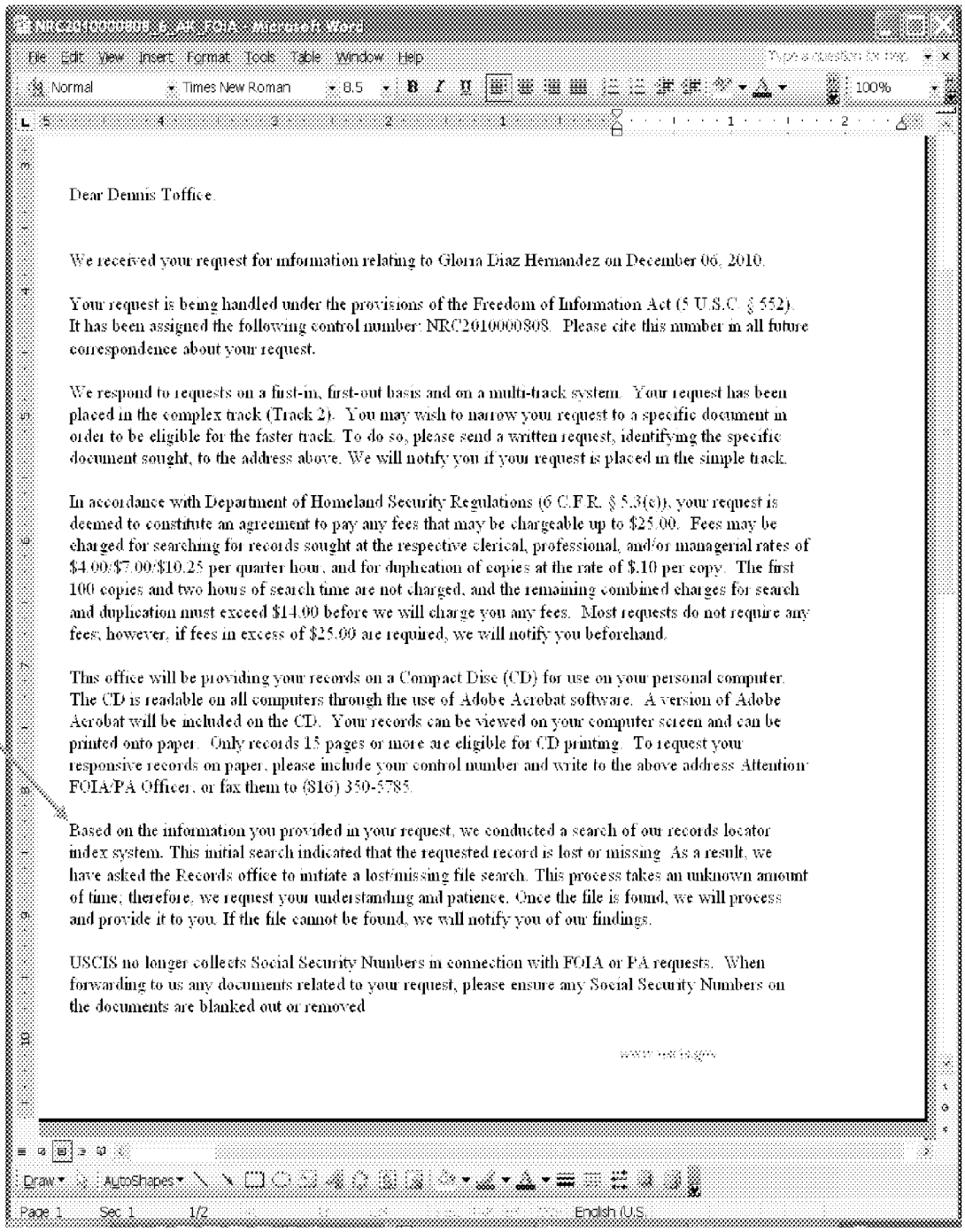

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

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which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

Records Remarks:

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TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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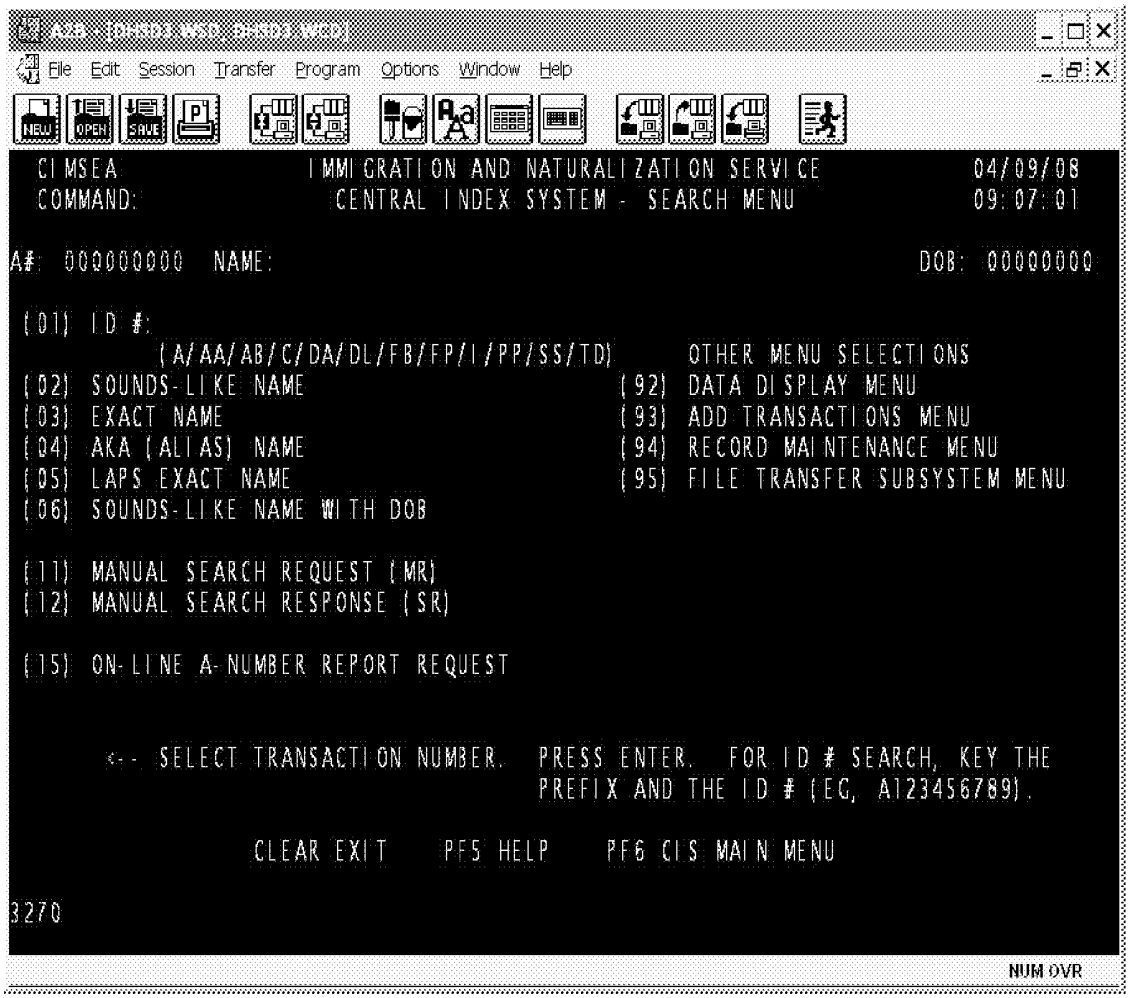

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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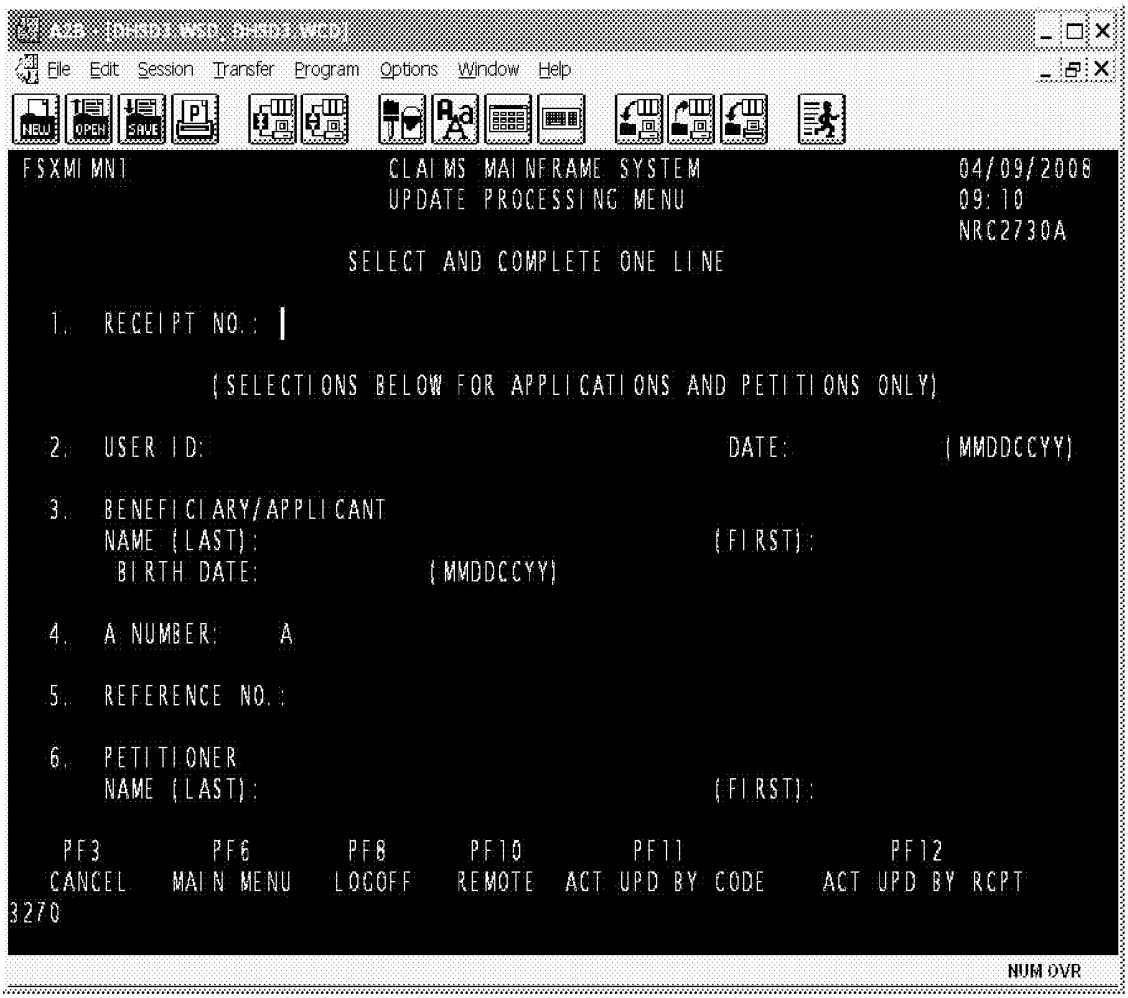

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

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12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN**). For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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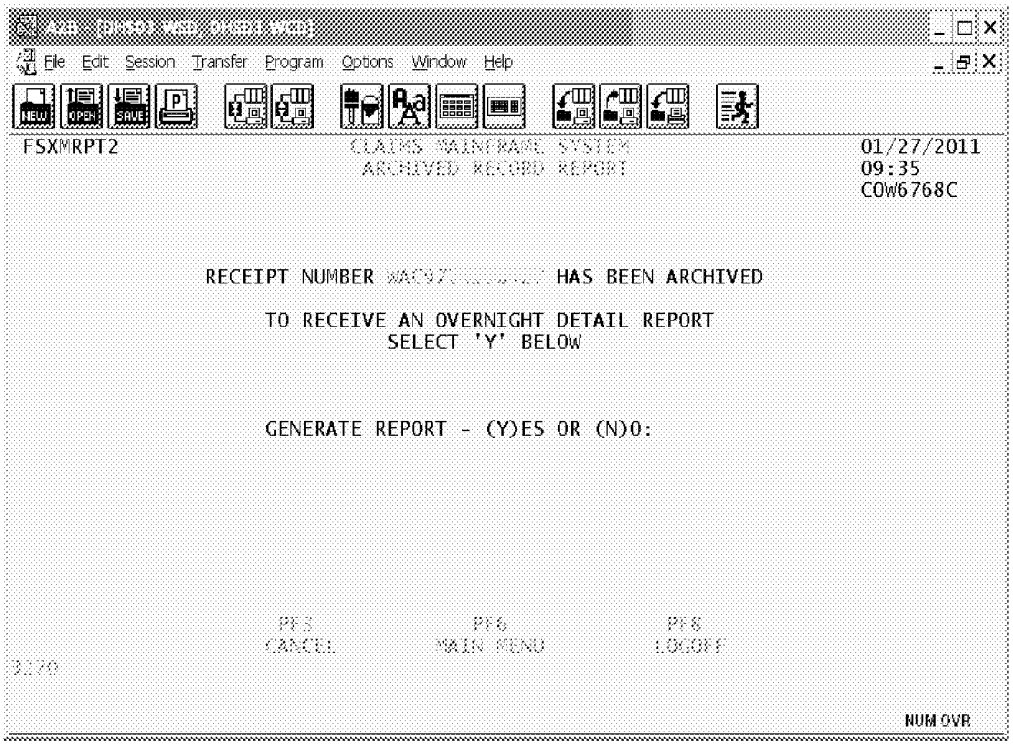
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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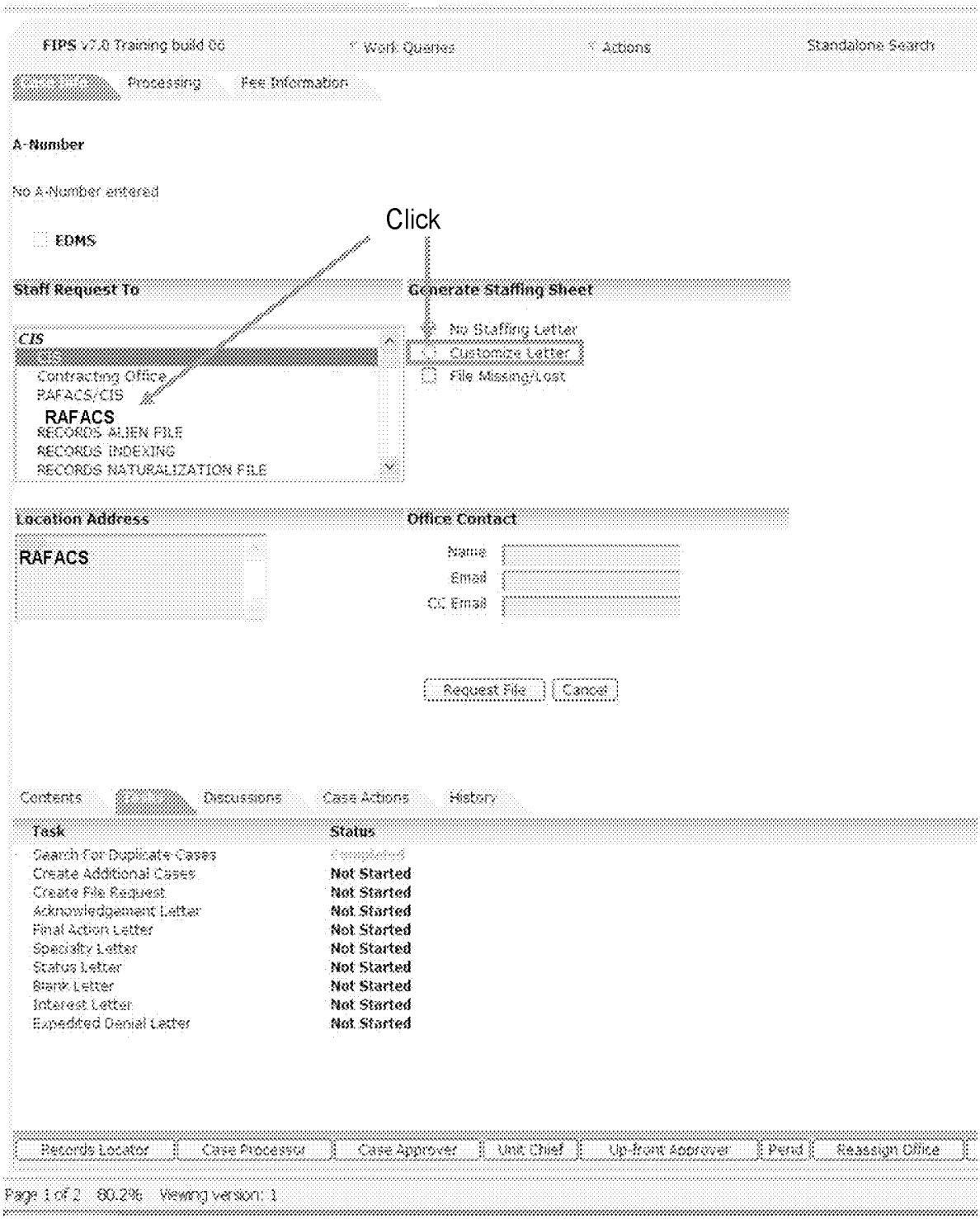

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 , the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	
WAC93	000	04/21/1993 12:00:00 AM	Filing Wkt	WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
TO
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
_____ is attached
_____ could not be located.

_____ _____
Printed Name Phone:

_____ _____

WAC93

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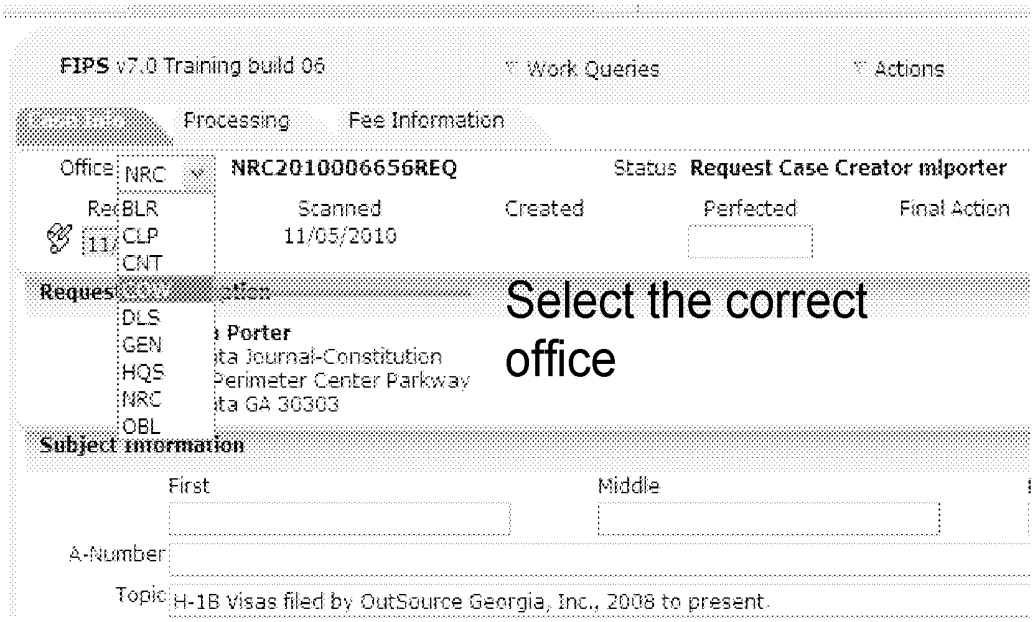
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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Next, click on "Reassign Office"

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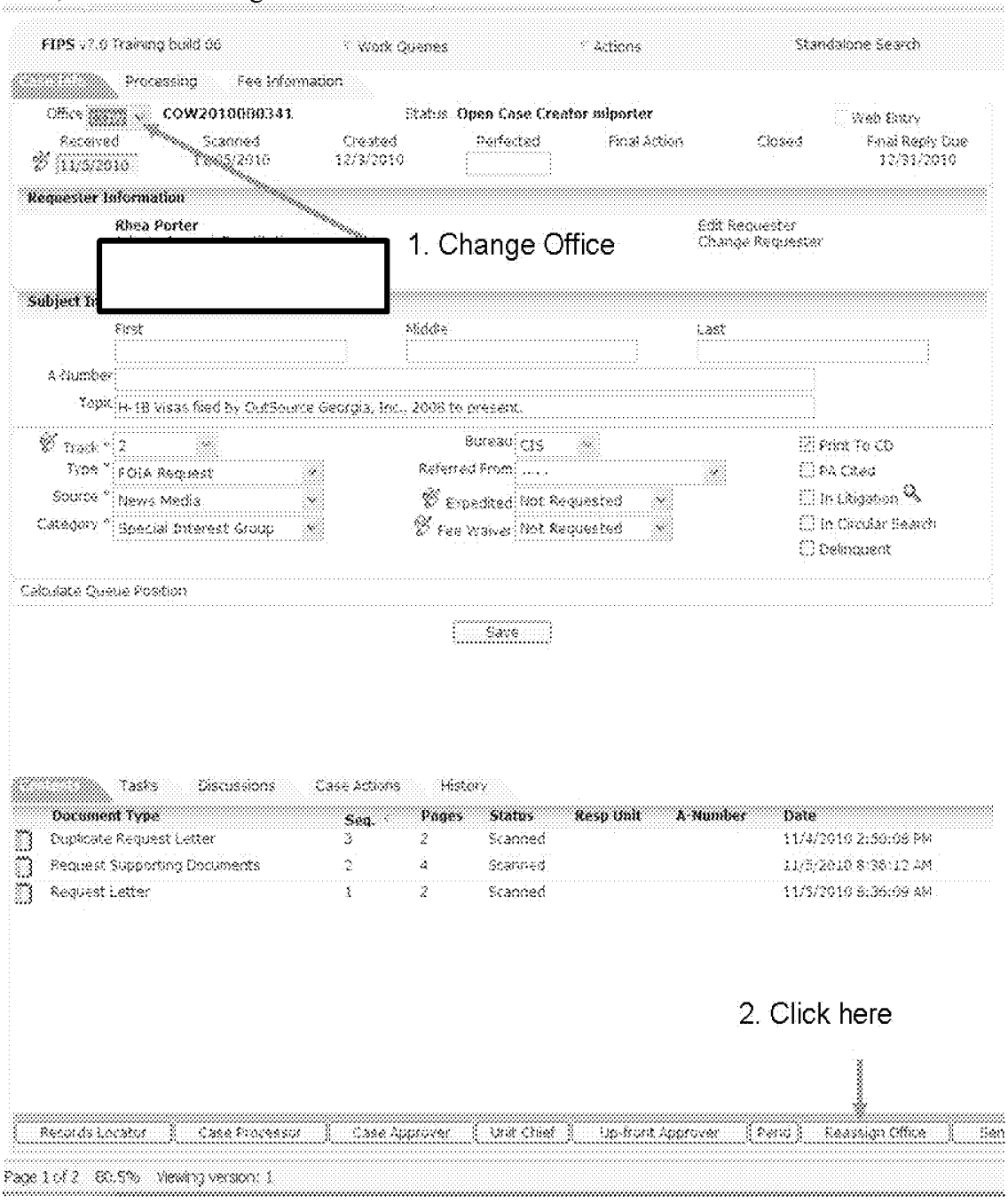

You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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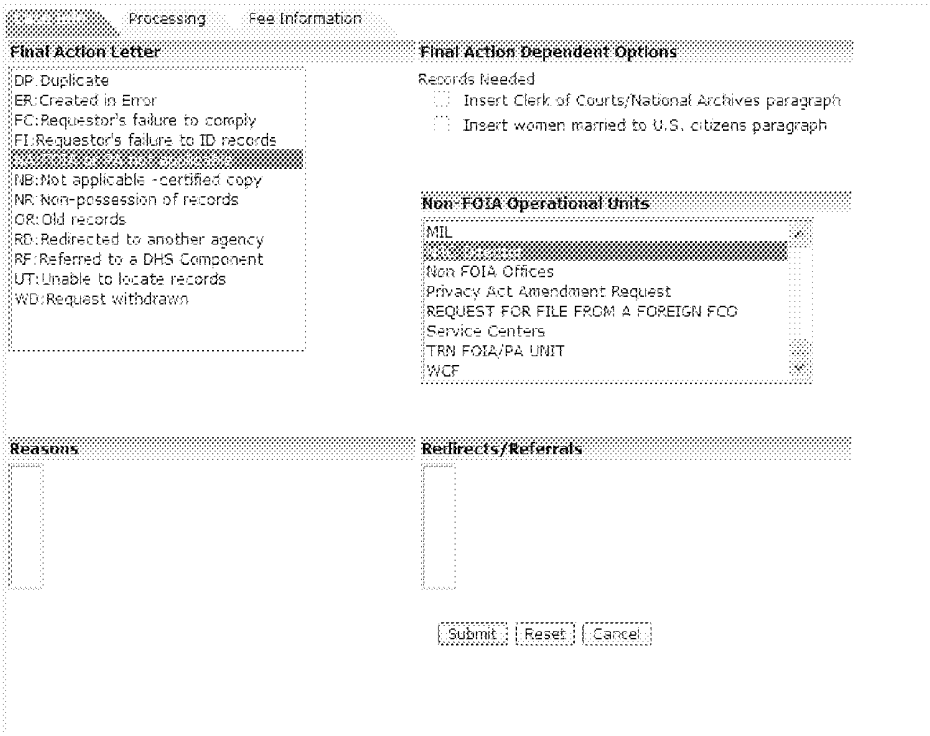
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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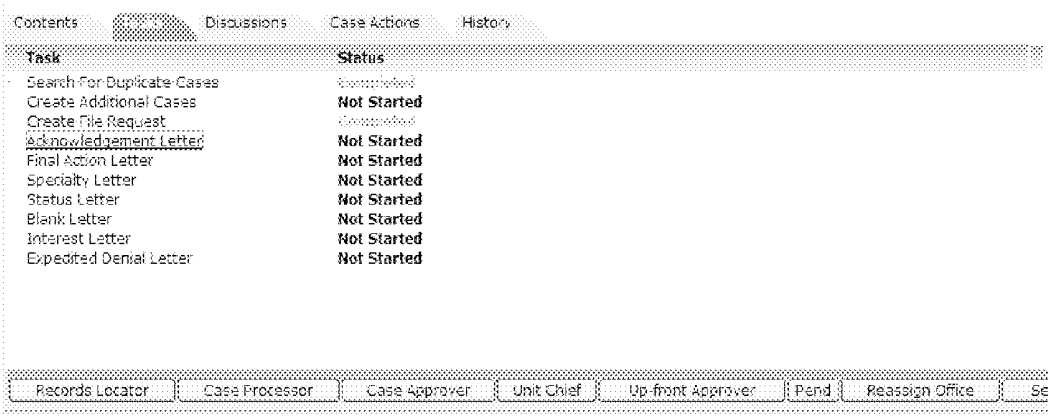
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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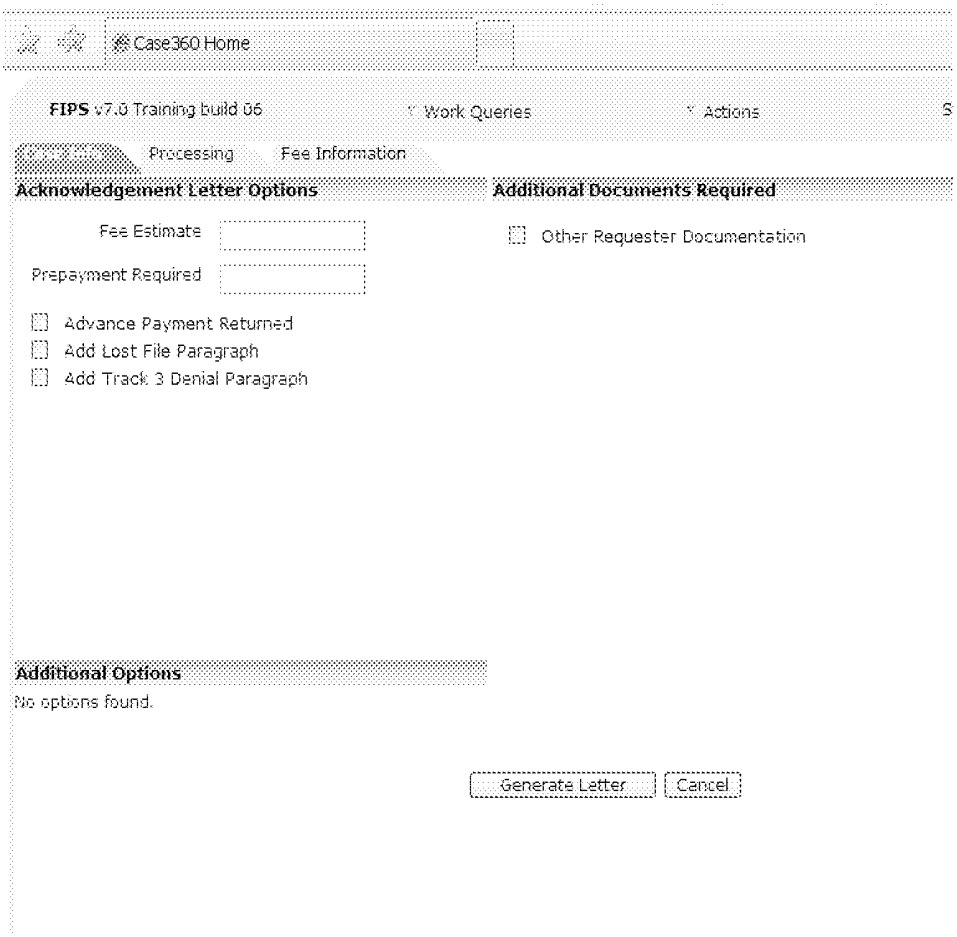
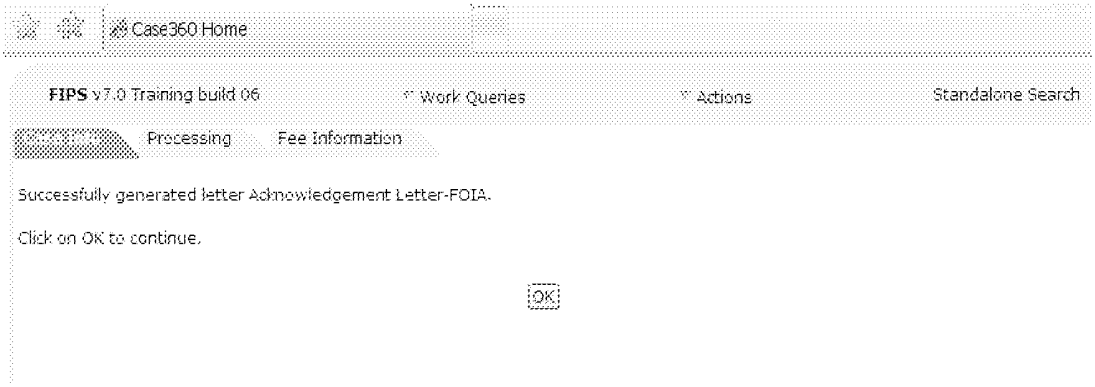


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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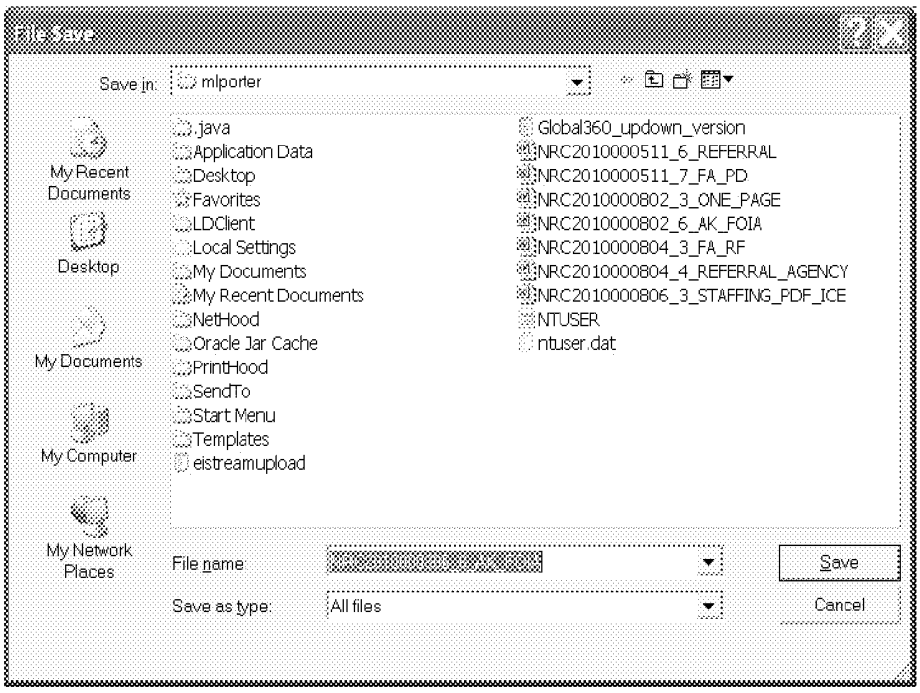

The acknowledgment letter will pop up:

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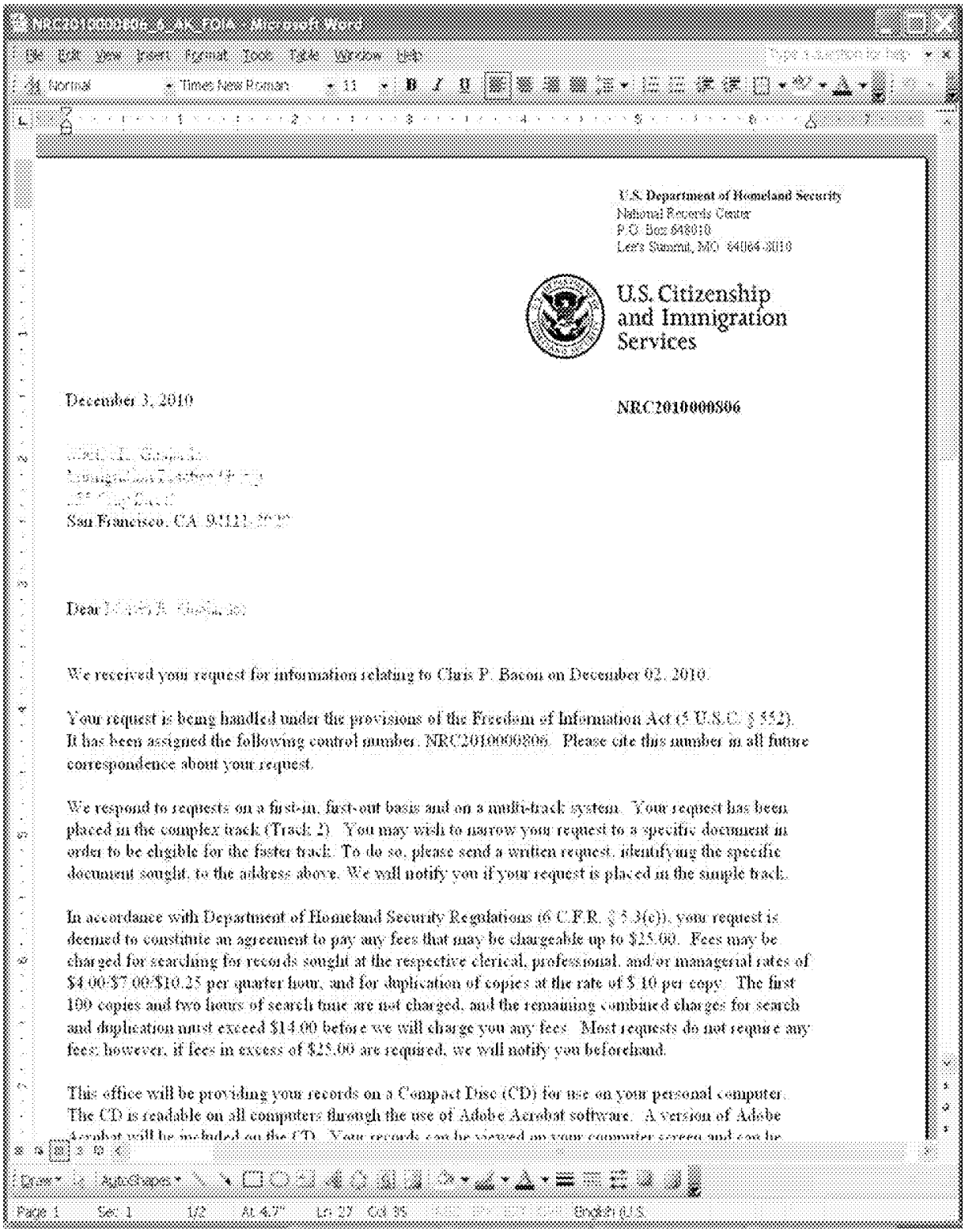

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 9[illegible]

Dear [illegible]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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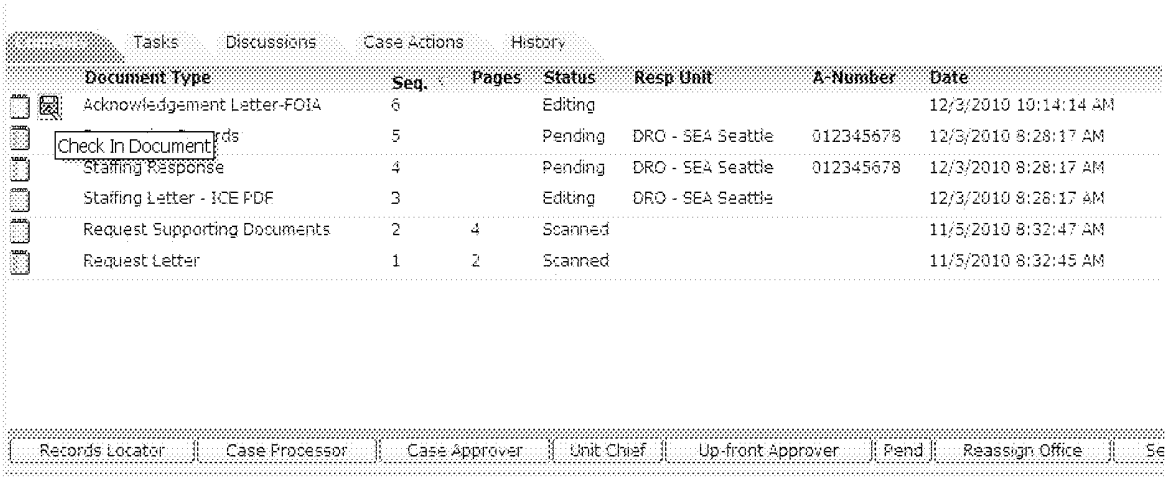
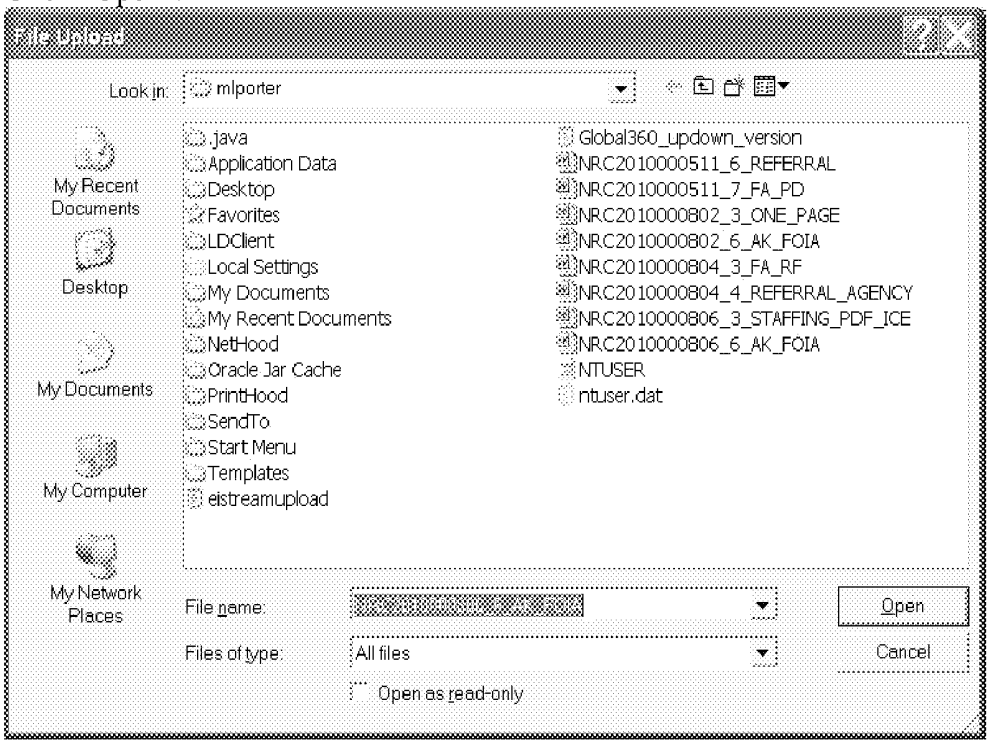


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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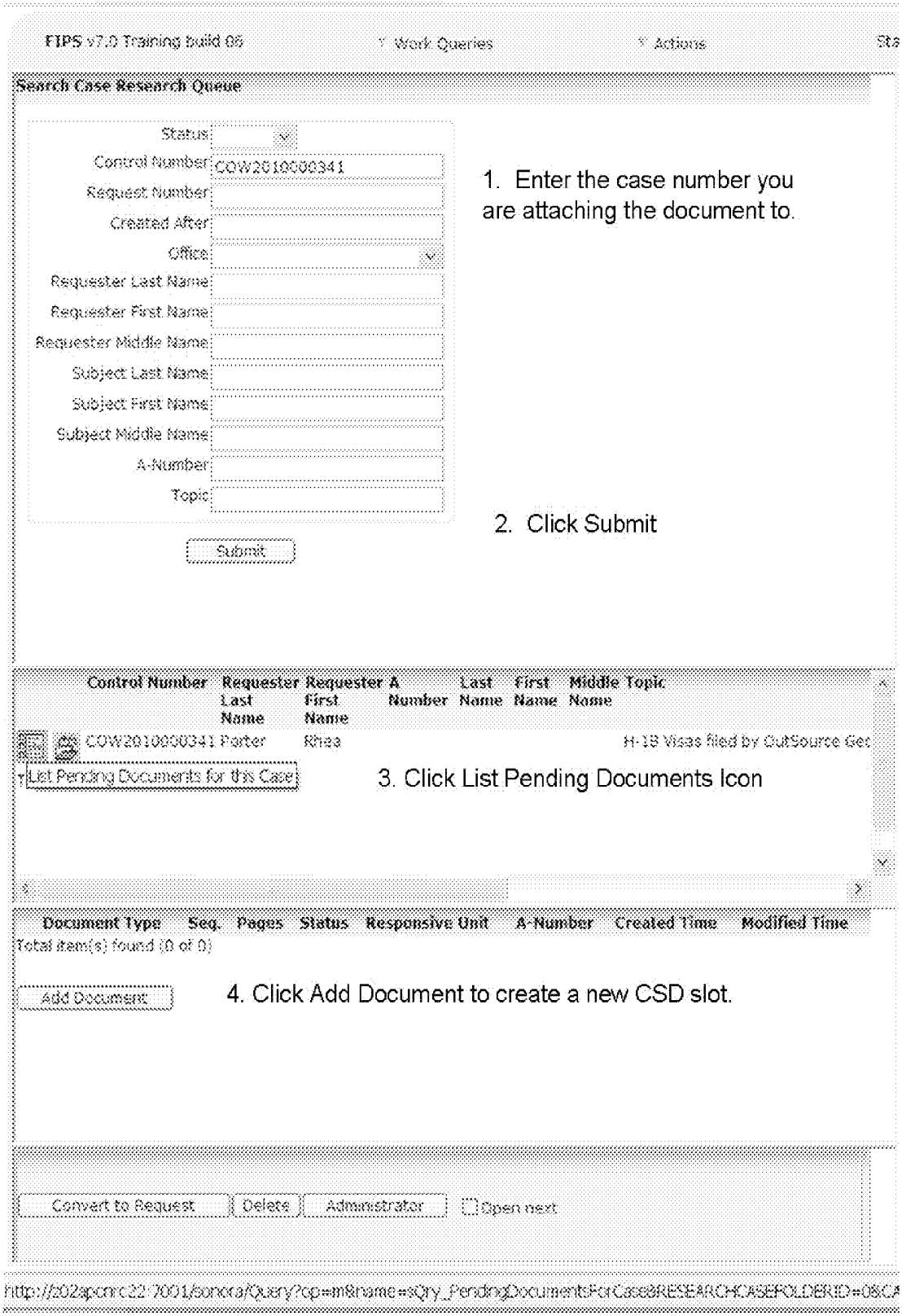

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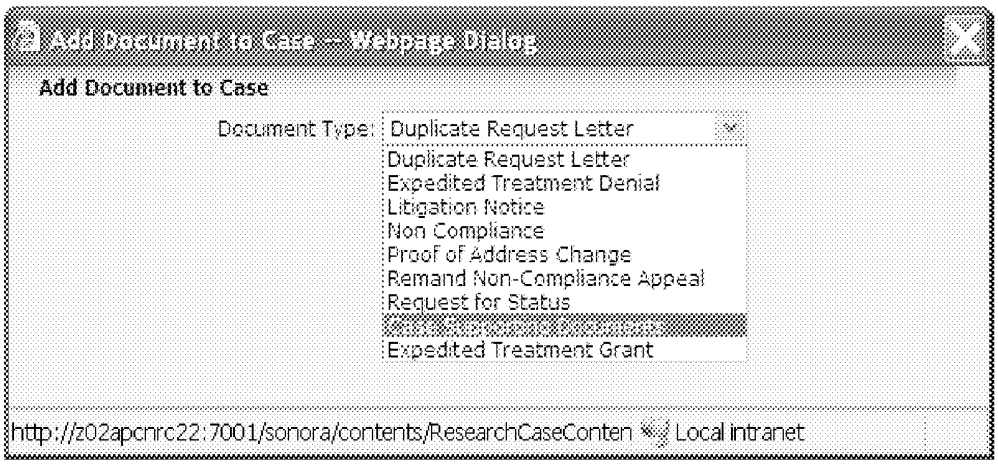

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST **(NRC, FOIAFILEREQ)**

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

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1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

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32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 Deleted.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

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32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking

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on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

33. REPENDING IN RECORDS LOCATOR QUEUE

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33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to

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Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

36. Deleted

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~~Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.~~

37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

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41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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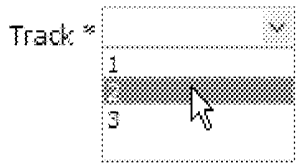
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

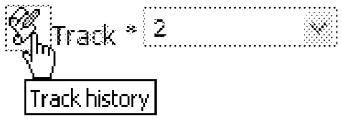
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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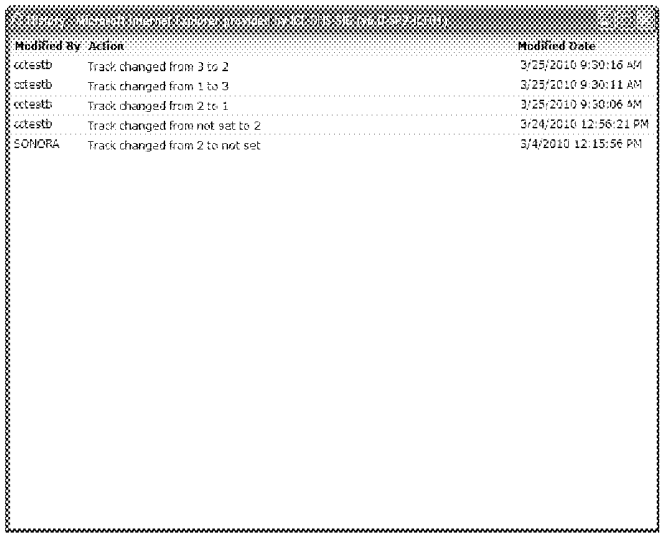
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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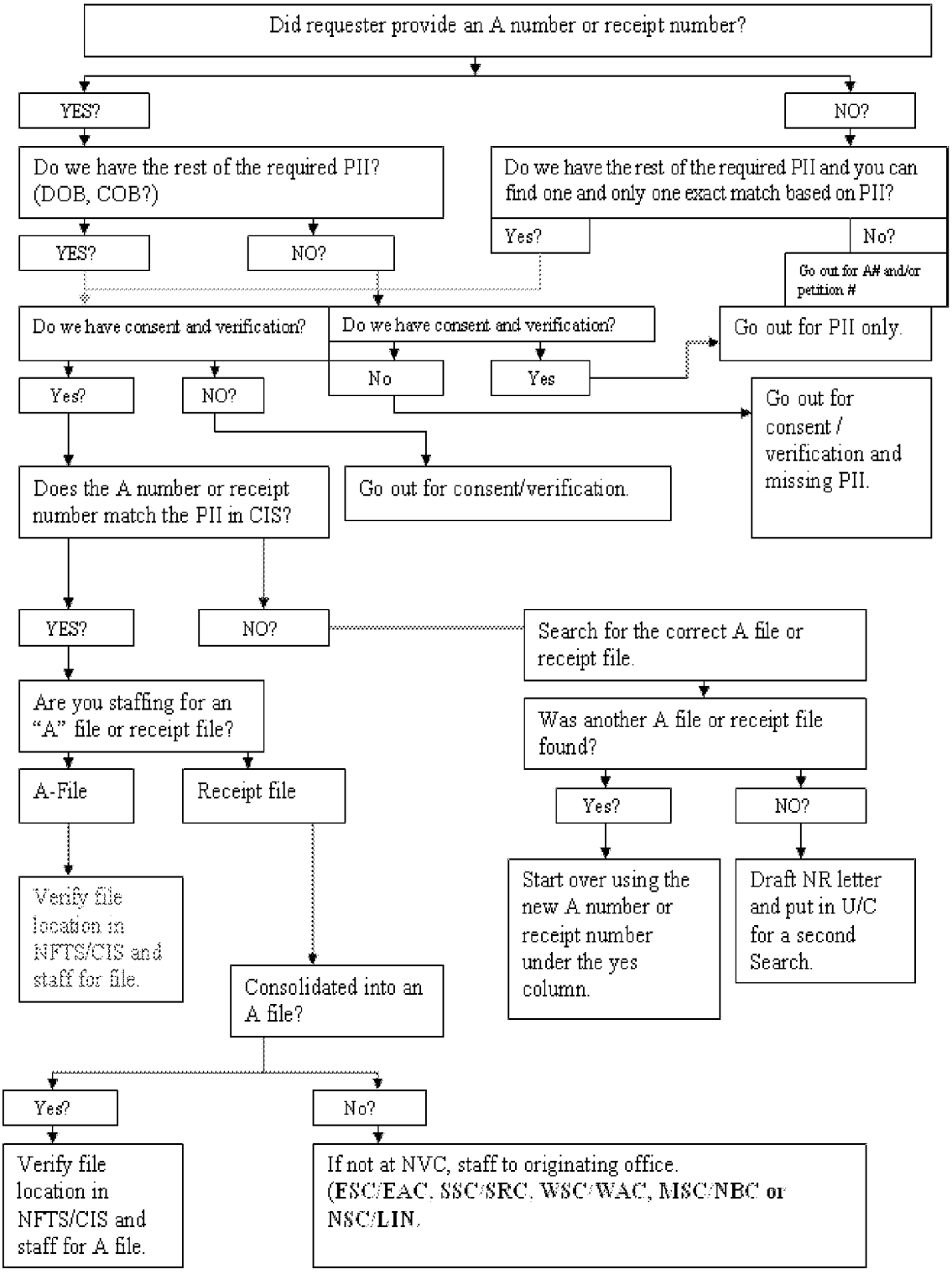
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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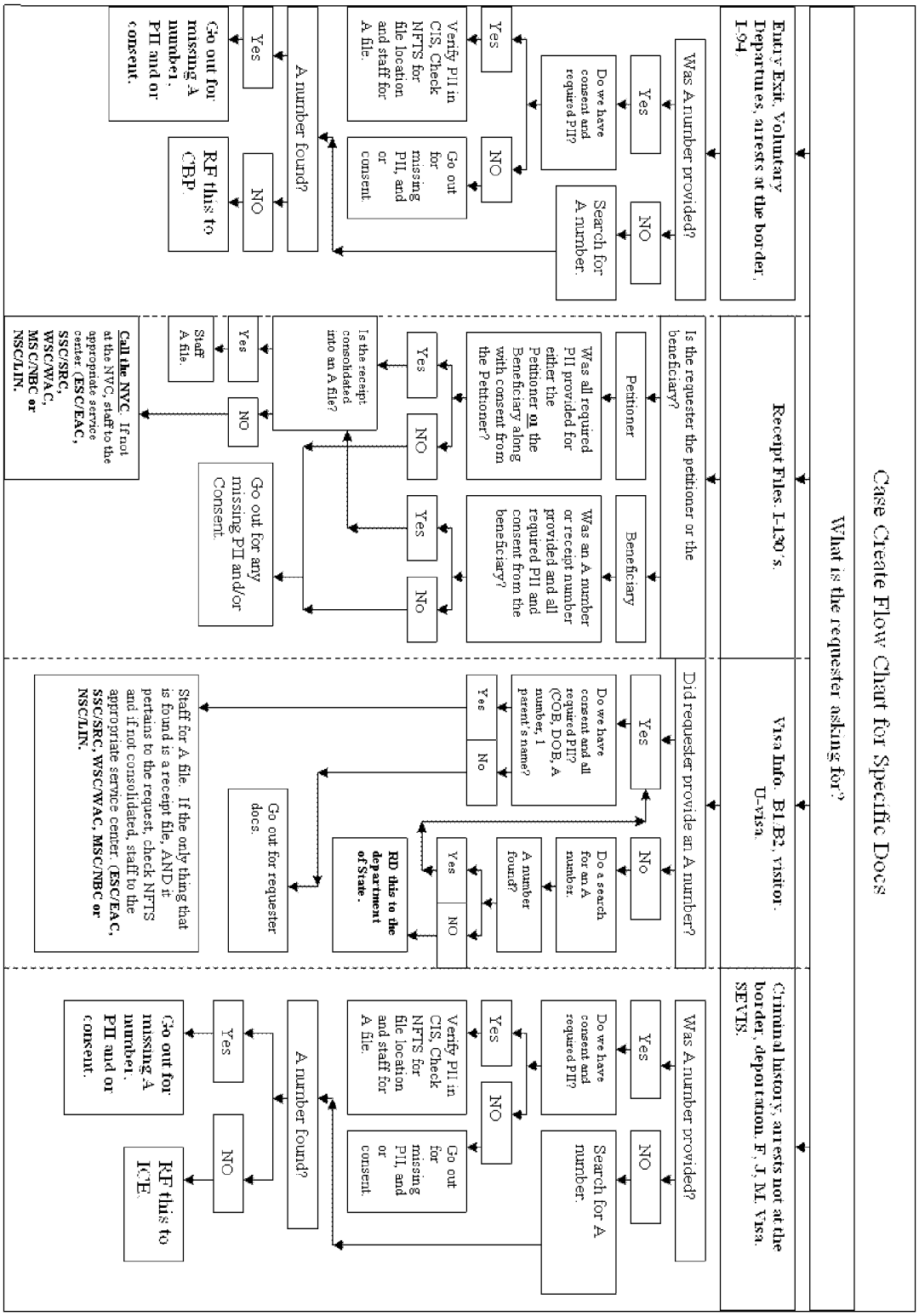

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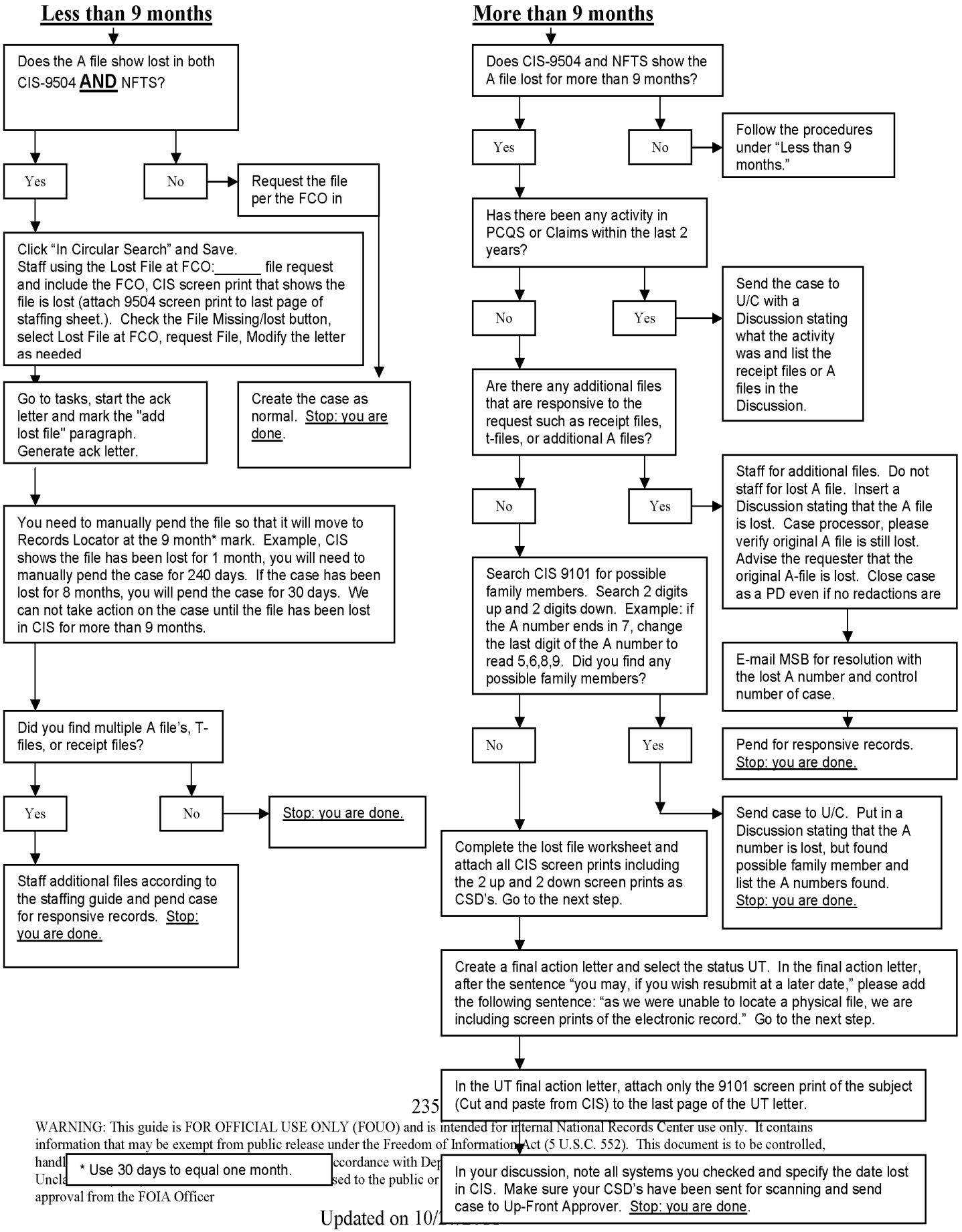
Lost File Flowchart



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APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 015-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 088-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program.

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all requester documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, requester documents, or track changes) to the Research queue.

3. Make sure we have valid consent, and VOI (DOB and COB). If not, close as FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. Do not send out for requester docs if we have everything in rule 3. If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. Search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. Always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing all of the request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

9. Always use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other

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address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases. You must add the specific language on the request (or as close as possible to their language) to the track 1 acknowledgment letter.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. You must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as a track 3, expedited, or fee waiver request.

12. Do not staff for A files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart. A files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as t-files and unconsolidated receipt files. Always remember to unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. Every time you move a case from one place to the next, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion

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must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

Any previous material distributed in *FOIA Information Bulletins* has been incorporated into this Guide.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS 7 open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS 7. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS 7 will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The Chief of FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the Chief FOIA/PA Program Officer. At the direction of the Chief Program Officer, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to Chief of FOIA/PA Operations. Major re-writes or revisions of the guide are subject to the final approval of the USCIS FOIA Officer.

You, the FOIA/PA Assistant, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

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Record of Revision

May 6, 2011

***Paragraph 7.1,* Consent of Parents or Guardians,** *of the **FOIA/PA Assistant's Guide** has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the **FOIA/PA Assistant's Guide** has been changed* (changed portion is underlined):

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added to the FOIA/PA Assistant's Guide.

May 13, 2011

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS (*not RAFACS/CIS*) staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records~~. ~~Pend the case~~ prepare a Final Action Letter with closing code

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NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

(b)(6) **12.7.12.1** Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SS**C/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark

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the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

New paragraph:

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

May 27, 2011

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it used to read:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
   1) REQ#
   2) NRC#
   3) Scanner's initials
   4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Updated Paragraph:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy

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d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide has been changed as follows:

As it used to read:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

June 10, 2011

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

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Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

July 8, 2011

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the FOIA/PA Assistant's Guide.

Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2,

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"*Requester Information.*" Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the FOIA/PA Assistant's Guide: (old text lined through, new text in red)

> This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.
>
> Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

> ~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.
>
> If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error)~~ Do not click "Create Case." Click "Send to Research."

August 30, 2011

We have added a new paragraph 8.23 to the FOIA/PA Assistant's Guide, as follows:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

September 16, 2011

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information" of the FOIA/PA Assistant's Guide:

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- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statue became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The requester may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and consent to provide the record and who is entitled to what. The most common types of requesters are:

- First party requesters, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CONSENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party requesters, that is, an individual seeking a copy of an alien's file without the subject of record's consent, are entitled only to documents of a public nature or documents they provided in support of an application/petition. Please refer to the section titled **"THIRD PARTY REQUESTS"** in this guide.

- Media requesters are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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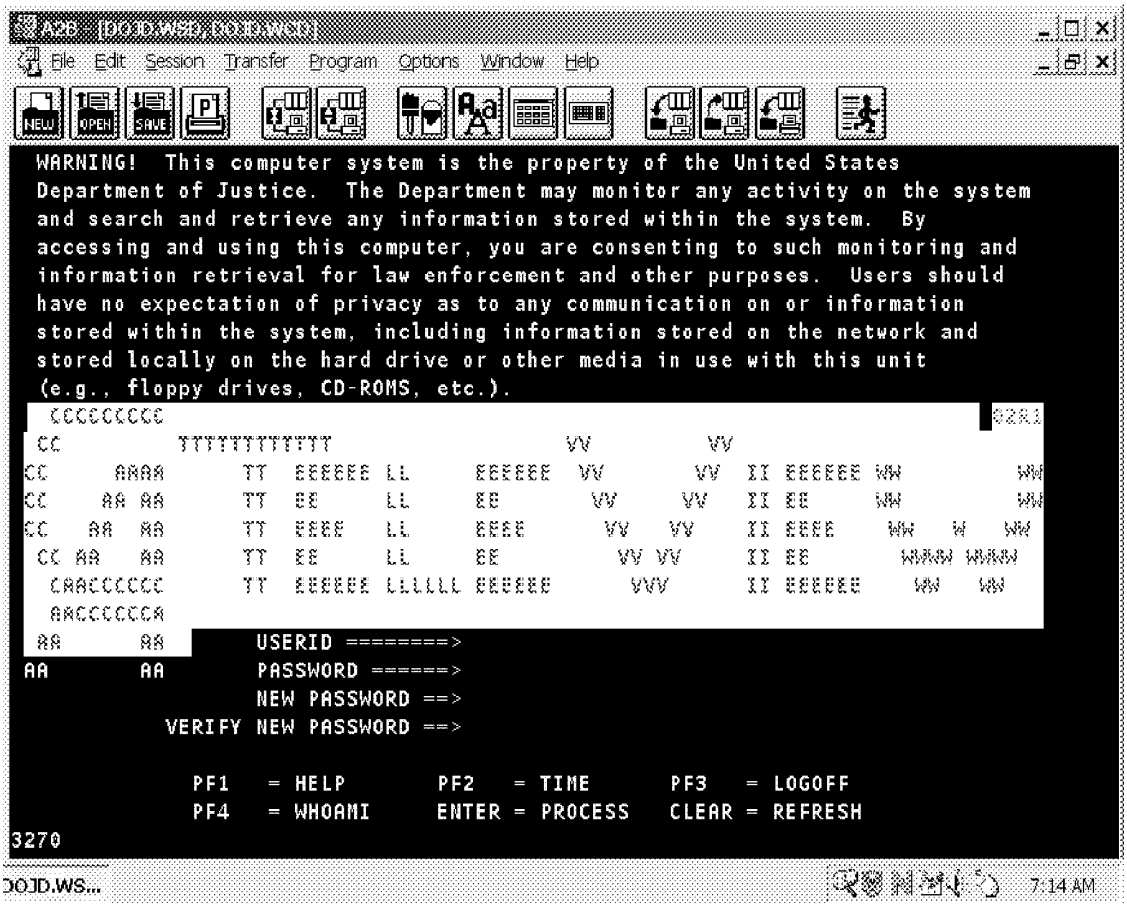
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the a-number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



This screen is the introduction to TeleView. From this screen use the designated UserID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

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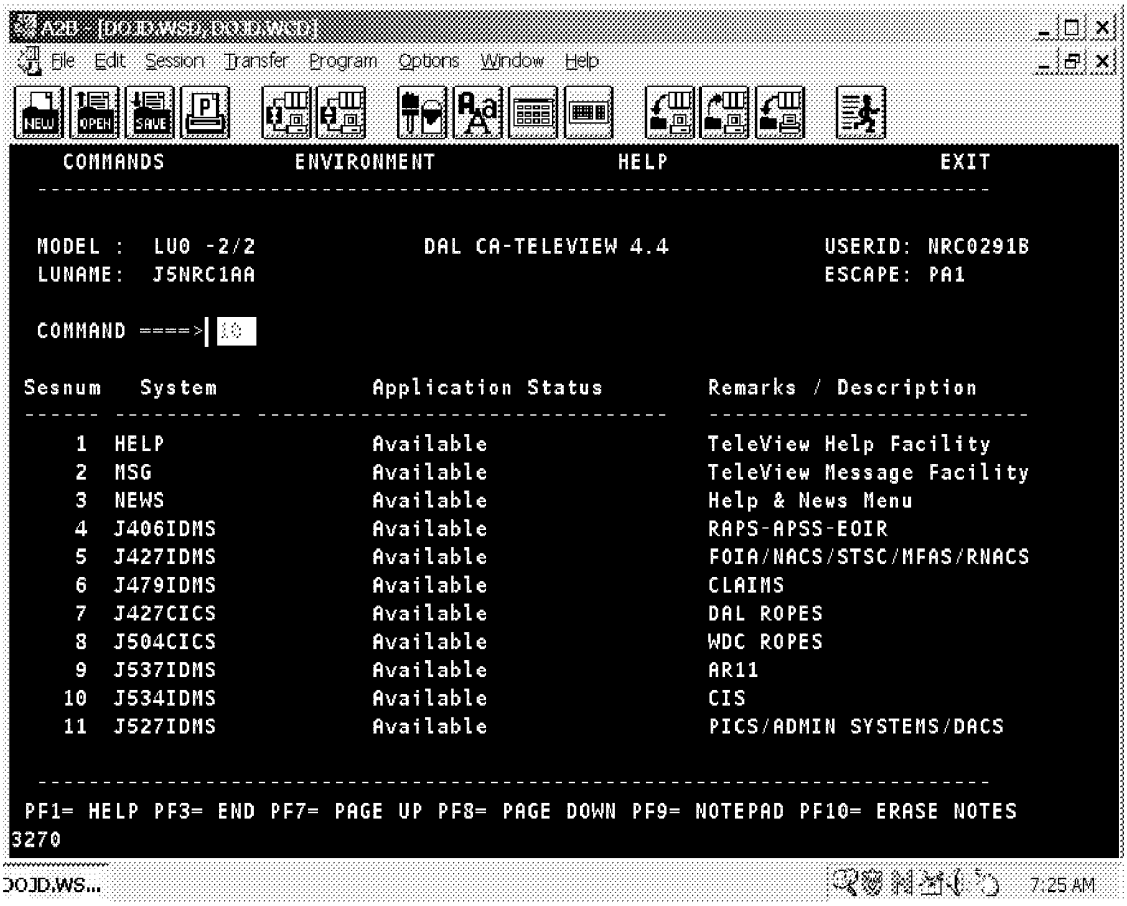
5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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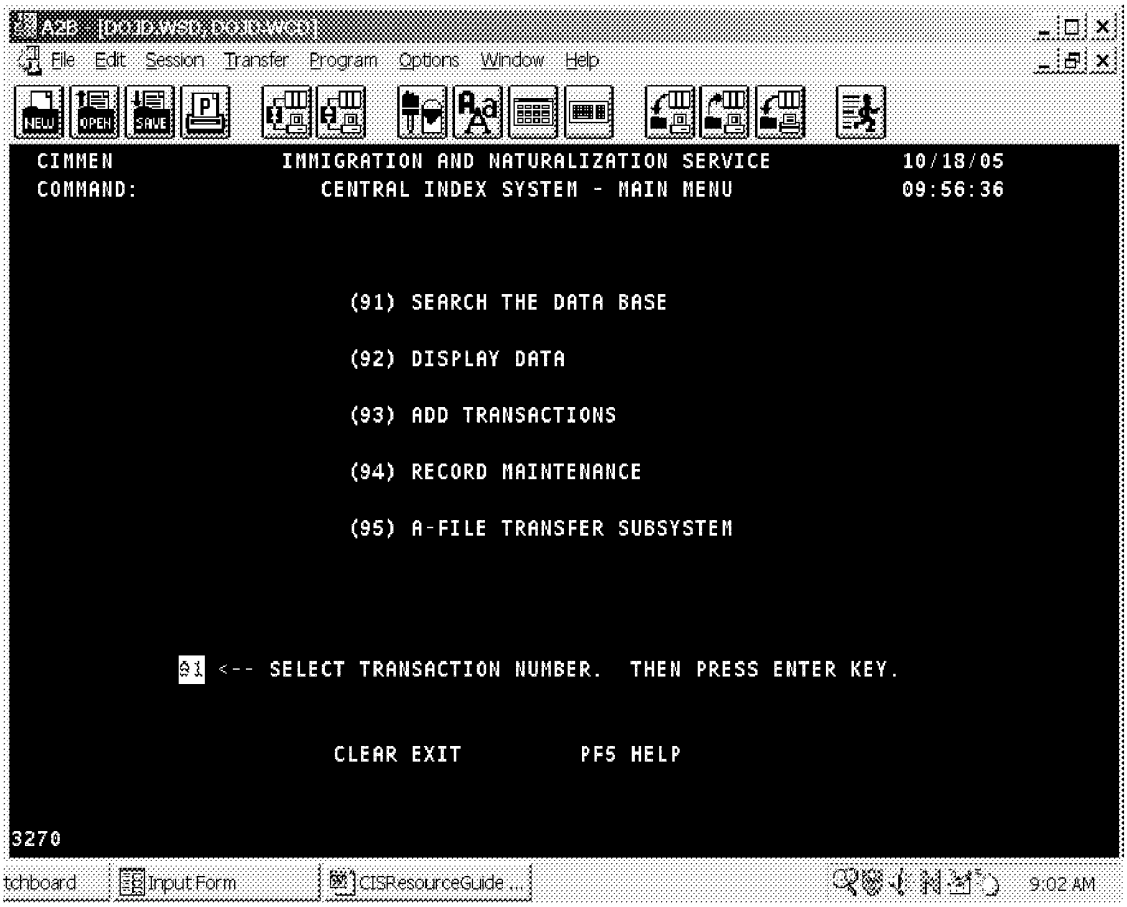
5.1.4 CIS Main Menu



This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the A-file.

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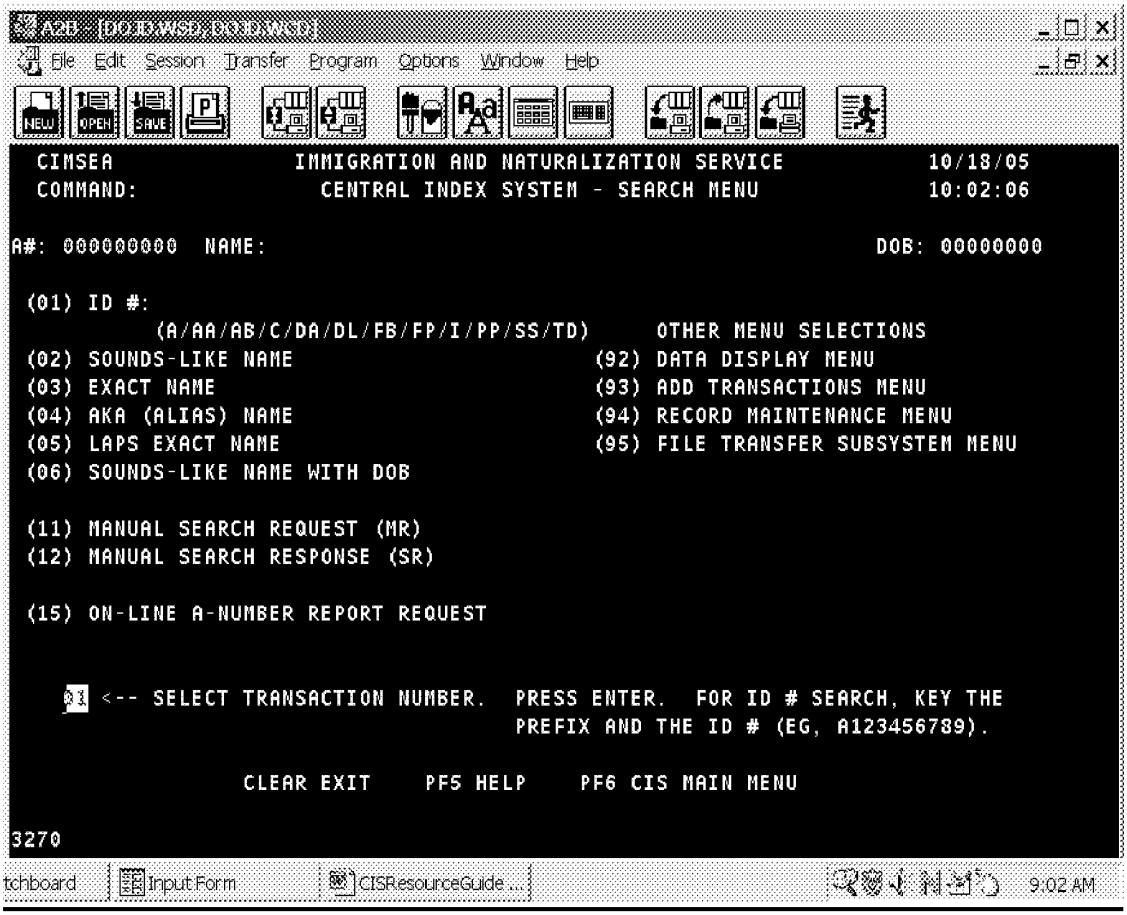
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individuals records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-number, certificate number, social security number, passport number ect.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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5.1.4.2 Search by A-number (9101)

In the ID# field enter the appropriate prefix with information (A = a-number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. The significance of this screen is it holds information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

5.1.5 Sounds-Like Name Search (9102)

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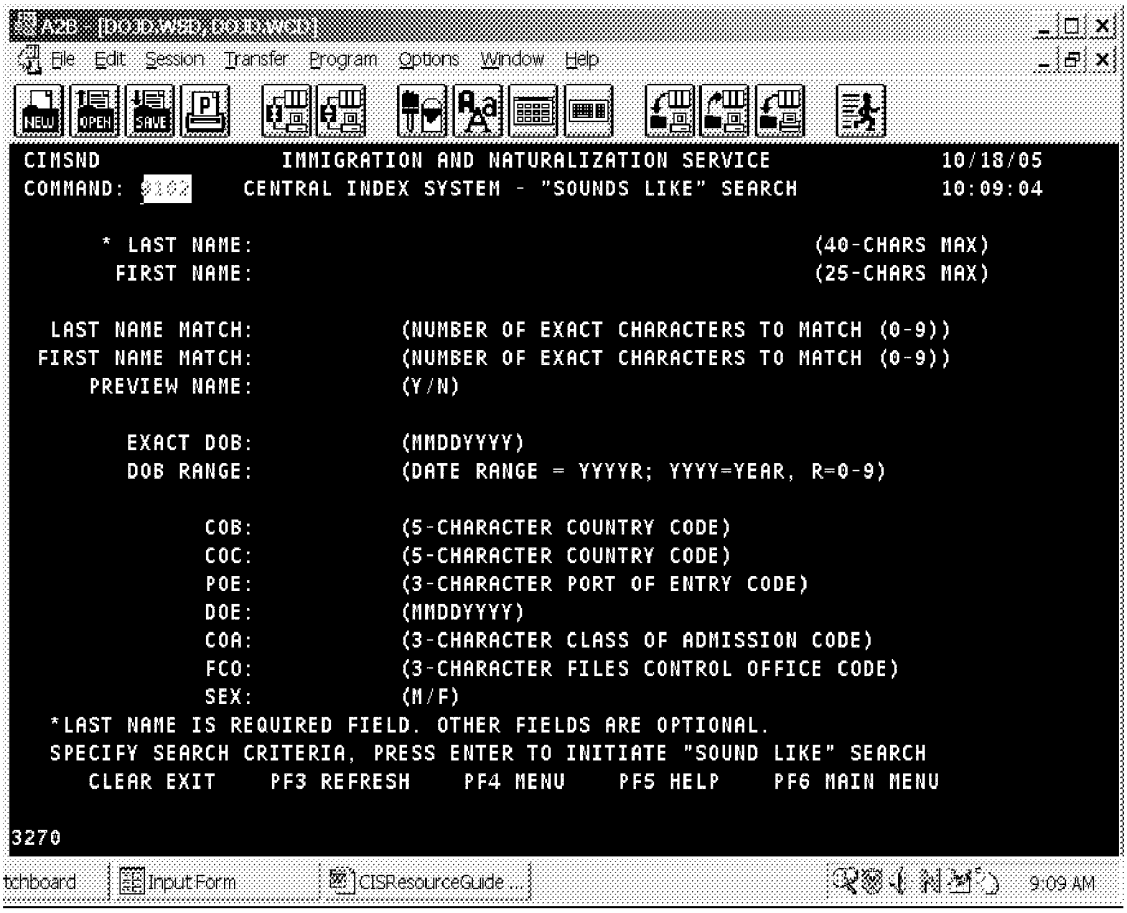

Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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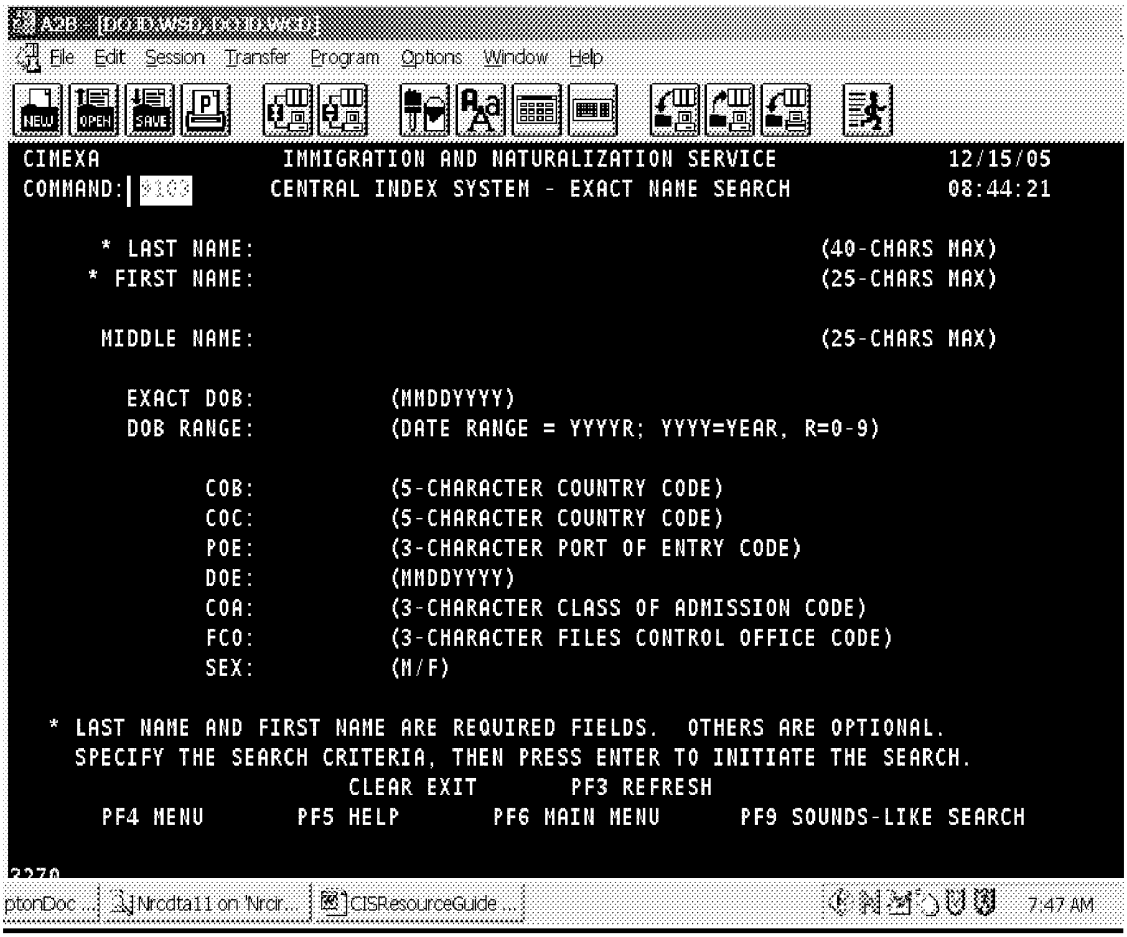
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only. The information displayed will be an exact name match.

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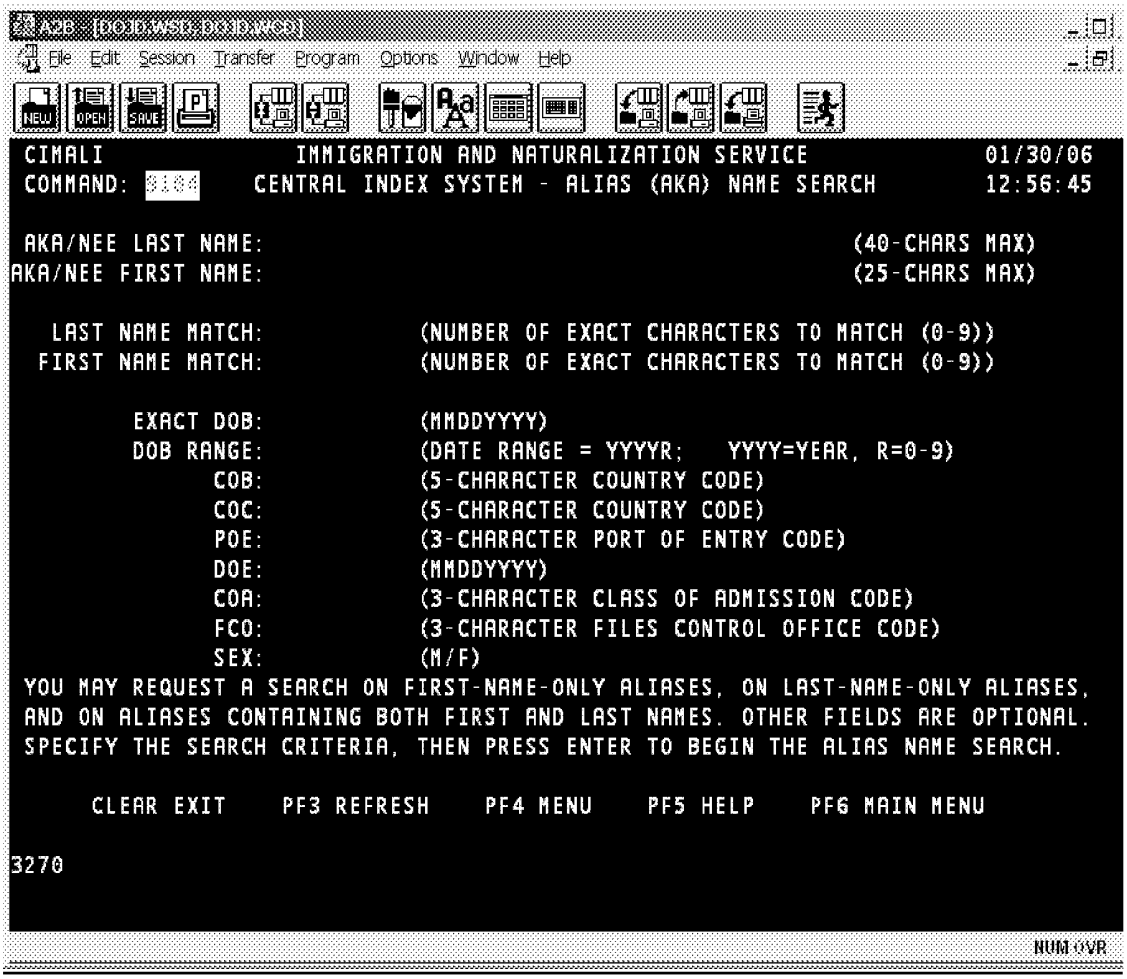
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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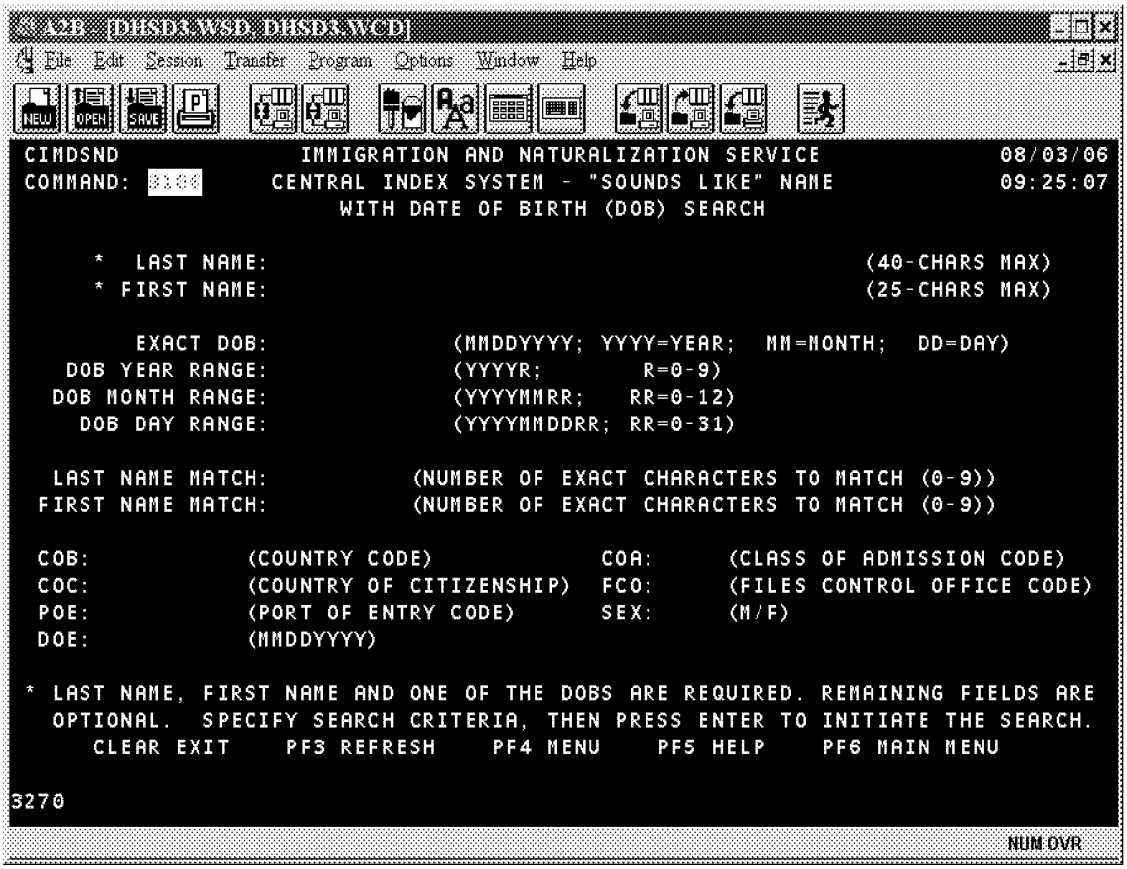
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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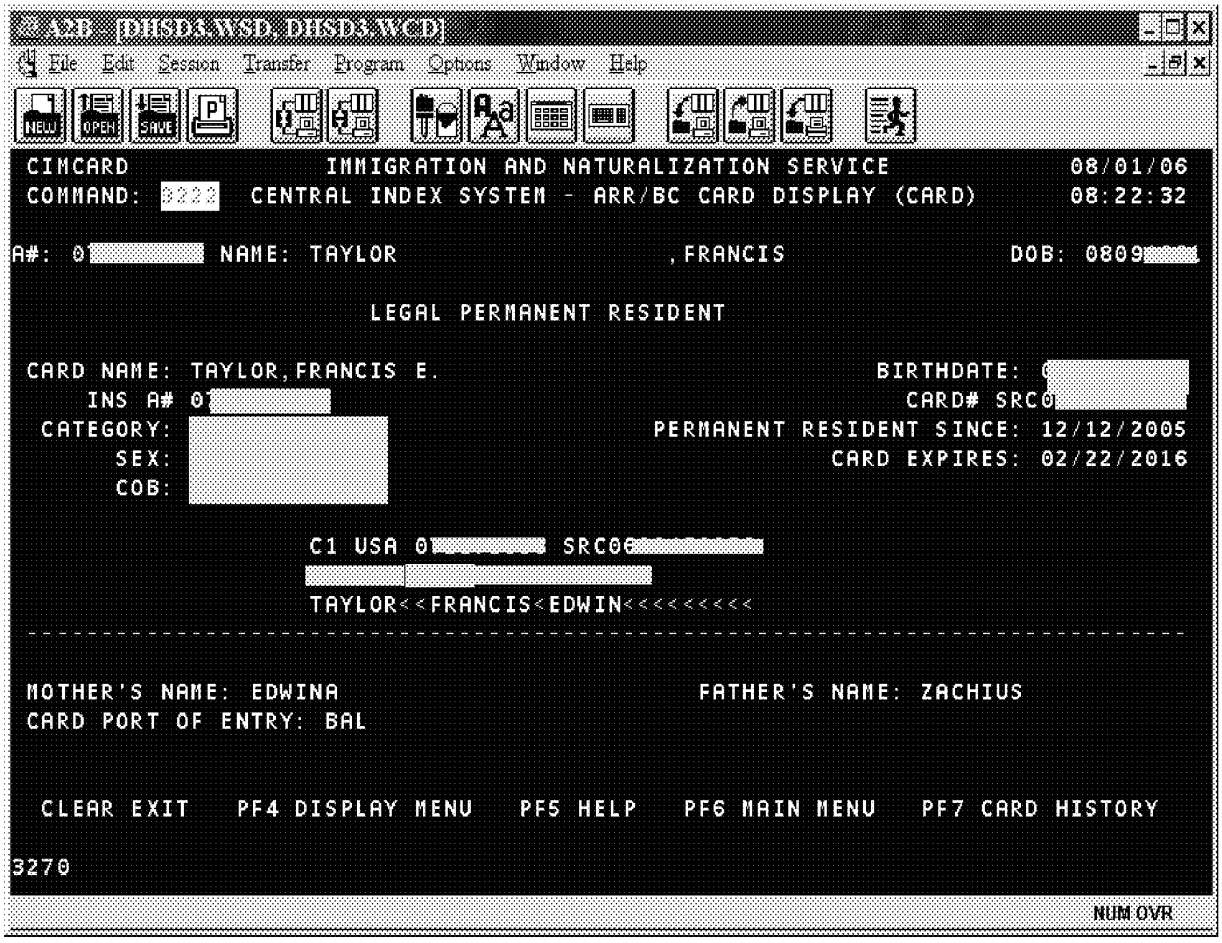
5.1.9 Card Search (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing Card information.

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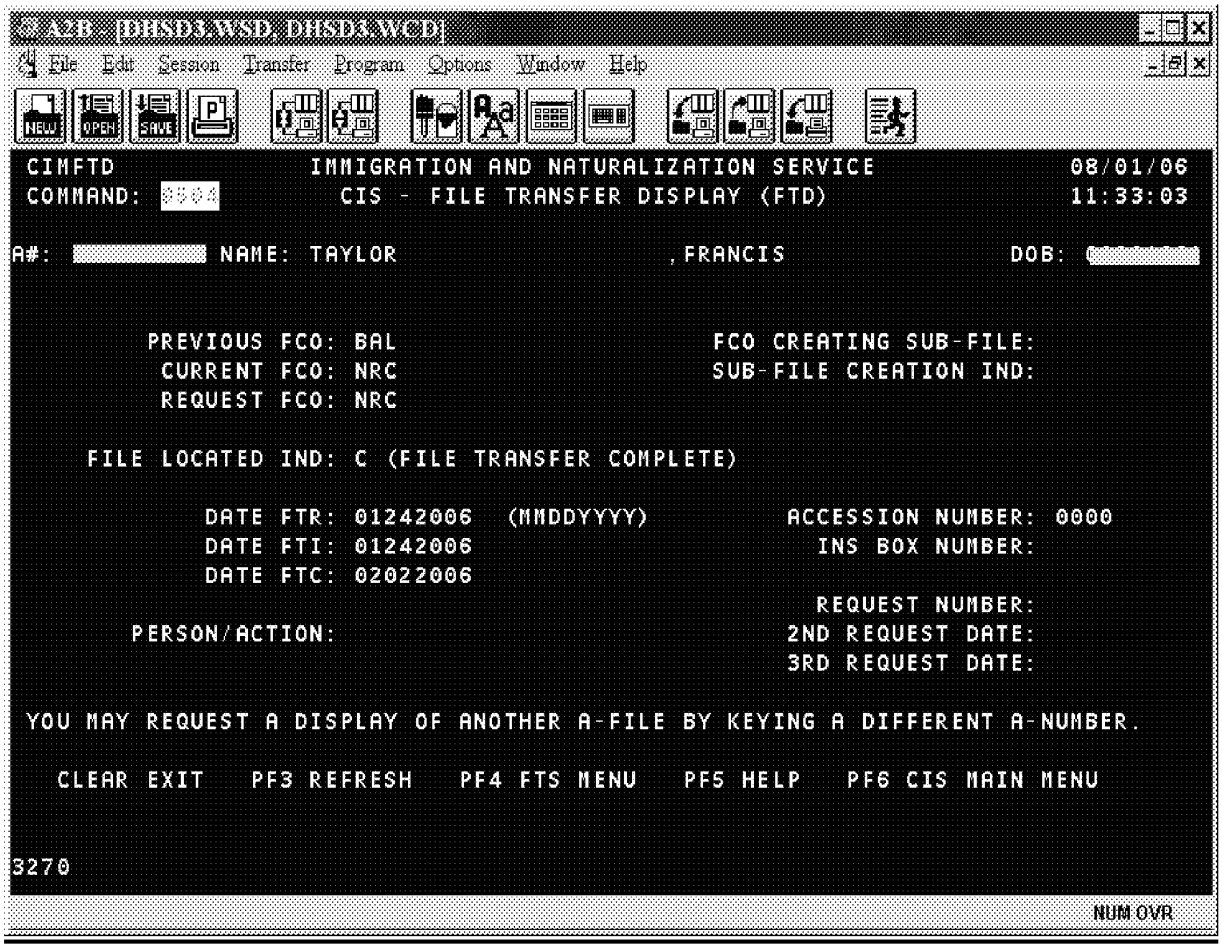
5.1.10 File Transfer Display (9504)



The main purpose of the 9504 screen is to check the location and movement of files. This screen's primary use as it relates to FOIA is that it will be used in conjunction with NFTS in the case create function. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The **Tables** section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as **Class of Admission**. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word **tables.** The next screen displayed will be the **Tables Menu Screen**.

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5.1.12 Tables Menu

Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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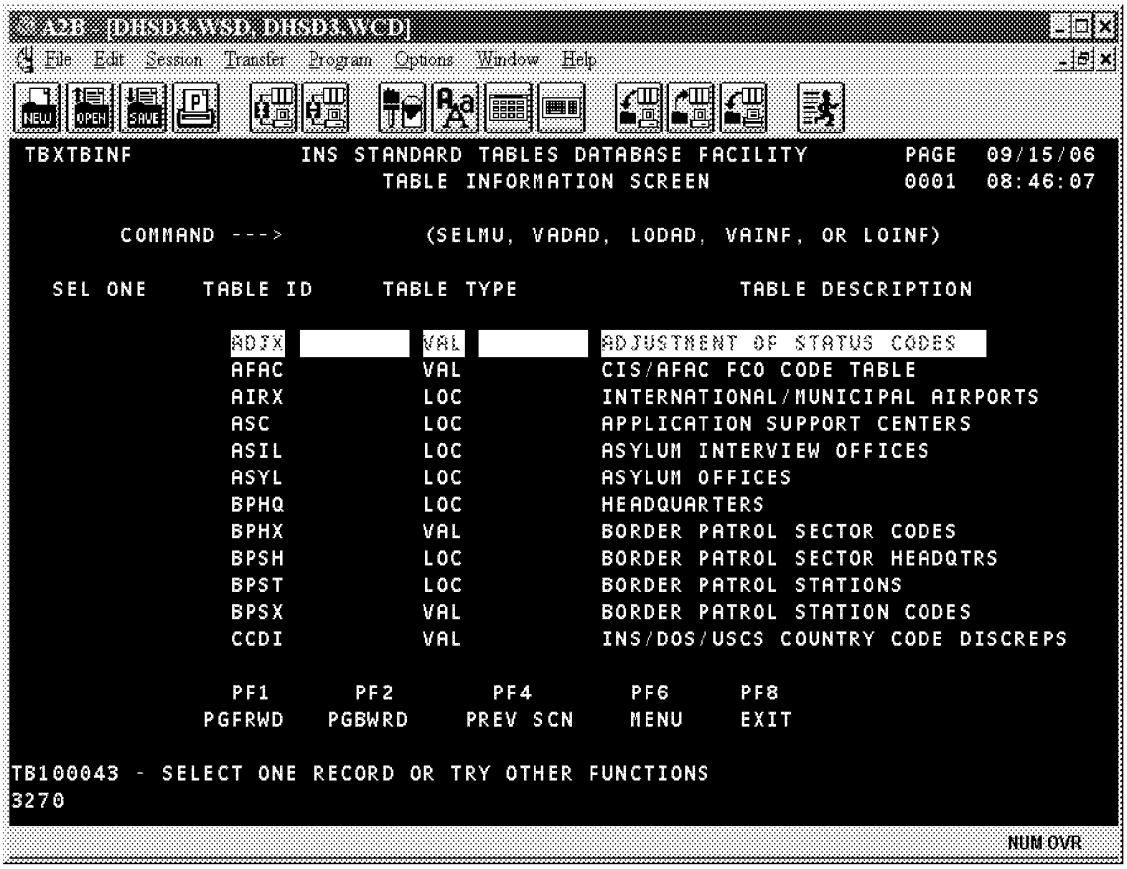
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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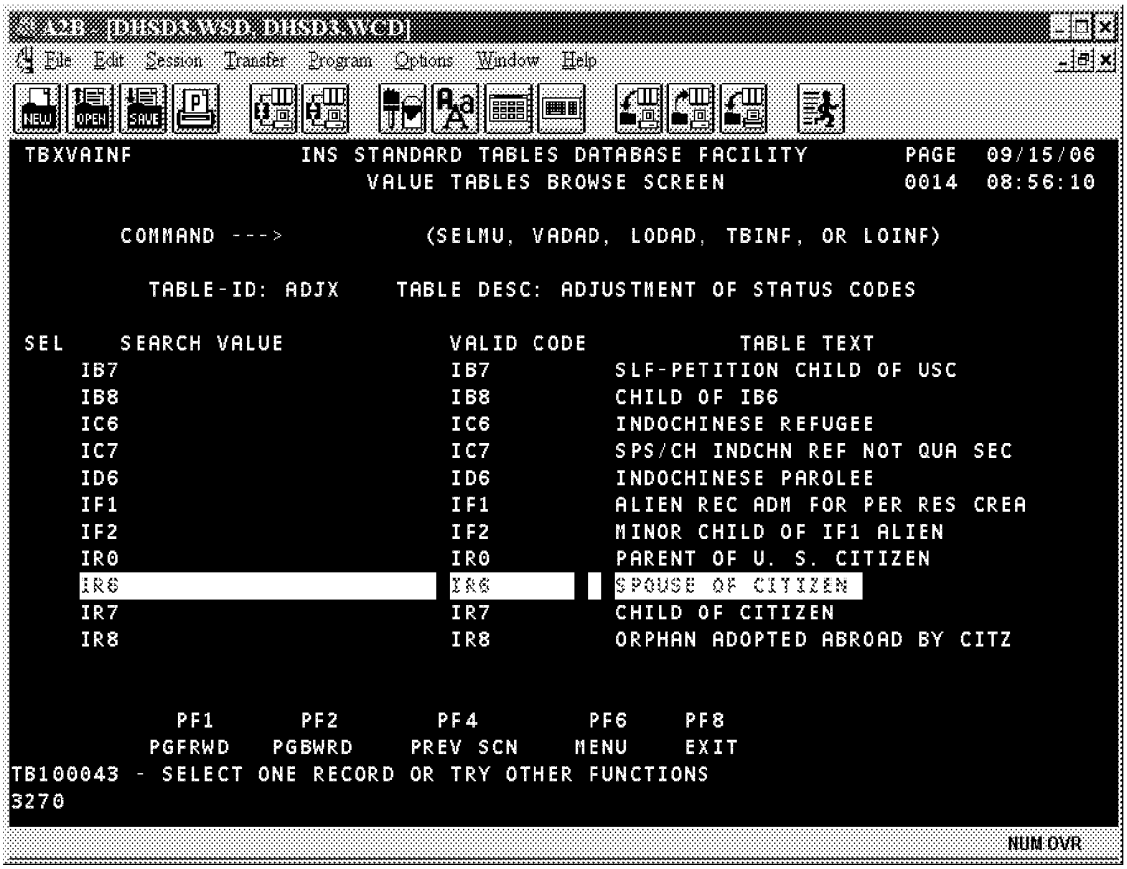
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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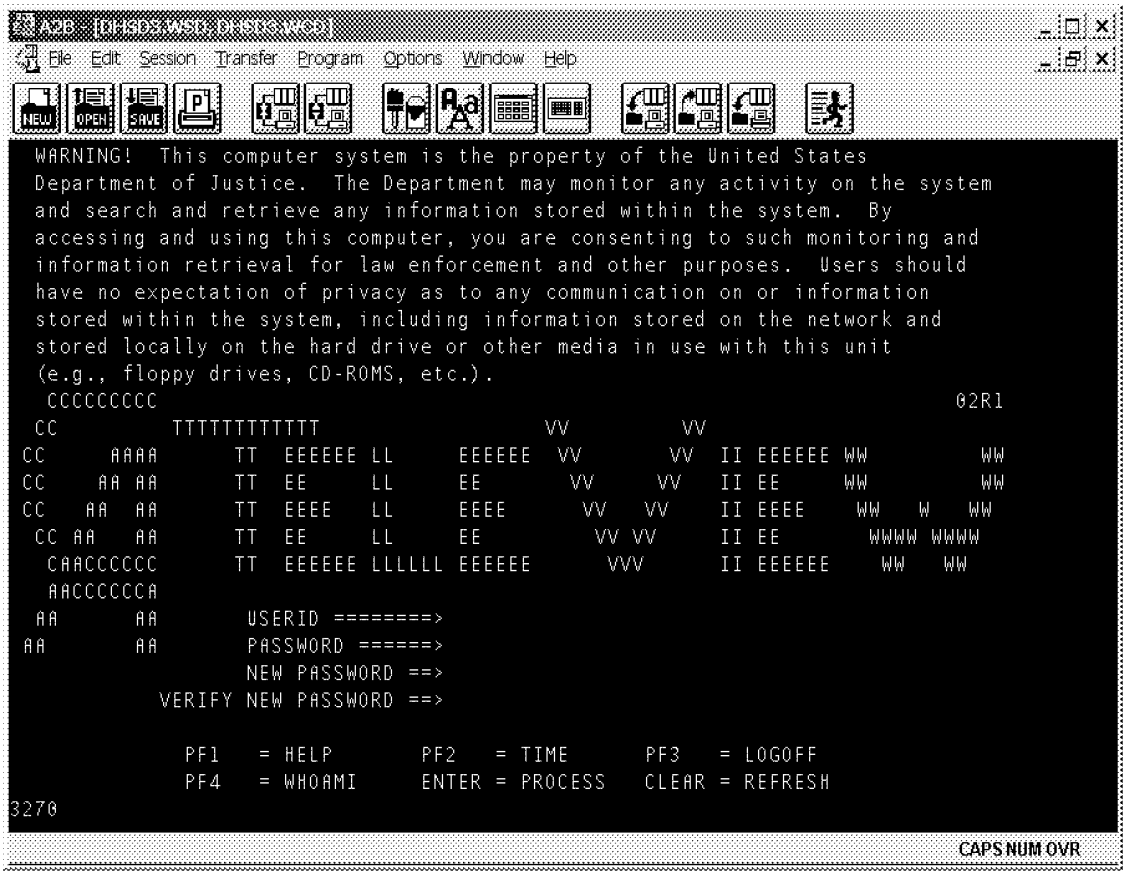
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management Systesm (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 Teleview Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated UserID (NRC####A) and Password to sign onto the database.

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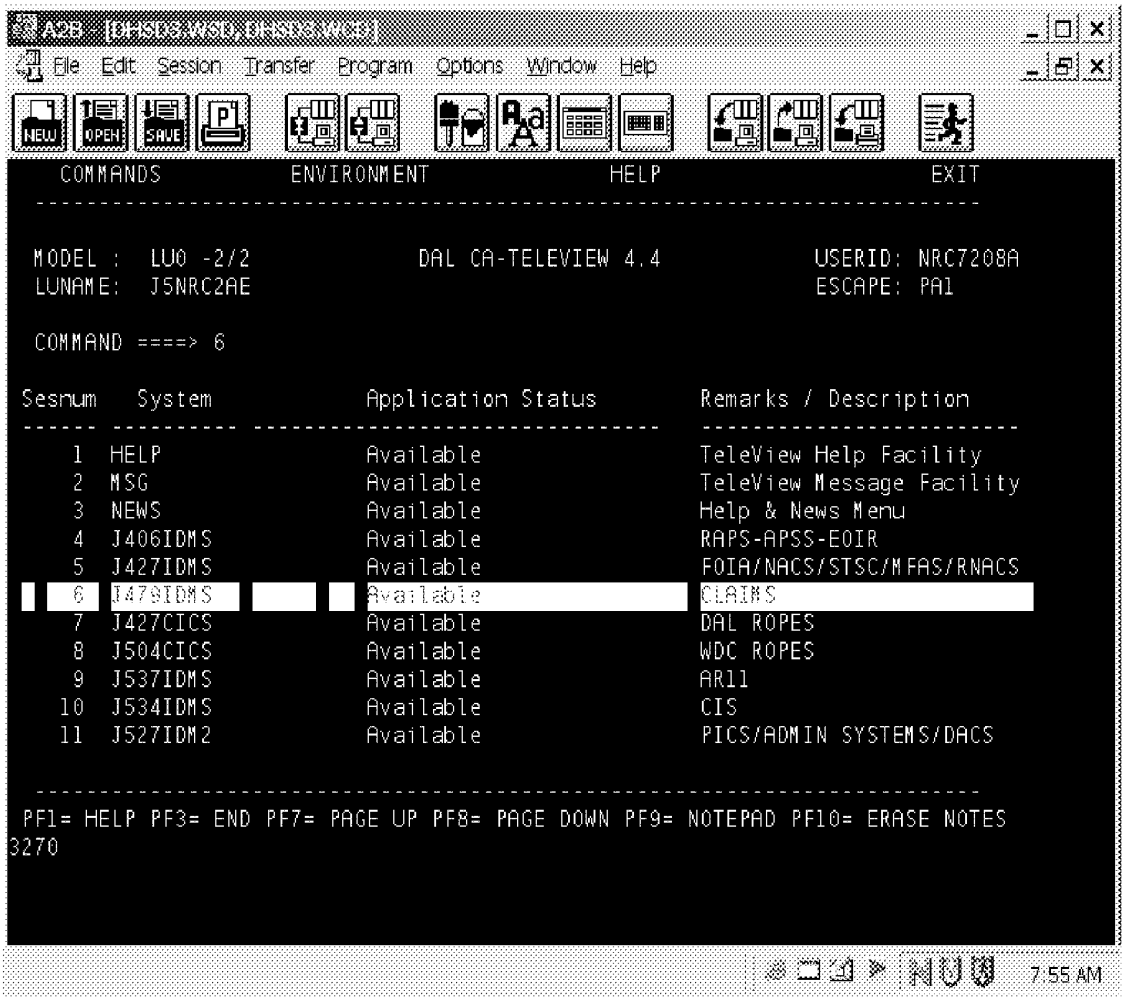
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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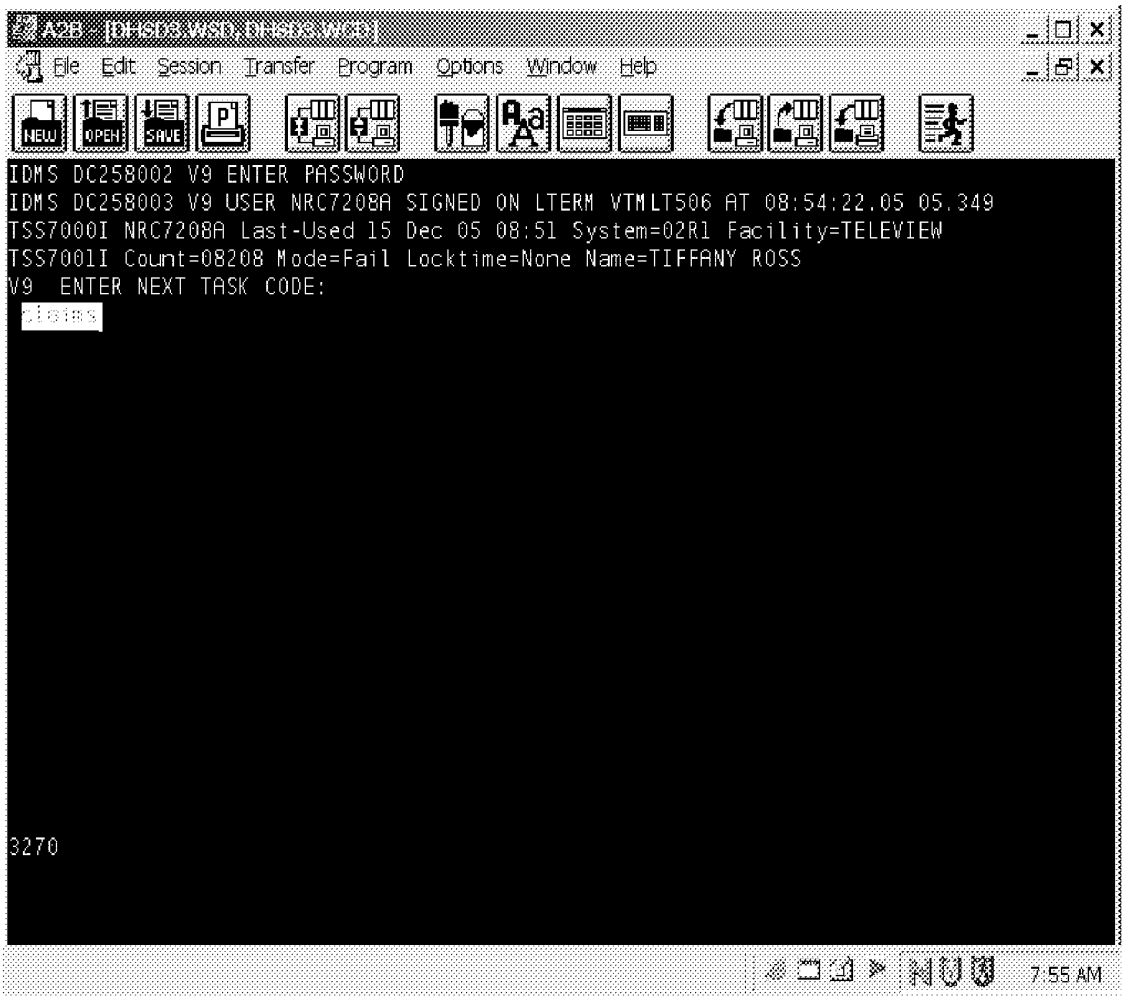
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in claims and press enter. This screen is not case sensitive.

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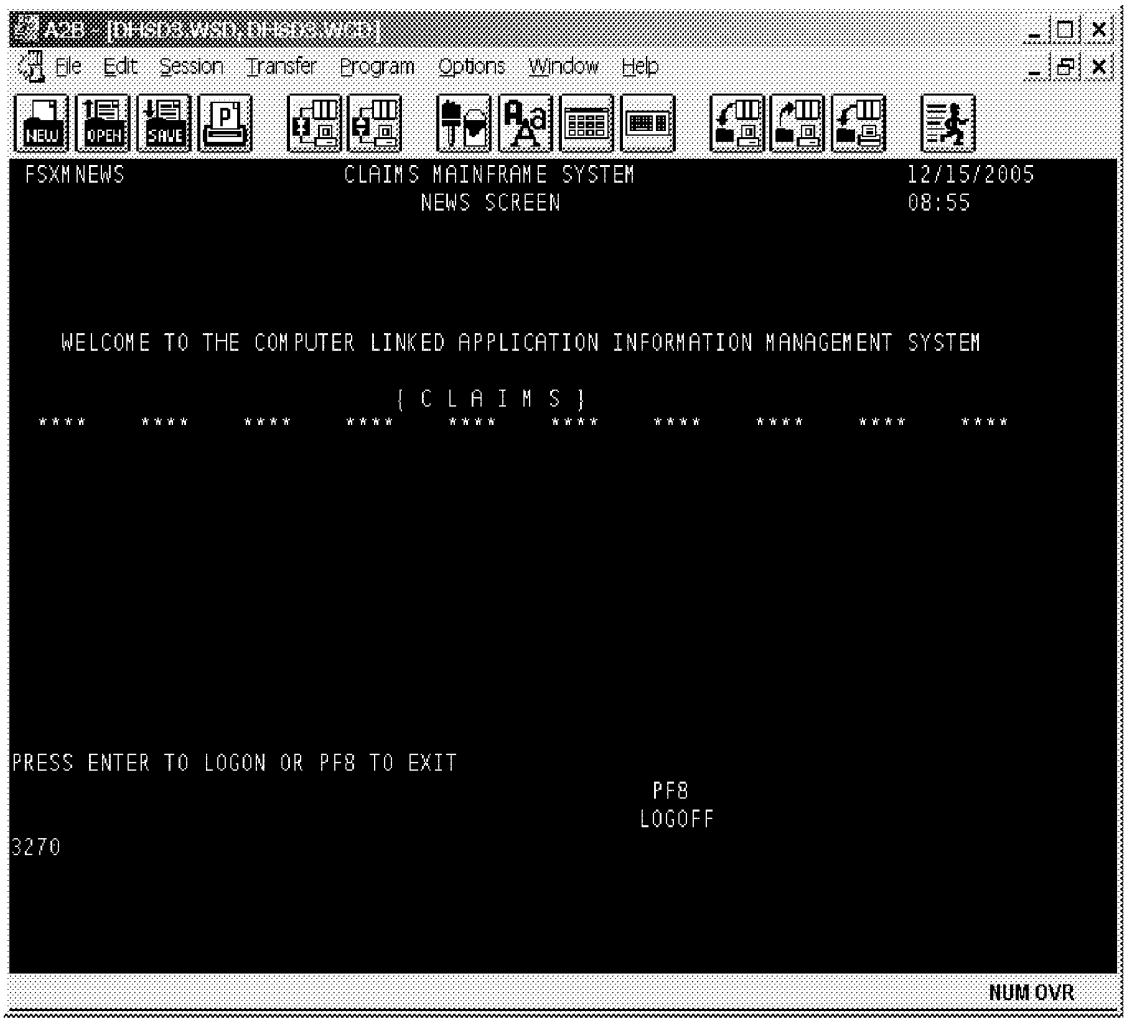
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password.

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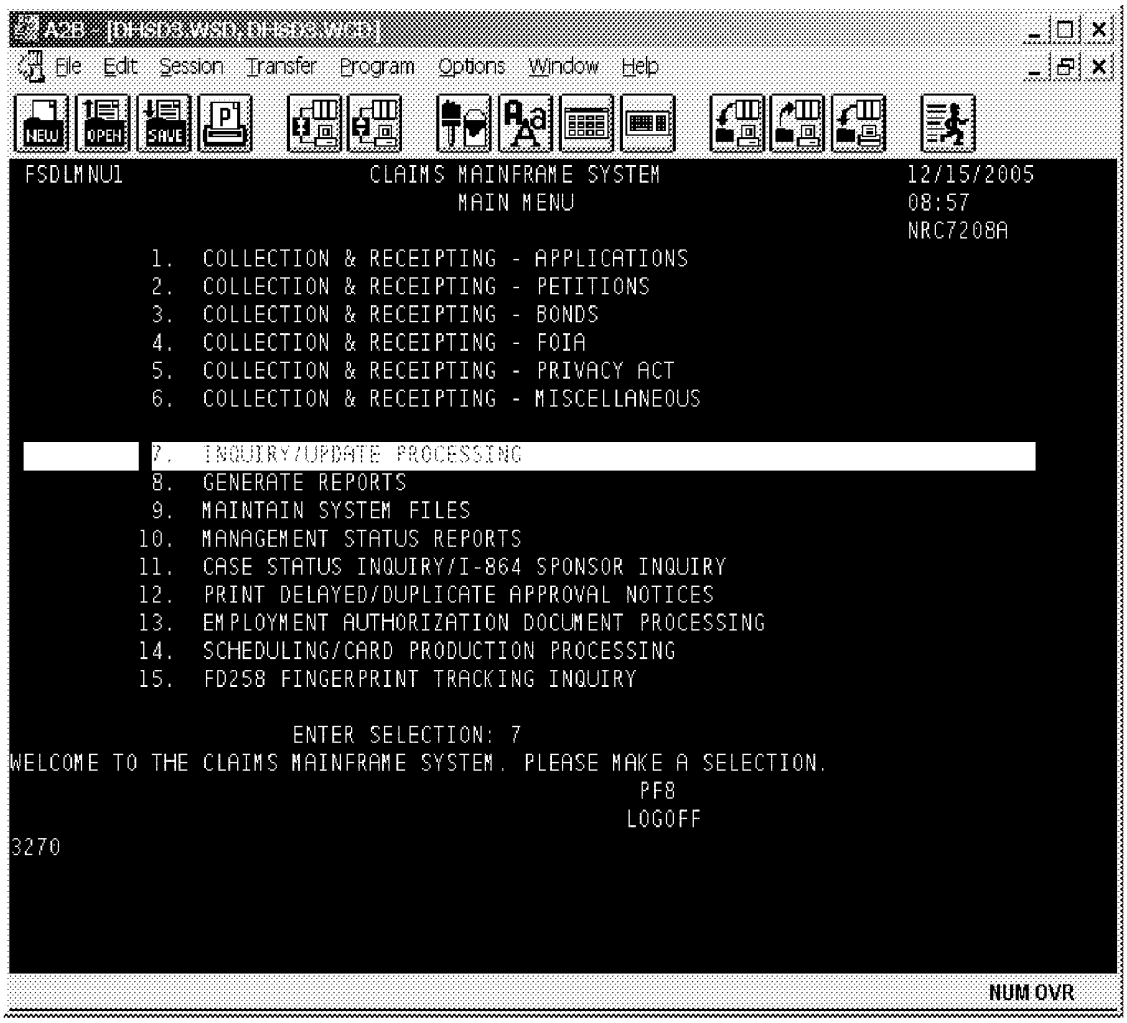
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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5.2.8 Inquiry Screen, searching with a Receipt Number

On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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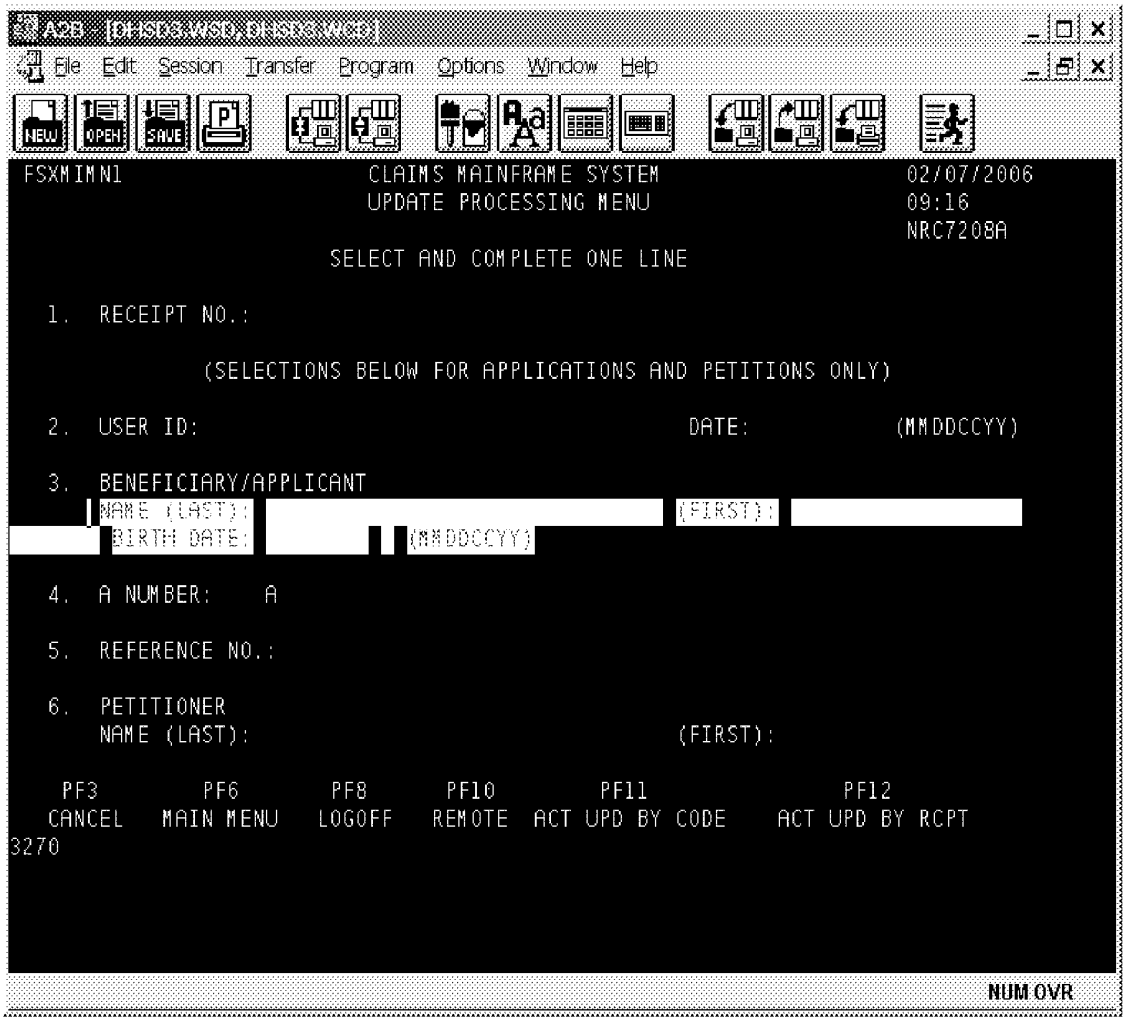
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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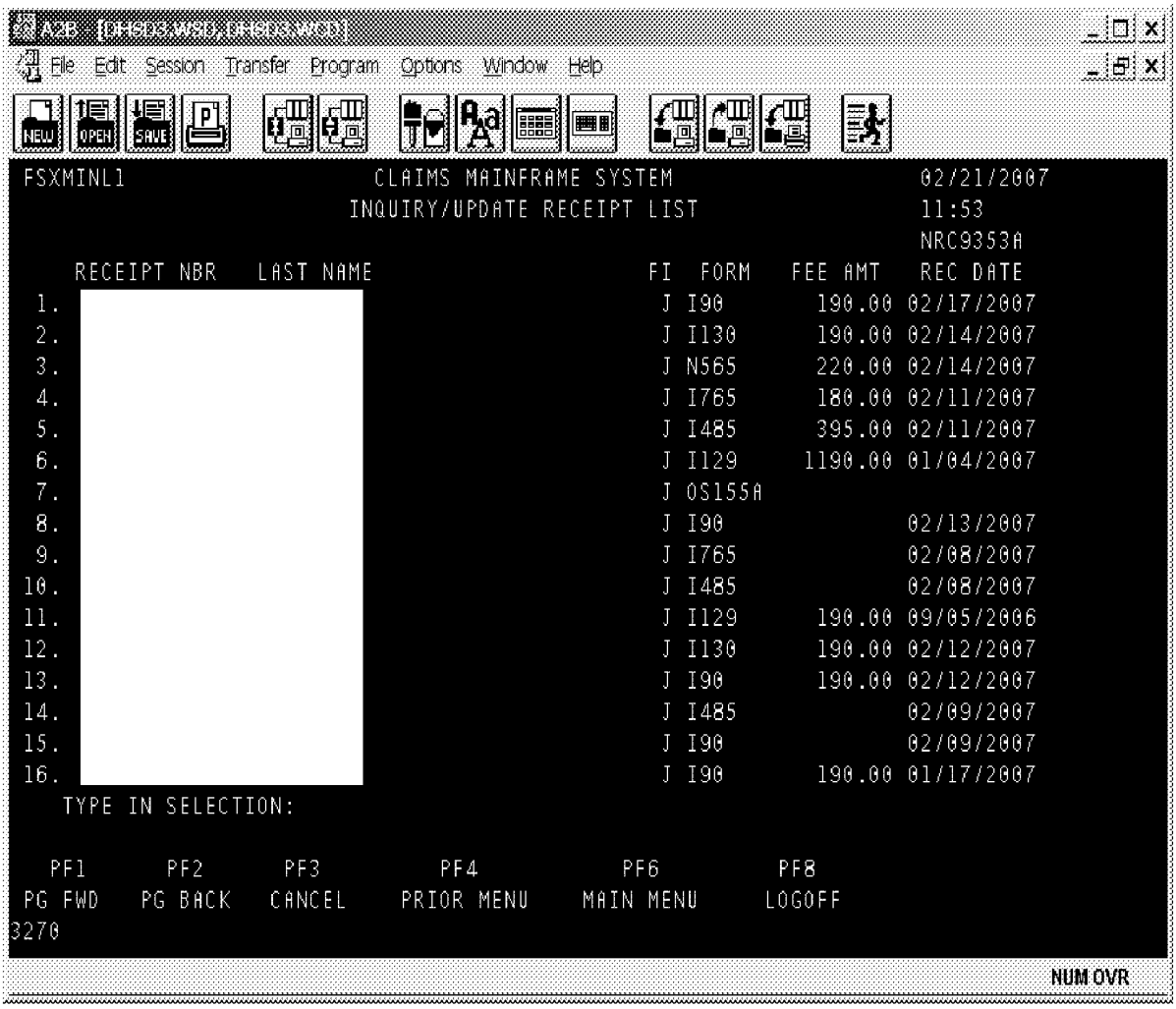

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number

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[redacted] will be displayed.

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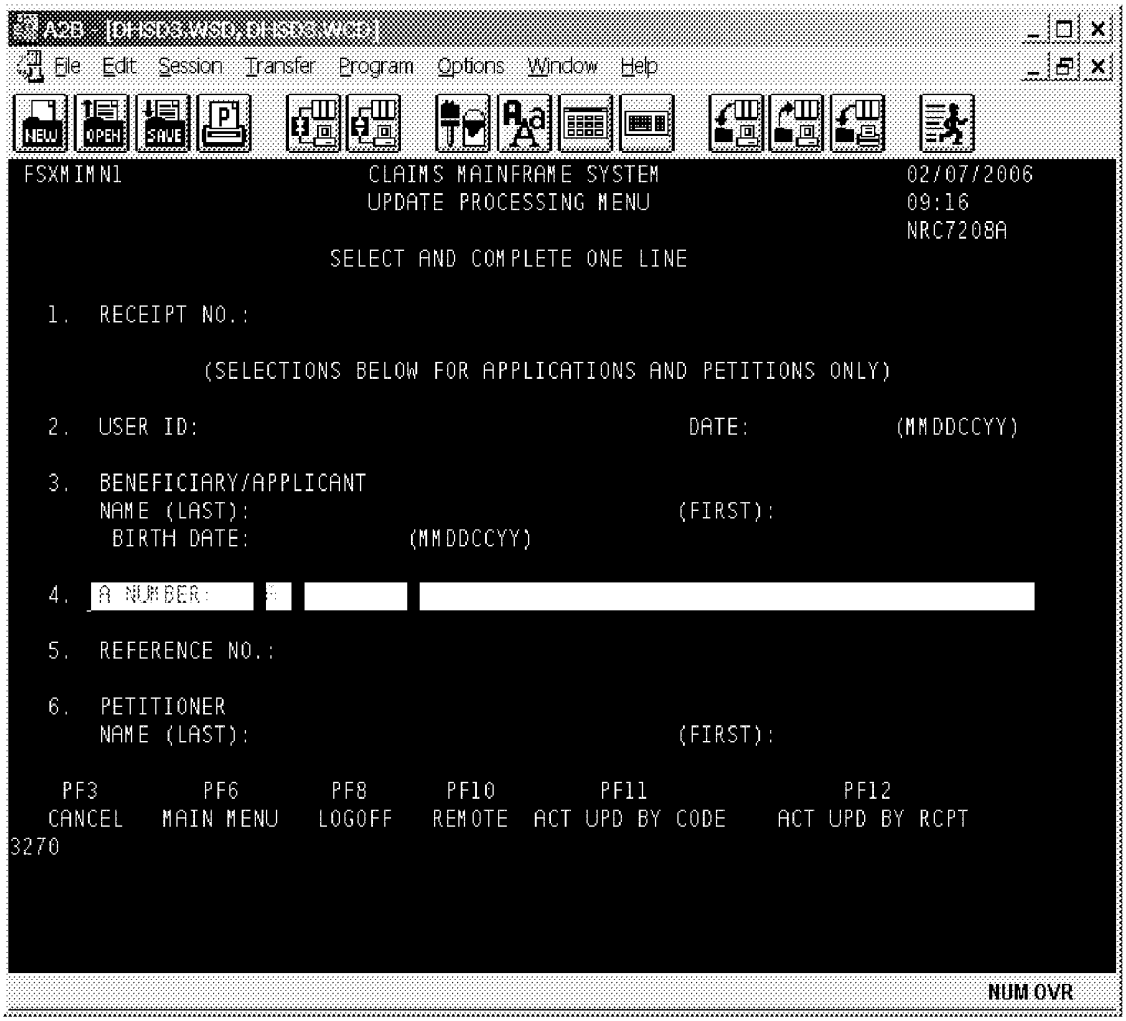
5.2.10 Searching with the A-Number



You may search by A-number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-number, you will not have to worry about it. Note: if you search by A-number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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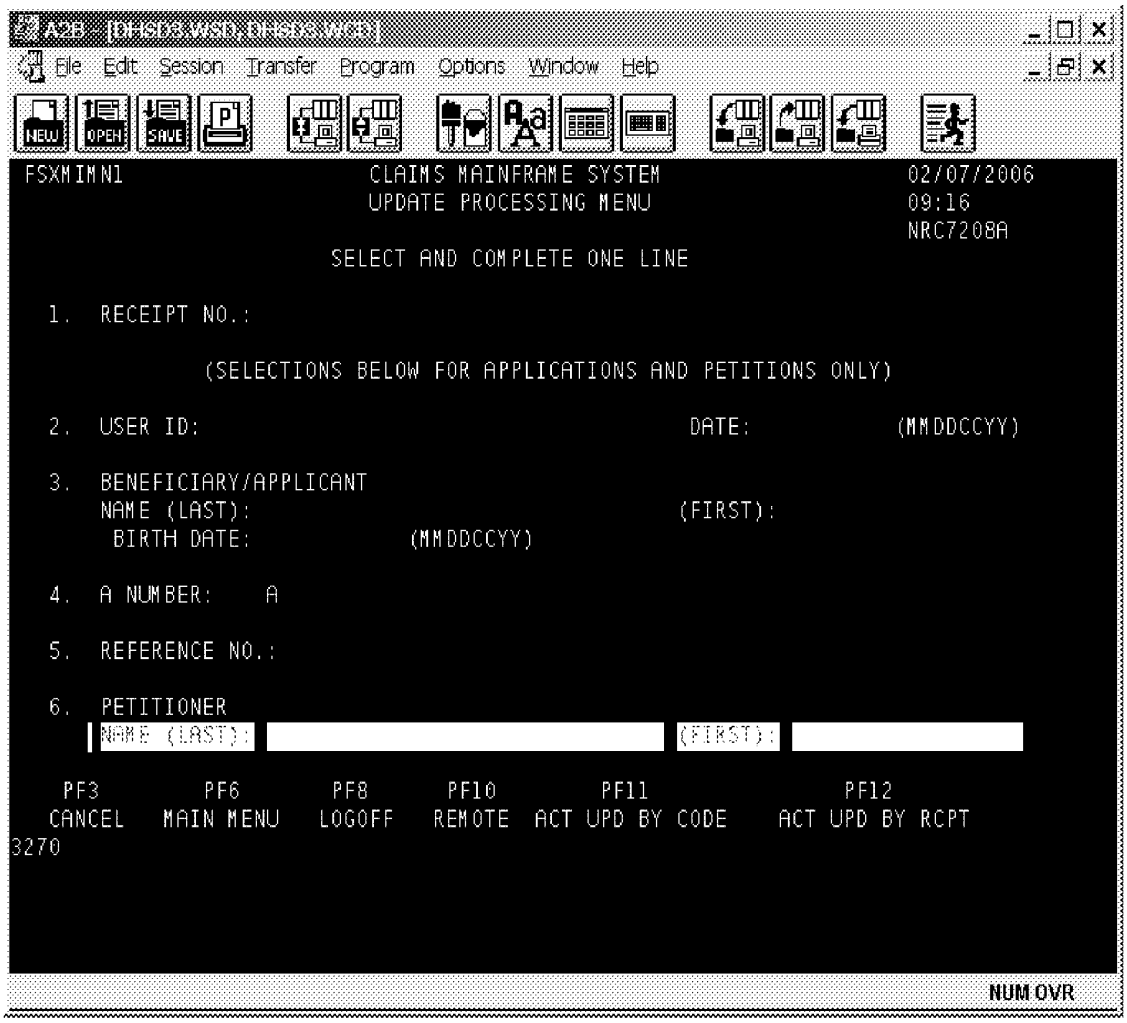
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name, the results of this search may be overwhelmingly voluminous.

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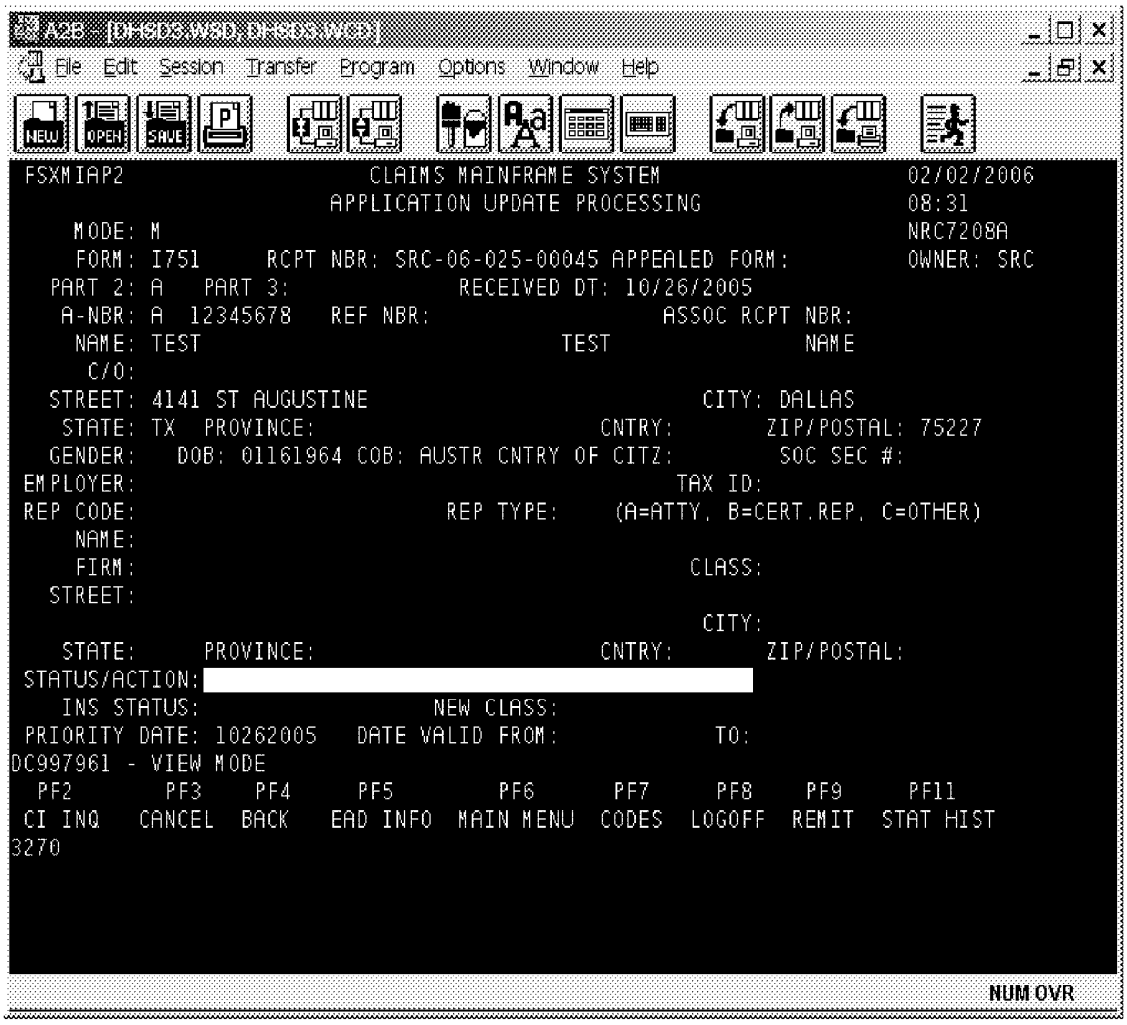
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



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The receipt information gives the name, date of birth, A-number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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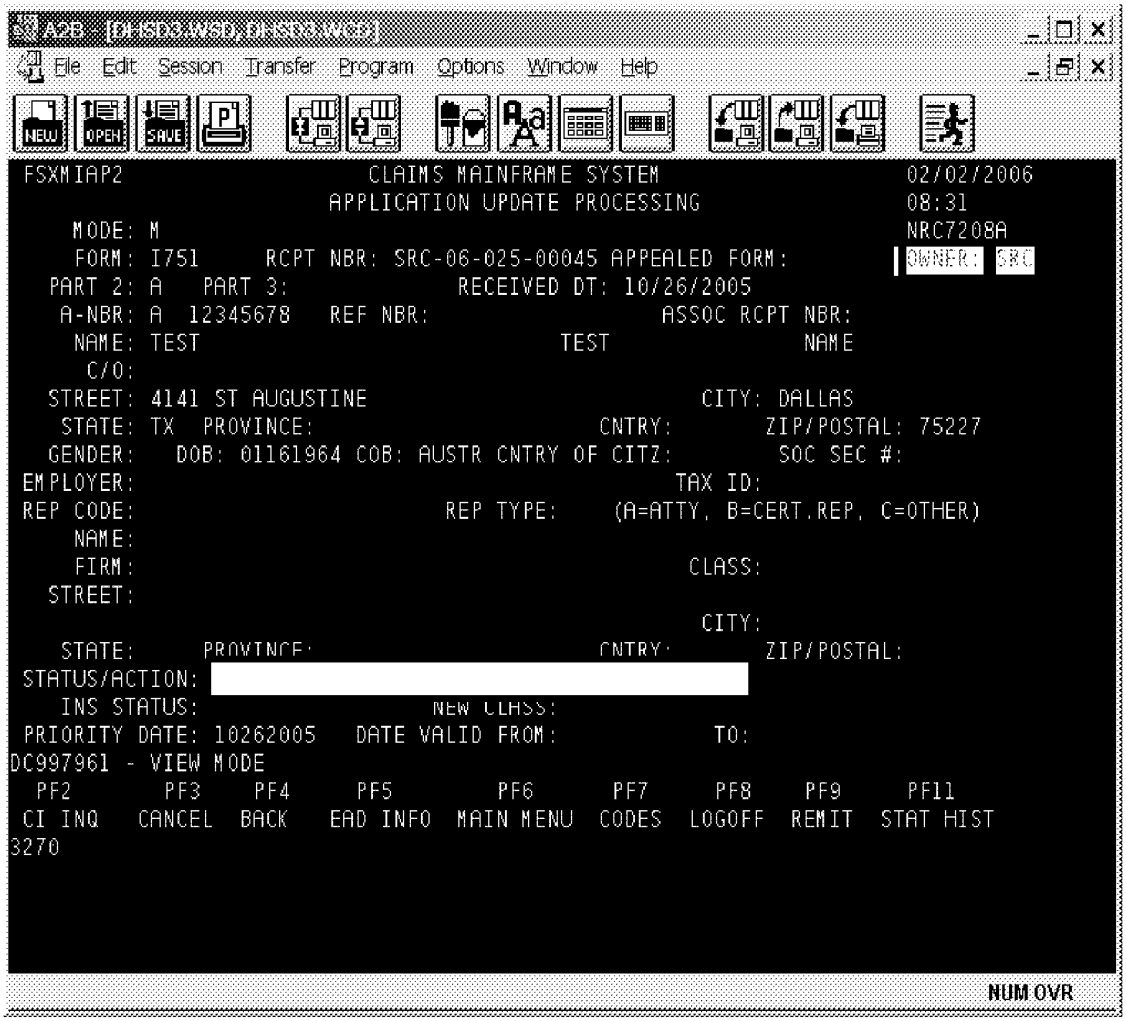

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The top right corner of the screen shows the owner of the file, this may help in determining where to request the receipt file, especially if the receipt information is not in NFTS. This receipt begins with SRC, but that does not matter for staffing – the OWNER would be where you staff.

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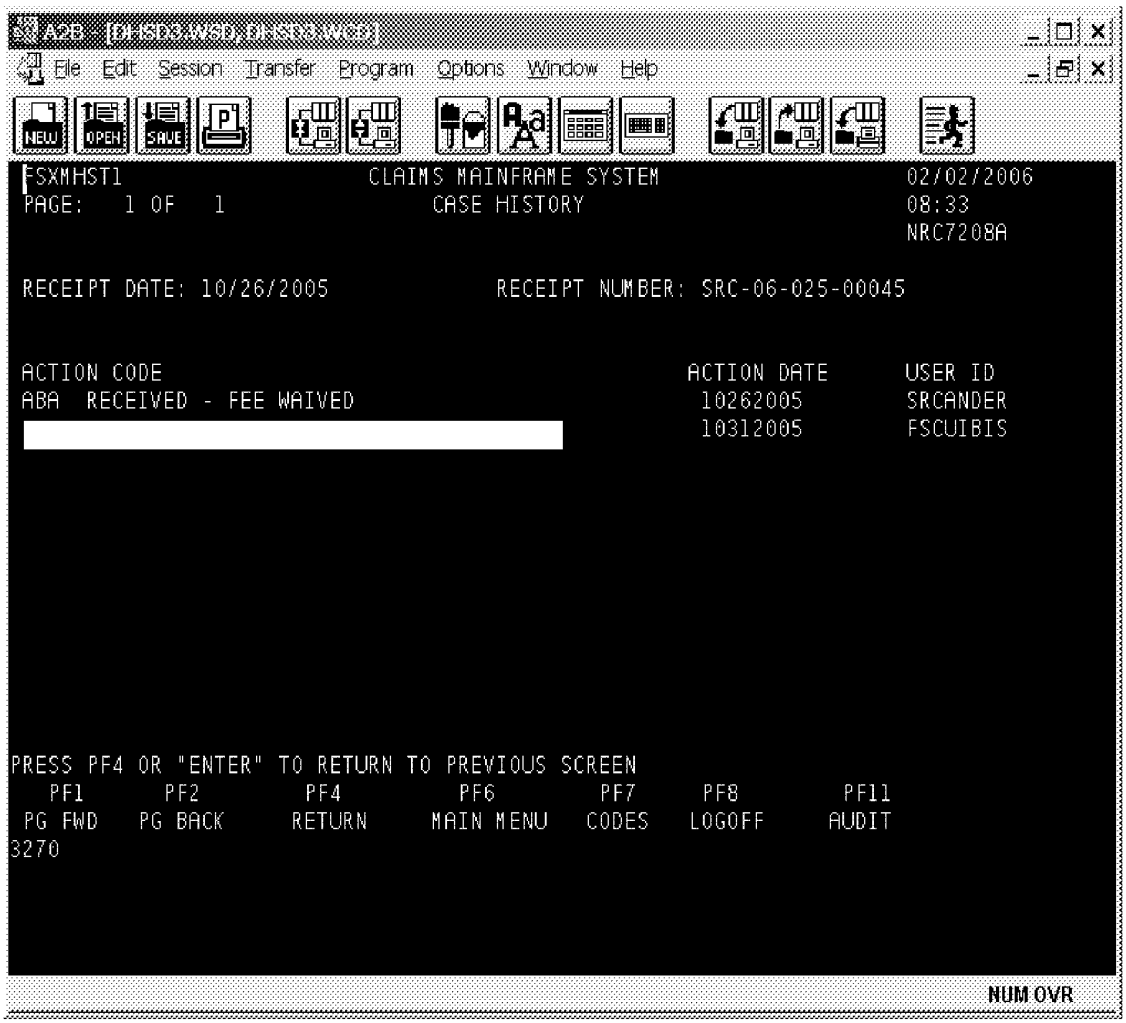

By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, or transferred, it may make a difference as to how we staff.

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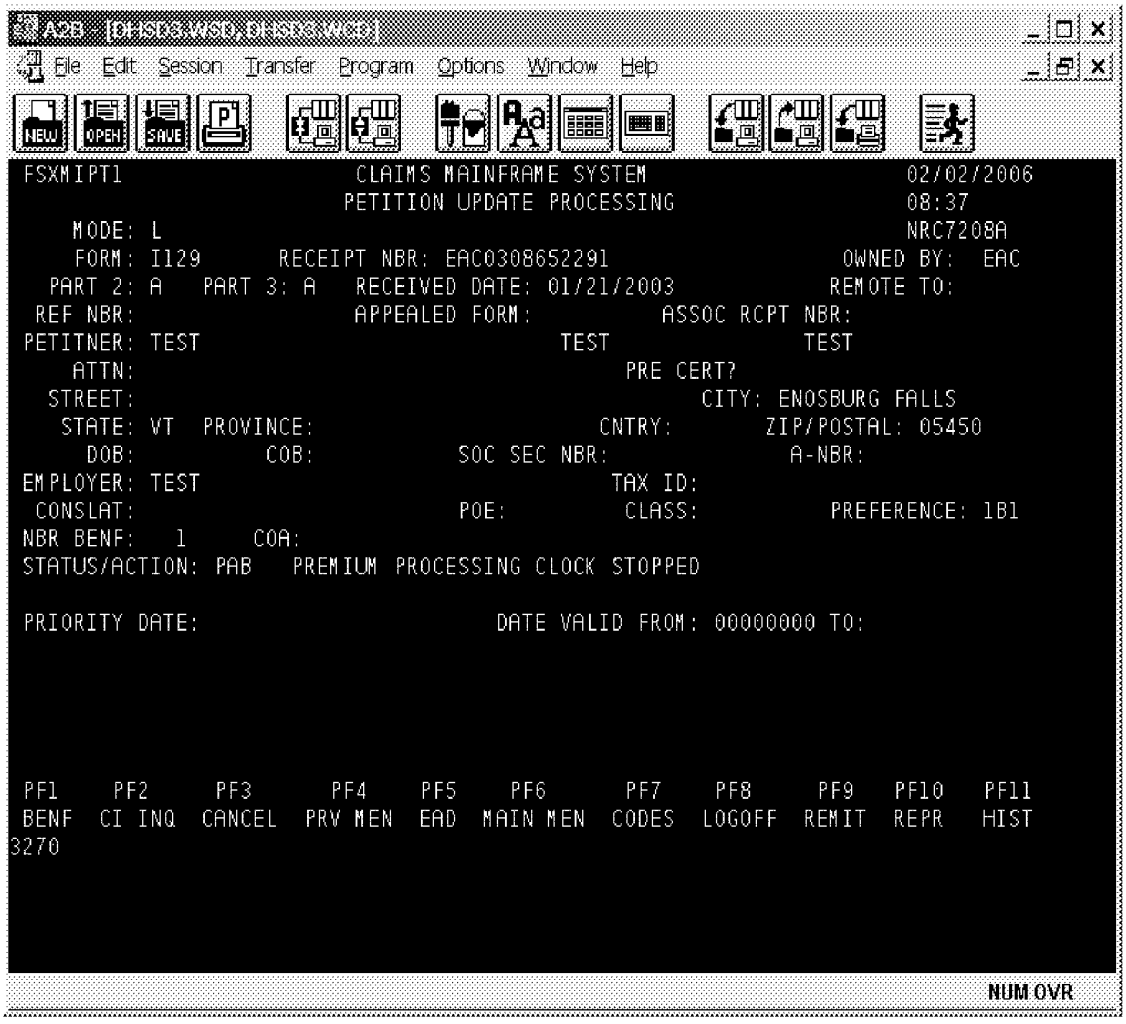
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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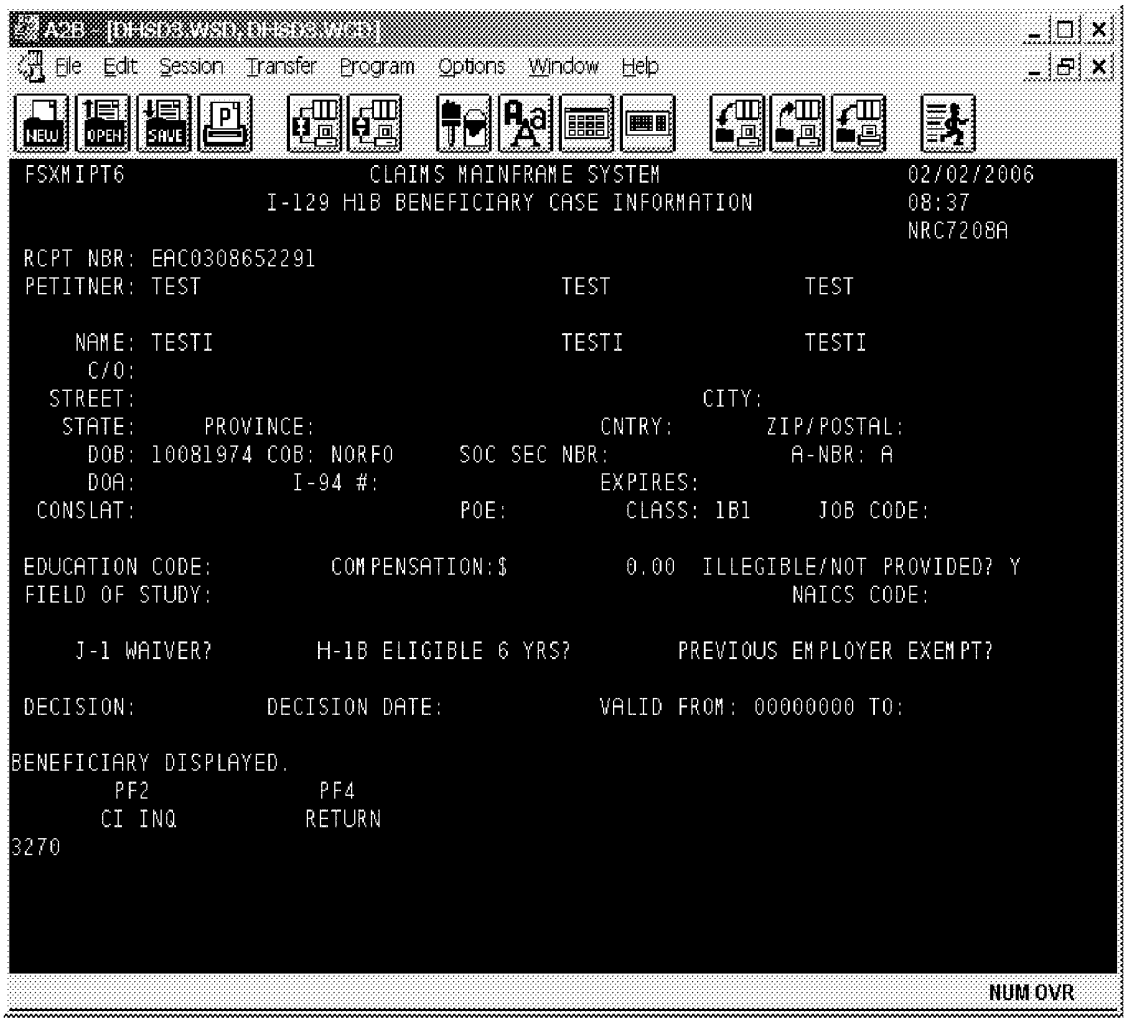
To see the beneficiary information press F1.



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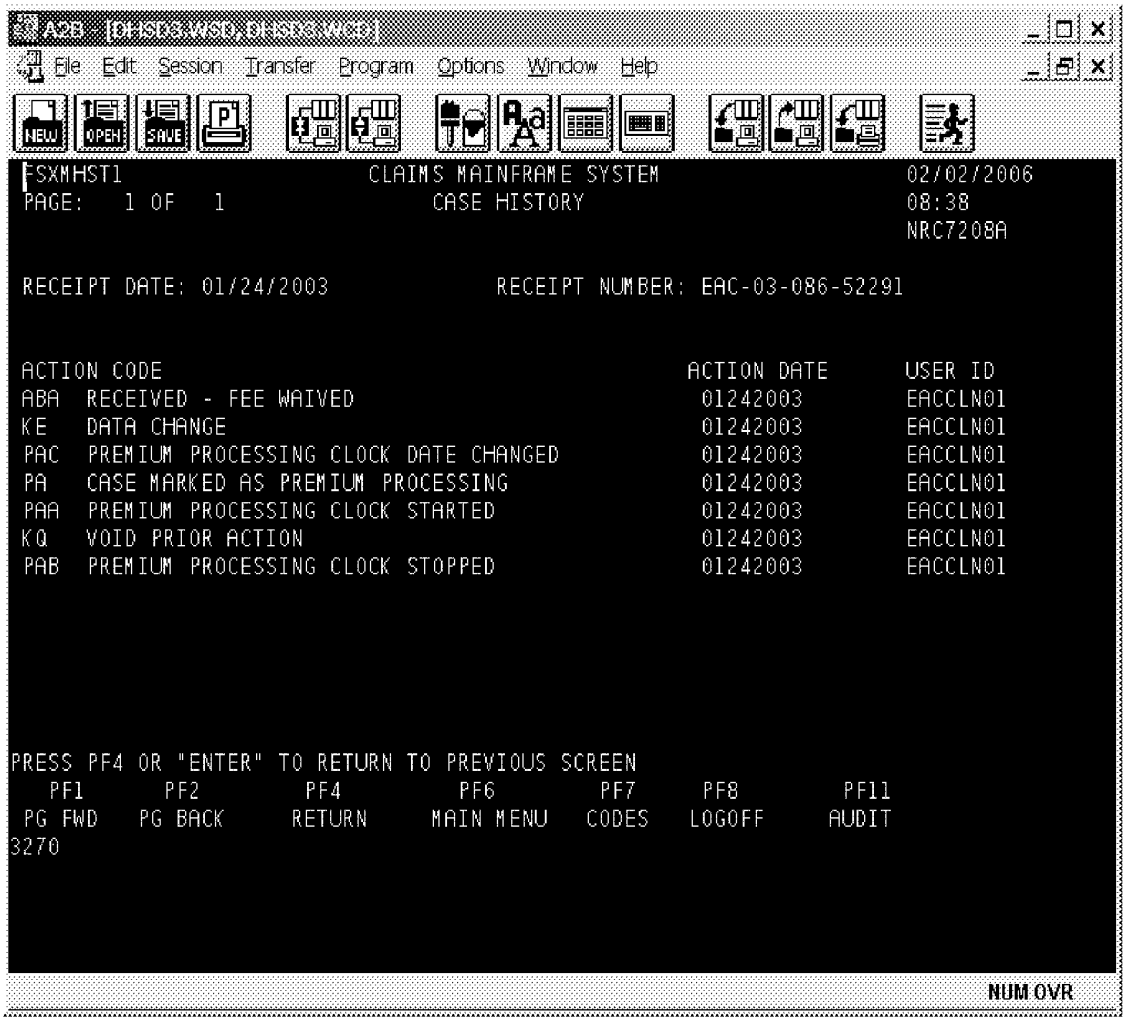
To view the history, press the F4 key to return to the previous screen, and enter F11.



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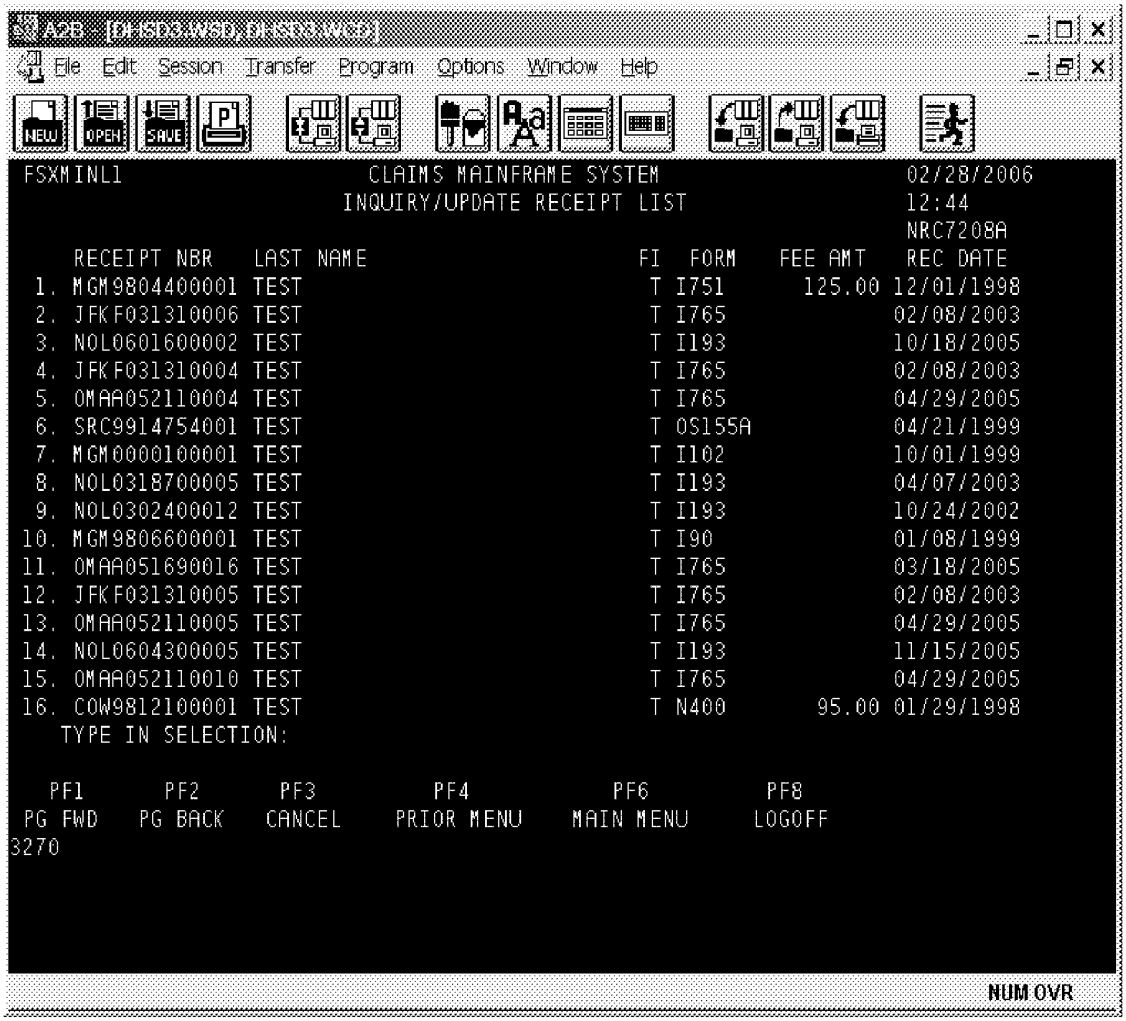

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO), The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DoS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq.esb.uscis.dhs.gov/ and click on the Users Guide link below the Warning.

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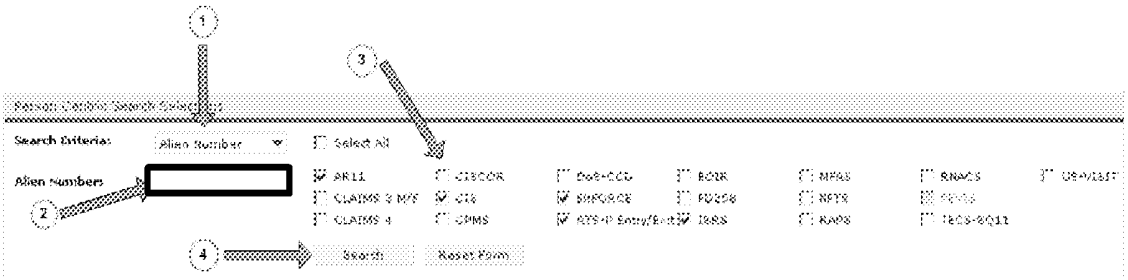

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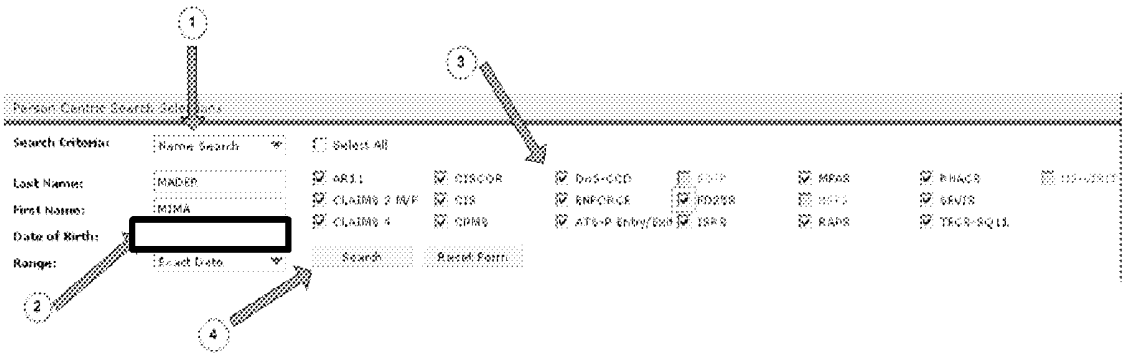

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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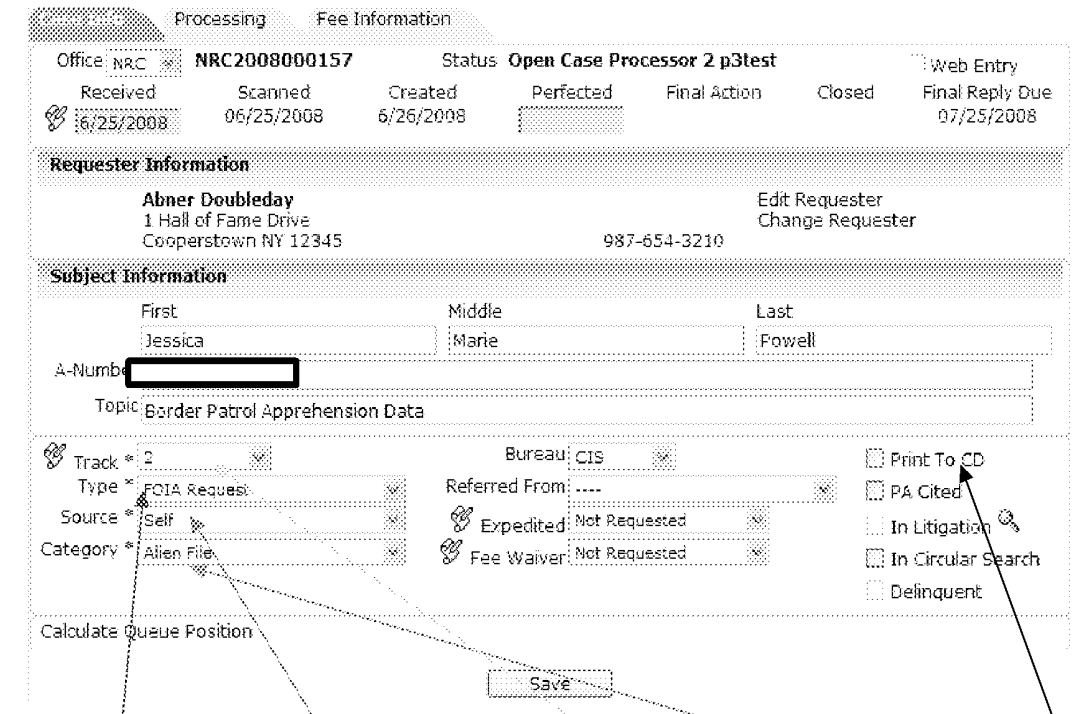

Type of request

- Always FOIA

Source

- Attorney
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others
- Representative
- Self
- White House/Congressional

Track 1, 2 or 3

Category

- Alien File
- Asylum
- Specific Documents
- Non A-File Material
- Personnel
- Special Interest Group
- SFR cases at NRC

Print to CD

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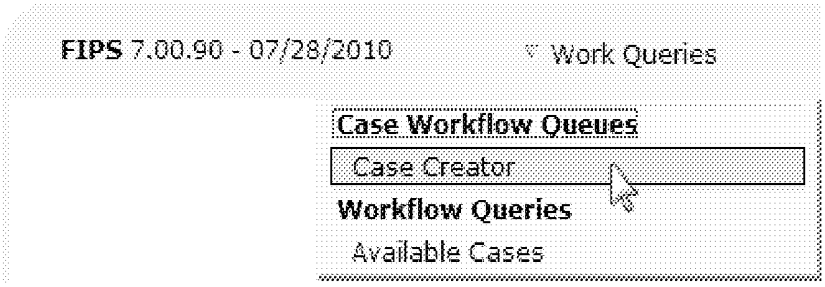
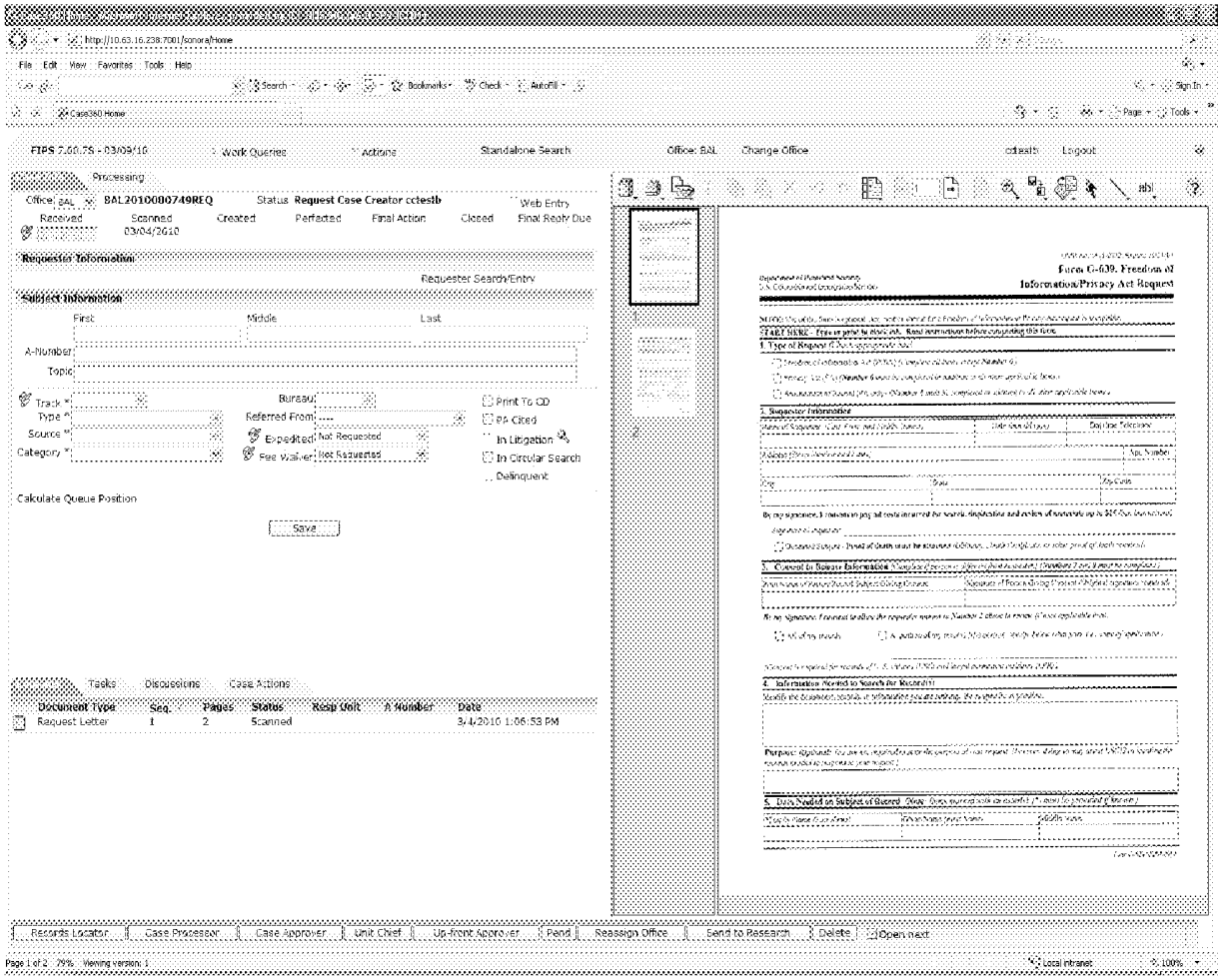
6. CREATING THE CASE





On the FIPS worksheet under the header "Contents," you will notice that usually Sequence 1 is the "Request Letter" and Sequence 2 is usually "Request Supporting Documents." There will be a date and time in the right column.

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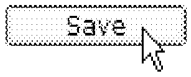
Sometimes the request will be Form G-639 only, sometimes it will be the G-639 and a G-28, Power of Attorney, sometimes it will be a letter from an attorney or representative and a G-28. Sometimes it will be a letter from the subject of record. At times, there will be documents scanned in, such as alien registration card, driver's license or other forms of identification. Other documents you may see can include miscellaneous screen prints or memoranda. You should view (almost) all documents scanned in FIPS in the Request Letter and Request Supporting Documents slots before you create the case.

During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case:

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6.1 REQUESTER INFORMATION

6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 Do not use all capital letters in names.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the requester information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the requester or subject uses it on the request.

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6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the requester on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company.

For example, if your request comes in on a G-639 and the name of the requester is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens & Baker" as the requester name.

6.1.1.5 Do not hyphenate names.

6.1.1.6 Double-check the spelling of the names. If the name of the requester is not clear on the request letter, check the supporting documents for a Form G-28 for a clear copy.

6.1.1.7 Add a period after the middle initial.

6.1.1.8 Rescinded. ~~If the subject does not provide a middle name or initial, enter "NMN" in the "Middle" field.~~

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. You might look at the mother's and father's last names, if provided. If you are unsure, contact a supervisor.

6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Never use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

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6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The requester's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. Send an e-mail to your supervisor and assign the case to Unit Chief.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The requester's name is always the first line.

6.1.1.17 If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney.

6.1.1.18 If the address is foreign, you must check the box marked Foreign. This will change the format of the worksheet to include the Province and Country. You must complete these fields to ensure proper delivery. Before pending this case for any further action, please check the "Print to CD" box and add a Discussion note that you did so.

The following places are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll

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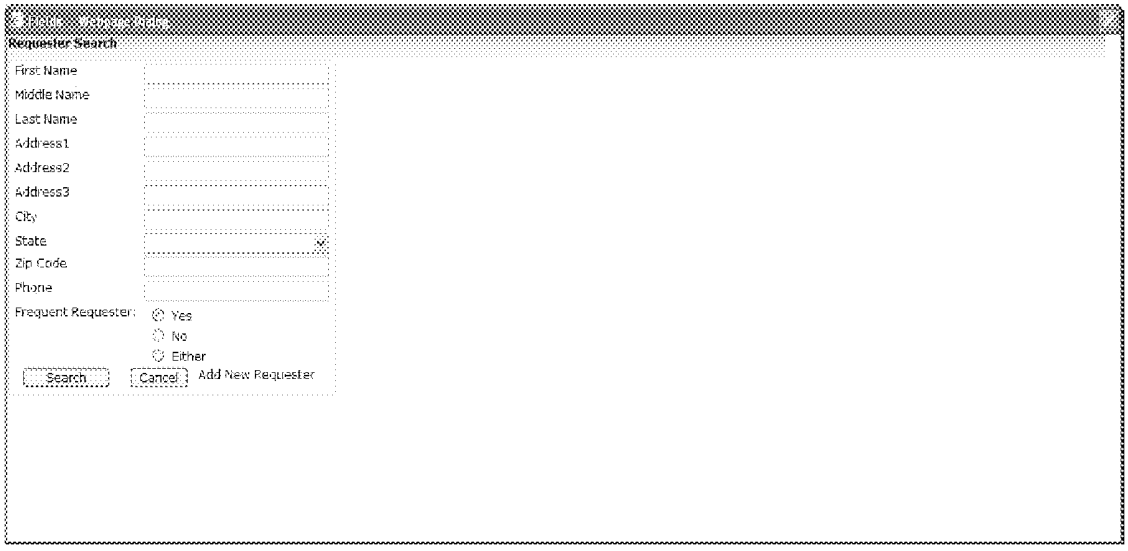
U.S. Virgin Islands
Wake Island
Micronesia

A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly.

6.1.2 Requester Search/Entry. To locate and select existing requesters or to enter new requesters, click the **Requester Search/Entry** link to open the Requester Search Form. To search for an existing requester, click in one of the available fields in the Requester Search Form and begin entering pertinent information. When searching for a requester whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate requesters with matching information.



If you get any matches to your search, you will see a screen that looks like this:

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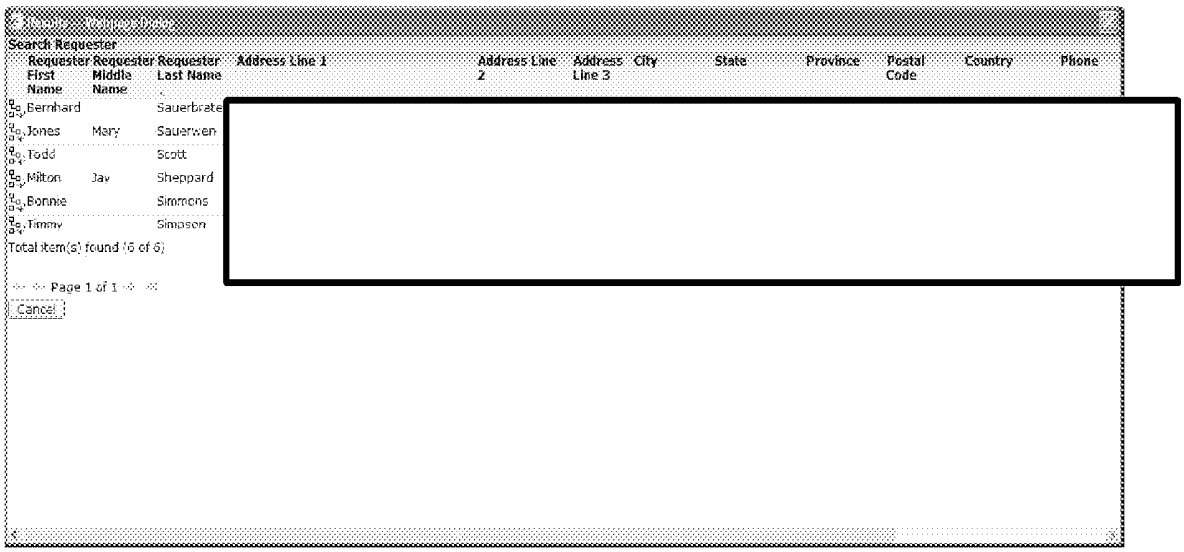
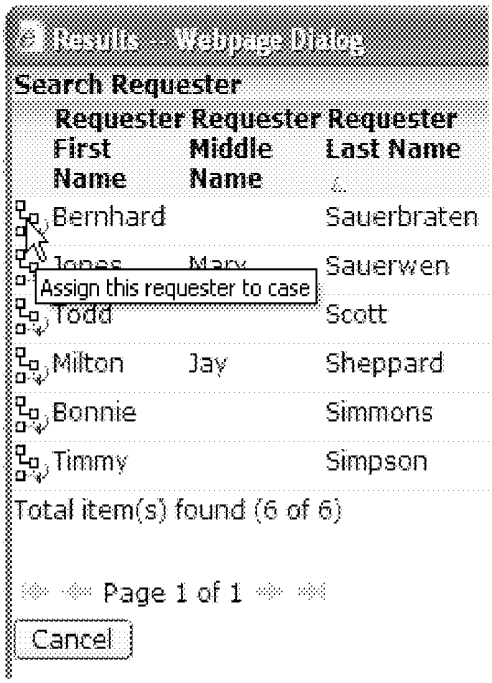


If any of those requesters are a perfect match for your requester, you may "Assign this Requester" by clicking on the icon to the left of the name:



And it will populate the requester information like this:

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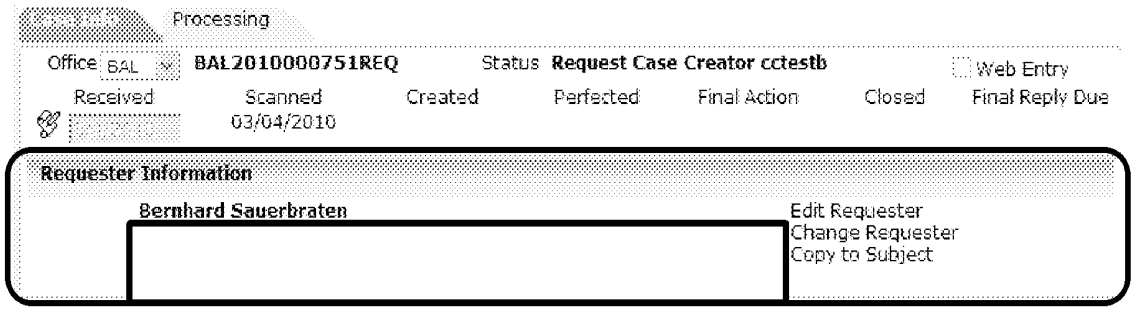
(b)(6)



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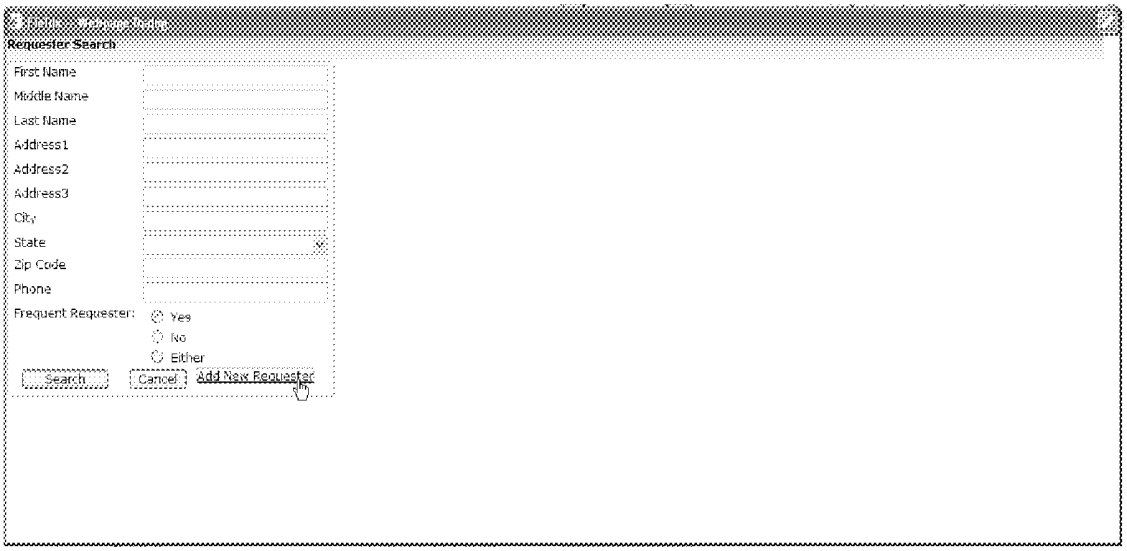
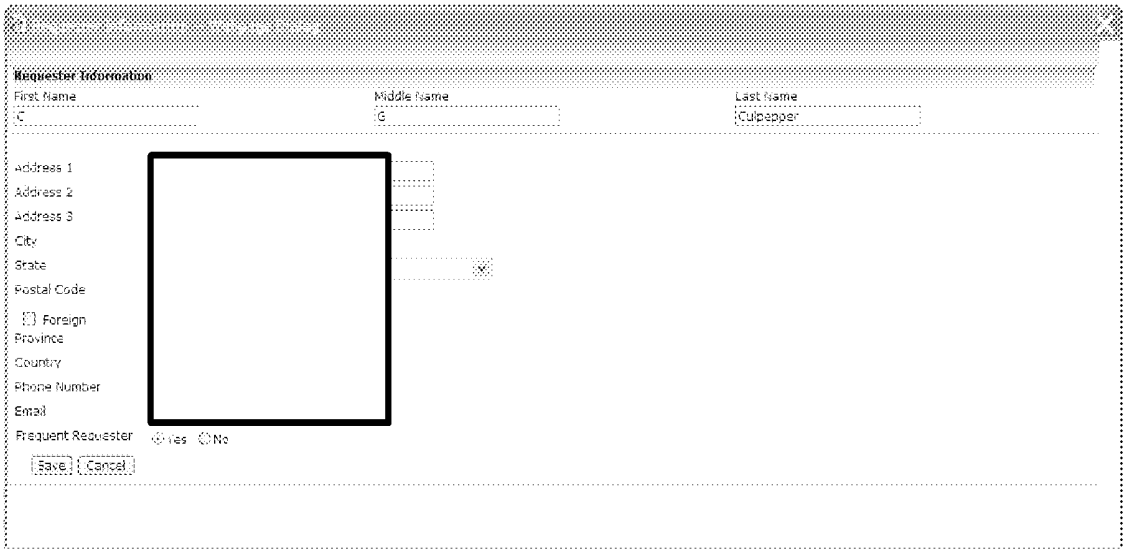
6.1.3 Add New Requester. If you do **not** find a match, you will have to add a new requester by selecting Add New Requester:



When you click Add New Requester, you will get a dialog box that you fill in. You will enter all information, decide if this is a Frequent Requester, and then click Save.

(b)(6)



6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requester Information to the Subject:

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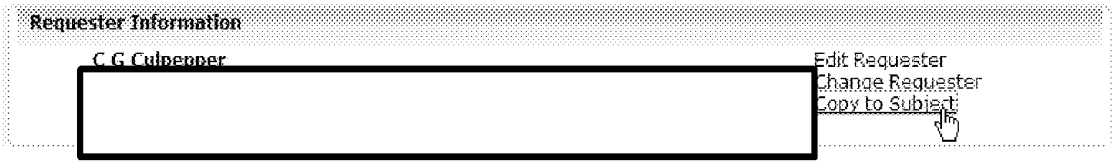
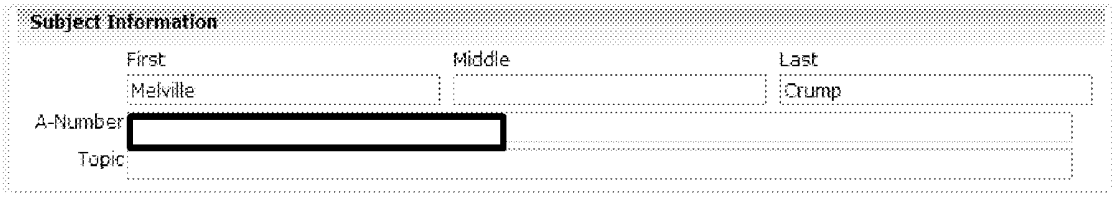


Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field.

(b)(6)



6.2.1 Name

Enter the subject's name, as it appears in section 5 of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the requester is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the requester's file. In situations like this, the subject information would be that of the beneficiary, not the requester.

6.2.2 Alien Number

In the alien number field, enter your subject's alien number, as provided on the request, as an eight-digit or nine-digit number.

6.2.2.1 You should always check the A-number in CIS to be sure it belongs to the correct subject. Once you have established that it is the correct A-number, copying and pasting the A-number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma.

6.2.2.3 If you have created the case and you see less than eight digits in the A-number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

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6.2.2.4 Please do not enter the A-number if the requester is a petitioner asking for a copy of an unconsolidated petition, as it will result in a bad staffing.

6.2.2.5 If the requester is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-number of the beneficiary, since we will request the beneficiary's A-file.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

Correct: MSC0412360000

Incorrect: MSC-04-123-60000

6.2.3.2 Enter the receipt number with no dashes or spaces. This format assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility, use only one file request. See **Staffing Sheet Guide** for more guidance.

6.3.2.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See **CIS Personnel Information** for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You may need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

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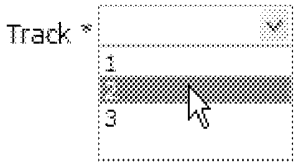
6.3.1 Track



6.3.1.1 Track 1 – Requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you should create under category **Alien File** and assign to Track 2).

6.3.1.1.1 Please select the category **Specific Documents** and make the case a Track 1. The first paragraph of the acknowledgement letter sent to the requester must contain the following paragraph:

We respond to requests on a first-in, first-out basis and on a multi track system. Your request has been placed in the simple track (Track 1). You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.

6.3.1.1.2 Continue to create the case in Track 1 as Specific Documents. The requester may write back later responding that they need the whole file, and a FOIA/PA Assistant working in Records Locator queue can change it to Track 2 at that time.

6.3.1.2 Track 2 – Requests for entire copy of alien file, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and lists more than three documents on the G-639, please select the category **Alien File** and make the case a Track 2.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requesters must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge

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- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Before you create the case, look at the documentation. Sometimes you will find a reference to a current, open case which the requester wishes to upgrade to Track 3. After you verify that the case is open, you may simply click "Send to Research" and you are finished with the case.

6.3.1.3.4 Requesters will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A requester could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide.

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with requesters.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no cover sheet, do not mark either box.

6.3.1.3.7 If the requester specified Track 3 processing but the request does not have a cover sheet, please create the case. If you have a request for Track 3 and you see that we have a future court date provided in the request, prepare your response according to the Track 3 Ack Letter found in O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters

6.3.1.3.8 If the requester did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

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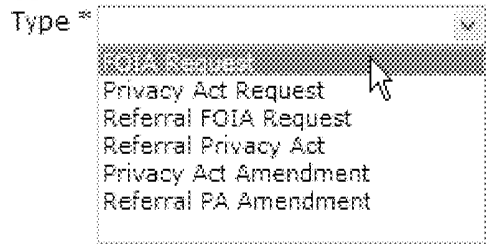
6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" at the top of the file request.

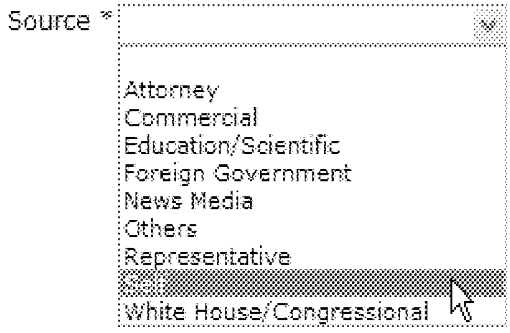
6.3.1.3.11 If the requested file has already been scanned because of a prior FOIA request that has now been resubmitted for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD. If Track 3 processing has been approved, you have to change the track on the original case to Track 3 and add a Discussion to that case explaining why.

6.3.2 Type



Always select **FOIA**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the requester the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party requester? Below is a list of possibilities for requesters:

- Attorney - The requester is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.

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- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The requester of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The requester is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the requester will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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6.3.4 Category

There are 30 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The requester is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files

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6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case, and vice versa. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, you should create it as Alien File. (Refer to the section *"What track is my case?"* that follows.)

6.3.4.3 Personnel – The requester is seeking information relating to USCIS personnel matters.

6.3.4.4 Special Interest Group – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.

6.3.4.4.1 Select "Special Interest Group" if any of the following criteria are met:

a. The FOIA request relates to a Presidential or agency priority;
b. The FOIA requester or requested documents will garner media attention or is receiving media attention;
c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;
d. The FOIA request is for congressional correspondence;
e. The FOIA request is from a member of Congress;
f. The FOIA request is from a member of the media;
g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
h. The FOIA request is for documents associated with a controversial or sensitive subject;
i. The FOIA request is for documents associated with a senior official of the component;
j. A FOIA appeal if it meets one of the "a" through "i" criteria;

Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."

6.3.4.4.2 If you believe a request qualifies as a Special Interest Group, choose that case category in FIPS, change the office from NRC to COW, search for duplicates and then create the case. Do not create a file request or an acknowledgment letter. Prepare an e-mail explaining the situation for NRC, FOIASIG. Click "Reassign Office." Send the case to Unit

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Chief. A Special Interest Group (SIG) processor will create the staffing and acknowledgment letter. This enables the Special Interest Group (SIG), responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.**

6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

a. Naturalization Certificate Files (C-Files) from September 27, 1906 to April 1, 1956.
b. Microfilmed Alien Registration Forms (AR-2), from August 1, 1940 to March 31, 1944 and Alien Registration Forms from March 31, 1944 to April 30, 1951 in A-Files.
c. Visa Files from July 1, 1924 to May 1, 1951.
d. Registry files from March 2, 1929 to March 31, 1944 and Registry records from April 1, 1944 to April 30, 1951.
e. A-Files numbered below 8 million (A8000000), and documents therein dated prior to May 1, 1951.

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

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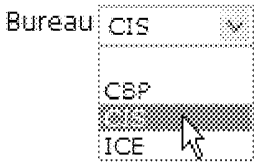
If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

6.3.5 Bureau



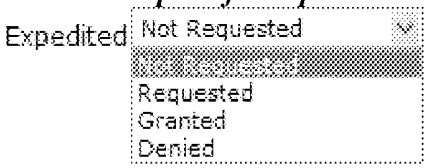
The three possible selections for Bureau are:

ICE – Used to identify requests wherein the requester is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC)

CIS – Used for all other categories. This is the default in FIPS.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



A requester may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the requester establishes **either**:

(1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

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or

(2) an urgency to inform the public about an actual or alleged federal government activity, if the requester is a person primarily engaged in disseminating information.

The requester must send a statement explaining in detail the basis for requesting expedited treatment. If a requester asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet.

6.3.6.2 If the requested file has already been scanned because of a *currently open* prior FOIA request that has now been resubmitted for expedited processing, do not create the case. You should send the request to Research where they will attach the new request to the existing case as a CSD.

6.3.6.2.1 If expedited processing has been approved based on new information, you have to check expedited processing approved on the original case and send an expedited treatment approval letter by opening the original case in stand-alone mode, creating a Blank Letter, and adding the following: This letter serves to notify you that your case has been approved for expedited processing.

6.3.6.2.2 If expedited treatment was already denied in the *currently open* prior case, and the supervisor's decision is the same, if you have not already created the case, you may Send to Research, where they will attach your request to the original case as a CSD. Go to the original case in Standalone, go to Tasks, and create the Expedited Denial Letter.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case, based on the situation. If in doubt, consult your supervisor. Please refer to the section on DP (duplicate) Cases.

6.3.6.3 Sometimes the OA room will miss an expedited request. If this happens, select "Denied" in the drop-down box, create the Expedited Denial Letter, and then create the case as normal.

6.3.6.4 If you believe the requester meets the requirements for expedited treatment (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. If the supervisor granted expedited processing, you will not create an Expedited Denial Letter, of course. You must select "Granted" in the

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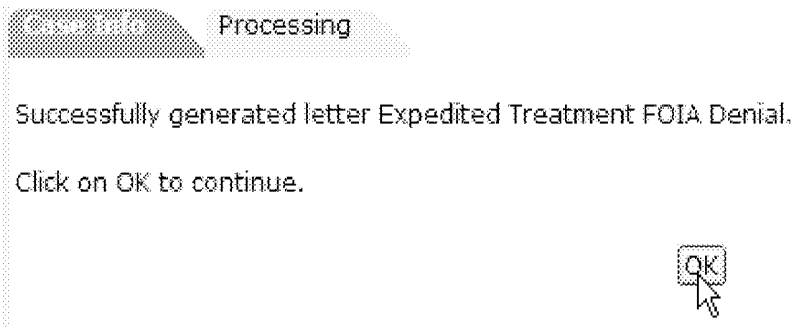
Expedited drop-down box. When you create the acknowledgement letter, it will address the fact that Expedited Treatment is granted.

USCIS denies most requests for expedited treatment because the requester failed to establish either of the necessary criteria.

6.3.6.5 If you have made a determination to deny, or if the supervisor has indicated denial, you must select "Denied" in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If you or the supervisor denied expedited processing, we must advise the requester of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The requester also has the right to appeal the decision to the USCIS FOIA Appeals Office.

6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the requester has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in TRACK 3 PROCEDURES. In such a case, you should not mark "Expedited Treatment Requested" before sending it to Unit Chief.



A dialog box will pop up. Select "Save":

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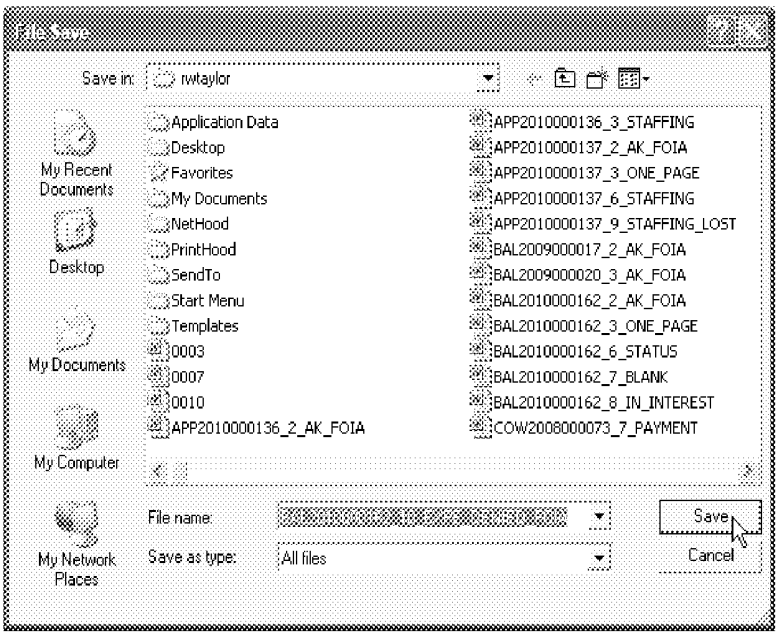

A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.

After you have made that selection, your acknowledgement letter will address expedited treatment granted.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that this needs to be a multiple case, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. You may make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests.

6.3.6.8 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

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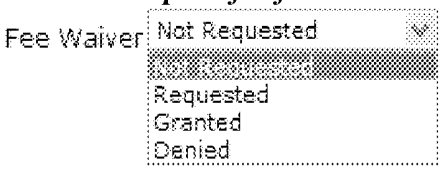
6.3.7 Is there a request for fee waiver?



The requester may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A requester must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the requester. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.

6.3.7.1 When a requester has asked for a fee waiver, there should be a cover sheet advising you of approval or denial. You may determine to deny based upon the two criteria listed above. If you do so, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

6.3.7.2 When you are finished creating a case with a fee waiver request, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the requester meets the requirements for fee waiver (and there was no cover sheet) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

6.3.7.4 Fee Waiver Denied: When you respond to a request for fee waiver, you must add specific language to the acknowledgement letter. Please see O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Fee_Waiver(denied) for an example of the denial language. Copy and paste this language into the acknowledgement letter. Do not bold, underline, highlight or enlarge the font of the

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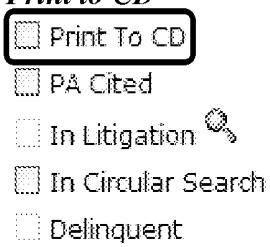
language. If the font changes to bold when you paste it in, highlight that text and remove the bold.

6.3.7.5 Fee Waiver Granted: If the decision is to grant the fee waiver, then please select "Granted" in the Fee Waiver drop-down box. In the acknowledgement letter, please add the following sentence to the end of the first paragraph:

This is to inform you that your request for a fee waiver has been granted.

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to close the case RD, RF, DP or ER, then change the Fee Waiver drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested."

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all requesters (with two exceptions). When we send out the acknowledgement letter to the requester, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format. The acknowledgement letter templates reflect the change.

RULES FOR CHECKING "PRINT TO CD"

6.3.8.1 Check the "Print to CD box" on all new case creates, unless the mailing address of requester is to a correctional facility or unless the requester specified paper in the initial request letter (for requesters who are attorneys, the default is Print to CD).

6.3.8.2 If the responsive records are already scanned in when you create the case, you will still check print to CD.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the paragraph that begins with "This office will

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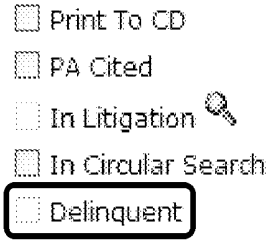
be providing your records on a Compact Disc (CD)"

6.3.8.4 If the requester is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

6.3.8.5 If a requester specifically asks for their records on paper, do not check "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the requester we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)"

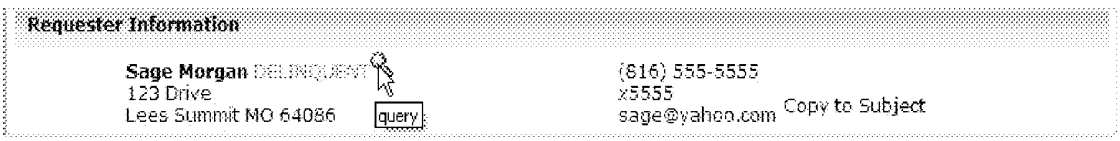
6.3.9 Is this a delinquent requester?



The Delinquent Requester search helps FIPS users identify requesters who have unpaid bills in the system. Requesters are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the requester, FIPS will automatically conduct a search for delinquent fees owed by that requester, using the last name of the requester. If the requester is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).

To view other cases for the same requester, click the **Query** icon next to the delinquent notice.



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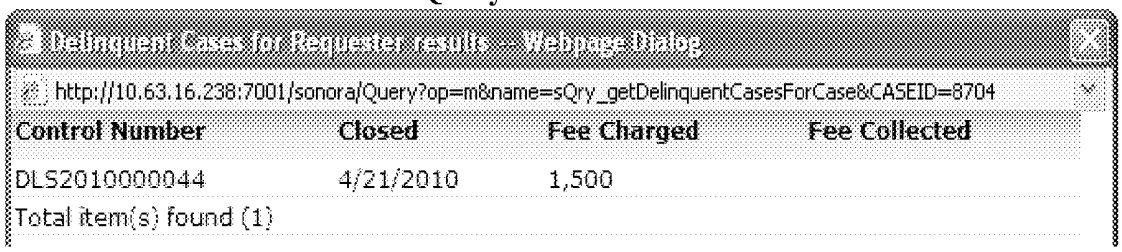
The query results appear in a separate window.

Query Results



If a requester/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/requester submits a new FOIA request, the Delinquent Requester notification is going to pop up. Your requester may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent requesters.

DELINQUENT REQUESTER RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent requester and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent requester from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the requester of the case you are creating is the same requester that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent requester matches your requester, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your requester and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the requester is delinquent, do not request responsive records until we receive payment.

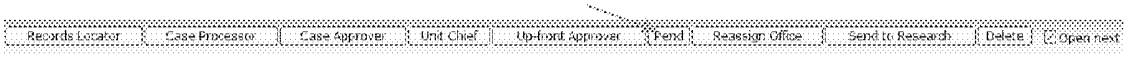
NOTE: If you are creating multiple cases, you should "Create Additional Cases" before you prepare the Acknowledgment Letter and File Request(s) for the original case.

NOTE: A FOIA/PA Assistant working in Records Locator queue may need to cancel pending requester documentation for cases pending requester documentation due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant working in Records Locator queue does cancel pending requester documentation, he or she should generate a new interim acknowledgement letter and staff the case as usual.

If the requester has more than one delinquent case, you will have to add up the total and modify the delinquent requester letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter.

We will take no further action until the delinquency is resolved. Please pend.



Before you move to another part of the case create process, click:

6.4 SEARCH FOR DUPLICATE CASES

Just before you create the case, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The

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receiving offices will then in turn, transfer these requests to NRC. These are duplicate cases when an office has already processed this request with a final action code of either PD or G1, or has it ready to be processed.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Do not create such a case. Click "Send to Research." That case will go to the research queue and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

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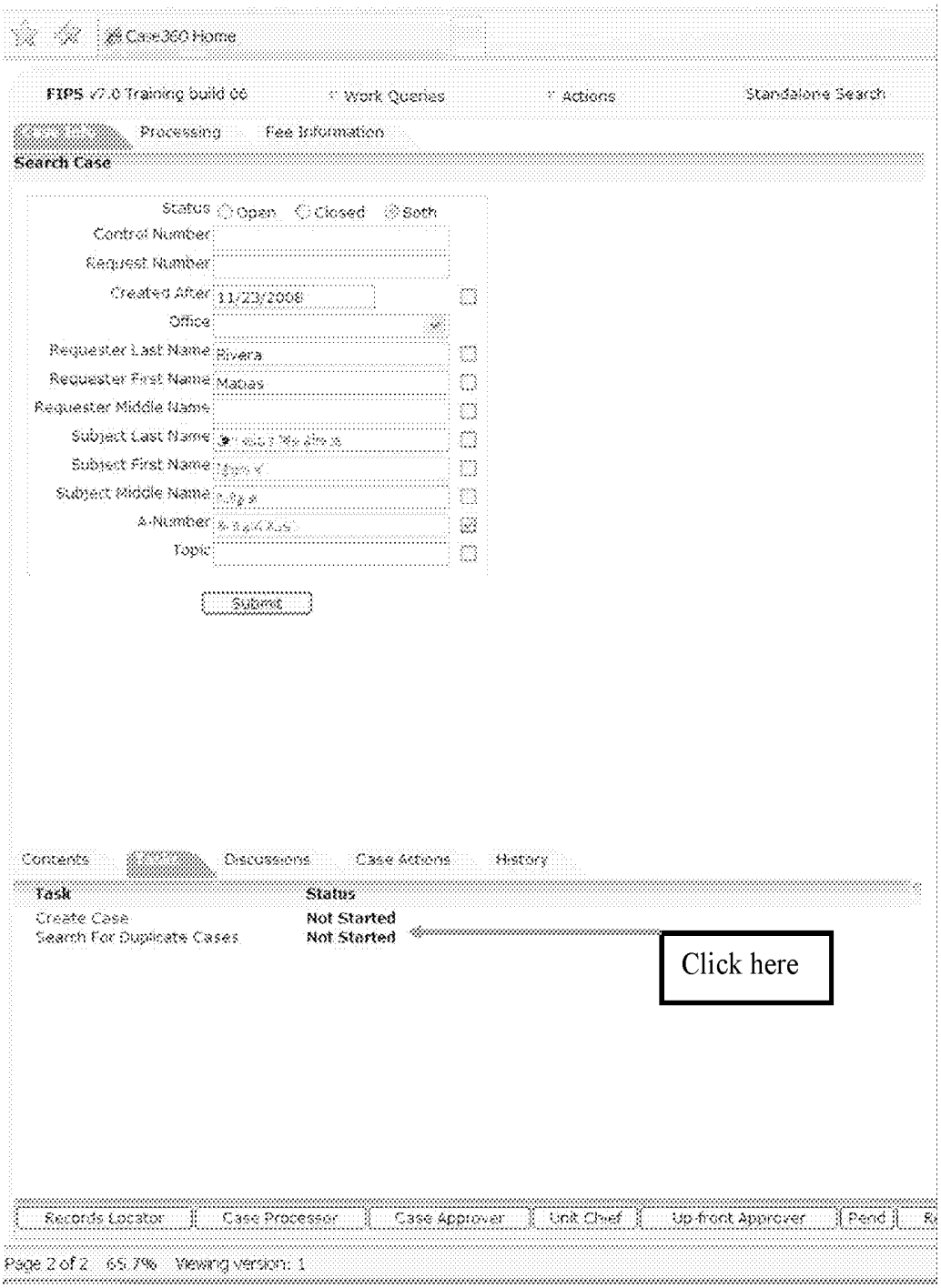

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requester Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate:

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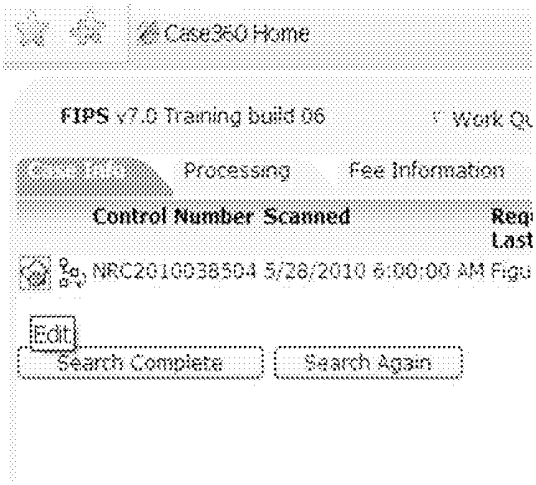
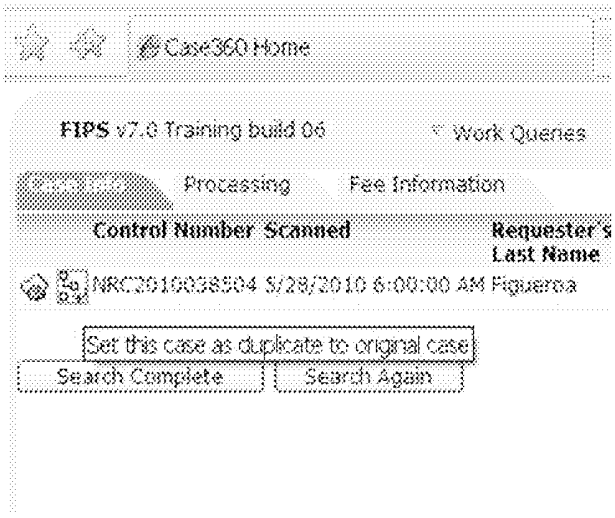


By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

- If there has been a case that was closed G1 or PD within six months from same requester –
- This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a duplicate of another case, you will select "Set this case as duplicate to original case" as follows:



Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

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If the date of the request is either the same as your request or within a very few days and:

3. The requester is the same, and
4. The information being requested is the same in both requests,

Do not close this case as a duplicate. Do not click "Create Case." Click "Send to Research."

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.

Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.

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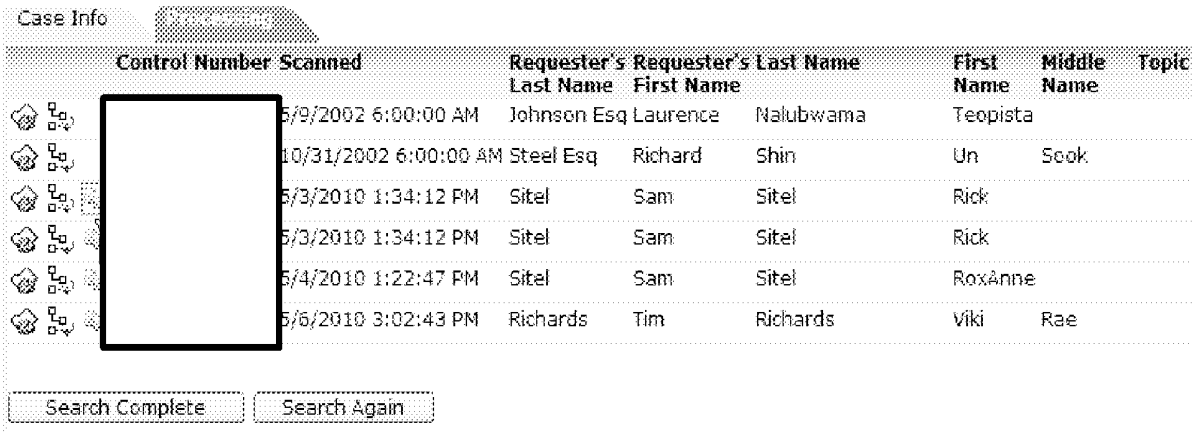
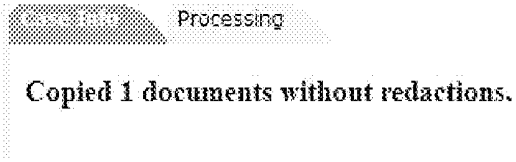
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:

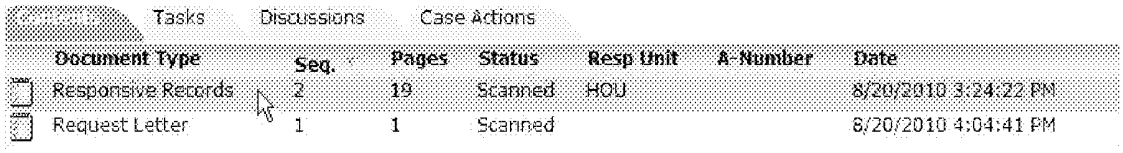
(b)(6)



A message appears in the Case Info tab confirming that you copied the document into the new case:



The responsive records now appear in the Contents List of the new case:



7. CONSENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

"Consent" for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the competent individual to whom the record pertains. **The case creator must review the request and supporting documents to determine if proper consent is present.**

5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.

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6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Consent could be:

- Block 3 on Form G-639, or
- A properly executed Form G-28, or
- A separate declaration by the subject, such as:

  Pursuant to the Privacy Act of 1974 and DHS policy, I hereby consent to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

7.1 Consent of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity

If a requester is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

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6 CFR § 5.21(d) *Verification of Identity,* says the requester must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

If the requester did not provide all four required pieces of information, you must send for additional requester documentation. A requester who provides full name, current address and alien number only has not provided sufficient verification of identity.

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requester has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.

- G-639, when the subject has signed the first page and the second page does not contain the signature of the subject but has been notarized.

- DOJ-361, Certificate of Identity: we may not suggest or require that a requester use a DOJ-361, but we can accept one as certification of identity with a signature under penalty of perjury or a notarized signature.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath

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required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed outside the United States:

> "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> Executed on (date).
> (SIGNATURE)".

(2) If executed within the United States, its territories, possessions, or commonwealths:

> "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).
> (SIGNATURE)".

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters* or the form "Requester Documentation Attachment" located at: *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment* . Check the first box on the document.

7.3 Reasonable Description of Records being Sought:

If the requester provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

You may possibly find multiple matches, or you may find no matches at all. In a situation like this, we do not have a reasonable description of the records the requester wants. We will have to send for additional requester documentation, specifically:

- Alien Number (if known)
- Application/Petition Receipt Number (if known)

Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.

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Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.

At this point, you will send an acknowledgment letter requesting additional information. You will not request a file.

Go to the "Tasks" tab and select "Acknowledgement Letter"

After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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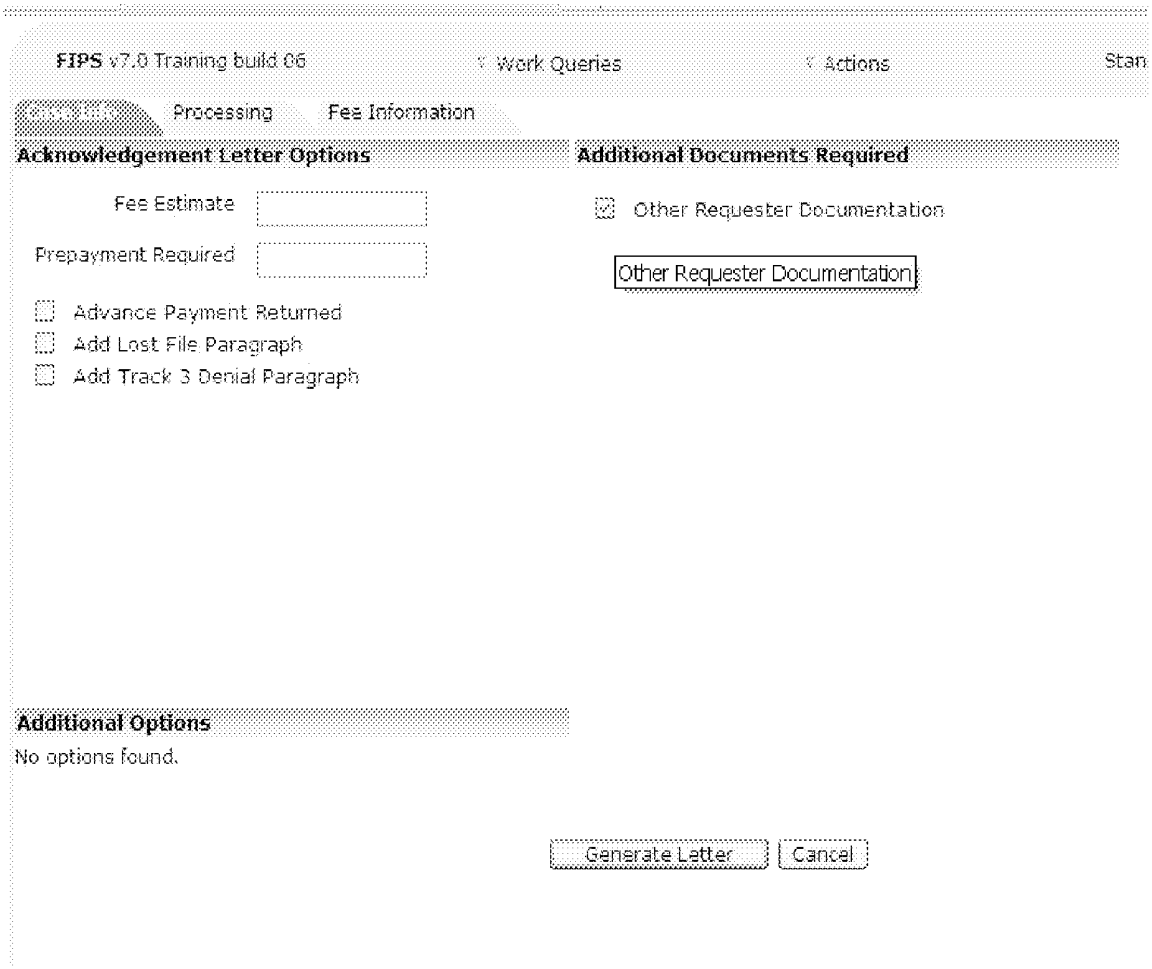
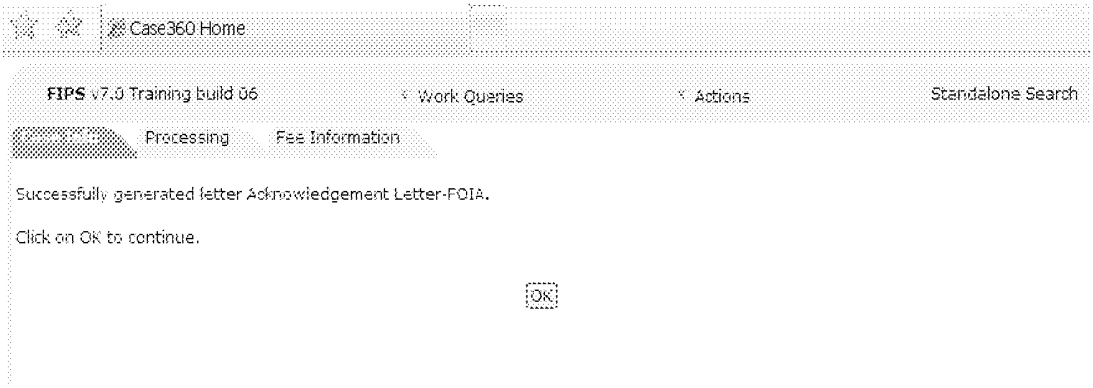


We then click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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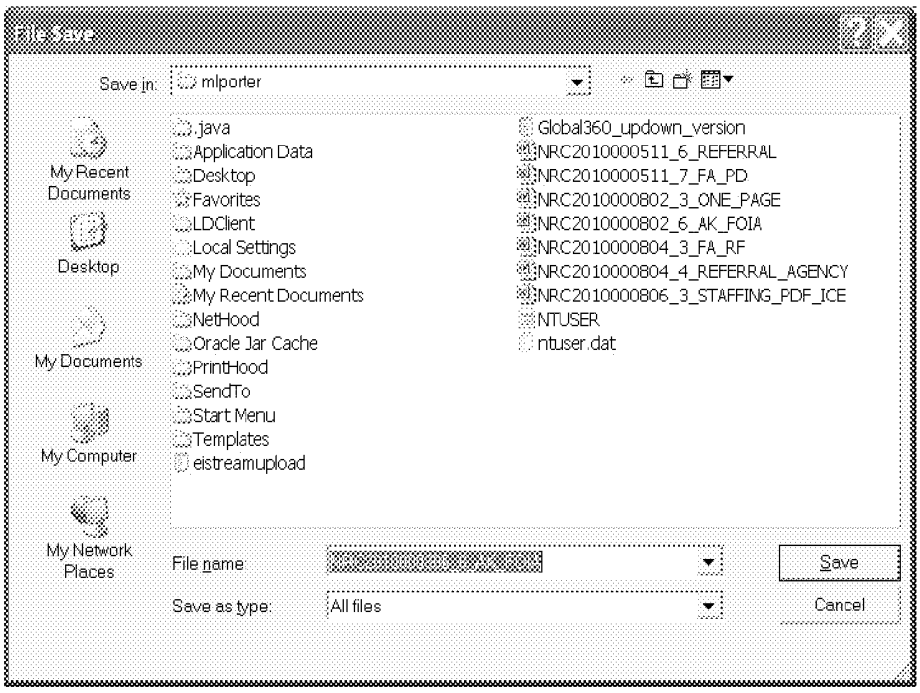

The acknowledgment letter will pop up:

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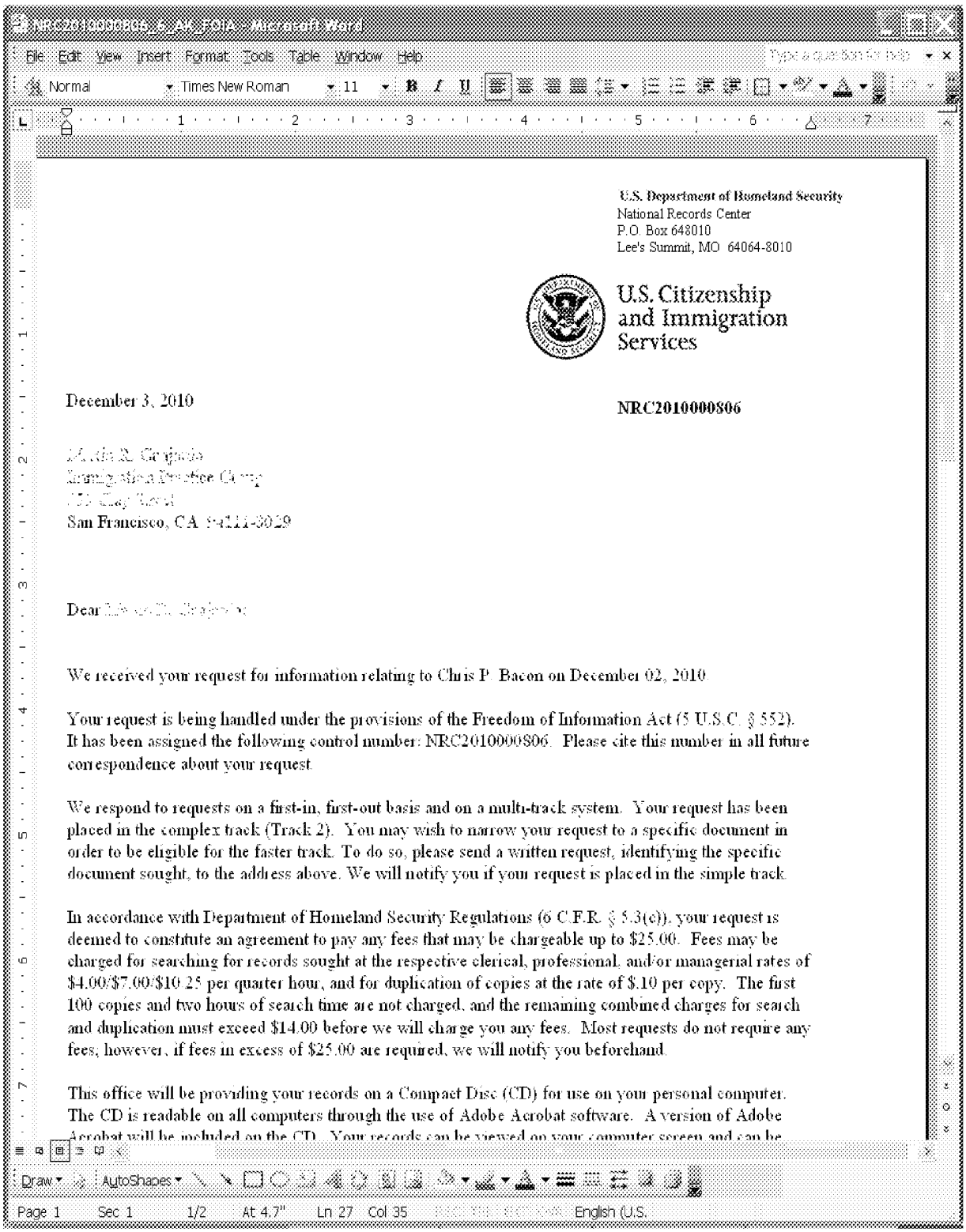

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees, however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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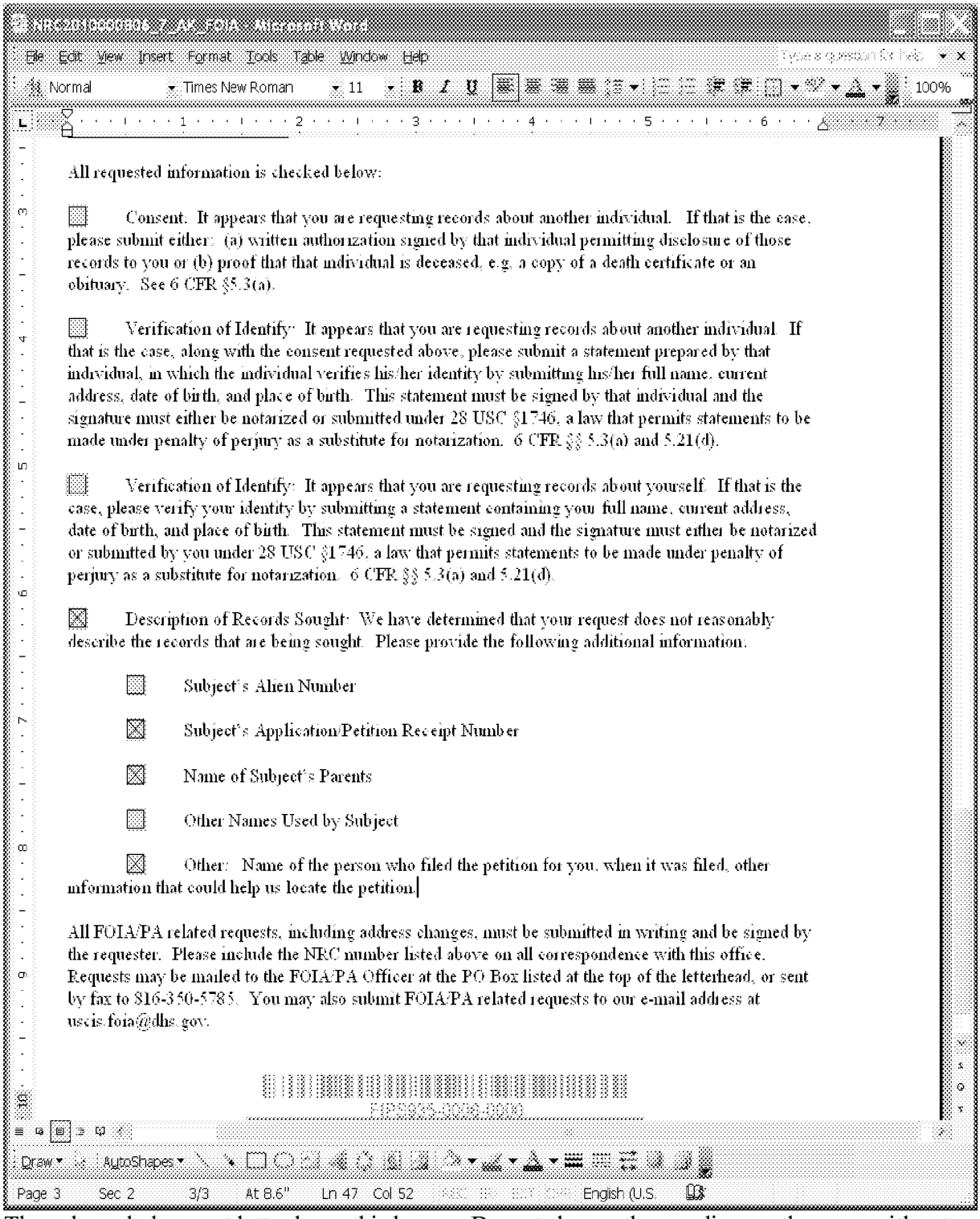

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need:

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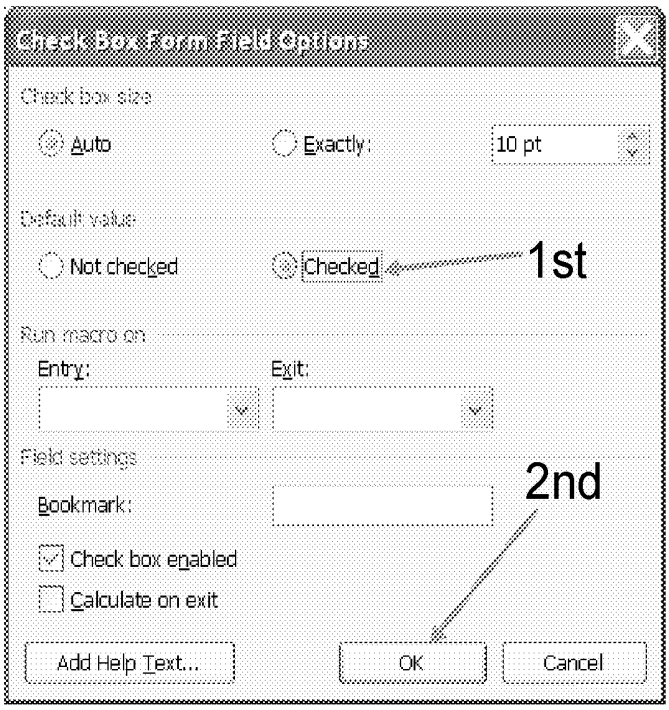
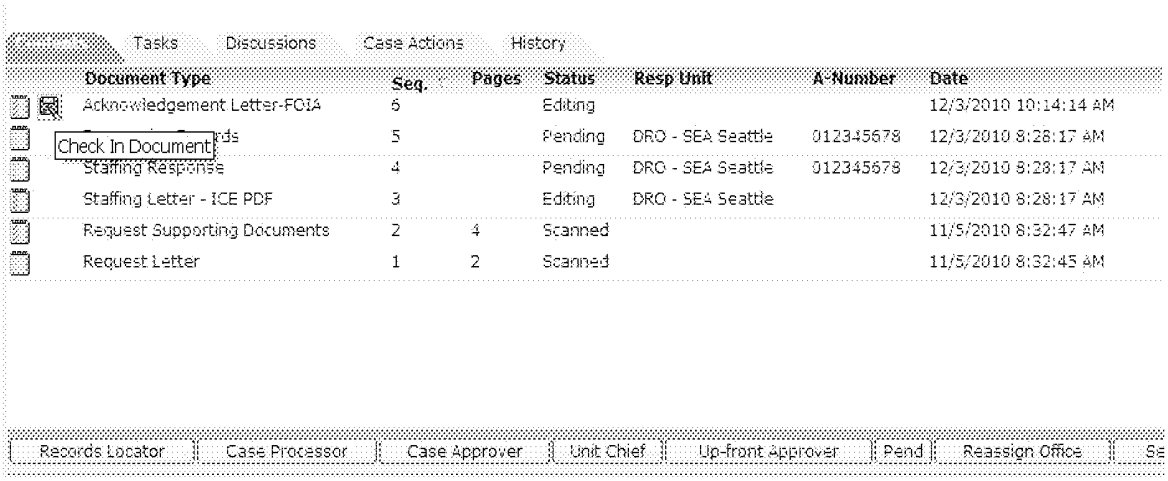


The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click "Open":

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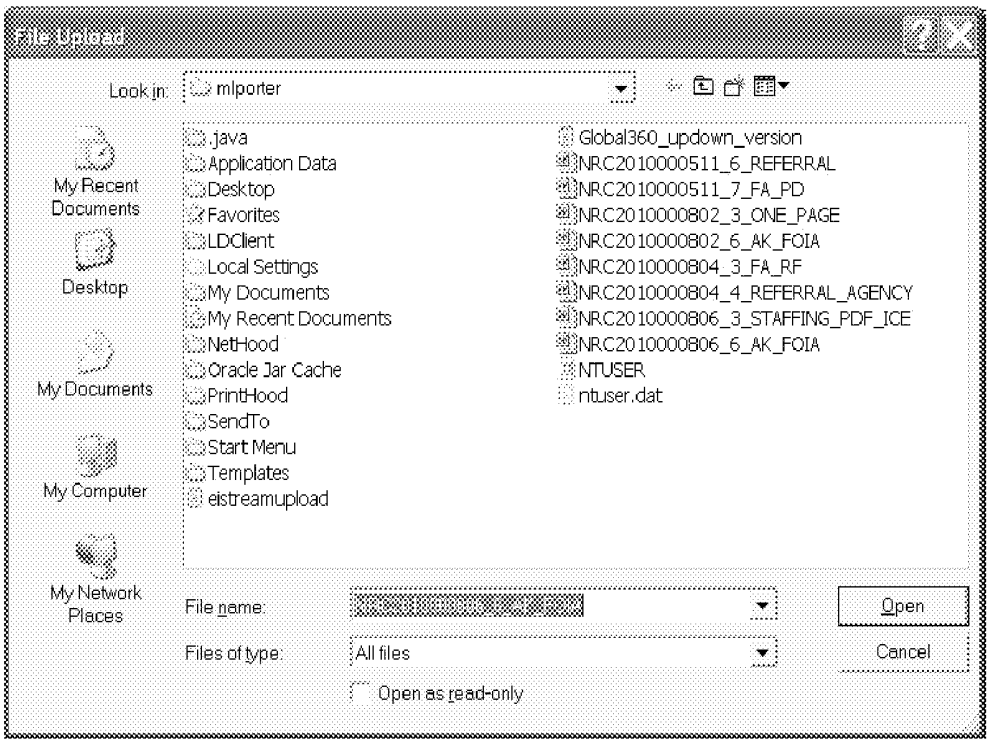
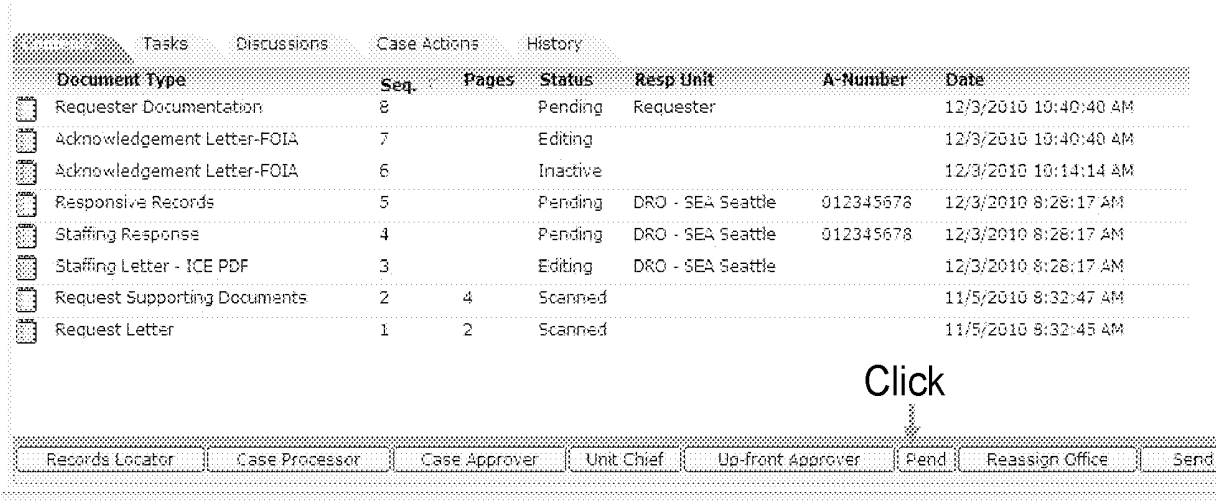


You will notice that there is now a slot for "Requester Documentation" and the Responsive Unit is "Requester." After this, you send the case to "Pend."



When the requester provides the additional information, A FOIA/PA Assistant working in Records Locator queue will request the records.

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7.4 Third party requests

Sometimes consent is not necessary. For instance, a requester asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide consent. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without consent. If the requester is asking for records concerning an individual and does not provide consent, nor does it appear likely that the requester is going to get consent, we treat it as a third party request without consent. It may be obvious from the request that the requester will not be able to obtain consent from the subject of record. If you have a doubt, consult your supervisor. The supervisor may have you send for consent, call the requester to see if you can make a determination, or create the case as third party without consent.

Third party requesters are entitled to any public documents that may be in the file they are seeking, as well as documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; or
- Photograph of headstone

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their supervisors as a first step. If the problem cannot be resolved, the creator should send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, send an e-mail to the FIPS Problem mailbox (NRC, FIPSPROBLEM), or in other situations to the MSB mailbox (NRC, NRCFOIAMSB).

Clicking on the FIPSPROBLEM link above will automatically generate an e-mail addressed to both the NRC, FIPSPROBLEM mailbox and the NRC, FOIA PROGRAM mailbox.

8.1 REQUESTS: Foreign Consulate

Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.

Please make sure it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports). If the request is from a consulate, please send the FOIA request to Up-front Approver to be closed as an ER and send an e-mail to NRC, FOIAOA mailbox with the case information. The supervisor will review and close the case. If the subject mailed the request and wrote the consulate's address on the G-639, use the subject's address from the envelope and set it up as a self request.

8.2 REQUESTS: Non-immigrant visa material

If the requester specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS; do not close the request as NR. If the requester is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the requester specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, then you should refer the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska."

Otherwise, redirect the requester to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport."

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8.3 REQUESTS: Routine use, no consent required, not FOIA

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Consent is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, send the case to Up-front Approver for closing as ER. The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

8.4 REQUESTS: Bond obligor, no consent required, not USCIS FOIA

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law. These requests are processed by Immigration and Customs Enforcement.

Immigration bond obligors are surety companies who have posted an immigration bond (I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Consent is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.

We no longer process requests received from immigration bond obligors or criminal bond obligors. Please send any new requests that are scanned into FIPS to Up-front Approver for closing as ER. Please send an e-mail to NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.

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OA room will mail the request to the following address:

Immigration and Customs Enforcement
Attention: Catrina Pavlik-Keenan
ICE FOIA/PA Unit
800 North Capitol Street, NW, Room 585
Washington, DC 20536-5009

8.5 REQUESTS: A-number only

If a requester/subject is asking for his or her alien number **only**, follow these steps:

- Search CIS with the information provided on the request to locate an A-number.
- If you locate an A-number, compare the information provided on the request with the information in CIS to make a positive ID.
- You must have proper consent and all of the required PII in order to proceed. If consent or any PII are missing, generate the acknowledgement letter and request the additional information.
- If proper consent is present and all of the required PII is present:
    - Open a RAFACS staffing slot only
    - Print a copy of CIS 9101 screen, attach a "Scan As" cover sheet and mark the box "Responsive Records." Take the screen print to the designated person (currently John Latimer) for scanning.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

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Begin with a thorough search of CIS. If no record is located, request a manual search. Create a Records Indexing Staffing and enter all information provided by the requester. If the manual search produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

The requester can request a search by writing directly to NARA. In their letter, the requester should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations received from other agencies

As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies. A transmittal memorandum advising us to respond directly to the referring agency is a consultation. A transmittal memorandum advising us to reply directly to the requester is a referral.

Send the case to processor. Send an e-mail to the MSB mailbox advising them that you have created the case and that it is a referral/consultation from another agency. Include the alien name and the NRC control number.

8.8 REQUESTS: USCIS personnel information

- Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.

- If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case and reassign the case to **HQS**. Create the case as a Track 2 case. Use

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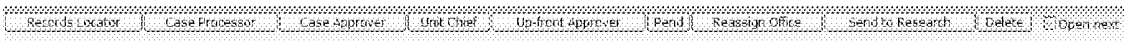
PER for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.



Click on the "Reassign Office" and select the HQS office. The case will be staffed when it is re-assigned to the HQS queue. Send an e-mail to NRC, FOIASIG with the case information.

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You should then create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." You do not have to modify the referral letter, but you should make the appropriate edits in the Final Action Letter. Next, send the case to Up-front Approver. The supervisor will review and close the case.

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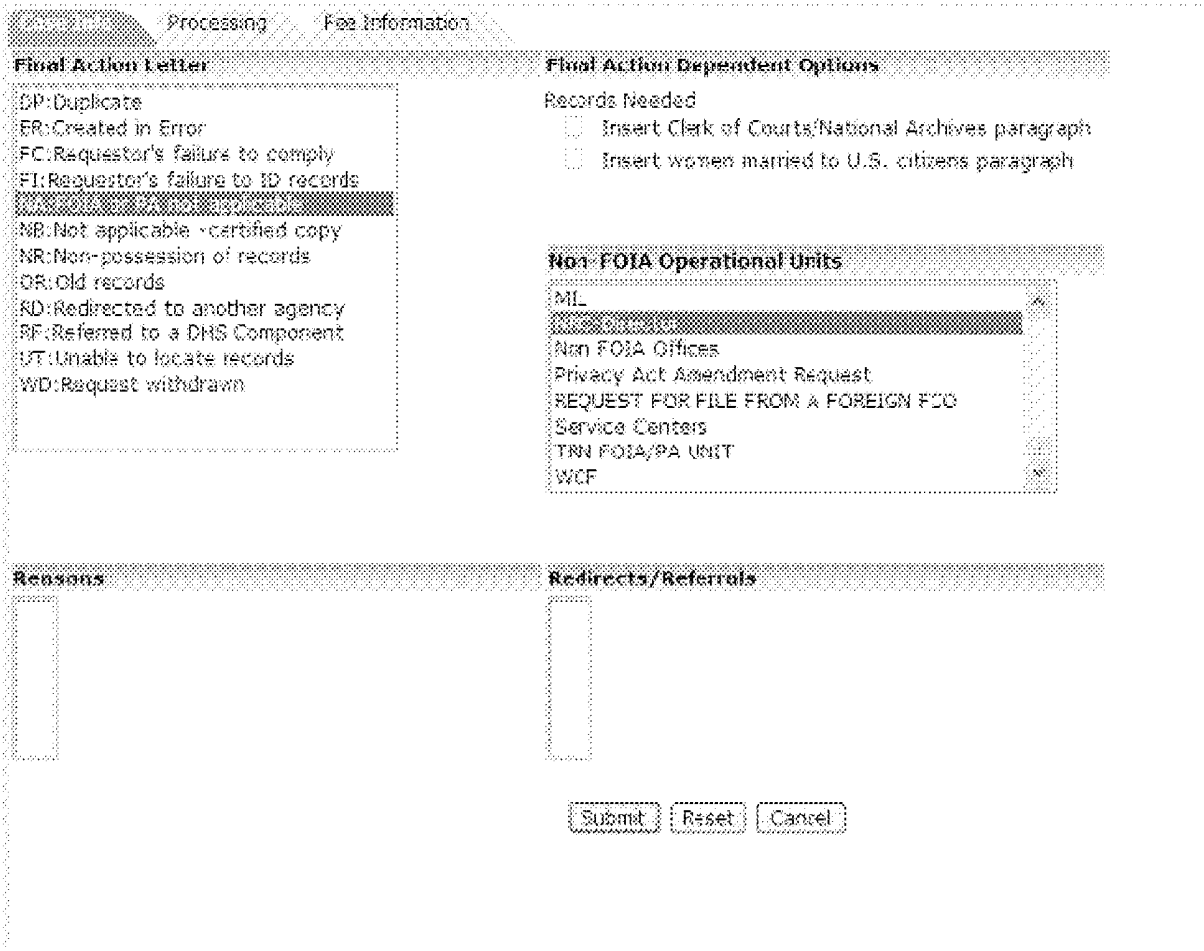

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the routine use category.

8.12 REQUESTS: Return of original documents

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Requesters will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted on a G-639, we are required to provide the requester with a copy of the specific documents requested. For return of original documents, the requester must submit a G-884 to the SAVE Unit of their local district office. Insert the following verbiage in the acknowledgement letter.

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, send the case to Up-front Approver for closure as "ER" (created in error). A letter is not created by FIPS; you will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the requester. Include a detailed Discussion note. Send the case to Up-front Approver. The supervisor will review and close the case.

If the alien file is located at the NRC, the Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution.

8.13 REQUESTS: Privacy Act Amendment

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

1. Begin as usual, filling in requester and subject information and searching for duplicates.
2. Assign it to Track 2. Assign it to Category: Special Interest Group.
3. Create the case.
4. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
5. Change the Office to "COW." Click "SAVE." Click "Reassign Office." You are now ready to move on to the next case.

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8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

- Insert a Discussion titled "Untranslated Documents" and the reference page numbers.
- Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB.
- Send the case to Unit Chief.
- After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional correspondence

When the unit receives correspondence from a member of Congress, the creator will need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to the MSB Mailbox advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject cannot be found, please contact a member of the MSB for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:

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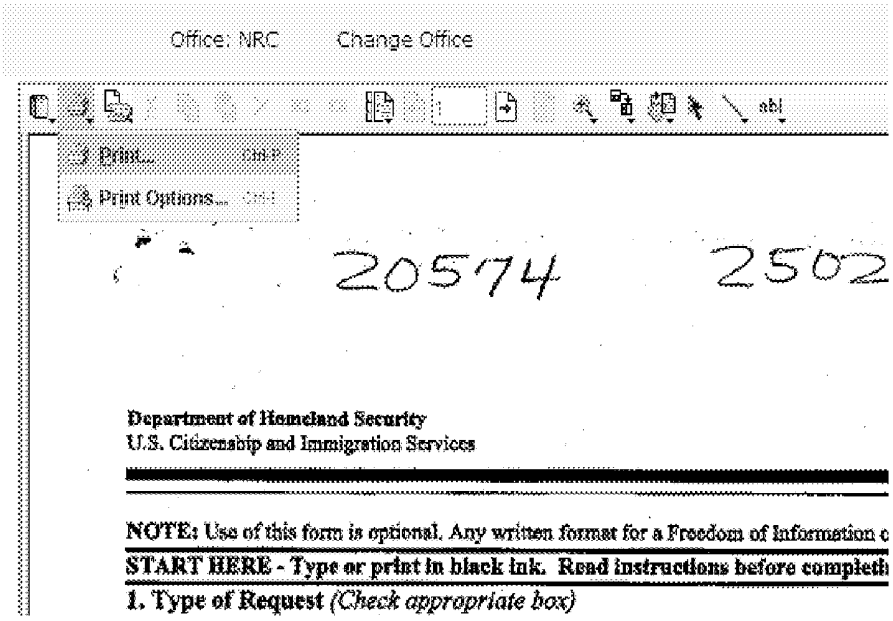
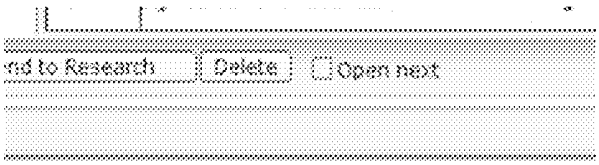


Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is considered a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. The case creator should create the case, and request additional information or consent if needed. If additional information or consent is not necessary, send the case to processor.

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8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER. Send a message to NRC, FOIA PROGRAM; McDaniel, Marcia M (clicking the link generates the e-mail) providing the REQ number and information indicating the request was a subpoena or court order. The NRC Program Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.

Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).

The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.

First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

NRC will not certify naturalization certificates for living persons. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.

Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:

U.S. Citizenship and Immigration Services
ATTN: Records Service Branch
1200 First Street, NE, 2nd Floor
Washington, DC 20529-2204

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8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship:

Evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).

If the requester's relative is deceased, he or she must submit the request to the USCIS Genealogy Program. The web address for more information and instructions for submitting their request is **USCIS.gov** or;

If the requester's relative is living, please include the following paragraph in your acknowledgement letter:

This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC has begun the process of transferring the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, the requester writes in and makes the following request:

"I want the records of Joe Crab, date of birth, March 22, 1899. Mr. Crab naturalized in 1957 and died in 1969. Enclosed is proof of his death and alien number."

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NOTE: You may find the complete list of criteria in Section 3, "Category of request" in the sub-paragraph "GEN."

Mr. Crab meets one prong of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the prong of having no documents in his file dated after 1951. If you are creating a case and the subject of the request is 100 years of age or older, **but** the person DOES NOT fully meet the criteria for a genealogy case, please pay special attention to NFTS. If NFTS shows that the a-number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA. Please select FINAL ACTION OPTIONS when creating the Acknowledgement Letter, select NA and replace the normal Acknowledgement Letter with the NARA Historical Record Letter located at O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters/Historical_Record_Letter.

It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the requester explaining that the records being requested are older than those maintained by the agency. After generating the final action letter, send the case to Up-front Approver. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

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Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

9. REFERRAL AND REDIRECTION

9.1 Referral

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the requester to write to FBI (that is redirection). They must send the request to the FBI and advise the requester they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit.

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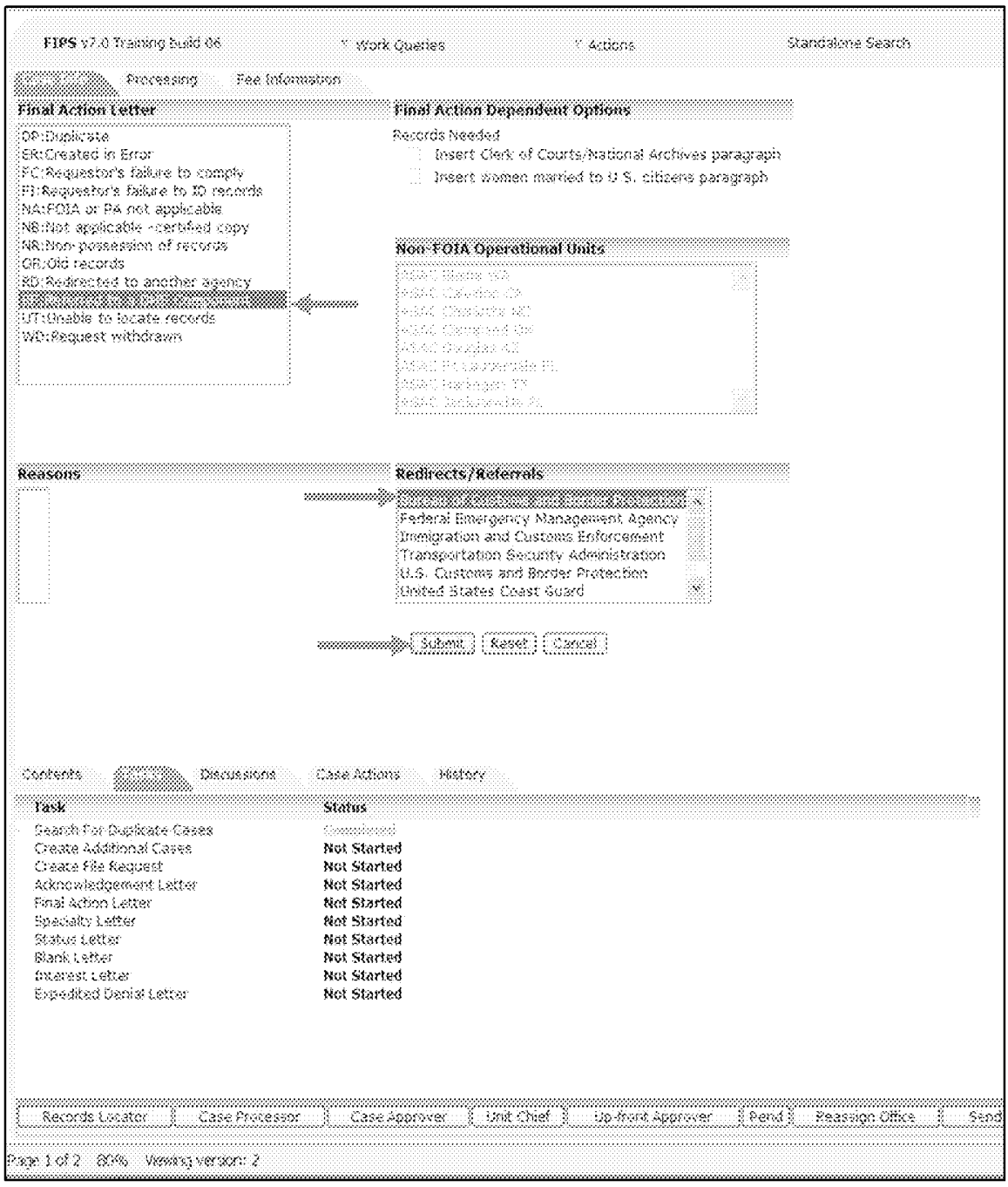

FIPS will automatically create two documents: A final action letter to the requester and a referral memorandum to the DHS component.

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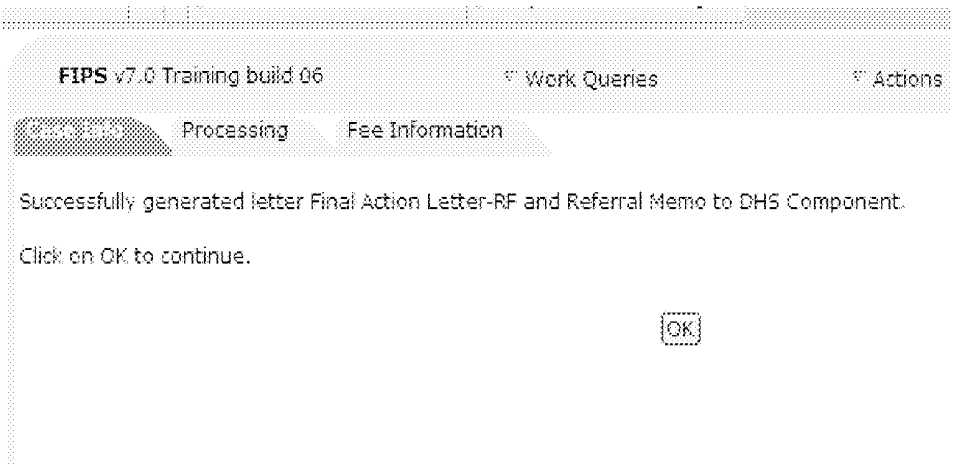
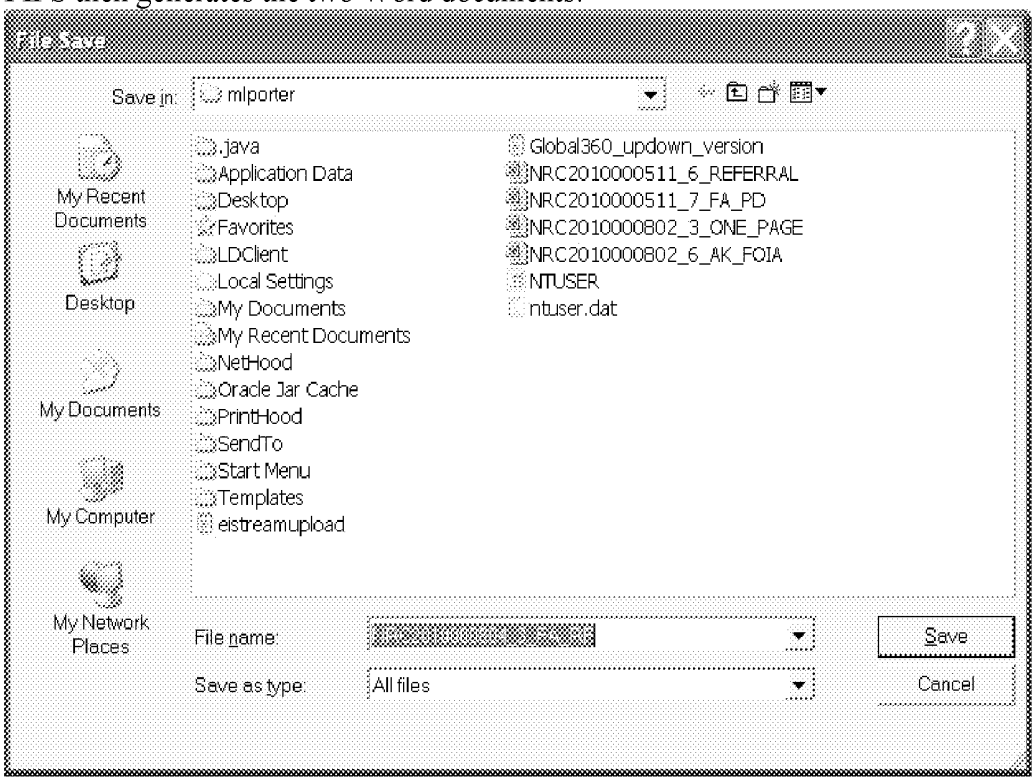


FIPS then generates the two Word documents:



You may have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab:

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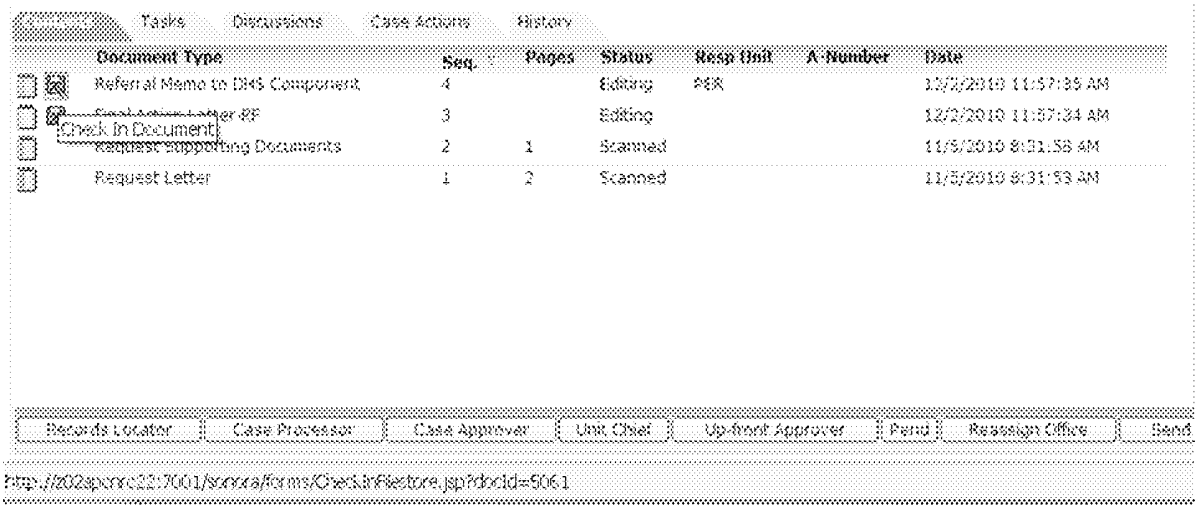
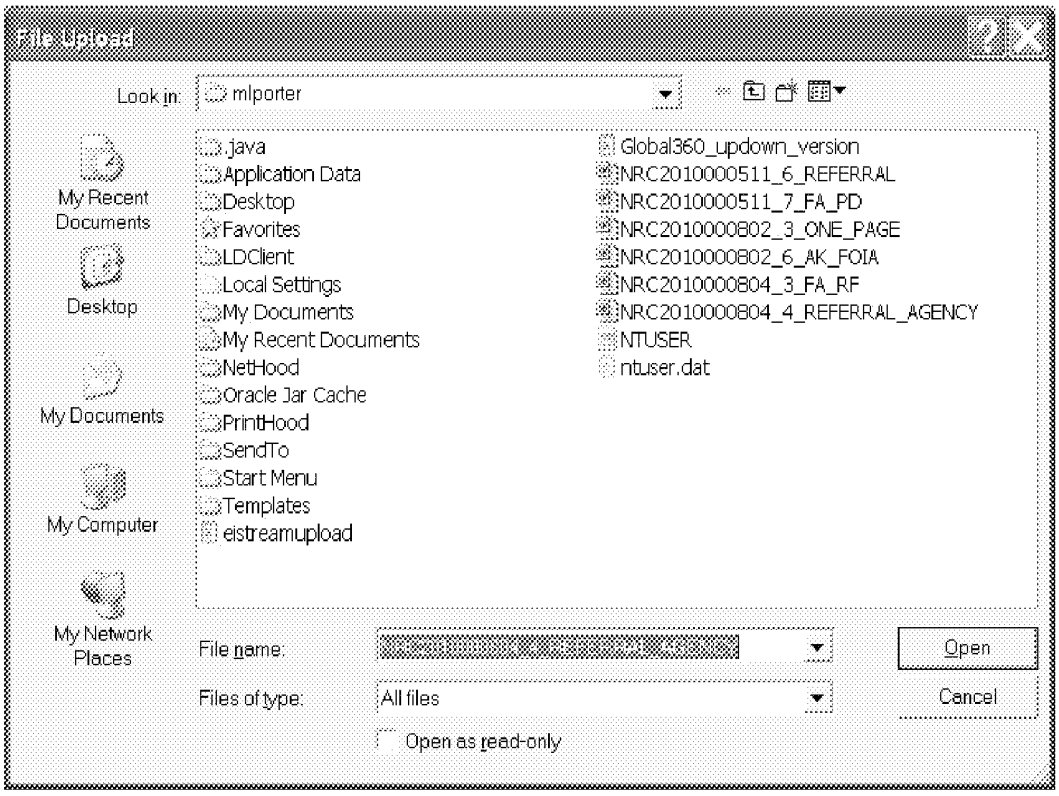


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection

If we receive a request for records that belong to an agency outside of DHS, we close it and write a "redirect letter." Under the "Tasks" tab, select Final Action Letter. Select "RD: Redirected to

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another agency" as the final action code. Under "Redirects/Referrals" select the agency to which we are referring the request and click "Submit."

An example of a request we close and redirect is a petition that we discover has been forwarded to the National Visa Center for issuance of an immigrant visa. The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the documents is the same as for referrals. You may have to edit the letters to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open." After you have done this for both documents, send the case to Up-front Approver.

9.3 Entry/Exit Information referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

Note: If the request is for entry/exit information and the requester/subject provided an alien number, request the file. If the request is for entry/exit information and the requester/subject did not provide an alien number, you must thoroughly search CIS and CLAIMS to be sure the person does not have an alien number or application. CBP has records on entry and exit information dating back to 1982, but no further back. You may modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints.

Exception to this rule; if the requester provides an A-number or you locate an A-number through a search of the systems, please request the A-file.

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9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

9.6 US-VT referral to US Visit

Refer requests relating to United States Visit. The United States Visit is a Border Security Program that records biographic, biometric and travel information for all foreign visitors to the United States. The system screens all crewmembers and passengers that travel to the United States by air, sea or land. United States Citizens are not in the system.

If the requester is asking for both a copy of the alien file and for entry and exit information, you should request the file. See Entry/Exit CBP information above.

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the requester has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. However, prepare a Discussion explaining why you staffed for the file.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

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12. REQUESTING THE RESPONSIVE RECORDS

After the acknowledgement letter is created, if all required information is present, the next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the requester will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

There is a staffing guide/RPC reference sheet available on the FOIA Operations intranet page to use for requesting the file.

If the requester is only seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You will also be mentioning those specific documents in your acknowledgment letter to the requester.

The Service Centers (except MSC/NBC) scan the responsive records into FIPS when they are the FCO for that file. Please see the staffing guide for more instructions on requesting these types of Service Center files.

If the requester did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. If the requester did not provide enough information to conduct a thorough search, then you will have to ask the requester for more information.

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

If the file is located at COW, with the Responsible Party Code (RPC) of RK, please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. If you see an RPC code ZW0004; that indicates the file is here at the NRC in the safe and you should staff: FOIA Safe.

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. Send the case to Pend.

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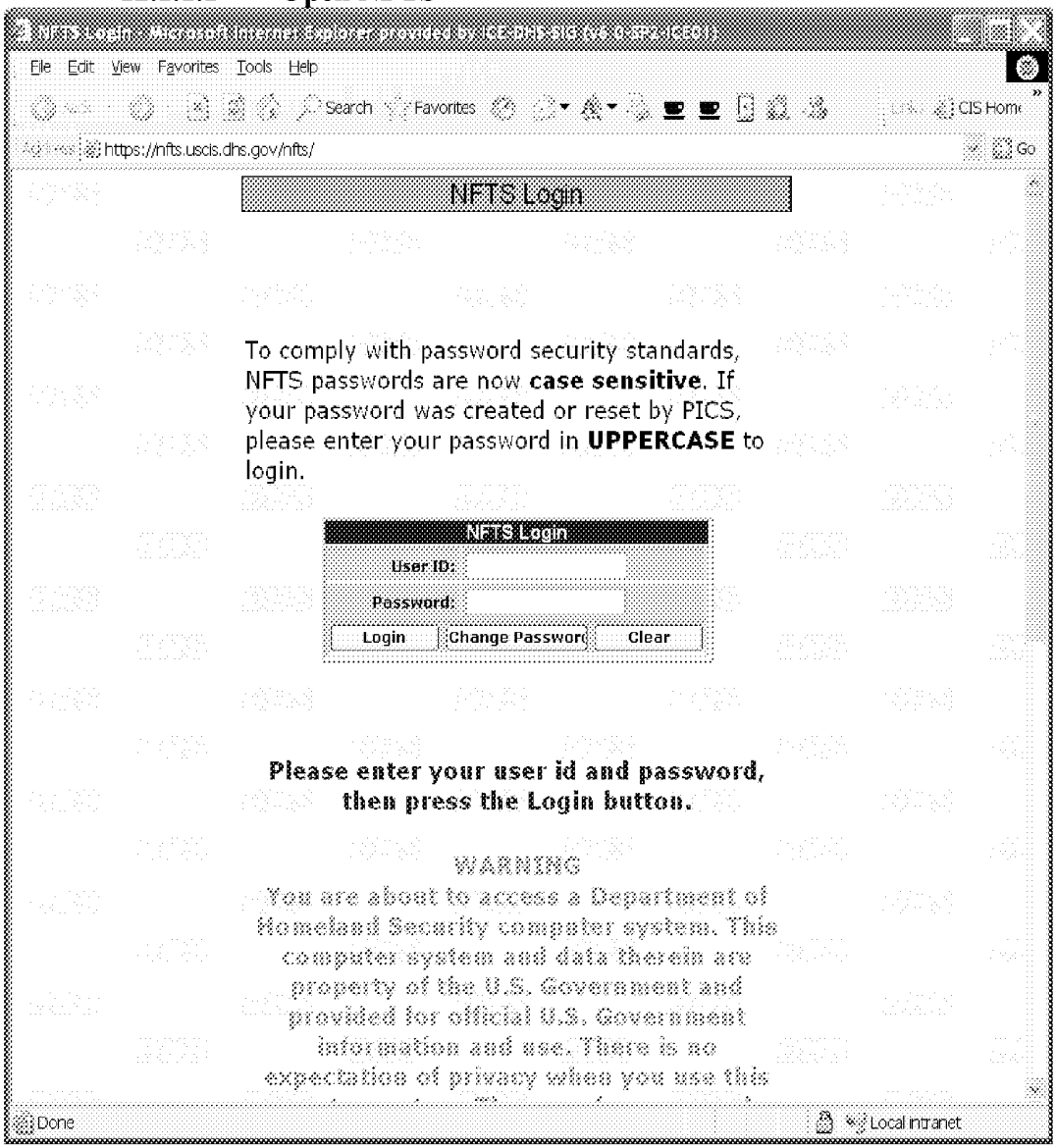
12.1 Staffing by Alien Number

12.1.1 One A-number provided on the request (with example staffing)

If an A-number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, COB, DOE, POE and parents' names) to complete the case create. If any of the required elements are missing, request the additional information when sending the Acknowledgment Letter. The section that follows is a systematic example of staffing by A-number when the requester has provided one.

12.1.1.1 Open NFTS



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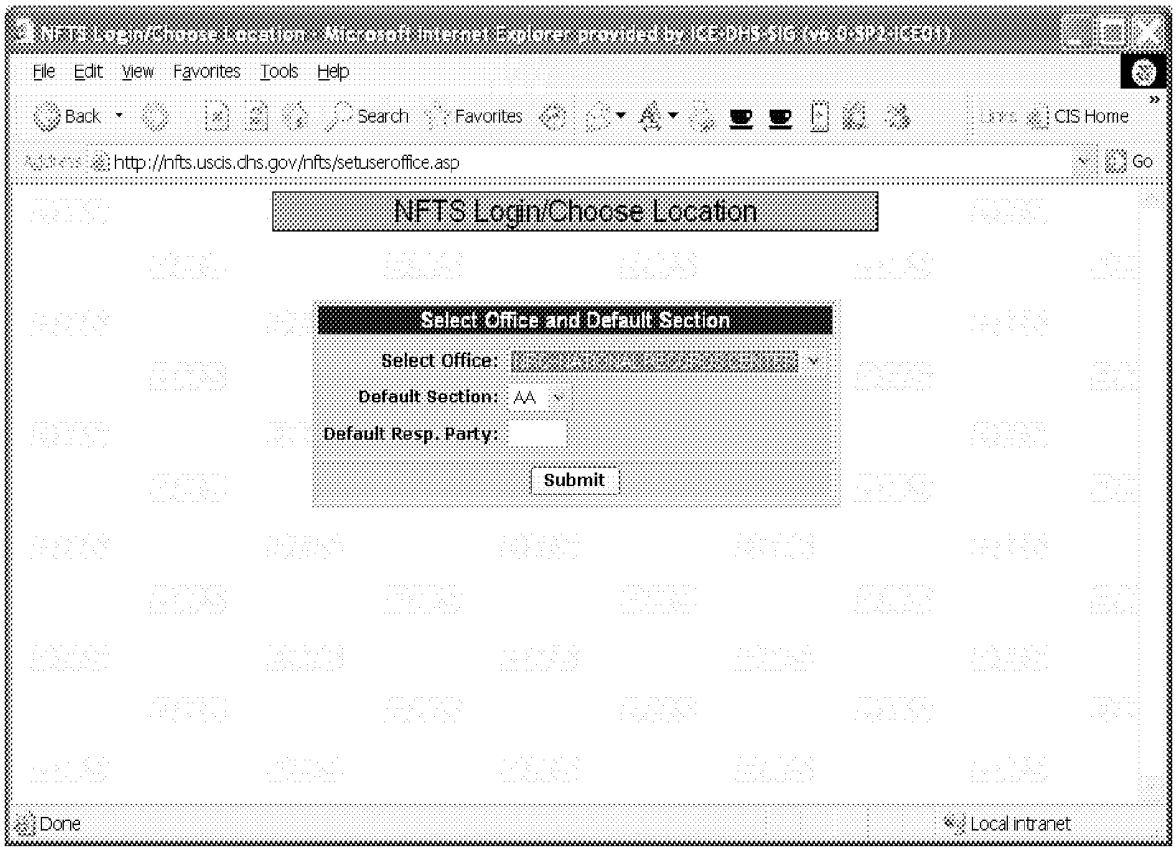
12.1.1.2 Submit your location



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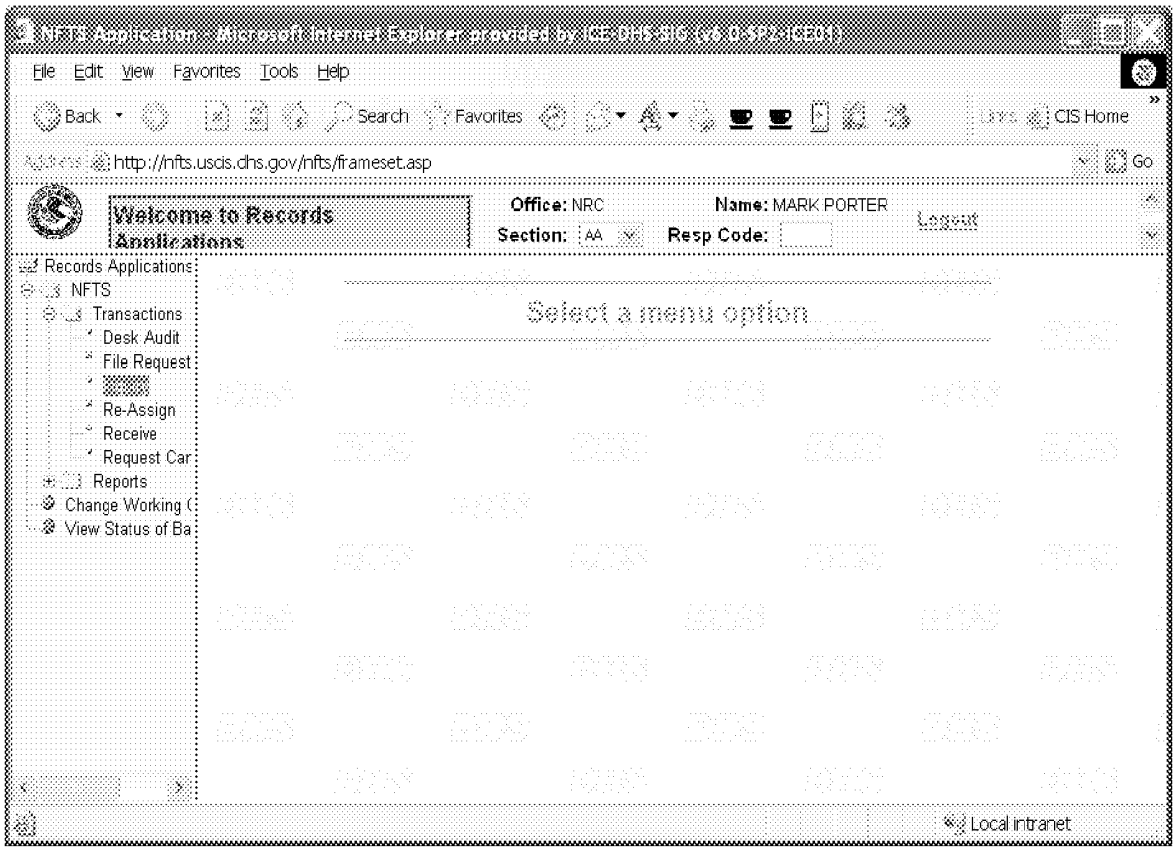
12.1.1.3 Select "Inquiry"



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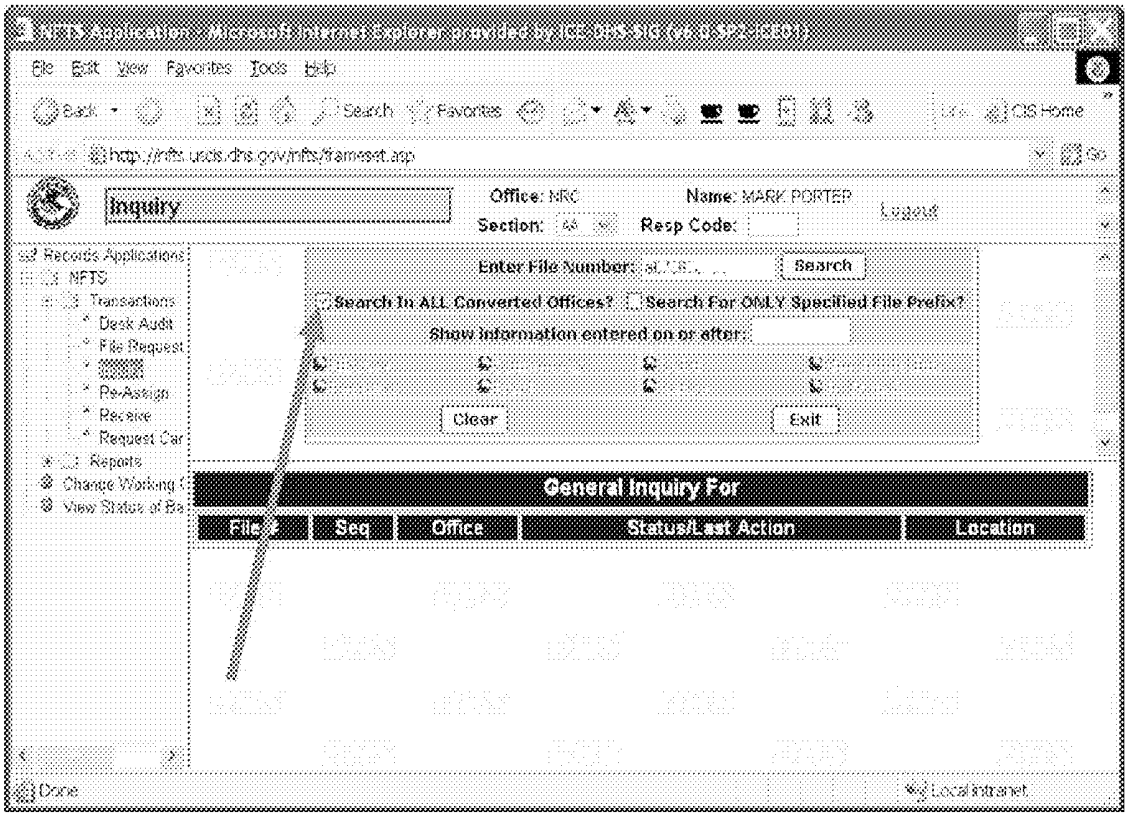
12.1.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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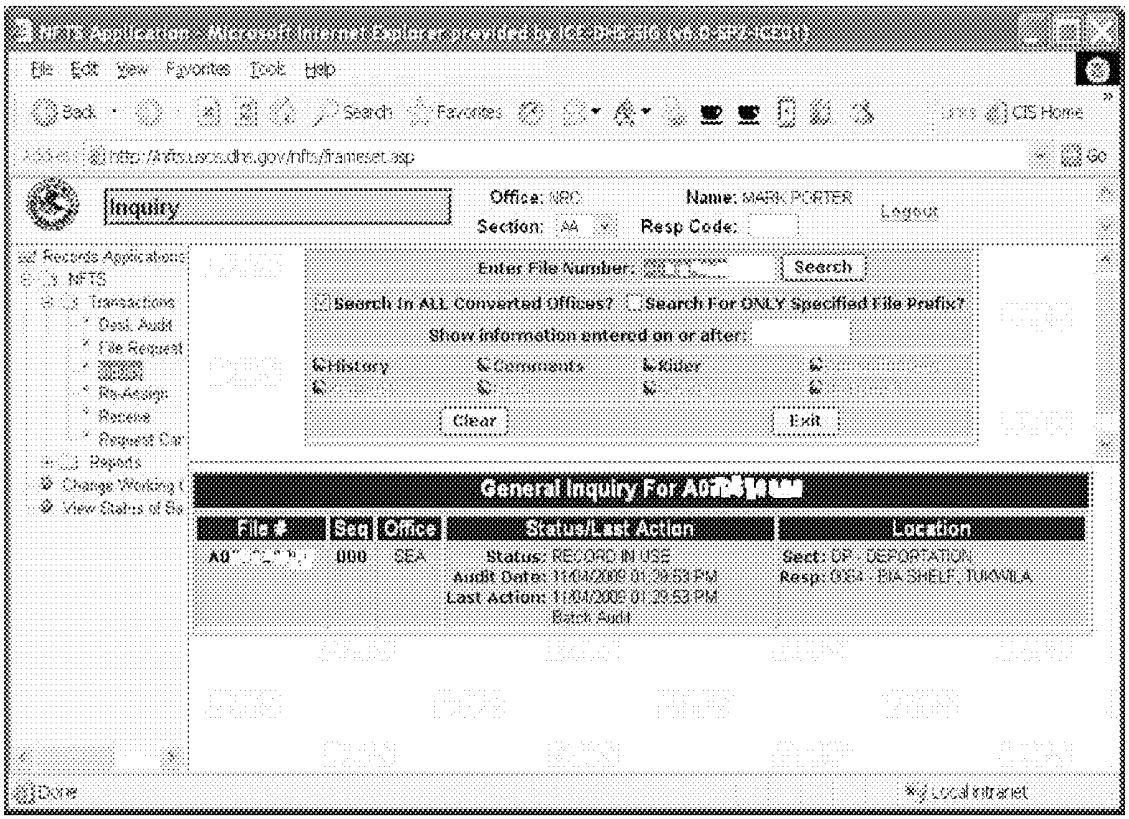
12.1.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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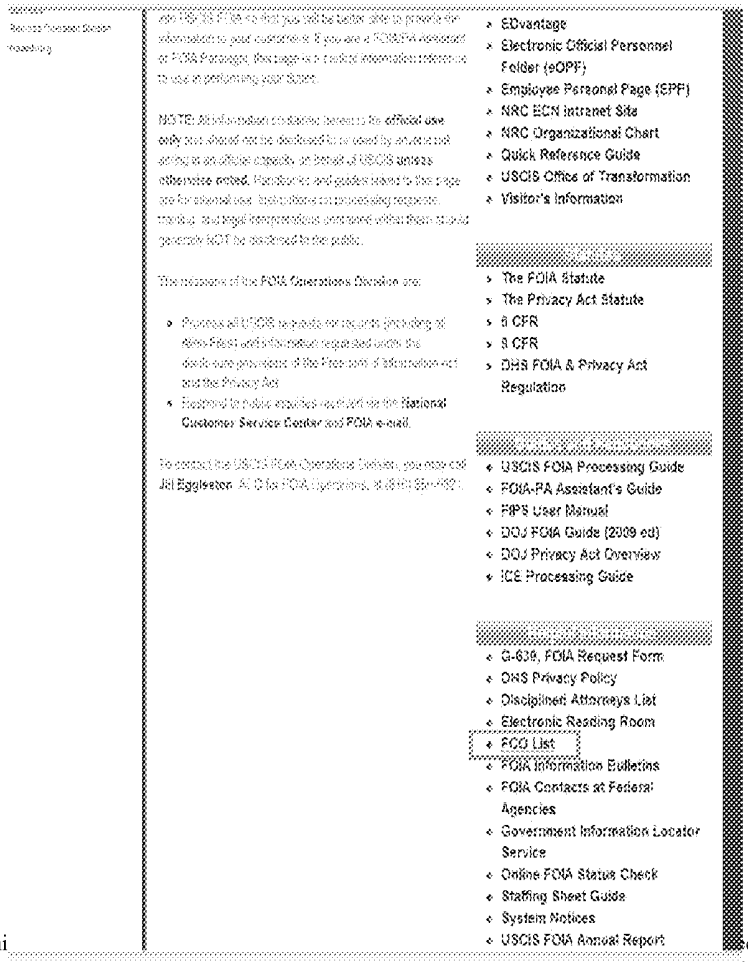
12.1.1.6 "Blued in" information

- If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC.
- If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
- If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
- "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

12.1.1.7 The FOIA Operations Division Intranet Page

Now, an RPC beginning with "DP" is easy because NFTS shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. If that's the situation, we need to look at the FCO List, which also has the RPC Reference Guide.



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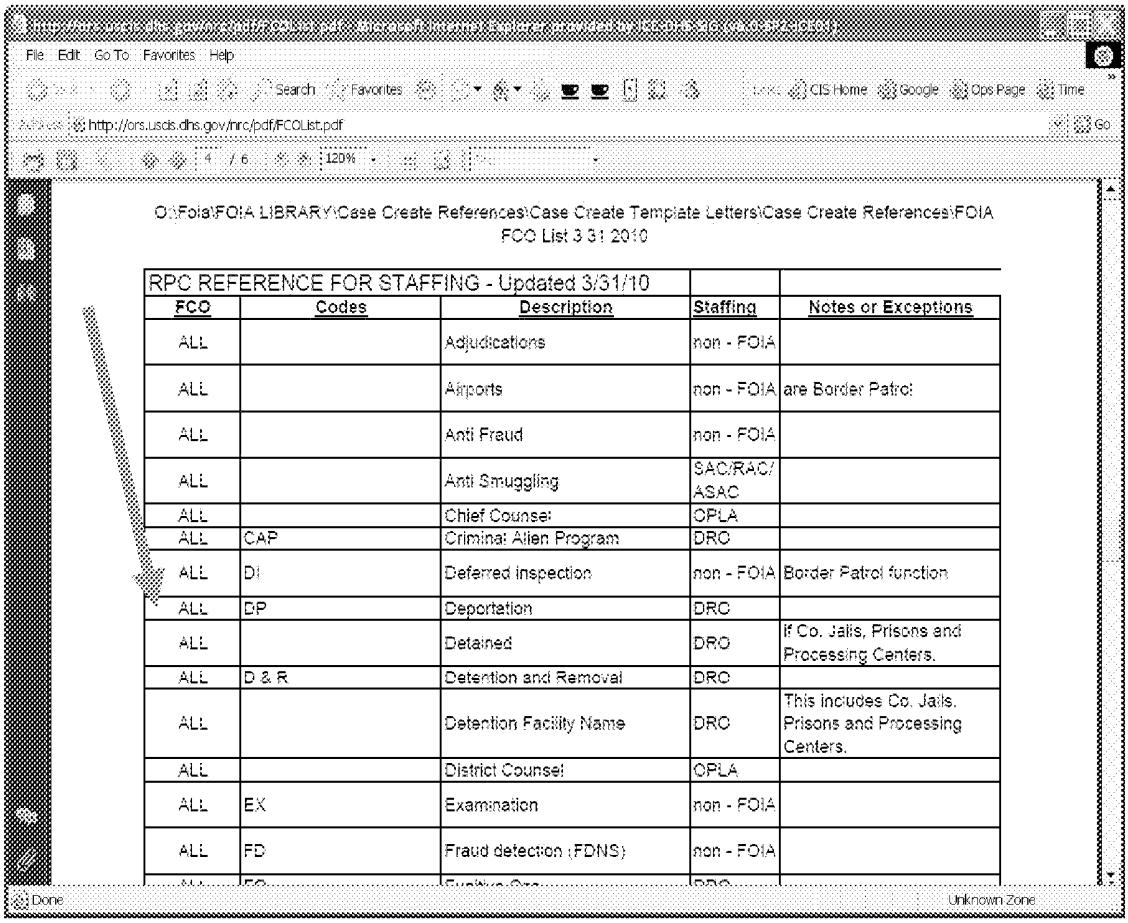
12.1.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. If you don't already know this, SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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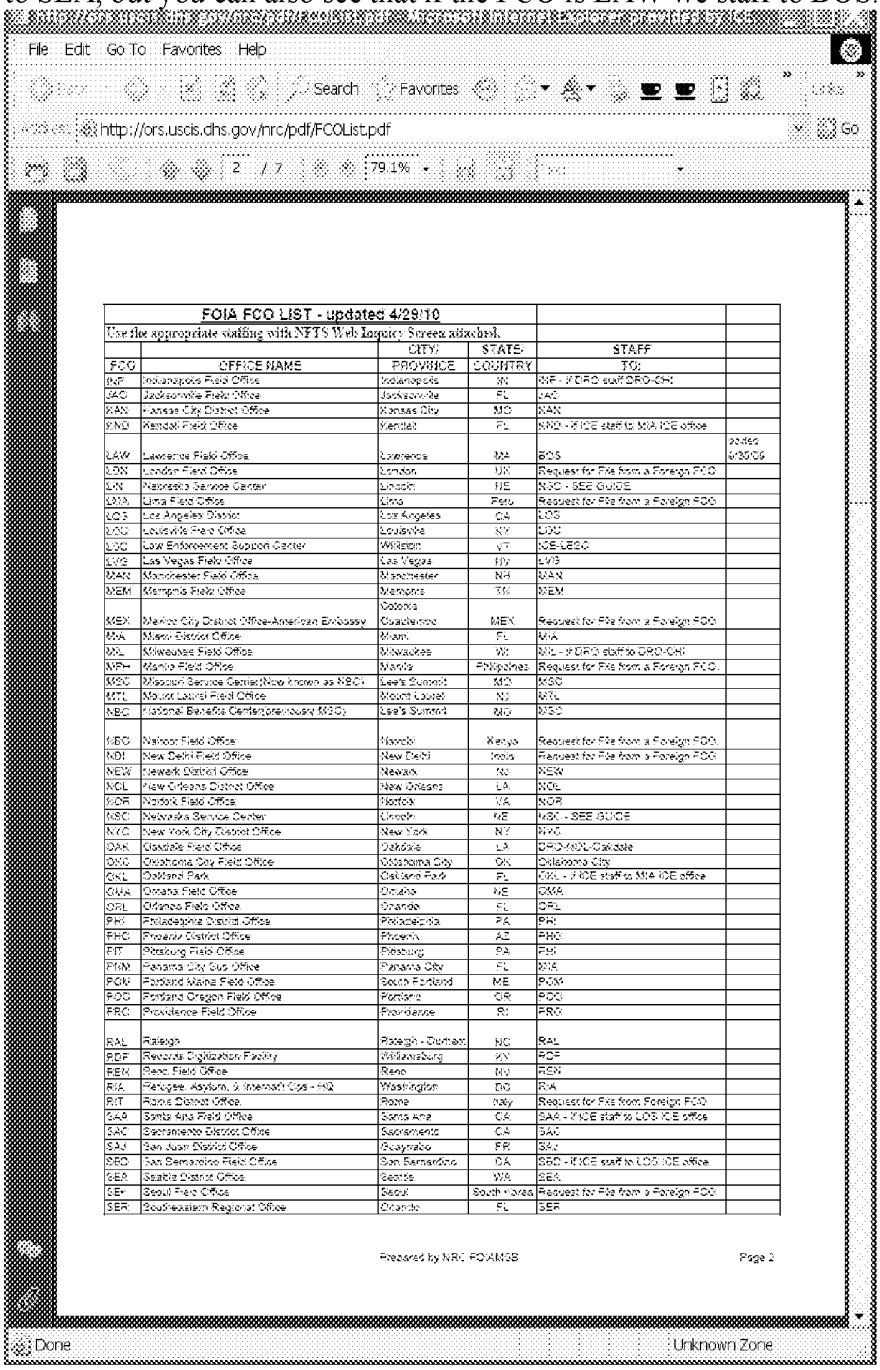
12.1.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	added 4/30/09
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LIM	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKE	Milwaukee Field Office	Milwaukee	WI	MKE - if DRO staff to DRO-CHI	
MPH	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(formerly MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SFR	Southeastern Regional Office	Orlando	FL	SFR	

Prepared by NRC FOIA/PA

Page 2

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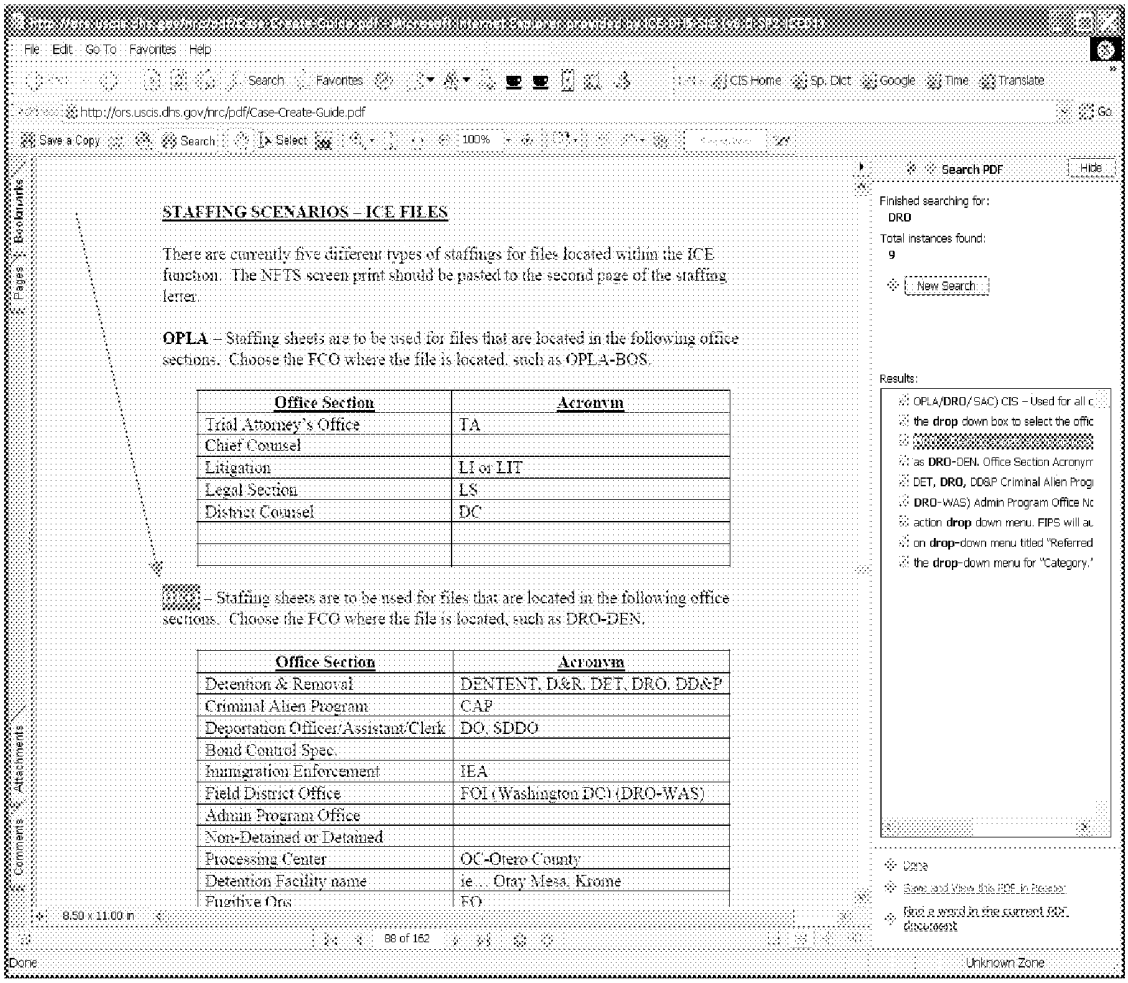
12.1.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way for me to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios.



STAFFING SCENARIOS – ICE FILES

There are currently five different types of staffings for files located within the ICE function. The NFTS screen print should be pasted to the second page of the staffing letter.

OPLA – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

[redacted] – Staffing sheets are to be used for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DENTENT, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO-WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC-Otero County
Detention Facility name	ie… Otay Mesa, Krome
Fugitive Ops	FO

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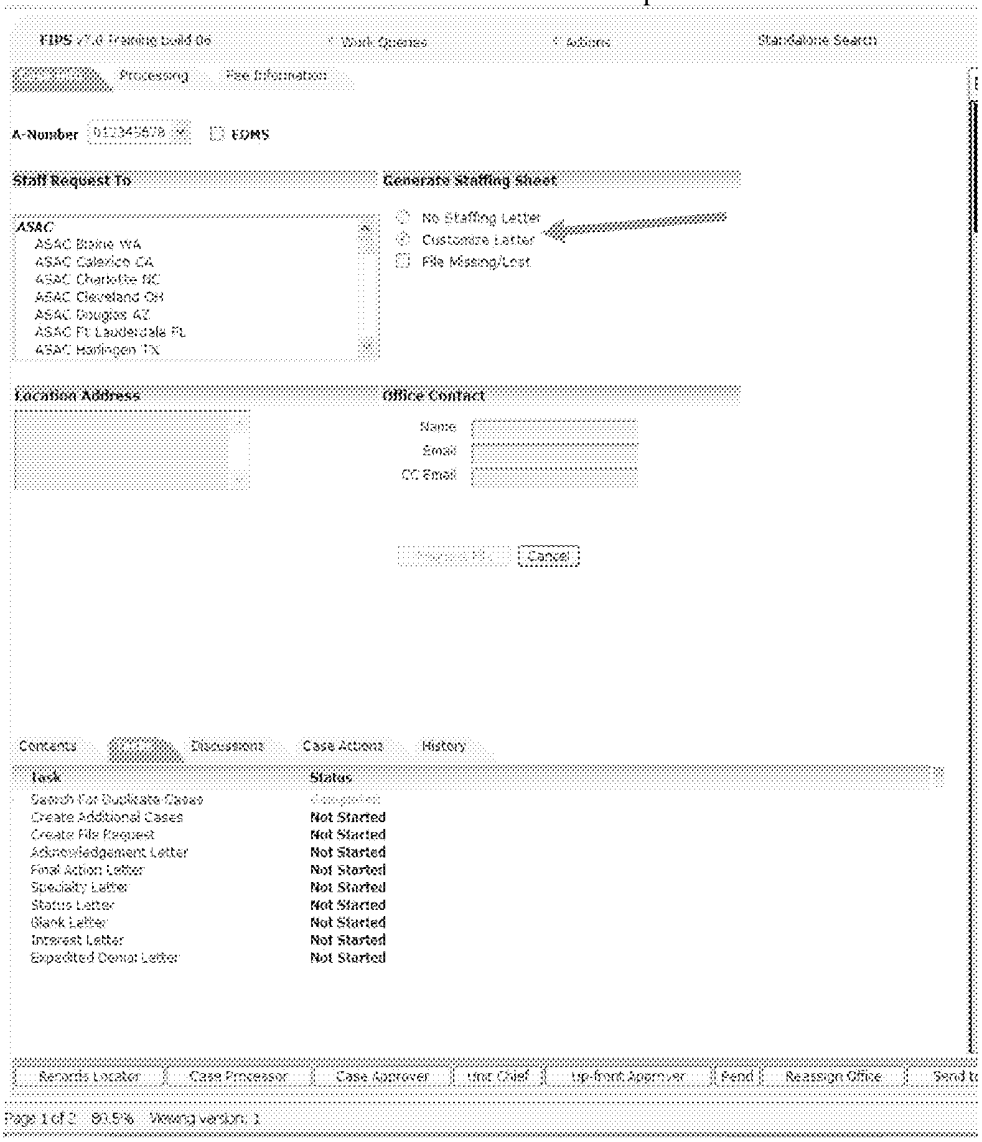
12.1.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it.

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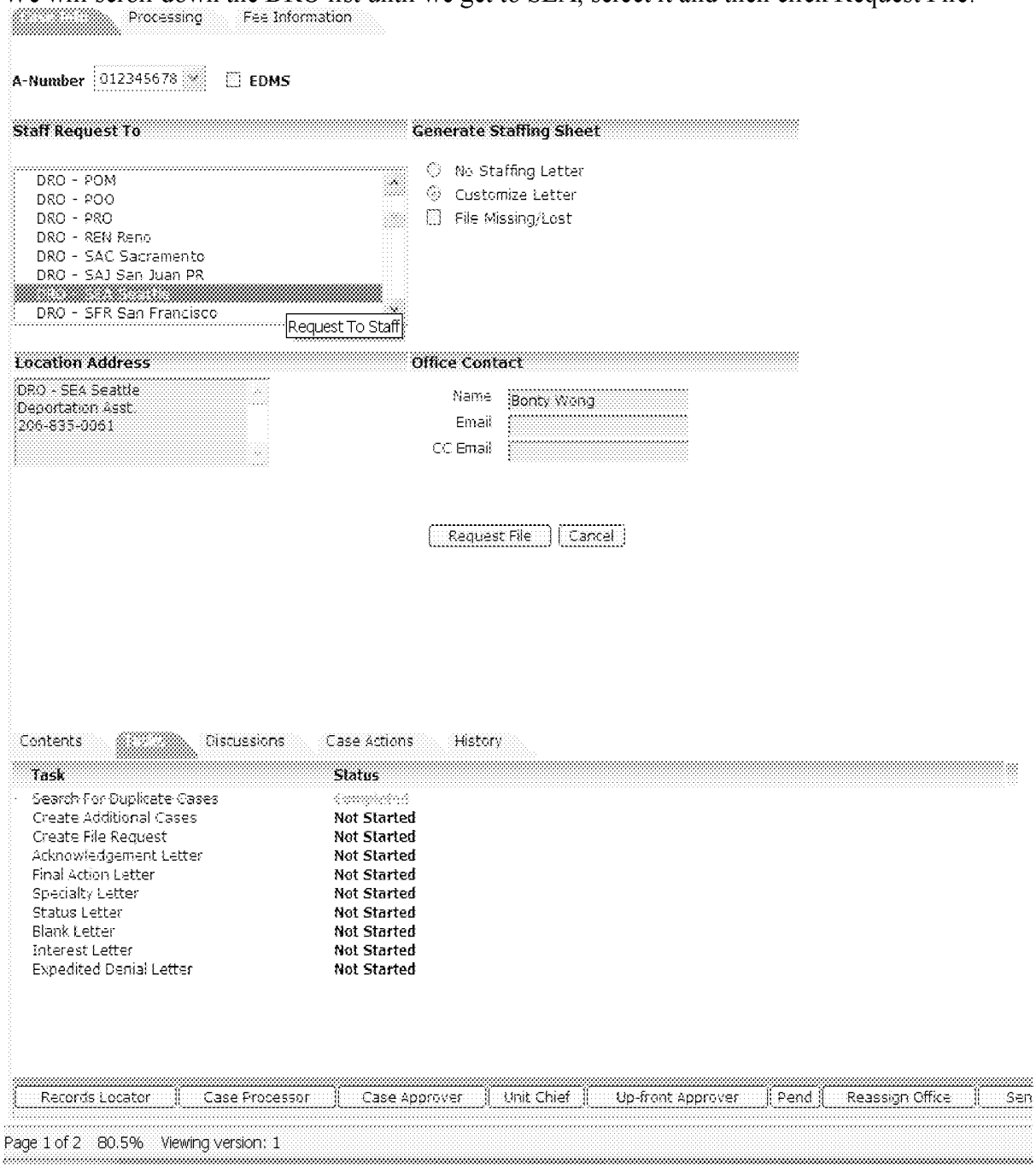
12.1.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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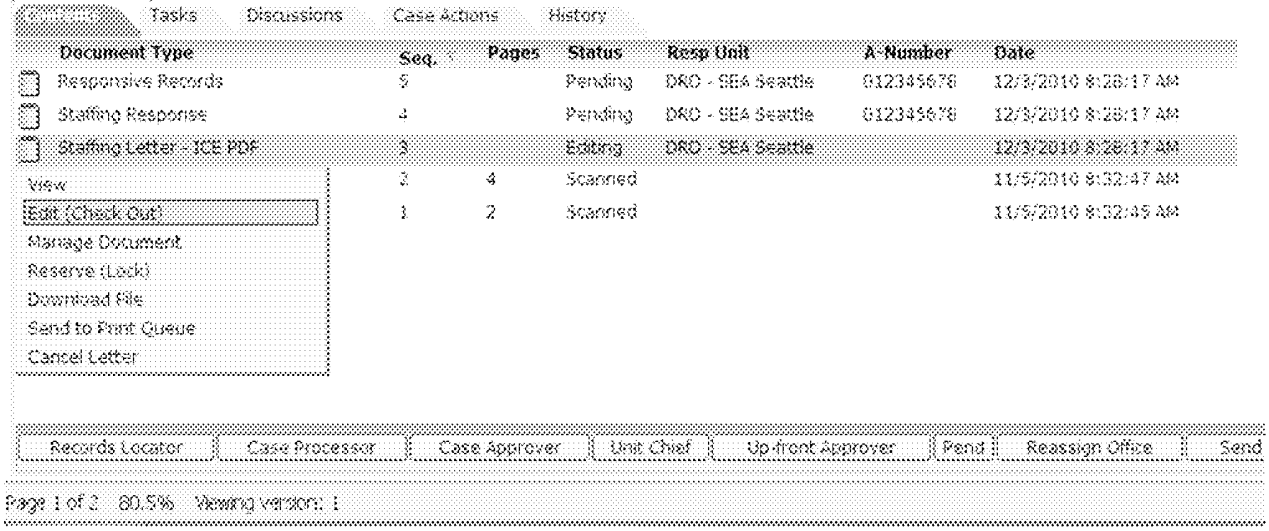
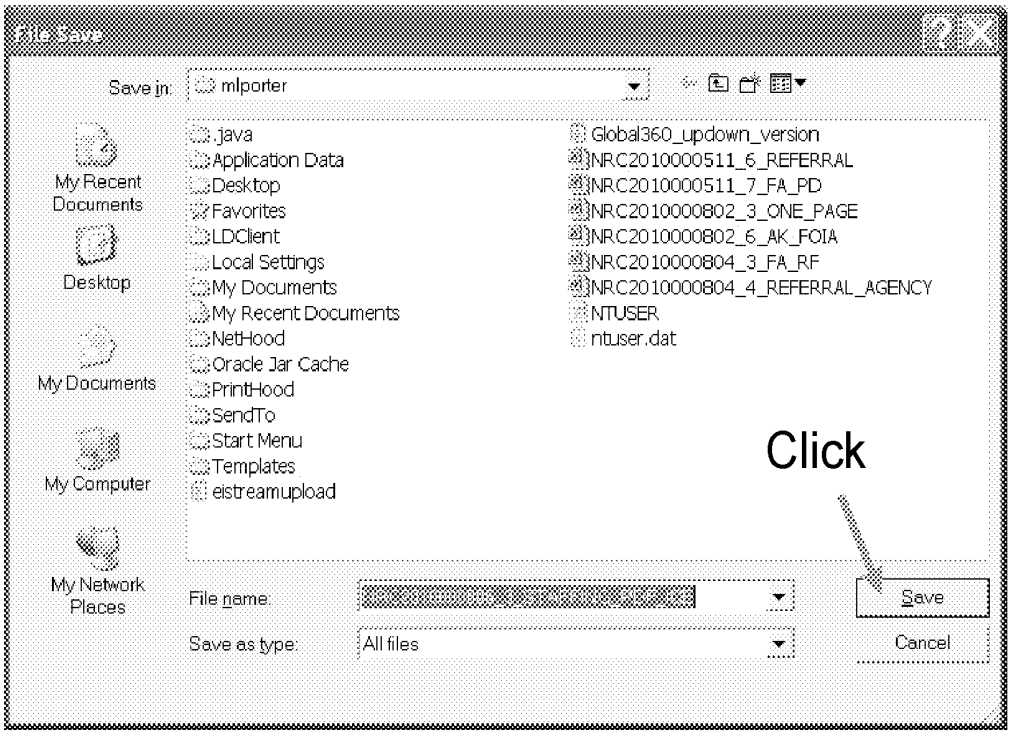
12.1.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." Click OK and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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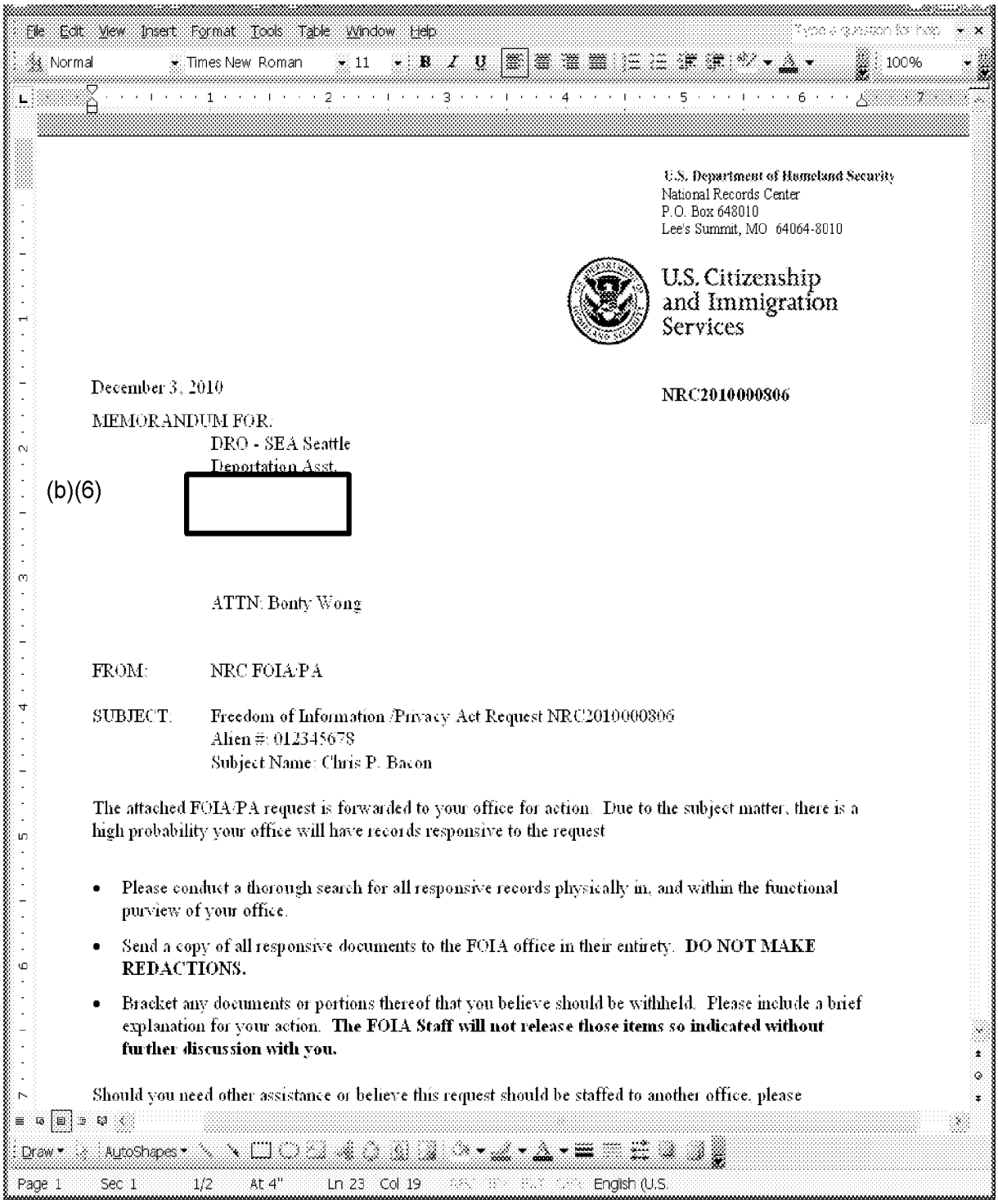
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
Deportation Asst.

(b)(6) [redacted]

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to you office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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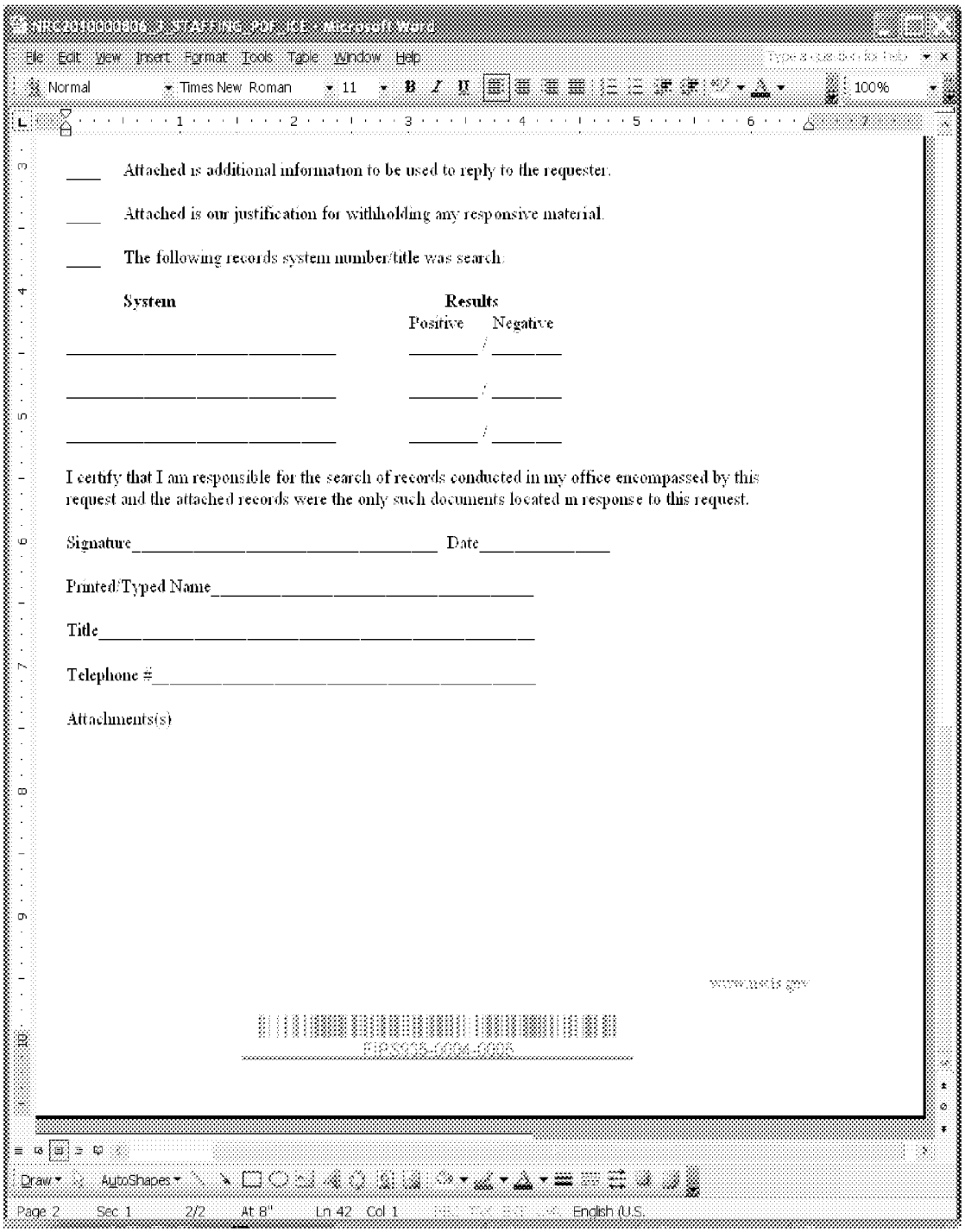
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____ /	_____
_____	_____ /	_____
_____	_____ /	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

www.nwts.gov

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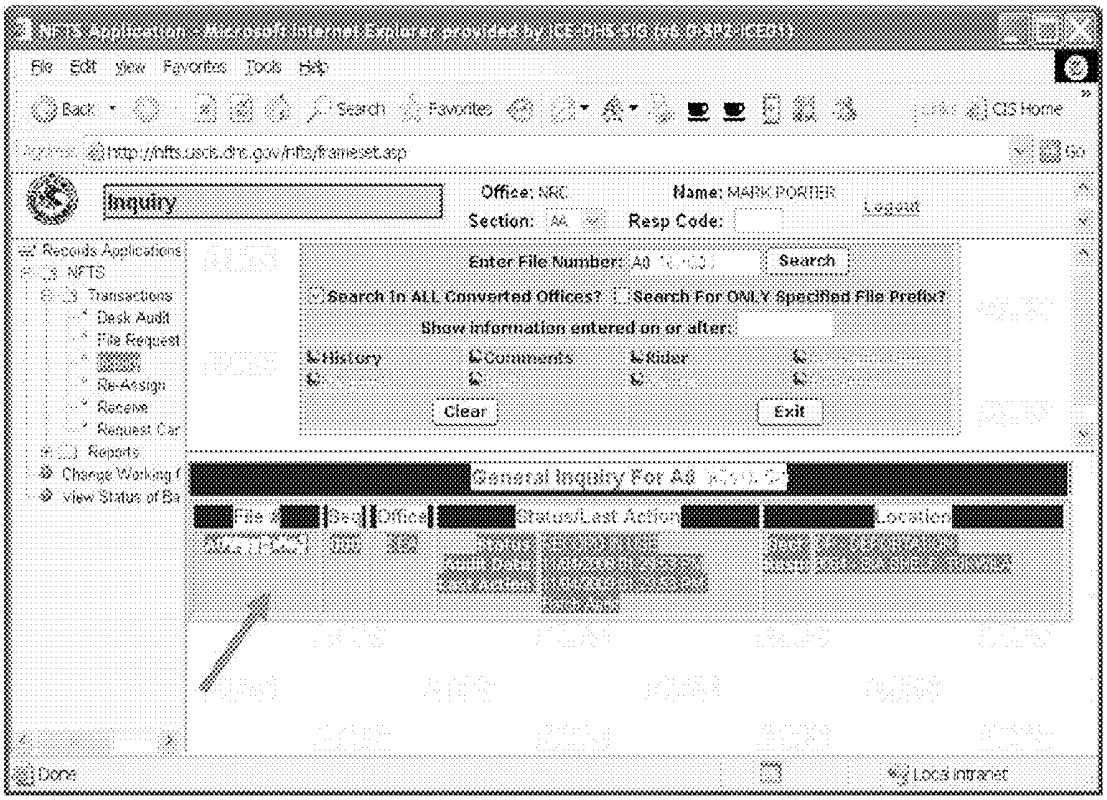
12.1.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Click on "Select All." Right-click again and select "Copy." Now we will paste the information into the staffing letter.



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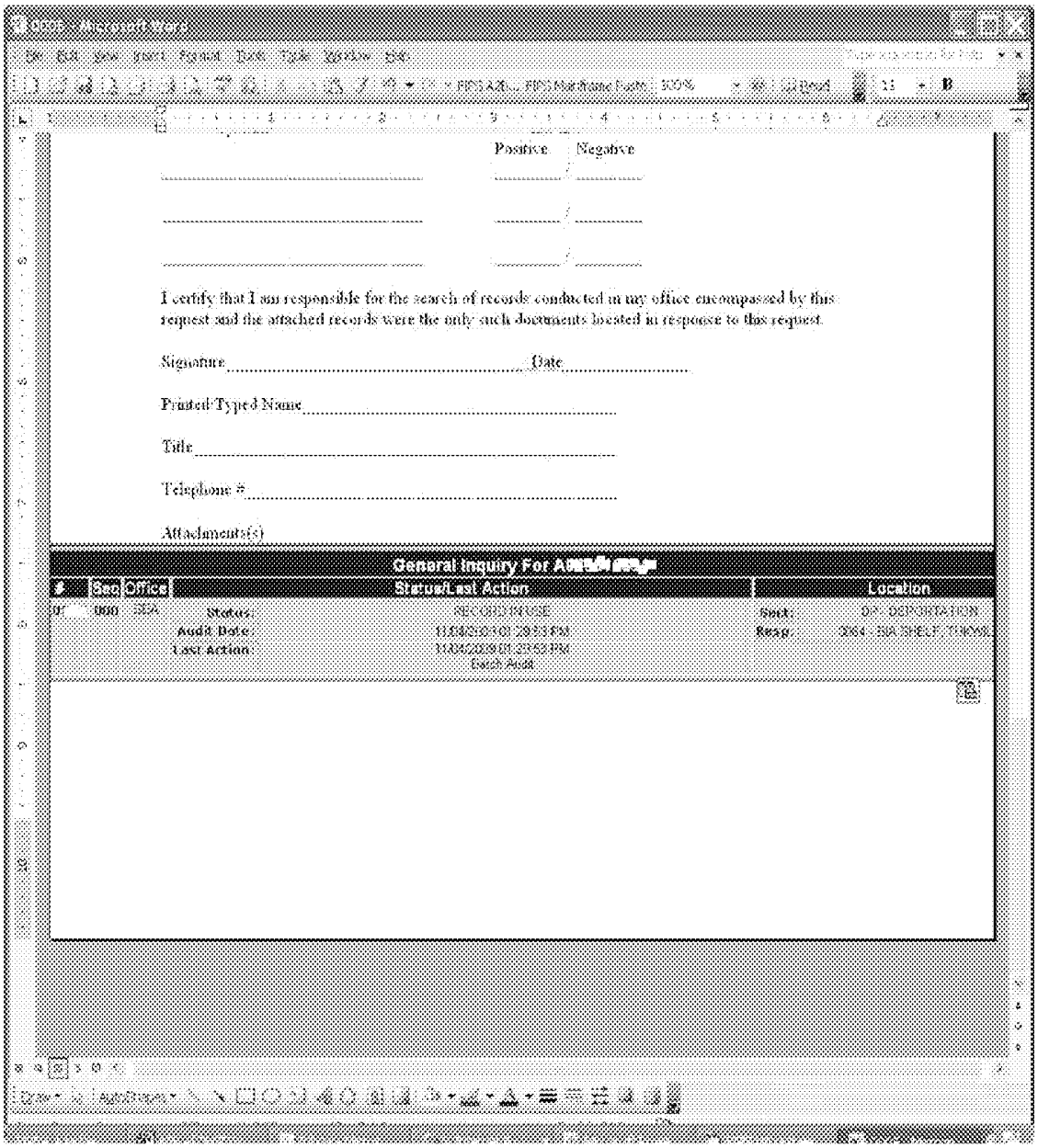
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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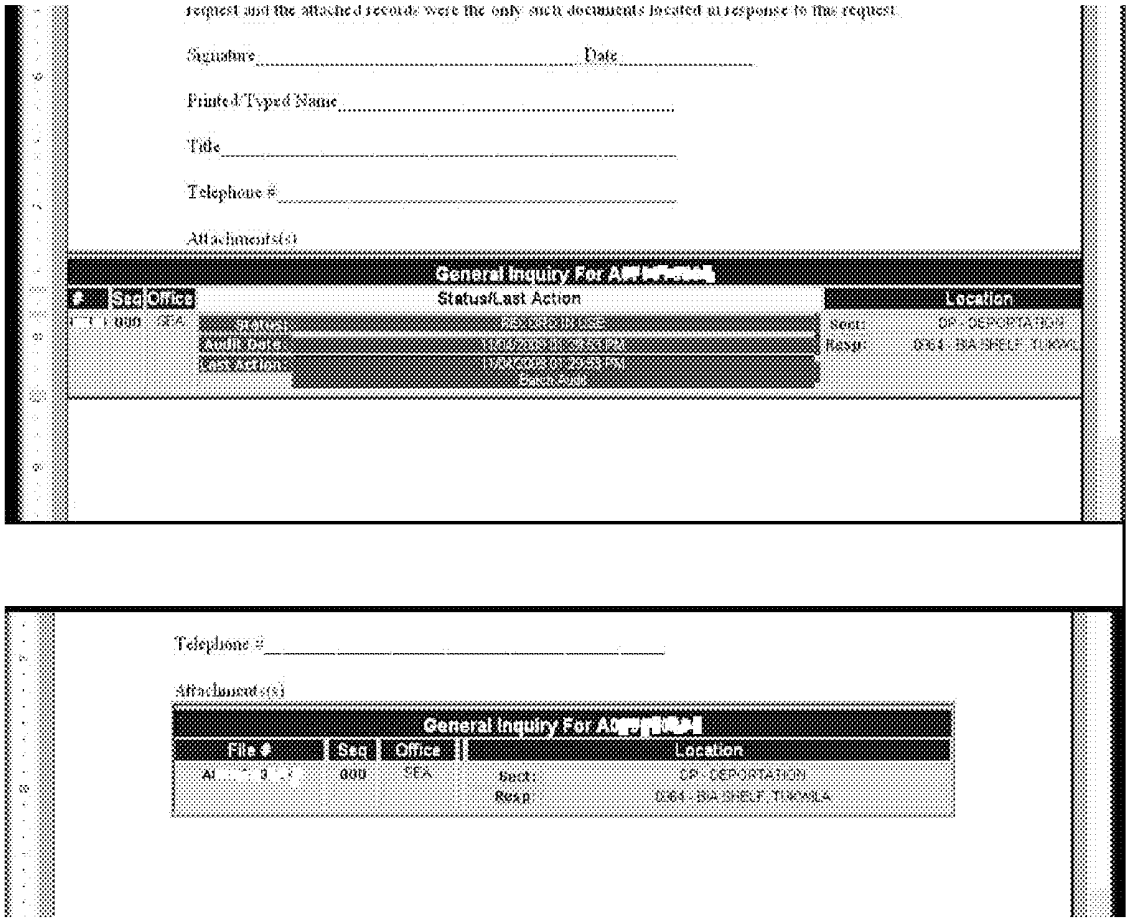
Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.



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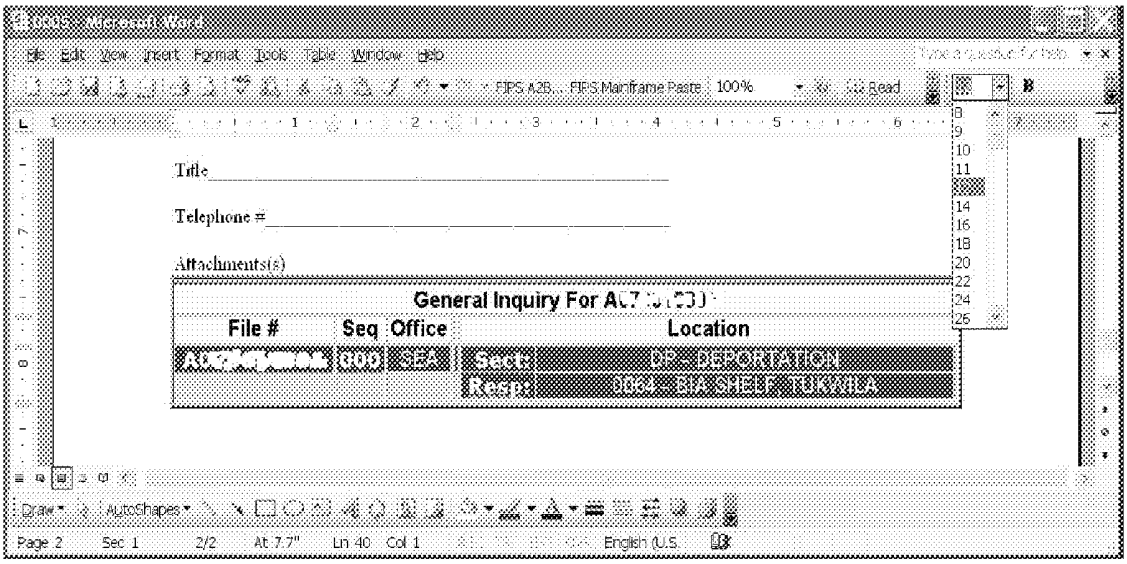
Next, highlight the whole area and change the font size to 12.



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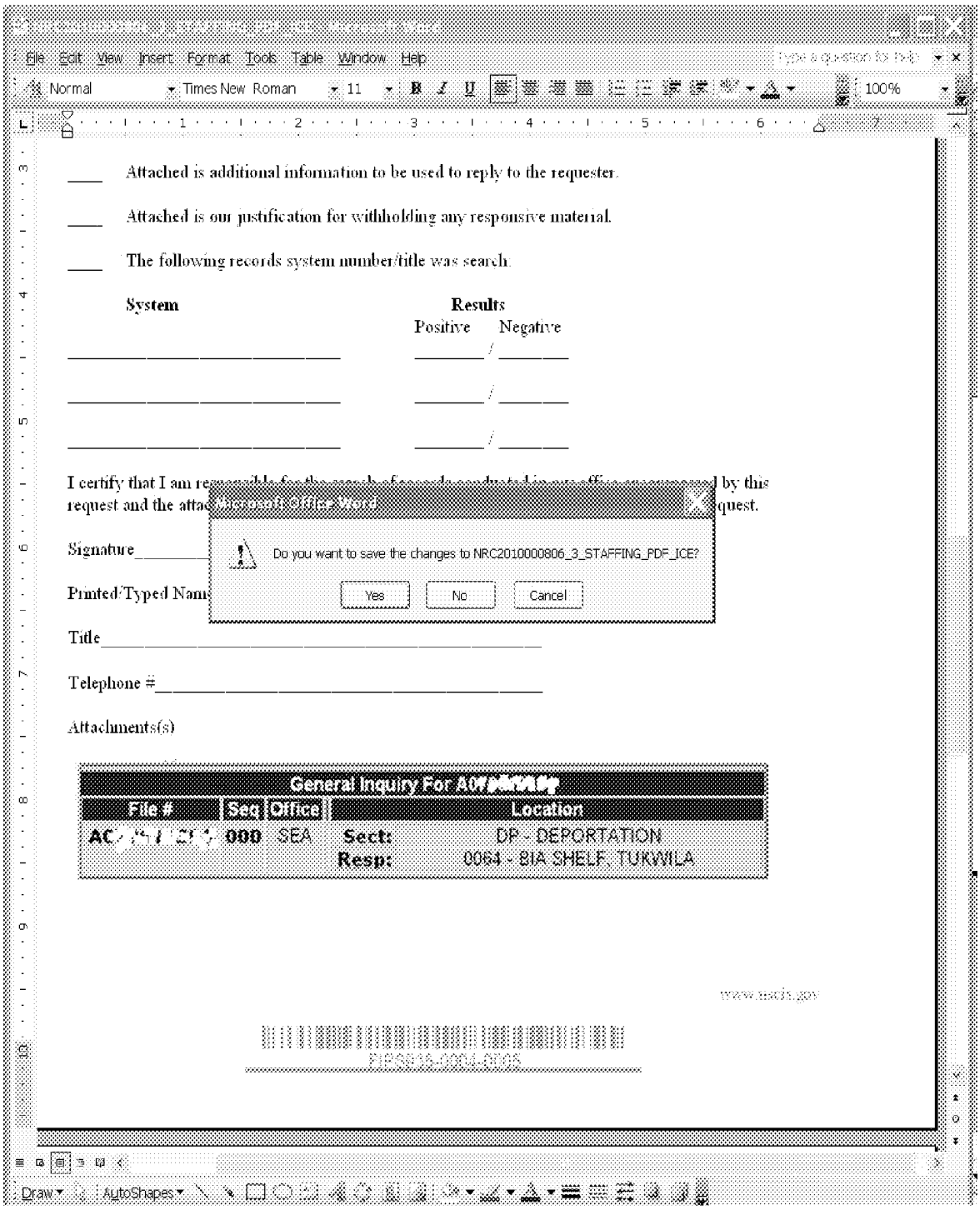
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.



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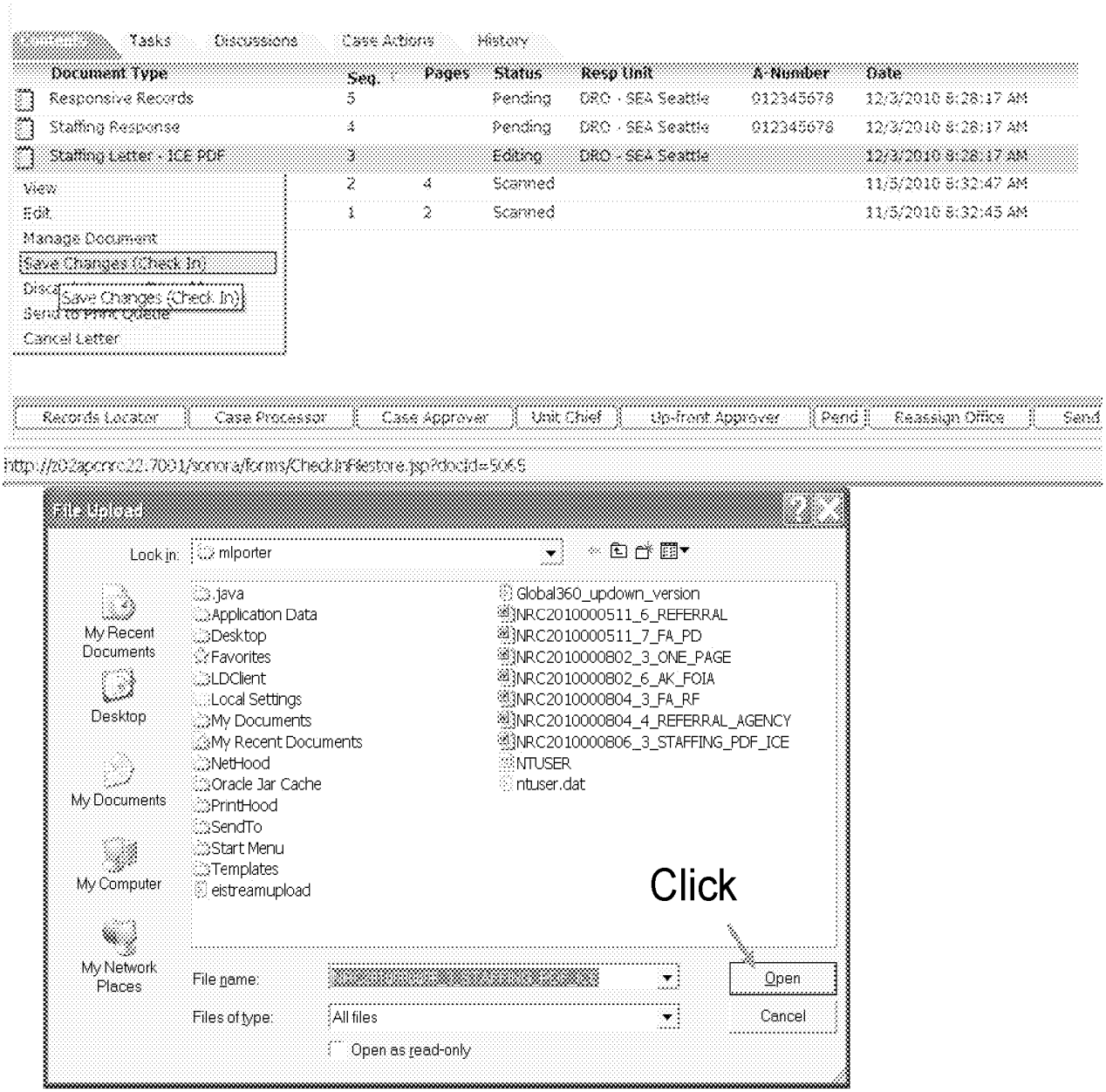
12.1.1.15 Save changes and check it back in



After this, send the case to "Pend."

12.1.2 Two or more A-numbers

Multiple unconsolidated A-numbers - If the requester has provided more than one A-number, you must research CIS for each A-number to determine if they relate to the subject. If the subject has multiple A-numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must

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include the words **"MULTIPLE STAFFINGS"** at the top of each sheet. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. MSB will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record Ops\Files to Consolidate.xls*. You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.1.3 Consolidated A-numbers

If the alien has a consolidated A-number, then please enter only the lead (or surviving) A-number on the worksheet in FIPS and request that file. Consolidated A-numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-number listed first is the primary A-number; the other A-numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-numbers to the "files to consolidate" spreadsheet.

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12.2 Border crossing card number

If the alien number provided by the requester is an 80,000,000 through 86,899,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. You will need to research CIS and CLAIMS to see if there are any other A-files/receipt files associated with this alien.

Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.

We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.

Use the Border Crossing Card Number provided; search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark it as "responsive records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create it as a Track 1 case.

Note: Alien numbers from 86,900,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.3 EAD numbers (100,000,000 through 149,999,999)

If the alien number provided by the requester is 100,000,000 through 149,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to the section titled ***Staffing Scenarios – Receipt Files*** for additional information.

12.4 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

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12.5 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the requester provides a receipt number on their request, log into CLAIMS and verify the information.

If the requester provides only a receipt number and it is for a Service Center we work, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.6 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

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12.7 Staffing Scenarios

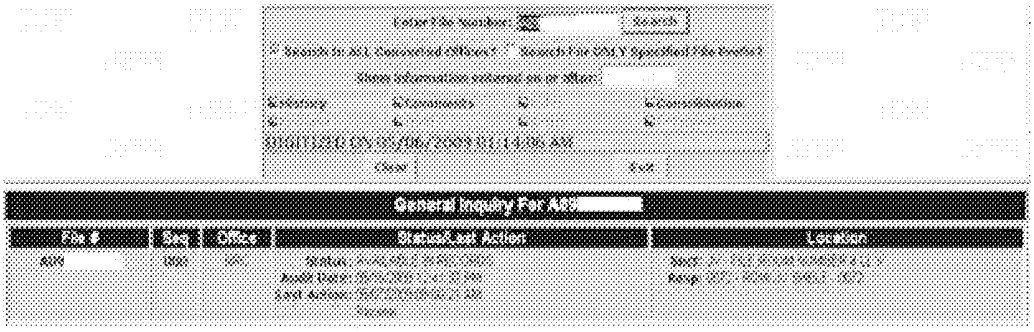
12.7.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.



Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. MSB will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.

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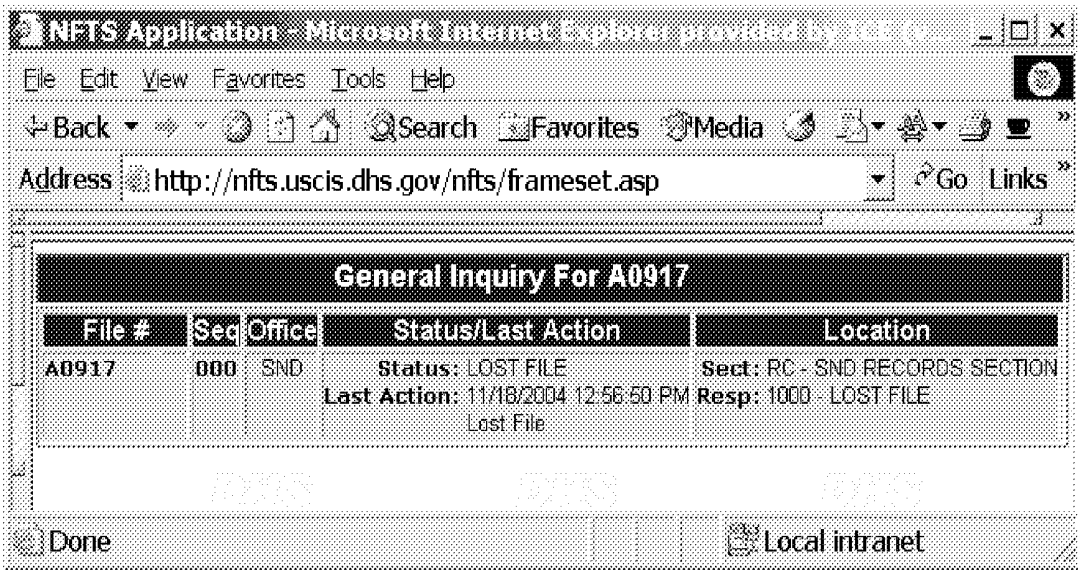
In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



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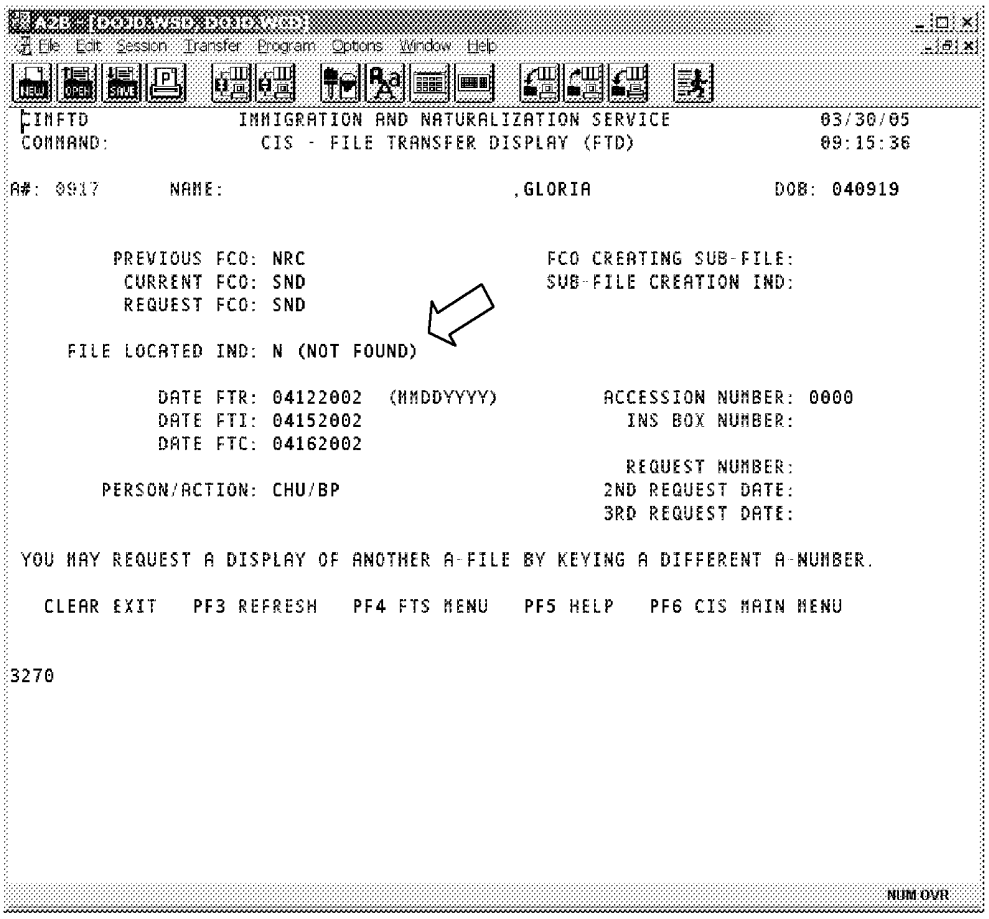
A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than nine months ago, move to the next section of this guide, Files lost or not found MORE THAN NINE MONTHS.



When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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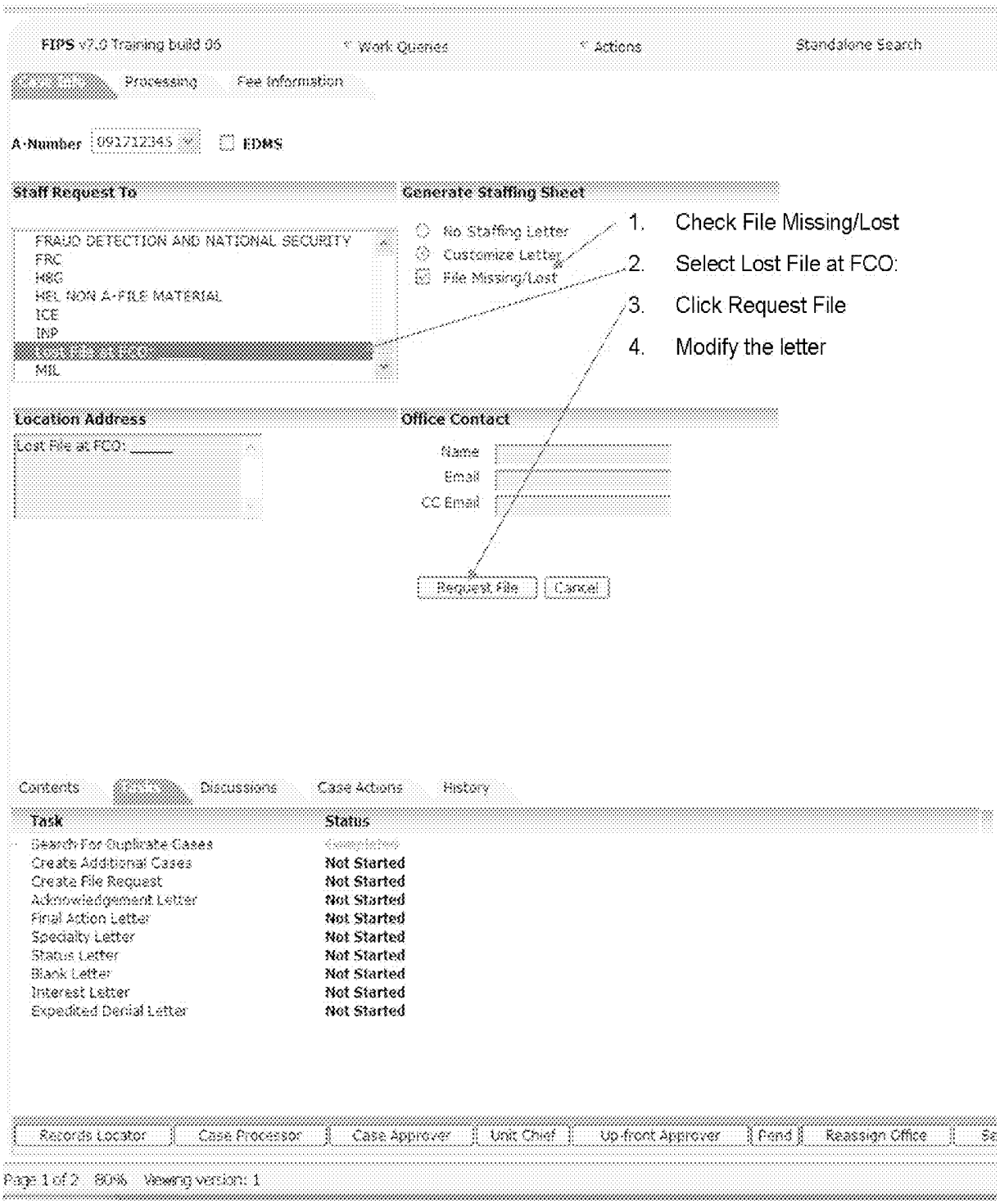

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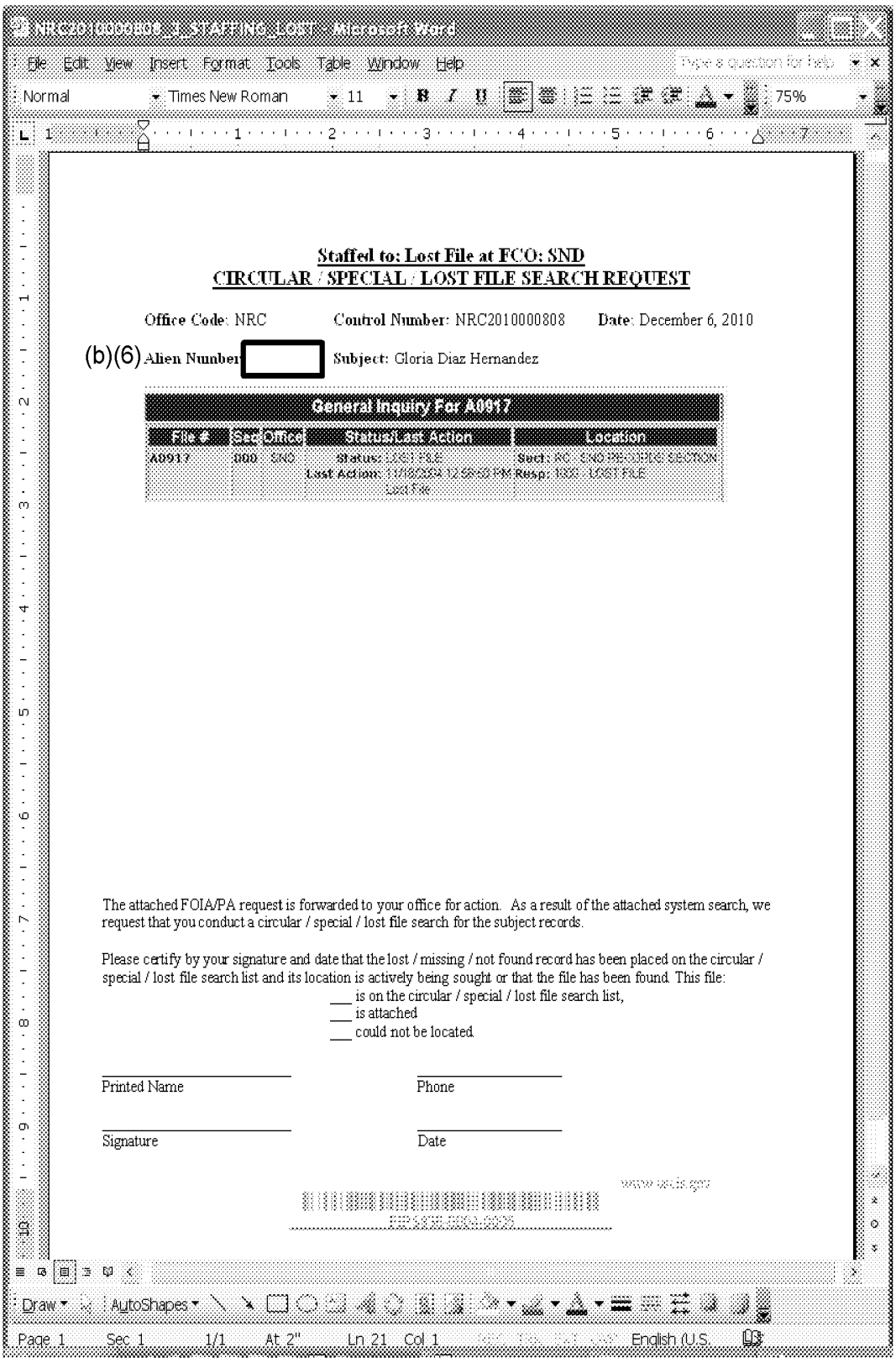

Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number**: NRC2010000808 **Date**: December 6, 2010

(b)(6) **Alien Number** [redacted] **Subject**: Gloria Diaz Hernandez

General Inquiry For A0917

File #	Sec	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:58:58 PM Lost File	Sect: RC - SND RECORDS SECTION Resp: RSC - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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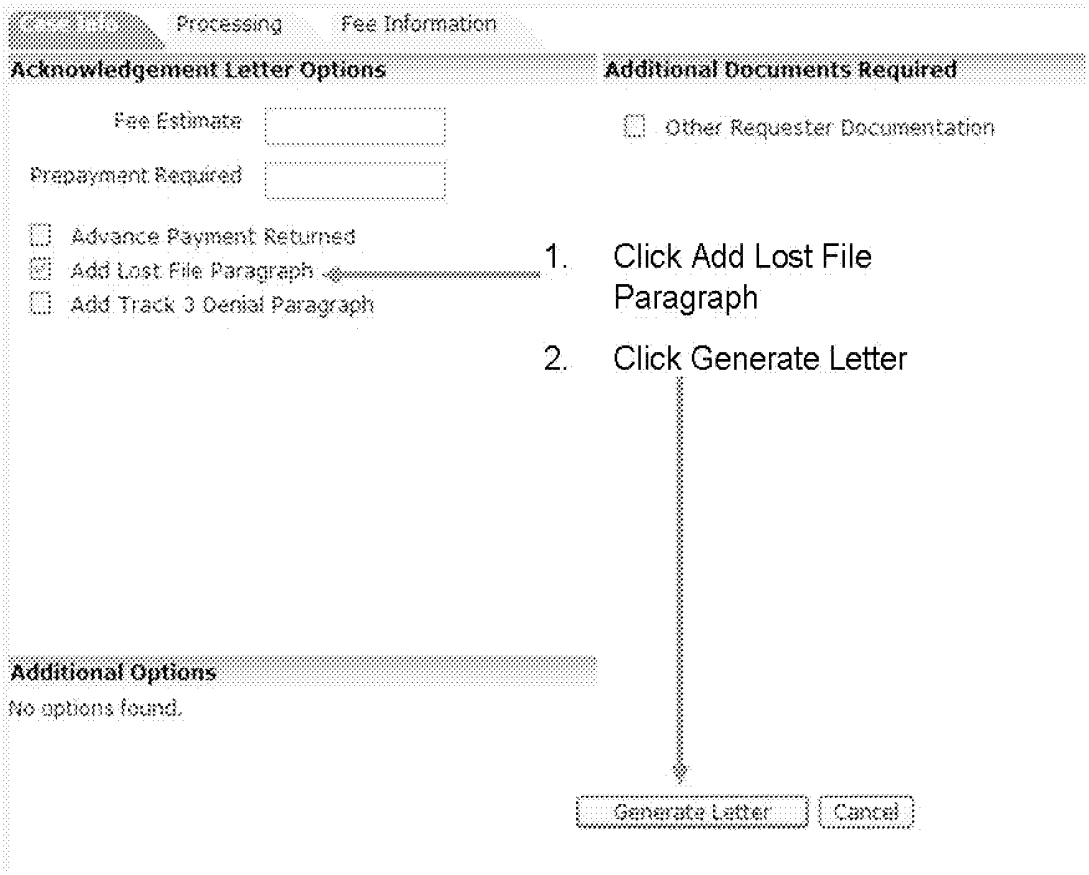

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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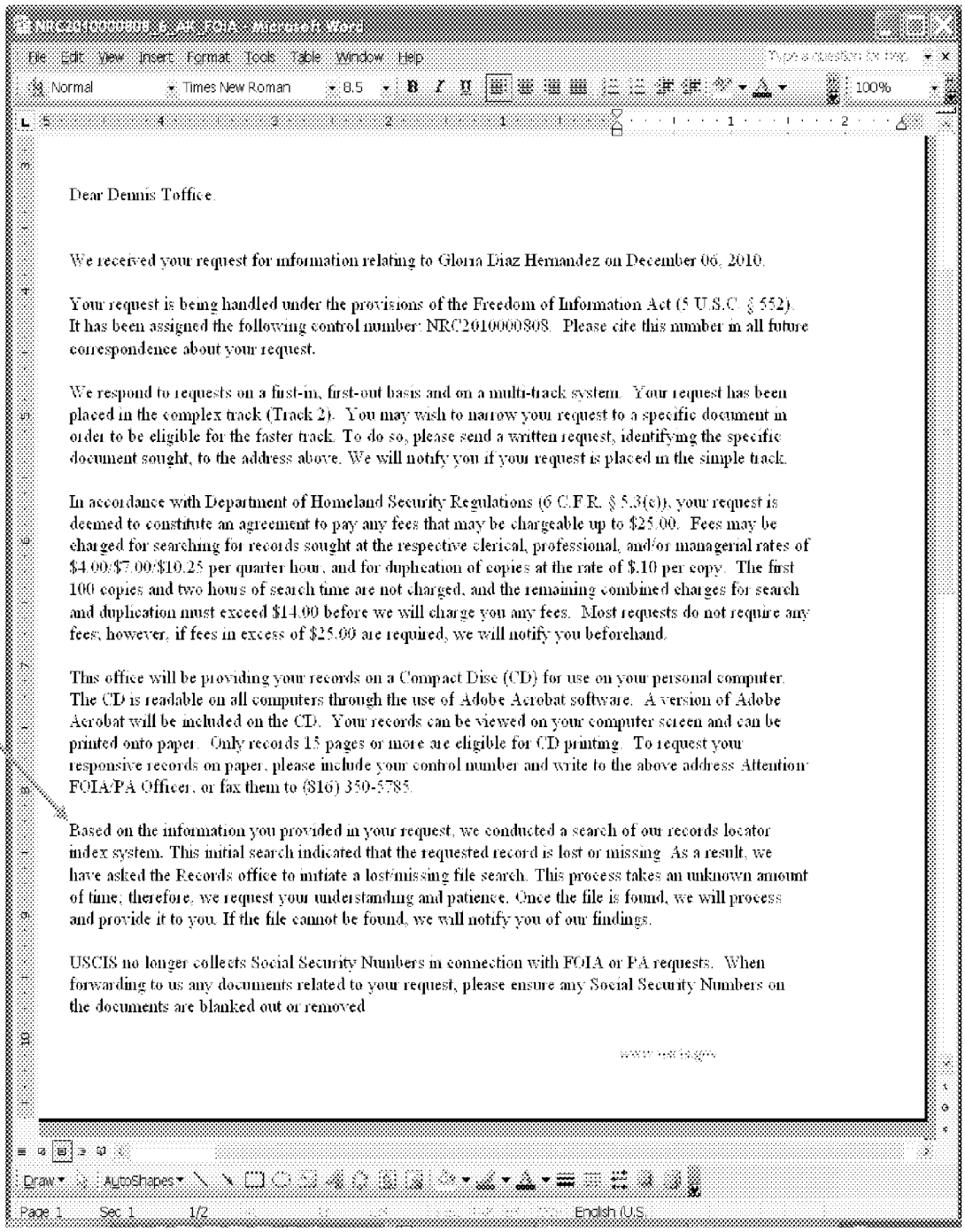

Dear Dennis Toffice.

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS

(Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.)

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

12.7.3.1 If the A-file is lost but other records exist (such as receipt files we would normally request or other a-files), please go to paragraph 12.7.3.9 now. *Otherwise*,

a. **if** the file has been marked as lost for more than nine months

b. **and** there is no recent activity in CLAIMS (within last 2 years) or PCQS,

c. **and** there are no additional files, then: a FOIA/PA Assistant working in Records Locator queue should put in the following Discussion: **A-file has been lost for more than 9 months and no other records exist. Closing as UT.** Detail all systems searched as part of this Discussion.

12.7.3.2 Complete the attached Lost File Worksheet (and send it for scanning as CSD with any screen prints you do.)

12.7.3.3 If the file was not staffed to OPLA, please move to step four now. *Otherwise*, if the file was staffed to OPLA, look at NFTS history. If the NRC file request was cancelled and the file indicator was subsequently changed to "Lost File," create a Discussion with the subject "Unit Chief" listing the date the file was staffed, the date the request was cancelled, and the date the file status was changed to lost. Send the case to Unit Chief. You're done.

12.7.3.4 If there is no CIS screen referencing "EARM" "DACS" or "NAILS," please move to the next step now. *Otherwise*, if there is a 9101 screen containing "EARM-X" "DACS-X" or "NAIL-X," or if there are CLAIMS screens showing "NAIL: Y" or "NAIL: N," go to the next step.

12.7.3.5 Create a Final Action Letter and select the status UT. In the final action letter, after the sentence "You may, if you wish, resubmit at a later date," please add the following sentence: "As we were unable to locate a physical file, we are including screen prints of the electronic record." Go to the next step.

12.7.3.6 In the UT final action letter, attach the screen prints to the letter electronically (cut and paste). Do not make any redactions to the screen prints. Save and close the letter and send to Up-front Approver. You're done, *unless* the case is later returned to you for further research.

12.7.3.7 The Up-front Approver will review the UT letter with the inserted screen prints. If he or she is satisfied that a thorough search was conducted, the approver will forward the case to FOIA Approver. If the approver is not satisfied with the search results, he or she will return it to you for further research.

12.7.3.8 The FOIA Approver will review the research and either close the case or return it for further action. If the case is approved, the FOIA Approver will close the case.

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12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

12.7.3.10 Cancel the lost file staffing and pend for responsive records.

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LOST FILE WORKSHEET

A-number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second a-number and/or consolidation
    a. Second a-number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.7.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically a NFTS screen. In some situations, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS at the top of each sheet.

12.7.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted. It is important that you provide as much information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information.

Sometimes the requester/subject will provide an A-number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure requesters provide the minimum information to allow a positive identification (i.e., full name, aliases, an alien number, date and country of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or

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- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS and/or CLAIMS for a record. If you find no record, please refer to the section on NO_RECORDS.

TO RECAP: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.7.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.
When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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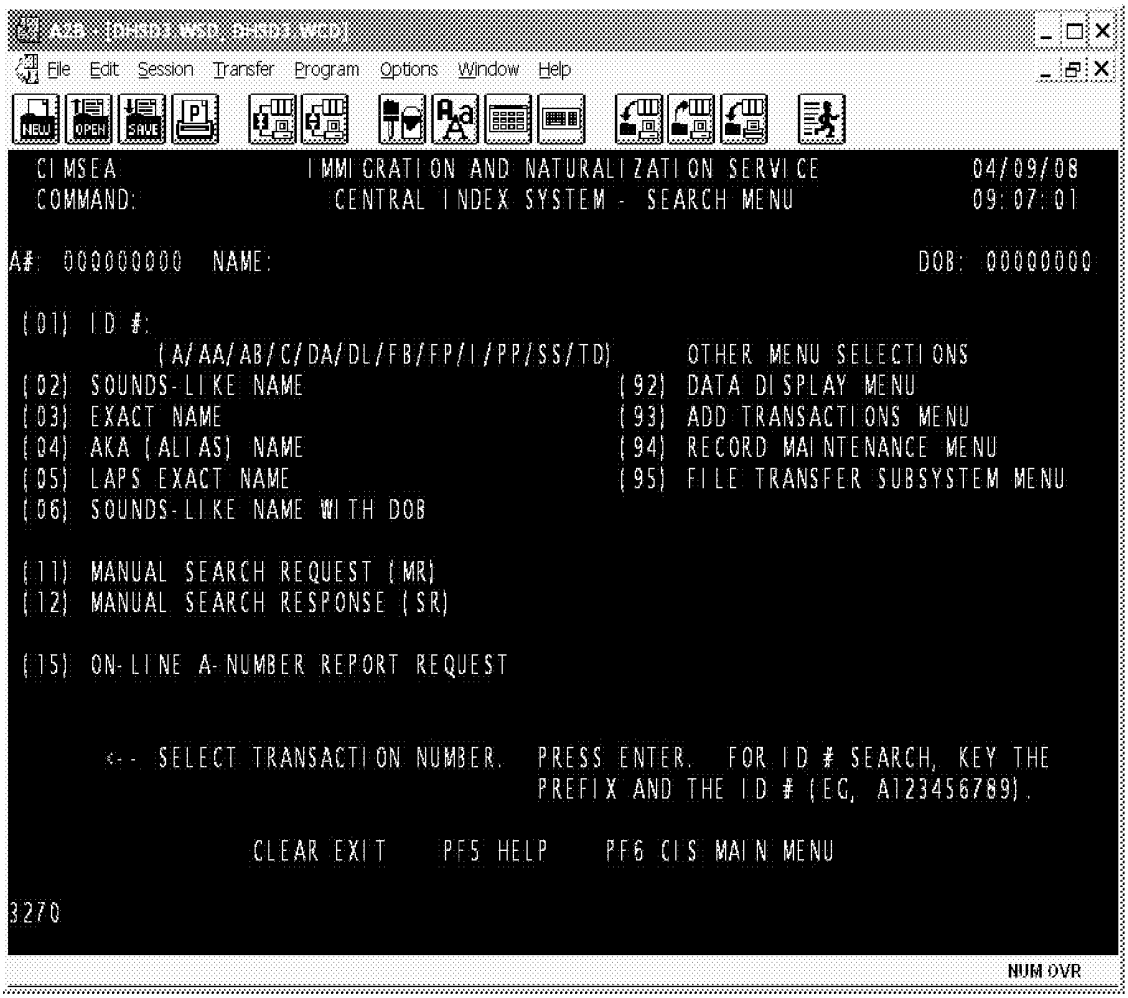

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

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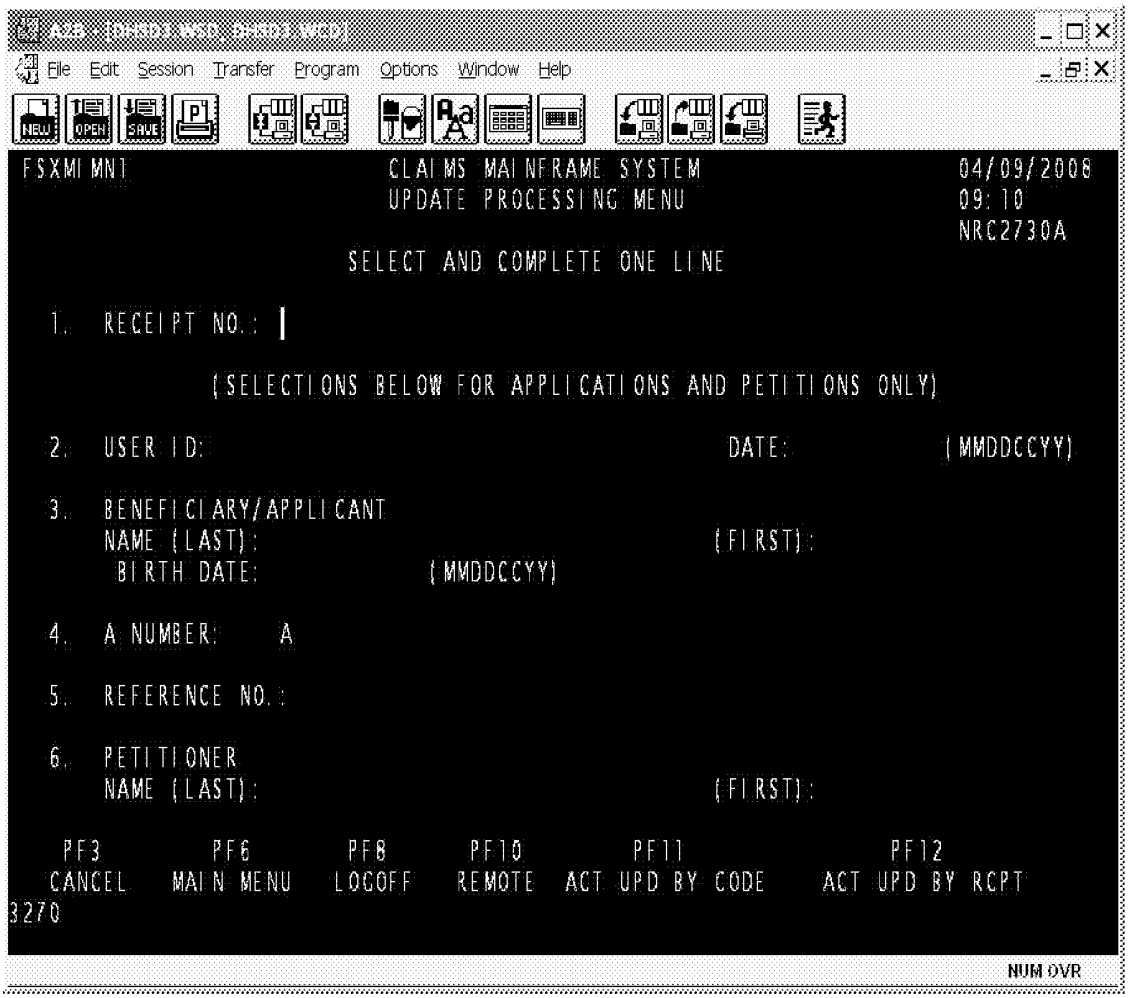

When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Genealogy is exempt from this process.

12.7.7 A-number in CIS but not in NFTS

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If there is an A-number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**ie… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

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Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

12.7.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.7.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.7.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX or ZG.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there

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is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.7.12 Receipt files

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12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers **(ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, [redacted] etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

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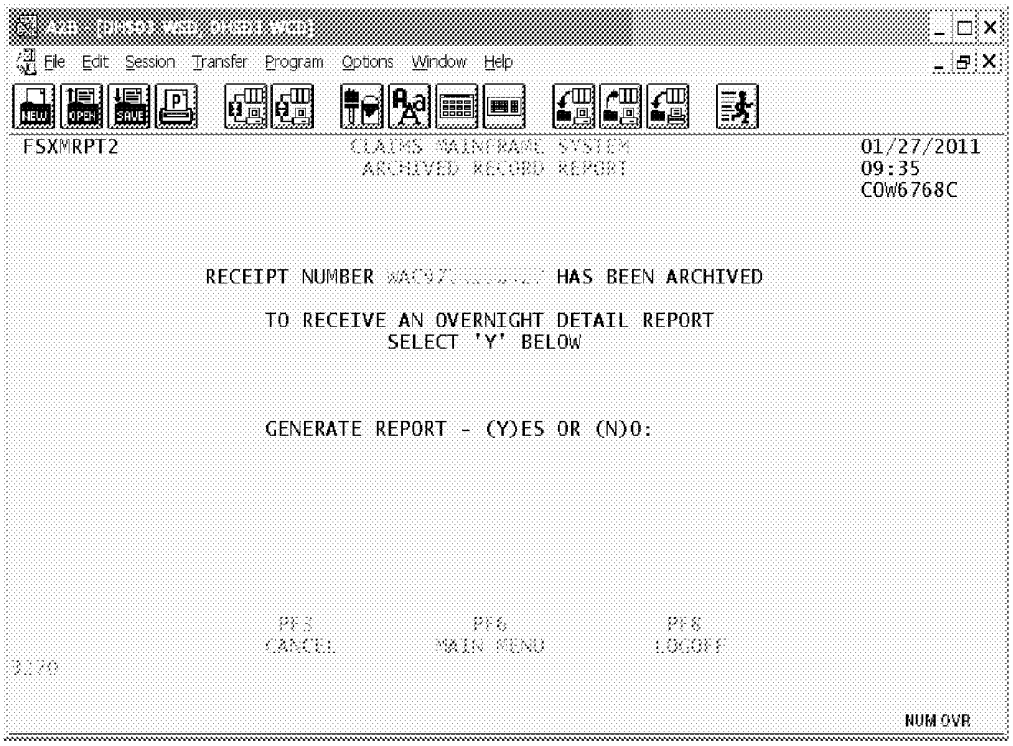
12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

12.7.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file or redirect the request please do one or all of the following as necessary:

1. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS.
2. On the USCIS website enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide

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evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.

3. You may call the NVC automated help line at **603-334-0700** and enter the receipt number. There may be evidence that the receipt file has been forwarded to the NVC in which case you would redirect the request to NVC.
4. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.
5. If there is no evidence in PCQS, follow the instructions for *Receipt files; Lost receipt file, File destroyed or File cannot locate.*.

Reading the request is very important; if the requester is seeking information relating to what appears to be a receipt number and it begins with "CDJ" or one of the other prefixes found in the section **National Visa Center Valid Consulate Prefix Codes, c**all the NVC help line at **603-334-0700** and enter the receipt number. If there is evidence that the NVC has the receipt file, redirect the request to NVC.

To redirect a request to NVC do the following: Click Final Action Letter and choose the code "RD" and select "NVC". Send the case to Up-front Approver.

12.7.14 Receipt files; Lost receipt file, File destroyed or File cannot locate

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following verbiage; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE", the case creator will need to follow the steps outlined below.

Open a RAFACS (*not RAFACS/CIS)* staffing slot only. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Print the staffing letter, attach it to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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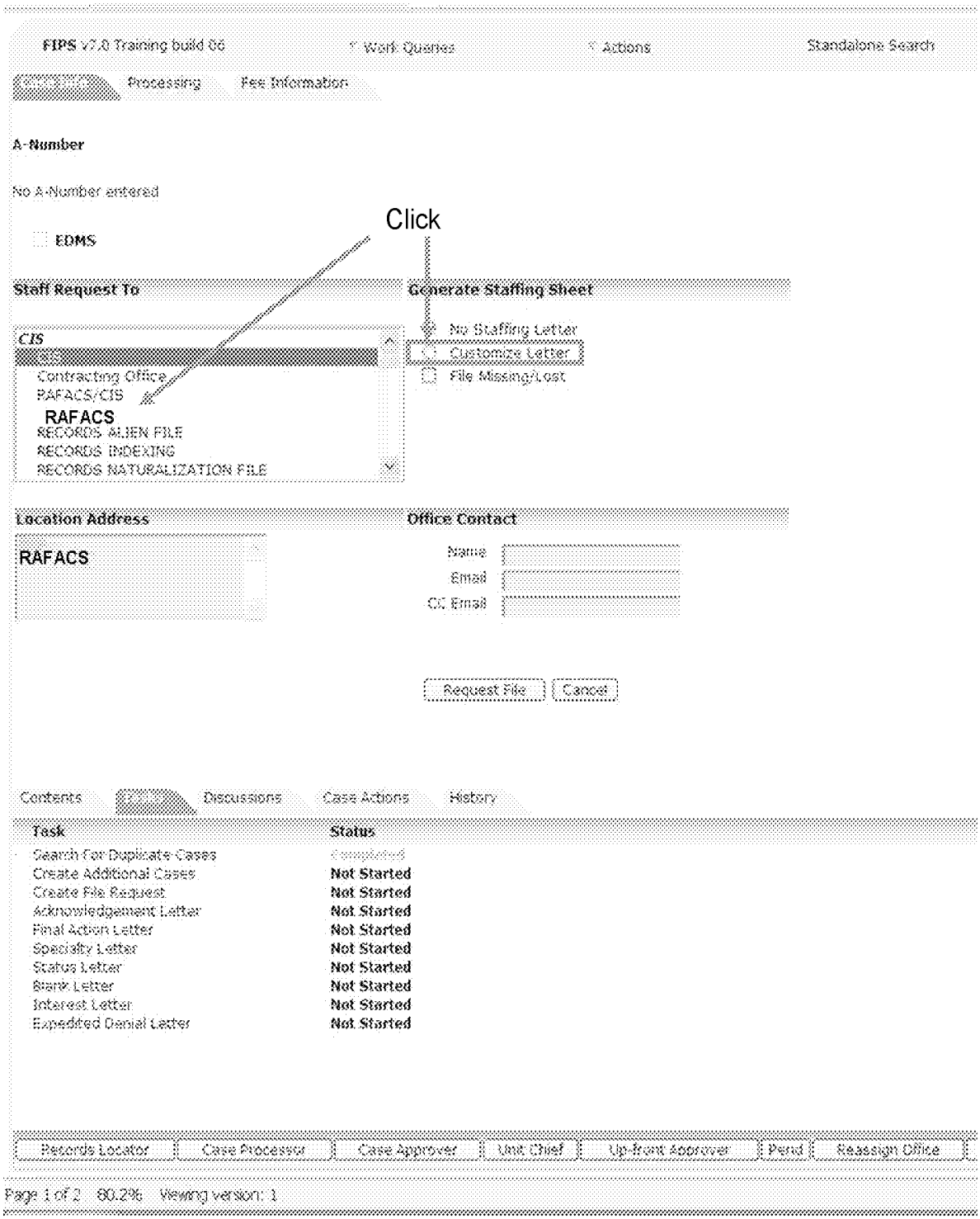

This is only if there is no A-number and you have checked and the receipt file is not at the NVC. This is what the response will look like:

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Staffed to: WSC
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2009012395 **Date:** June 3, 2009

Alien Number: **Subject:** WAC93 , the I-130 Petitioner Documents for Cardenas

History Inquiry For WAC93

File #	Seq	Transaction Date	Transaction	Office	Performed By	Detail
WAC93	003			WSC	RAFACS CONVERSION	
WAC93	000			WSC	RAFACS CONVERSION	

RECEIVED

According to CLAIMS this file is owned by WAC
2nd Staffing

JUN 08 2009

A28 - [DHSD3.WSD, DHSD3.WCD]

FILE CANNOT LOCATE

RECEIVED
JUN 08 2009
F.O.I.A.

This is to certify that I have conducted a thorough search for the above listed A-file and this file:
_____ is attached
_____ could not be located.

Printed Name Phone

WAC93

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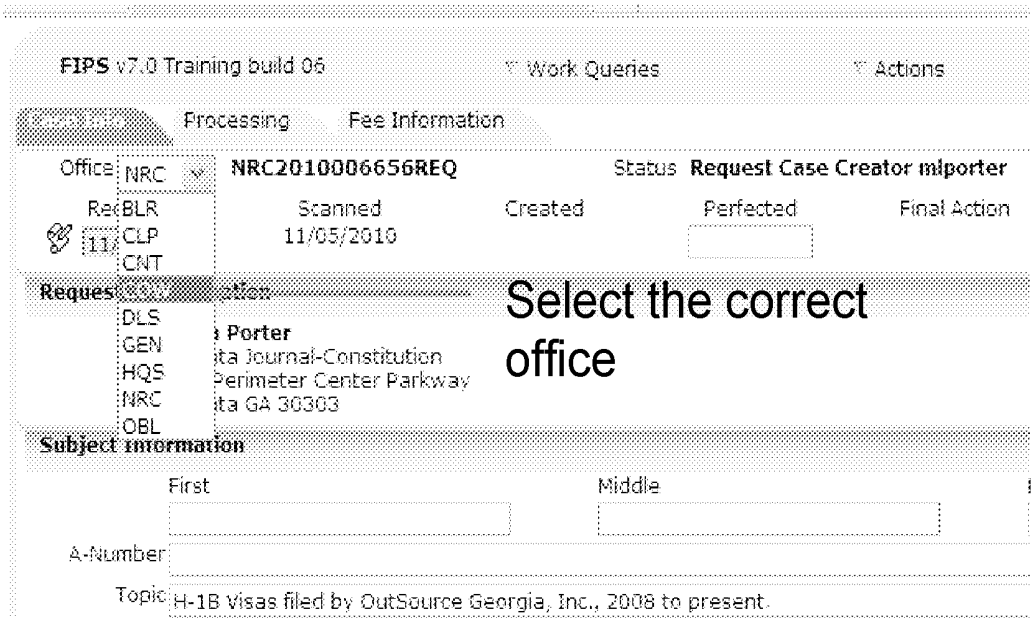
13. REASSIGN OFFICE

This function is used to move a case that was scanned in the NRC queue to another queue for processing.
Re-assign the case if the request is for a contract (CNT).
Re-assign the case if the request is for CIS Personnel Information (HQS).
Re-assign any SIG case to COW.

First you must select the correct office. Use the drop-down box to select the office where you want the case to go, search for duplicate cases, and then create the case:



After you change the office to COW, create the case. The case will have a COW number.

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Next, click on "Reassign Office"

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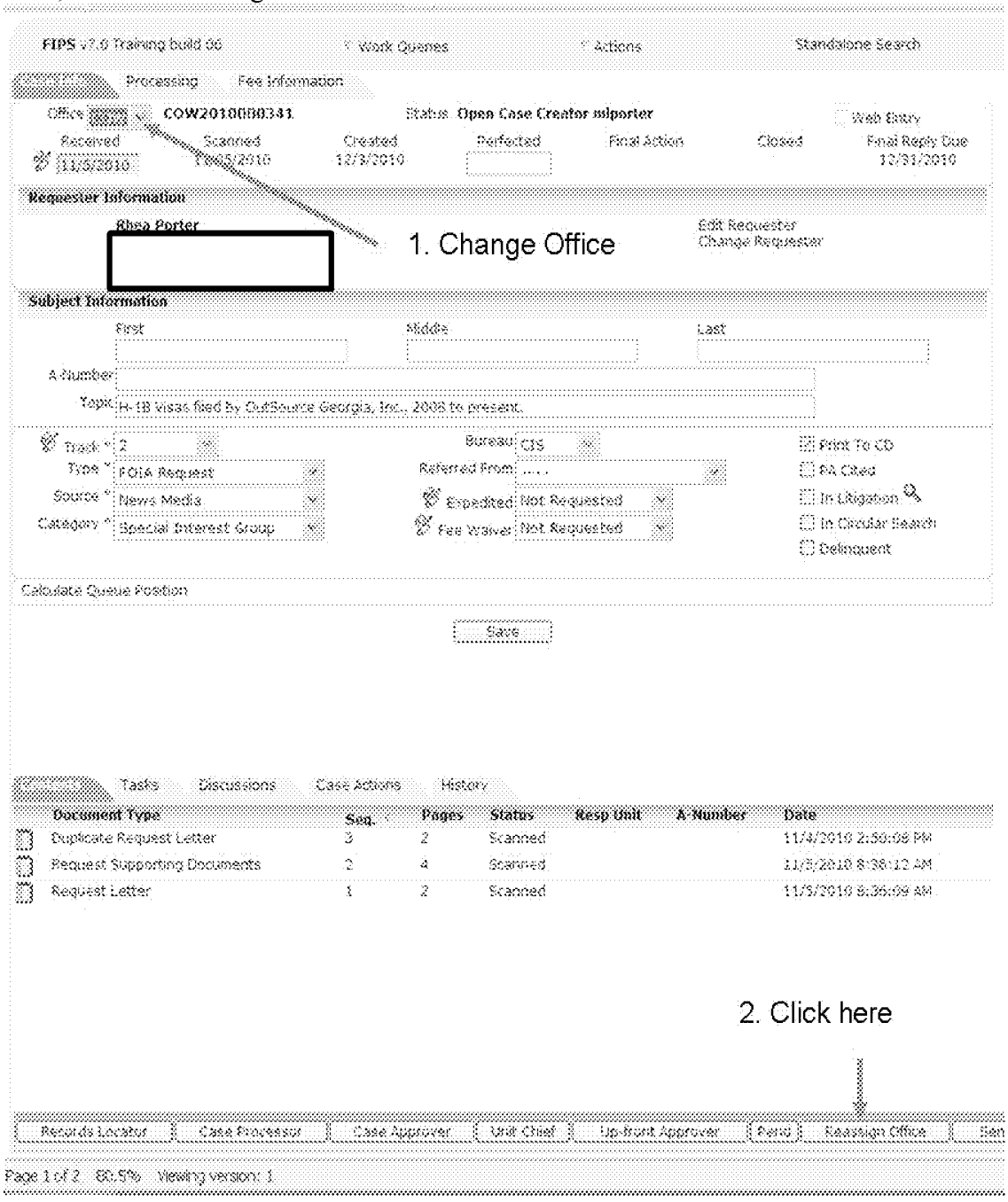

You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, requester or reason you assigned the case to SIG.

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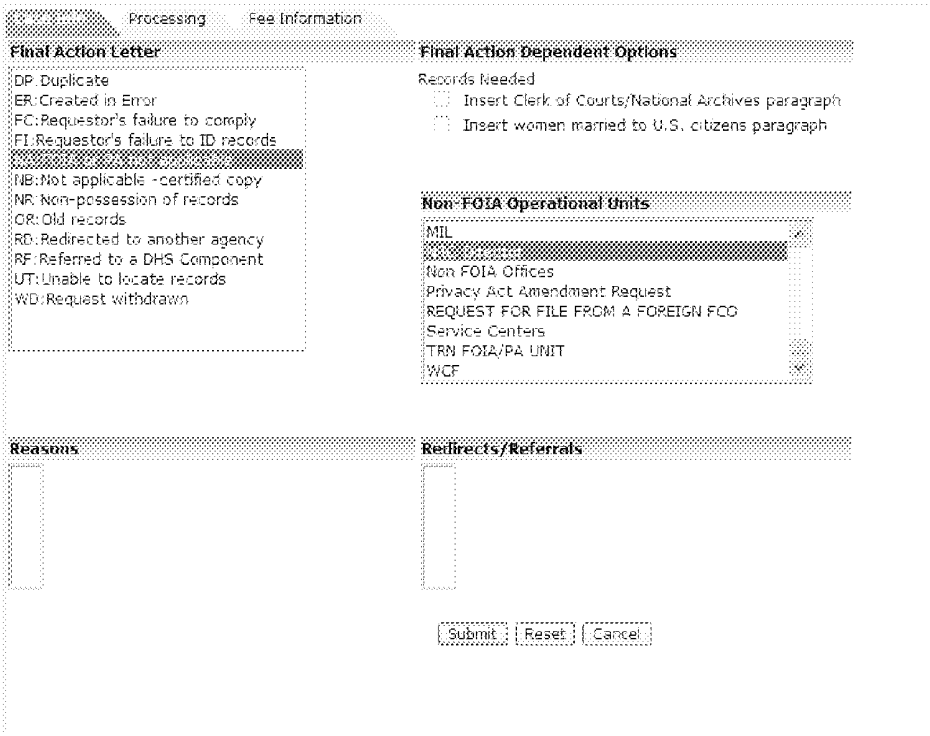
14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

Sometimes a requester will file a FOIA request asking for the return of original documents, the status of a petition, or a question, not asking for records. If FOIA/PA does not apply to the request, you would create a Final Action Letter and select the closing code "NA: FOIA or PA not applicable." You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director." Note: if the request for return of original documents is on Form G-884 which was inadvertently scanned in as a request, you will be closing the case "ER." Please refer to REQUESTS: Return of original documents.



You do not have to modify the referral letter. You will have to select the applicable box in the Final Action Letter and possibly add other instruction, if necessary. Send the case to Up-front Approver.

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15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Letter using the "ER" option for cases when the following situations arise:

1. When a G-884 Return of Original Documents is scanned in FIPS.
2. When a routine use/child support request has been scanned in FIPS.
3. When subpoenas/court orders have been scanned in FIPS.
4. When a Bond Obligor request has been scanned in FIPS.
5. Requests from Foreign Consulates (no letter required)

FIPS will not create a letter. Prepare a detailed Discussion. Send the case to Up-front Approver. The supervisor will review and close the case.

16. FC (failure to comply) CASE CLOSINGS

If you are closing a case FC because of consent, verification of identity or failure to reasonably describe the record they are seeking, please refer to

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters\Failure_to_Comply_Letter and select the applicable paragraph for your final action letter. Please enter the date of the last correspondence to the requester/subject.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

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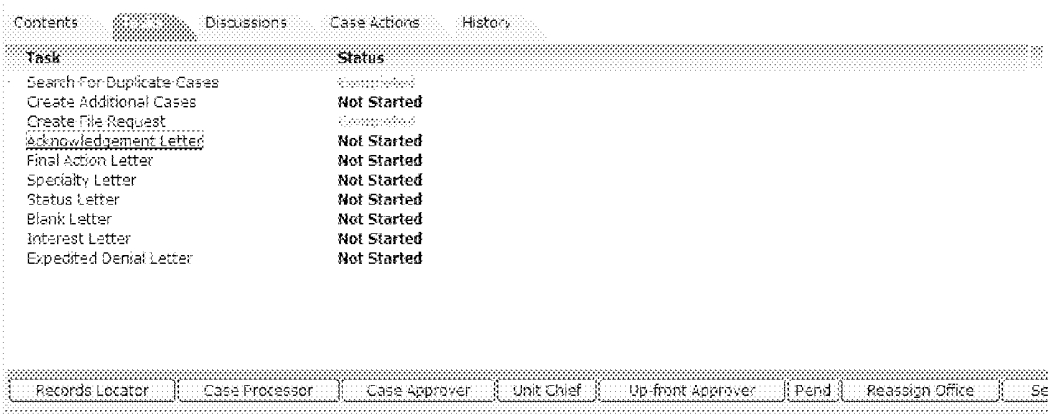
18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address requests. The example in this guide shows how to do a standard acknowledgment letter if we have verified consent and identity, the requester has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:

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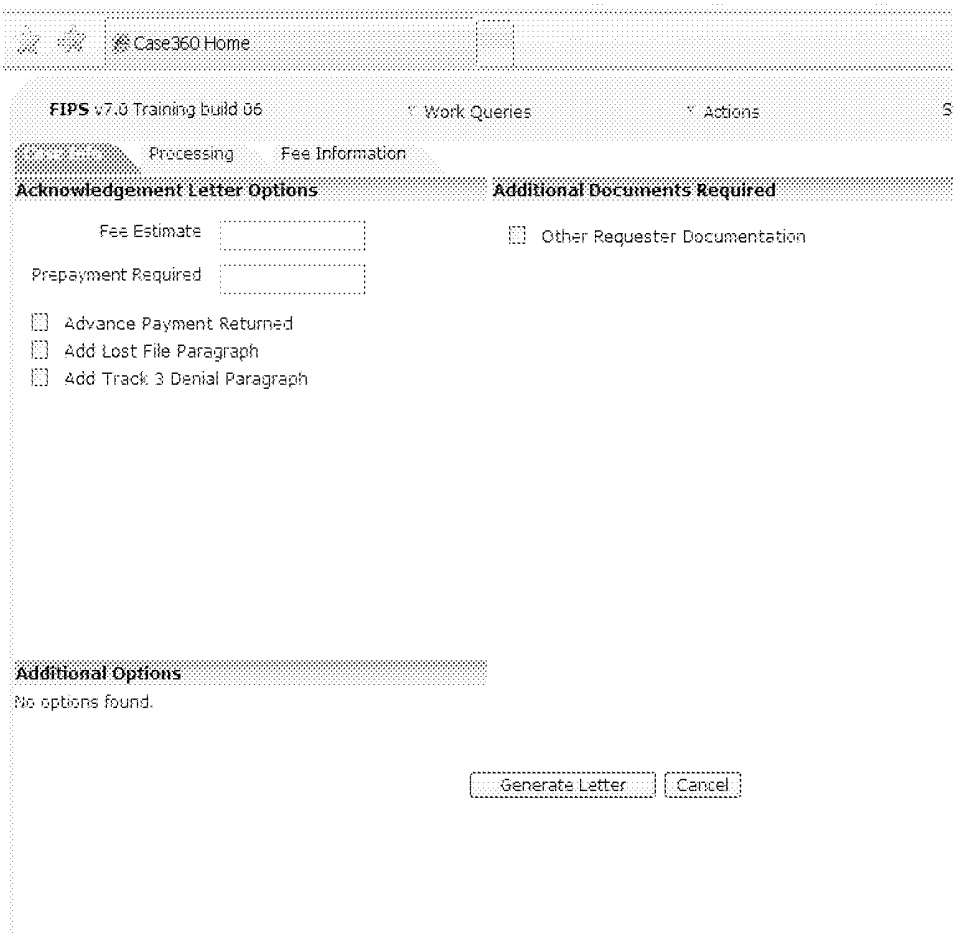
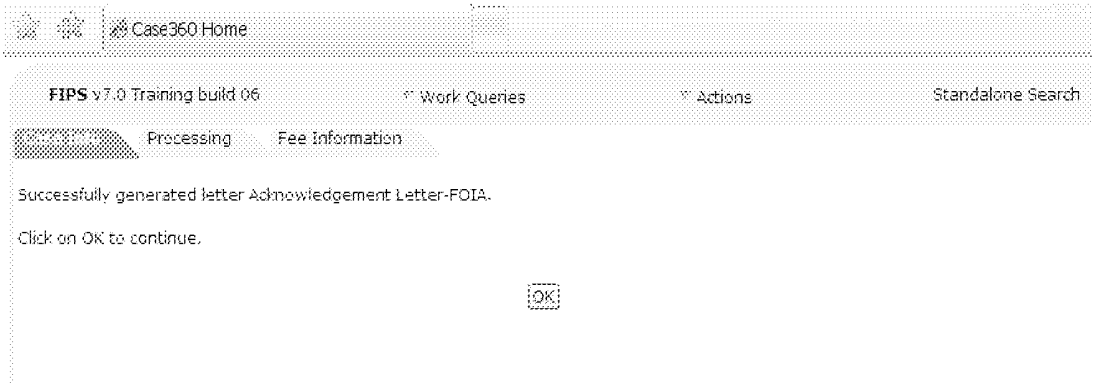


Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."

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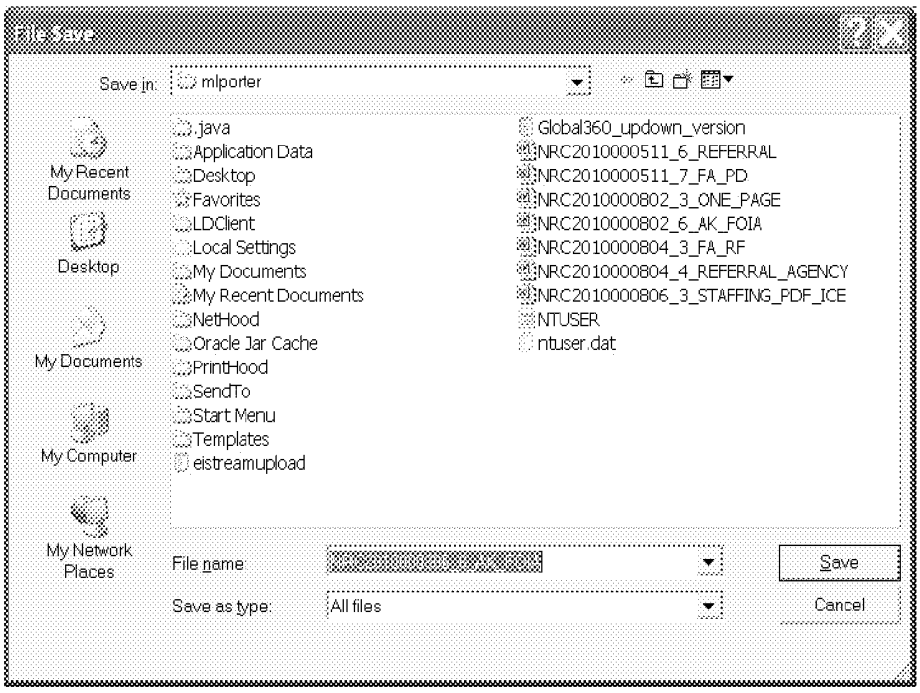

The acknowledgment letter will pop up:

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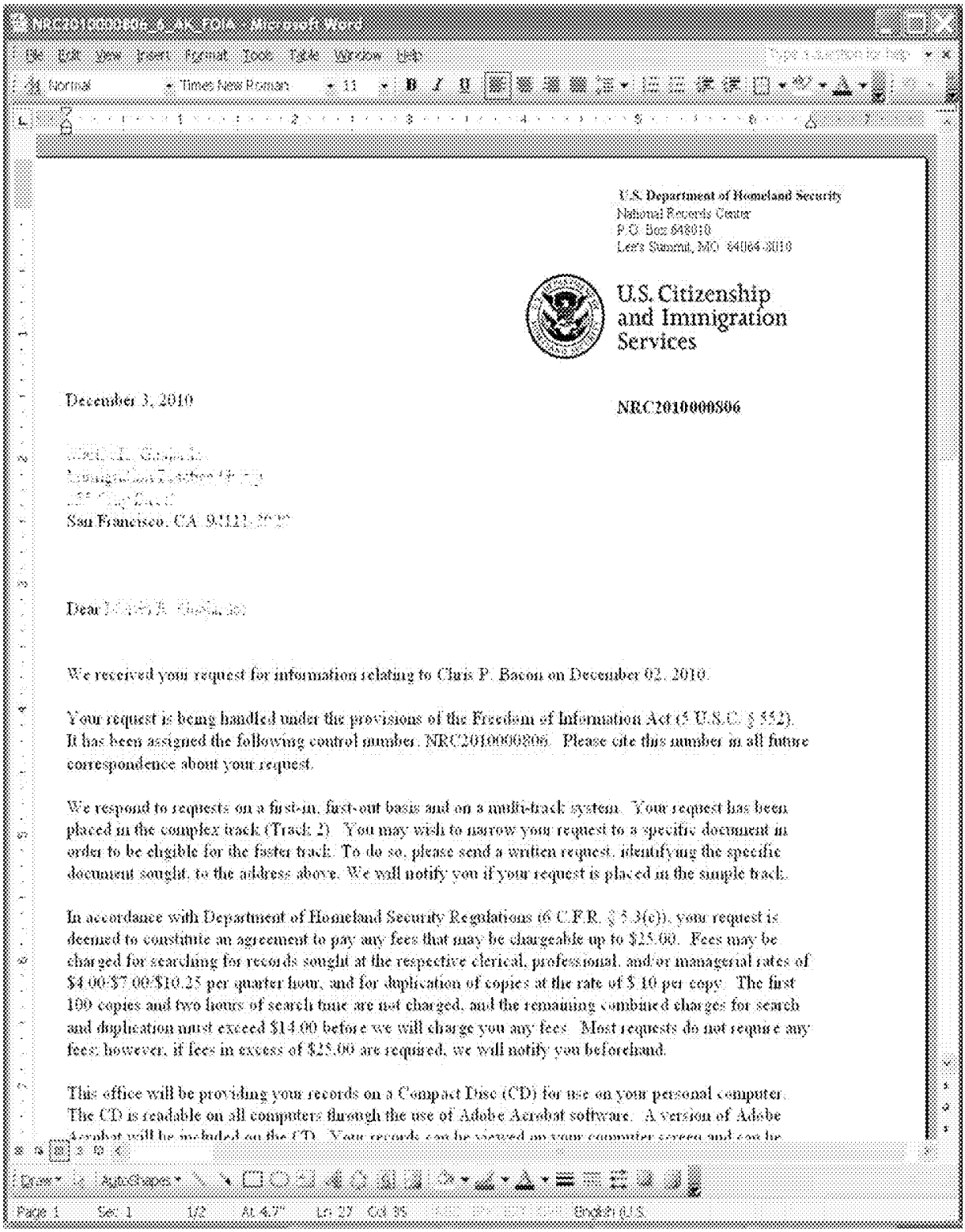

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA 9[illegible]

Dear [illegible]

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.

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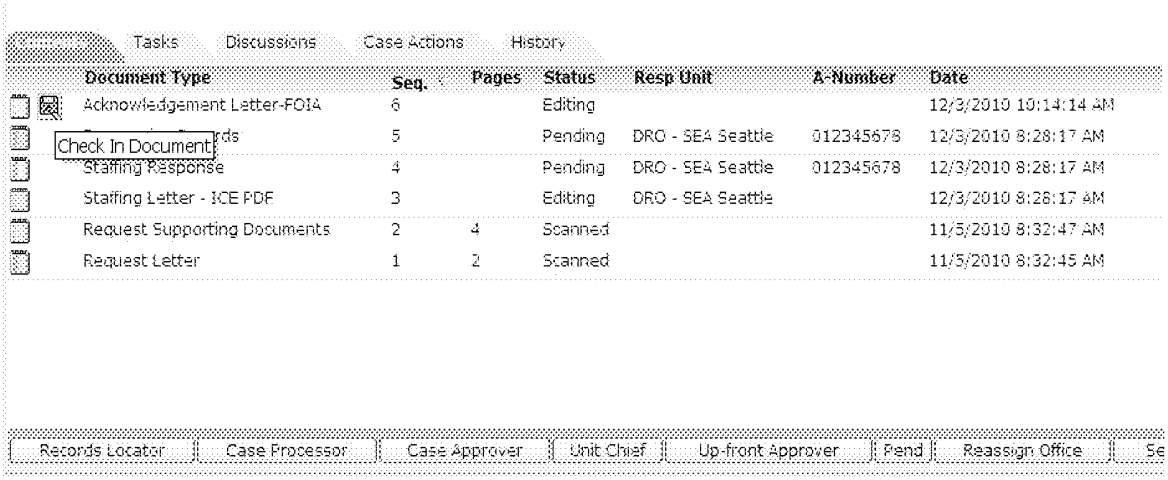
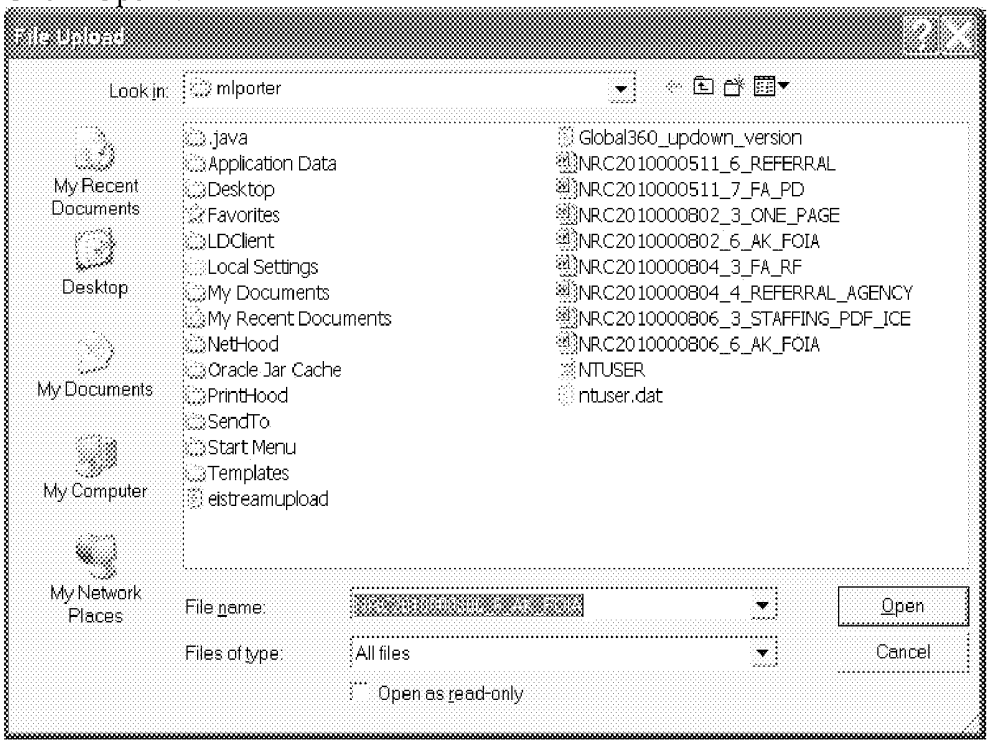


Click "Open":



In this example, we are now ready to send this document to "Pend."

19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS also automatically generates Discussions in various situations, such as duplicate,

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multiples and when responsive records are copied from one case to another. Because Discussions become a permanent part of the case in FIPS, you should not used Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally requester documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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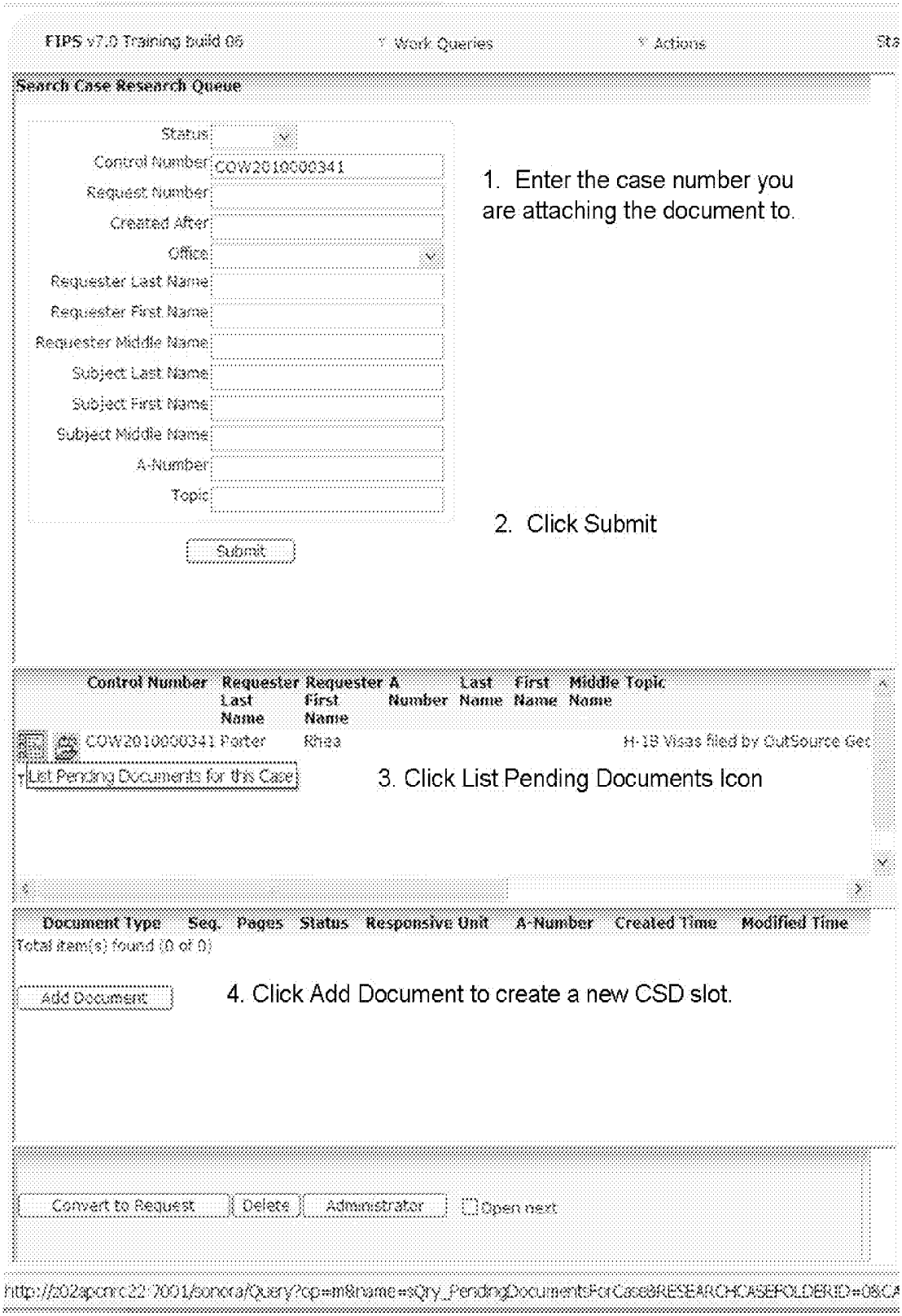

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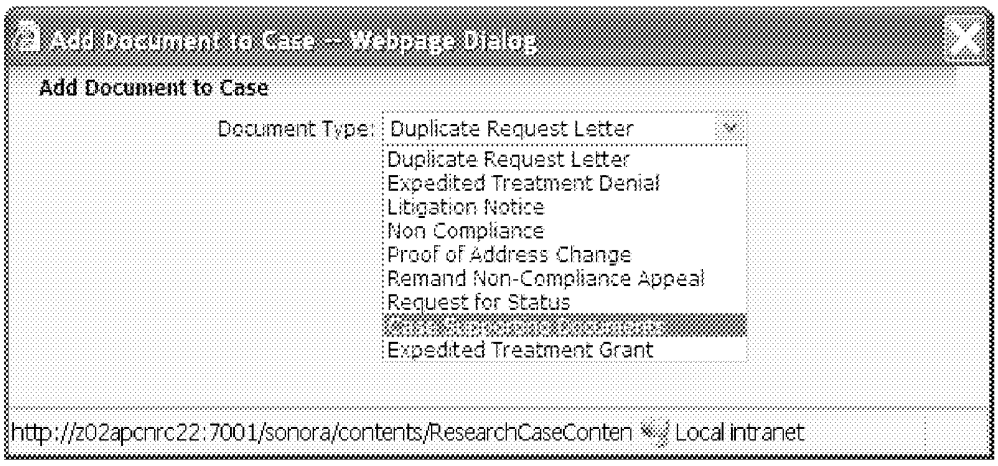

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned). If the fax needs to be scanned in before reviewing, the FOIA/PA Assistants can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking requester documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requester Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

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23.1 THE OA ROOM **(NRC, FOIAOA)**

Send e-mails to the OA Room when:

- The request letter and supporting docs need to be printed and scanned in as a new case. Include instructions to the case creator, if necessary.

- The original Final Action Letter and responsive records were mailed but the requester never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

- The responsive records need to be re-printed to CD due to the requester receiving a broken CD.

- The requester has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the requester. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

Don't forget to add a Discussion to the original case.

23.2 MSB **(NRC, NRCFOIAMSB)**

Send e-mails to the MSB mailbox when:

- An appeal is encountered in case create that was not previously addressed.

- An expedited treatment is encountered in case create or Records Locator queue that was not previously addressed. Personnel handling the MSB mailbox will forward the e-mail to the supervisor(s) handling the expedited treatment.

All e-mails to the MSB mailbox should contain the control number, the A-number or subject of the case, and specific instructions relating to the case.

23.3 FIPS PROBLEM **(NRC, FIPSPROBLEM)**

Send e-mails to the FIPS Problem mailbox:

- If errors are encountered in the case

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- If responsive records need to be copied from one case to another
- If records are incorrectly scanned in a case and need to be removed

All e-mails to FIPS Problem mailbox must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

23.4 FOIA FILE REQUEST (NRC, FOIAFILEREQ)

Send e-mails to FOIA File Request if you discover A file sitting on a shelf and it has not been scanned in to the case. Include the control number and the A-number in these e-mails.

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the USCIS mailbox outlining what needs to be sent. The MSB supervisor will generate the e-mail to the requester and transmit. Include all information in the e-mail that the MSB supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to MSB. If you are asking for more information from the requester, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the requester.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requester Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

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Note: Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click on the "U" to update FIPS.

2. Correct the acknowledgement letter and resend letter.

3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a requester document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

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25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

   1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
   2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

   Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

   Title of Discussion: CD Returned for Additional Postage
   Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

   Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

   1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

      Shred the CD.

   2. If another address is found in the CSD's:

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a. Make a copy of the CD and returned envelope.

b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

This is mail sent directly to NRC from requesters, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see **Request for Change of Address**)
- Status Request (see **Status Letters**)
- Withdrawal of Request (see **Withdrawal of FOIA/PA Request**)
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested.
- Correspondence about delinquent payments (including checks)
- Responses to Track 3 denial or Expedited Treatment denial
- Responses to requests for additional information
- Requester asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. FOIA/PA Assistants assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

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Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the MSB supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny. FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the requester responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the MSB supervisor, who will make the determination.

If a FOIA/PA Assistant working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; the Assistant should insert a Discussion and send the case to Admin or Unit Chief. Send an e-mail to the supervisor handling the expedited requests and include the control number of the case.

25.2.2 Requester documentation / additional information

This consists of documents or more information that we have asked the requester/subject to provide. When the information is received it is scanned into the requester documentation slot. Use the additional information provided to continue creating the case. If the requester/subject did not provide the alien number, use the information provided to search CIS (9102, 9103 or 9106) and CLAIMS to locate any responsive records, or receipt files. If you cannot locate any records relating to your person, close the case as NR. Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the requester failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the requester docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the

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requester a letter advising them that their case has been closed as a FC. If the requester still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the requester docs, and before the case closes, you may repend. A template FC letter is located at: O:\Foia\FOIA LIBRARY\Case Create References\Template Letters\FC Letter.

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check." Click there to navigate to the online status check page.

The on line status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

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If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers Teams should paste in the online FOIA Request Status Check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online FOIA Request Status Check. You should not provide status to the requester using the "Q" button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from *O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*, since the letter in FIPS may not be the current version. This ensures that the requester will receive accurate information.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A requester must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to MSB, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the requester.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to MSB when their scanning is complete. The MSB staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the MSB mailbox with the case number and the page(s) number where the media can be located. MSB will pull the media and process/make any necessary redactions. The media will be mailed to the requester separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. below. If you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the Team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to Team members to correct the page counts.

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1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _). After the case is opened, determine the corrective action needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

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32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended
- Additional PII or consent is needed
- Requester docs have been received
- Requester writes to request the record on paper
- The wrong records were scanned into the case
- We need to send an interim interest letter to an incarcerated individual
- The file is lost
- We got a response of not found or consolidated from a service center.

It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.1 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the requester to see if that petition has already been addressed.

32.2 Read and follow directions in any Discussion found in the case regardless of age or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.3 Anytime you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.4 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary.

32.5 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel that staffing, because the T-files no longer exist. Send the case to the processor.

32.6 If the A-file has been scanned in, but there is an open pending slot for a T-file: Review "T" file history in NFTS. If the "T" file has been consolidated /combined with the A-file, check the date it was consolidated. If the "T" file was scanned in with the A-file, cancel the pending "T" file slot and send the case to the processor.

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32.7 If you see it has been through image process box and returned to a shelf then further research is required.

32.7.1 Check all offices for duplicate cases in FIPS using the alien number.

32.7.2 Does the subject have more than one alien number per a Discussion or on their request? If so, search those for potential duplicate cases.

32.7.3 If you find a duplicate case, make a Discussion and advise NRC, FIPSPROBLEM mailbox with an e-mail and repend.

32.8 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII or verification of identity is needed from the requester/subject. You will have to create an Interim Response Letter and check the other documentation box. Modify the letter and attach the Requester Documentation Attachment (located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Requester Docs Attachment). Check the boxes required and pend the case for Requester Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained.

32.9 If you pull a case in Records Locator queue and the Requester Documentation has been received: Review the information provided, if the requester/subject has provided the requested PII and/or consent, request the file.

32.10 The requester/subject may respond negatively to the request for PII. If we receive a negative response, attempt to locate an alien file and staff, matching as much of the PII as possible. Pend the case for responsive records.

32.11 If the requester/subject does not return the PII we asked for, and if a positive match cannot be identified in CIS or CLAIMS with the PII provided, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-PII. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.12 If the requester/subject does not return proper verification of identity, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

32.13 If a request for consent is returned but the requester says he or she is a third party requester (they have no relationship to the subject of the record and cannot or will not get

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consent), request the file. Create a Discussion advising the processor to process this case as third party without consent.

32.14 Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.14.1 Did the Case Creator use the wrong alien number when the case was originally created or when the records were staffed? If so, please request the correct file. You must then send an e-mail to FIPS Problem mailbox and ask that the wrong records be removed. Clicking the link above will automatically send a copy to the FOIA Program mailbox.

32.14.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff.

32.14.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.14.3.1 Look for a pending case for the records that were scanned into your case.

32.14.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.14.3.3 If they have not, you'll need to have the records moved from your case over to the correct case. You will have to have the slots in your case re-set to pending by the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.4 If the pending case already has records scanned in, review those records.

32.14.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

32.14.3.4.2 If they are duplicates, then you do not have to do anything with that case.

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32.14.3.4.3 You will need to have the wrong records removed from the staffing response and responsive records slots in your case. Send an e-mail to the NRC, FIPS Problem mailbox. Clicking on the link will automatically send a copy to the NRC FOIA Program mailbox.

32.14.3.5 If you pull a case in Records Locator queue and there is a **Discussion instructing you to create an interim response letter because the individual is incarcerated**:

32.14.3.5.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.14.3.5.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. **Do not close out the case FC without the returned mail.**

32.14.3.5.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.14.3.6 **If you pull a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive**, look at the document scanned in to the Staffing Response.

32.14.3.6.1 If the case was staffed for a receipt file that has been sent to NVC (National Visa Center), redirect the request to NVC. Create the Final Action Letter, choose "RD" and select "NVC" from the drop-down box. Save the document and check it in. Send the case to Up-front Approver.

32.14.3.6.2 If the receipt file is marked lost, file destroyed, or file cannot locate, go to Receipt files; Lost receipt file, File destroyed or File cannot locate.

32.14.3.6.3 If the receipt file has been rejected by the service, there are no records to retrieve. Close out as No Record, with an explanation of rejected receipt files.

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33. REPENDING IN RECORDS LOCATOR QUEUE

33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the NRC case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

34. CHANGING THE TRACK OF A CASE

Do not change the track of a case except in the following instances:

34.1 The requester is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the requester that their case is now on the simple track.

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34.2 The requester has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the requester that their case is now in the complex track.

34.3 The requester has a Track 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the requester that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. The processor will send a message to the NRC, FIPSPROBLEM mailbox for correction and insert a Discussion explaining the problem.

If the case has not come up for processing and you encounter this situation in Records Locator queue, put a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to the NRC, FIPSPROBLEM mailbox with the following information:

- The NRC control number of the case,
- The A number or Receipt Number of the records,
- The staffing sequence they are scanned into, and
- The number of pages scanned in.

Send the case to Unit Chief/Admin so that the problem can be resolved.

Click here for instructions if you pull a case in Records Locator queue that has been staffed for a **Lost File**.

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36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

37. RE-STAFFING

- If the file has moved to another office, cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- If the current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing): Cancel the pending slot and re-staff properly.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

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41. MSB DIRECTED PROJECTS

Occasionally, MSB may have special projects that require your assistance.

MSB paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:

U.S. Customs and Border Protection
FOIA Division
799 9th Street NW, Mint Annex
Washington, DC 20229-1177

MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

32 Rochester Avenue, Suite 200
Portsmouth, NH 03801-2909

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asuncion (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

FRN – Frankfurt (Germany)

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FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

KWT – Al Kuwait aka Kuwait City (Kuwait)

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LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

NHA – Naha

NMY – Niamey (Niger)

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NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haiti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

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SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

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VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error. (see **ER Case Closings**)

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable. You are required to select the office the request is being redirected to. Select "ALL", two letters will be generated.

NR – The case was closed as no record. A search of all databases was conducted for any files relating to the subject. No results were found. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. Cases can be closed if the alien file is marked as lost and it has been more than one year. A thorough search of all systems must be completed.

FC – Cases close failure to comply when requesters fail to supply requested information. (i.e. Interim Interest Project, consent, subject has fugitive status or request for additional information)

FP – Cases close failure to pay when requesters fail to submit payment.

RD – Advise requester to contact another government agency to acquire records. We tell the requester whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the requester the name of the agency we referred their request to.

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F
Nonimmigrant Petition Based on Blanket L Petition	I-129S

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Title	Form Number
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Priveleges, Exemptions, and Immunities	I-508F

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Title	Form Number
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request -- A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730

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Title	Form Number
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905

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Title	Form Number
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director of Examinations
ADDD	Assistant District Director of Deportation
ADDI	Assistant District Director of Investigations
ADIS	Arrival Departure Information System
AFACS	A-Files Accountability and Control System
AFM	Adjudicators Field Manual
A File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms
AVL	Asylum Virtual Library

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BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection
CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control

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CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System

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DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission

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EEV	Employment Eligibility Verification
EFOIA	Electronic Freedom of Information Act (initiative)
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ERO	Eastern Regional Office
ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program

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FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act
FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GILS	Government Information Locator Service

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GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account
HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485

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I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)
I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner

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II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force

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KST	Known Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident
LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NBC	National Benefits Center

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NCIC	National Crime Information Center
NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NWIRP	Northwest Immigrant Rights Project
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement
OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination

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OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs
PA	Privacy Act
PAIC	Patrol Agent in Charge
RAIO	Refugee, Asylum, and International Operations

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PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POE	Port-of-Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RDF	Records Digitization Facility
RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer

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SAVE Systematic Alien Verification for Entitlement

SAW Special Agricultural Worker

SBU Sensitive But Unclassified

SCCLAIMS Service Center CLAIMS

SDAO Supervisory District Adjudications Officer

SDEO Supervisory Detention Enforcement Officer

SDO Supervisory Detention Officer

SES Senior Executive Service

SEVIS Student and Exchange Visitor Information System

SHSI Sensitive Homeland Security Information

SIG Special Interest Group

SII Supervisory Immigration Inspector

SIO Supervisory Information Officer

SLOB Service Lookout Book (old way)

SORN System of Records Notices

SPBP Special Public Benefit Parole

SPOT Screening Passengers by Observation Techniques

SRC Southern Regional Center (Southern Service Center)

SSA Supervisory Special Agent; or Social Security Administration

SSC Southern Service Center

SSI Sensitive Security Information

SSO Special Security Officer

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STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service

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USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
VA	Department of Veterans Affairs
VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written consent of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

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Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-numbers for a person, we combine the two files. One of the A-numbers becomes the "survivor" and the other becomes the "consolidated A-number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written consent of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requester - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of requesters and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for consent unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

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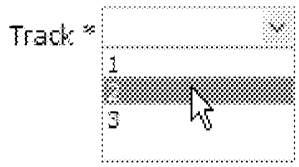
Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

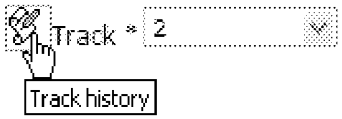
Track Drop-Down List



- Track 1 is used for the less complex cases. These are cases where only one or a few specific documents are being requested from the file.
- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.
- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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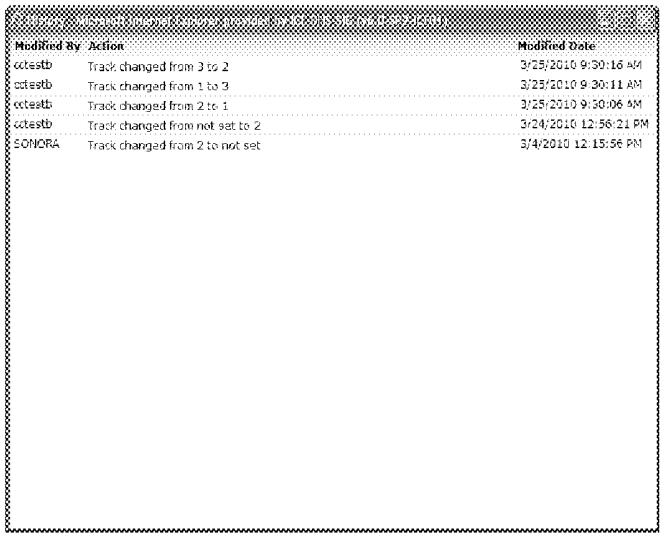
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the requester or other personal identifier. Requests are received from:

- A USC or LPR for access to or his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA requester. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written consent of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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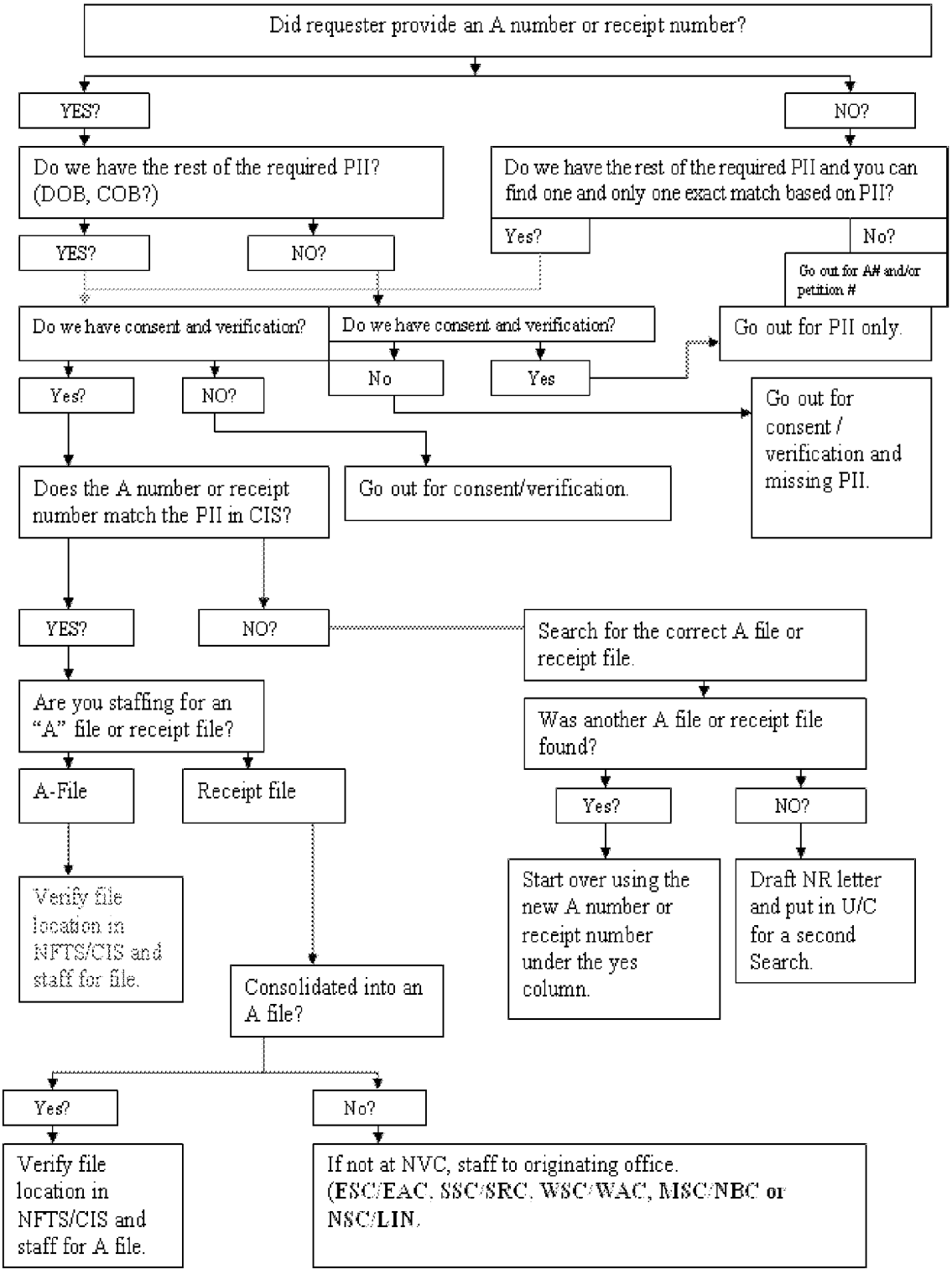
APPENDIX H: CASE CREATE FLOW CHARTS

Case Create Flow Chart for All my records.



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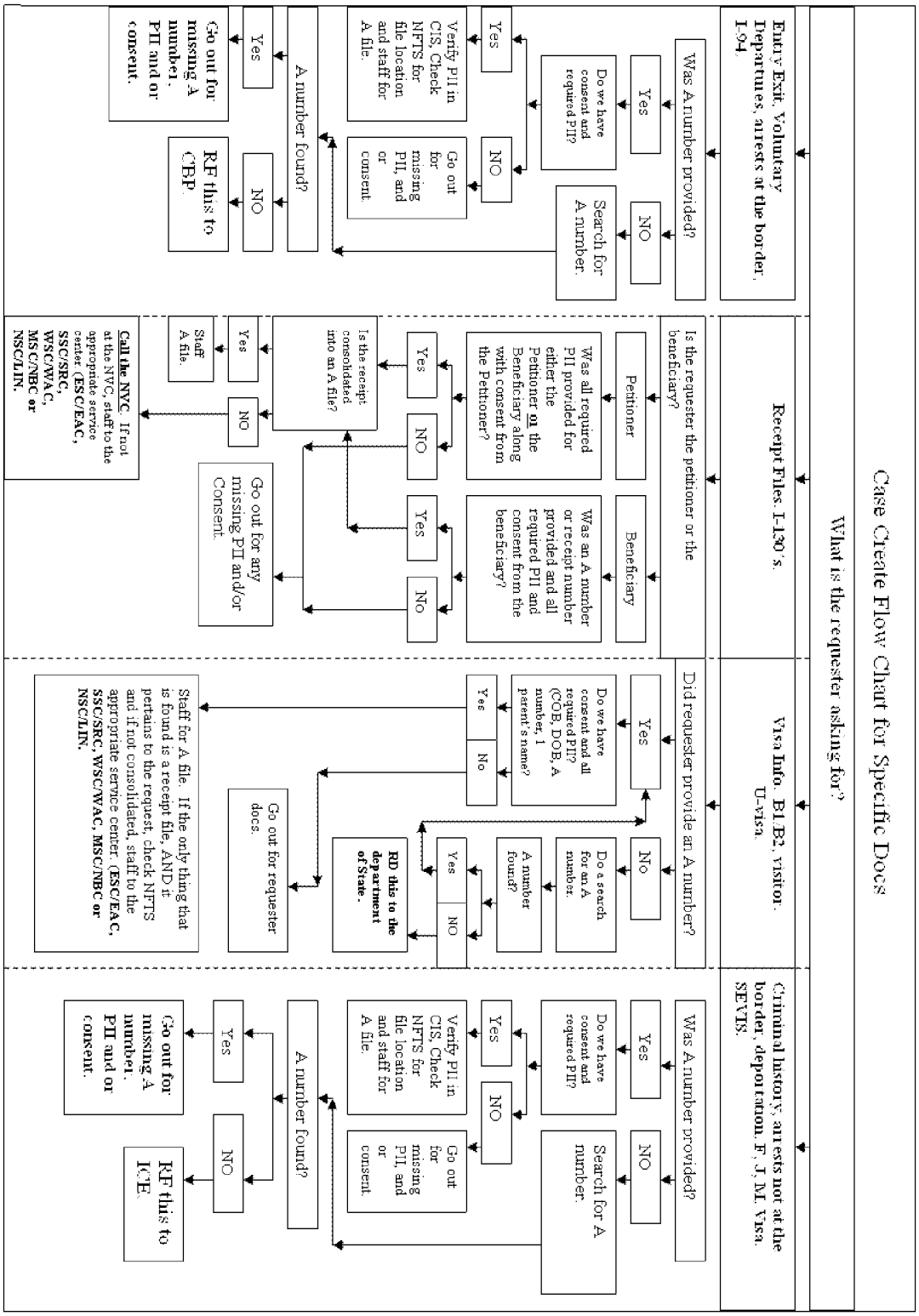

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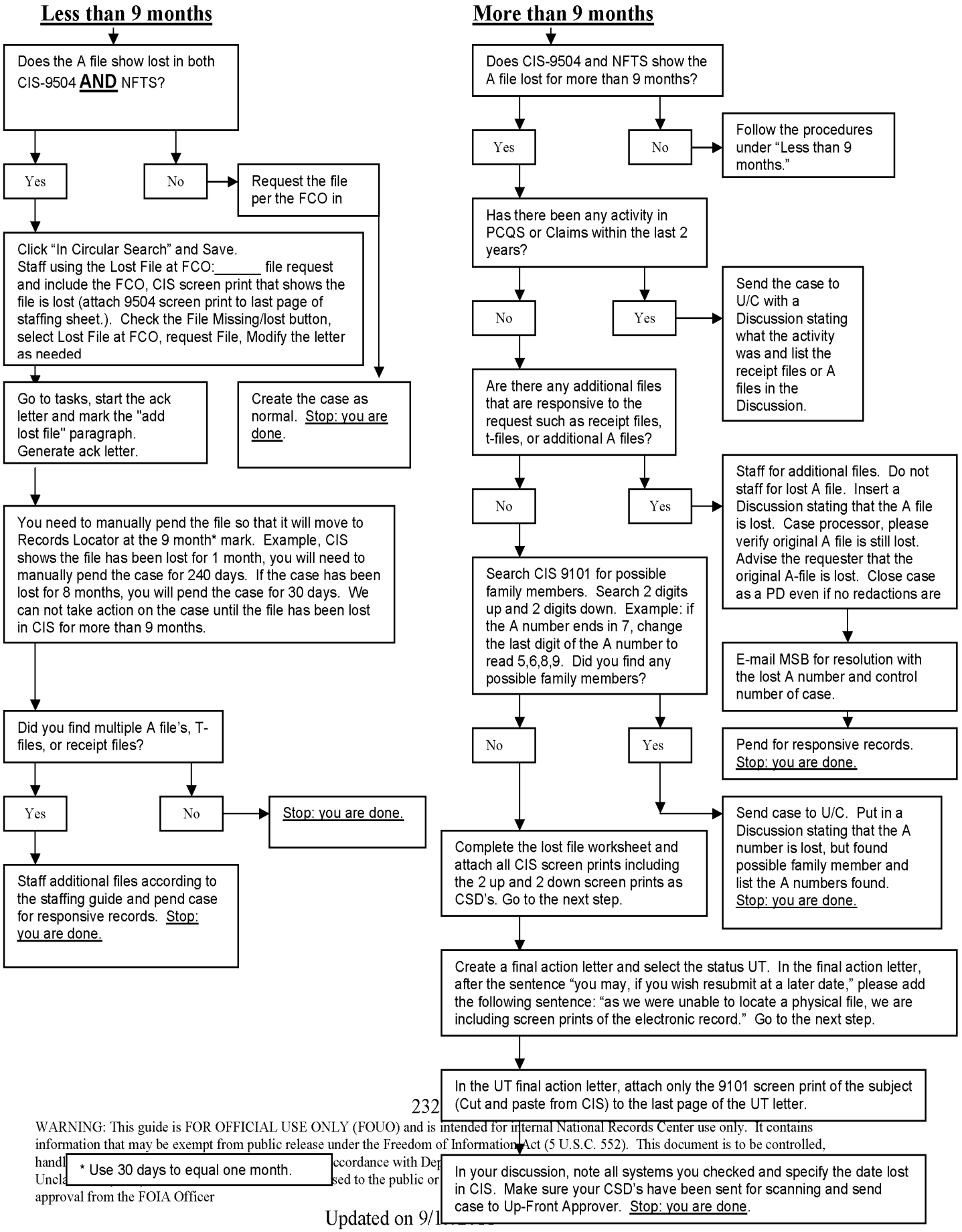
Lost File Flowchart



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Updated on 9/1

APPENDIX I: ALIEN NUMBER ASSIGNMENT

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 015-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 088-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program.

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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FOREWORD

The FOIA/PA Assistant's Guide has been prepared as a ready reference to assist with day-to-day tasks, such as creating Freedom of Information Act and Privacy Act requests, handling mail, working records locator, and general troubleshooting.

The Guide contains all updates or changes from the FOIA Information Bulletins issued as of September 28, 2015.

For the purposes of this Guide, we may refer to a FOIA/PA Assistant or Government Information Specialist as "you," or "Assistant," and in some cases "team member."

The Guide has been saved in PDF format. The PDF format makes searching for information in the Guide easier. **Please view the guide in PDF/A mode while you have FIPS open.** A potential Java scripting conflict exists if you have the document open in PDF mode while running FIPS. Viewing the Guide in PDF/A mode disables Java scripting within the Guide – which means hyperlinks within the Guide will not work, but FIPS will not freeze or crash. You may alternate between PDF and PDF/A mode in Acrobat Reader by selecting Edit ⇨ Preferences ⇨ Documents ⇨ PDF/A View Mode. Select "Never" to turn PDF/A mode off, and select "Only for PDF/A documents" to turn PDF/A mode on.

How does the rulemaking process for this Guide work? The FOIA Officer, the Chief of FOIA Operations and your Supervisors direct how Government Information Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through the Chief of Operations, Supervisors submit a new rule or procedure to the FOIA QA & CS Team. At the direction of the FOIA Officer, QA & CS Team may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, QA & CS Team will either amend the Guide or propose a modified rule to FOIA/PA Supervisors, the Chief of FOIA Operations and the FOIA Officer. Re-writes or revisions of the guide are subject to the final approval of the FOIA Officer.

You, the FOIA/PA Assistant or Government Information Specialist, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Ideally, before we amend the Guide, we first publish a FOIA Information Bulletin (the exception being a misspelled word or a missing punctuation mark). FOIA Information Bulletins and the latest version of this Guide are available on the USCIS FOIA/PA Operations intranet page. When we make additions or revisions, we update the Record of Revision at Appendix K of the Guide for quick reference.

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1. THE FREEDOM OF INFORMATION ACT

Congress passed the Freedom of Information Act (FOIA) in 1966 to establish the public's right to access records created or maintained by federal executive branch agencies. The statute became effective on July 4, 1967. The statute relating to the Freedom of Information Act is 5 U.S.C. § 552.

2. THE PRIVACY ACT

The Privacy Act of 1974 regulates the collection, maintenance, use, and dissemination of personal information by the federal government. The statute relating to the Privacy Act is 5 U.S. C. § 552a. The statute became effective September 27, 1975.

3. WHAT ARE FOIA REQUESTS AND HOW DO WE GET THEM?

A Freedom of Information Act (FOIA) request is a request in writing for a copy of any record maintained by any agency of the executive branch of the government. Persons must reasonably describe the records sought, and those records must already exist. Requests can come in a variety of ways. They can come in on the Form G-639 or as a letter from an attorney or representative. They can come in the form of a letter from the alien himself. The Requestor may mail, fax, hand deliver, or e-mail a request. No matter how we receive them or what the format is, as long as they are in written form and provide enough information to ascertain that they want documents from us, we treat them as FOIA requests. A Privacy Act (PA) request is a request by a person for a copy of his or her file.

For case creating purposes, the difference between a FOIA and PA request does not matter. You will create all cases as FOIA requests, although some of the requests we receive are PA requests. The case processor determines whether the case falls under the Freedom of Information Act or the Privacy Act.

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4. WHO CAN MAKE A FOIA REQUEST?

Anyone can request any record kept by the executive branch of government. The tricky part is determining if we have enough information and certification of agreement to provide the record and who is entitled to what. The most common types of Requestors are:

- First party Requestors, that is, the alien himself or his designee, attorney or representative, are entitled to a complete copy of the alien file, after any applicable exemptions are applied. However, a parent or guardian may make a request for a minor's record. Please refer to the section titled **"CERTIFICATION OF AGREEMENT RELATING TO RECORDS CONCERNING A MINOR OR PERSON JUDICIALLY DETERMINED TO BE INCOMPETENT"** in this guide.

- Third party Requestors; any individual seeking a copy of an alien's file without the subject of record's certification of agreement. As of December 14, 2011, third party Requestors are ***not entitled*** to any public documents that may be in the file they are seeking, nor documents they provided in support of an application or petition. The general rule of thumb is if you need to go into the subject's file, you will need the subject of record's certification of agreement and verification of identity. Please refer to the section titled **"THIRD PARTY REQUESTS" 7.4.** in this guide.

- Media Requestors are typically accredited members of the media.

- Bond obligors, companies who posted immigration bonds for the aliens, are entitled to a copy of the file under a court case entitled *Amwest v. Reno*. Please refer to the section titled **"IMMIGRATION BOND OBLIGORS"** in this guide.

- Other state and local government agencies are entitled to documents from alien files for law enforcement purposes. Requests for information originating with any other federal agency are operational matters and not FOIA or Privacy Act requests. Please refer to the section titled **"ROUTINE USE"** in this guide.

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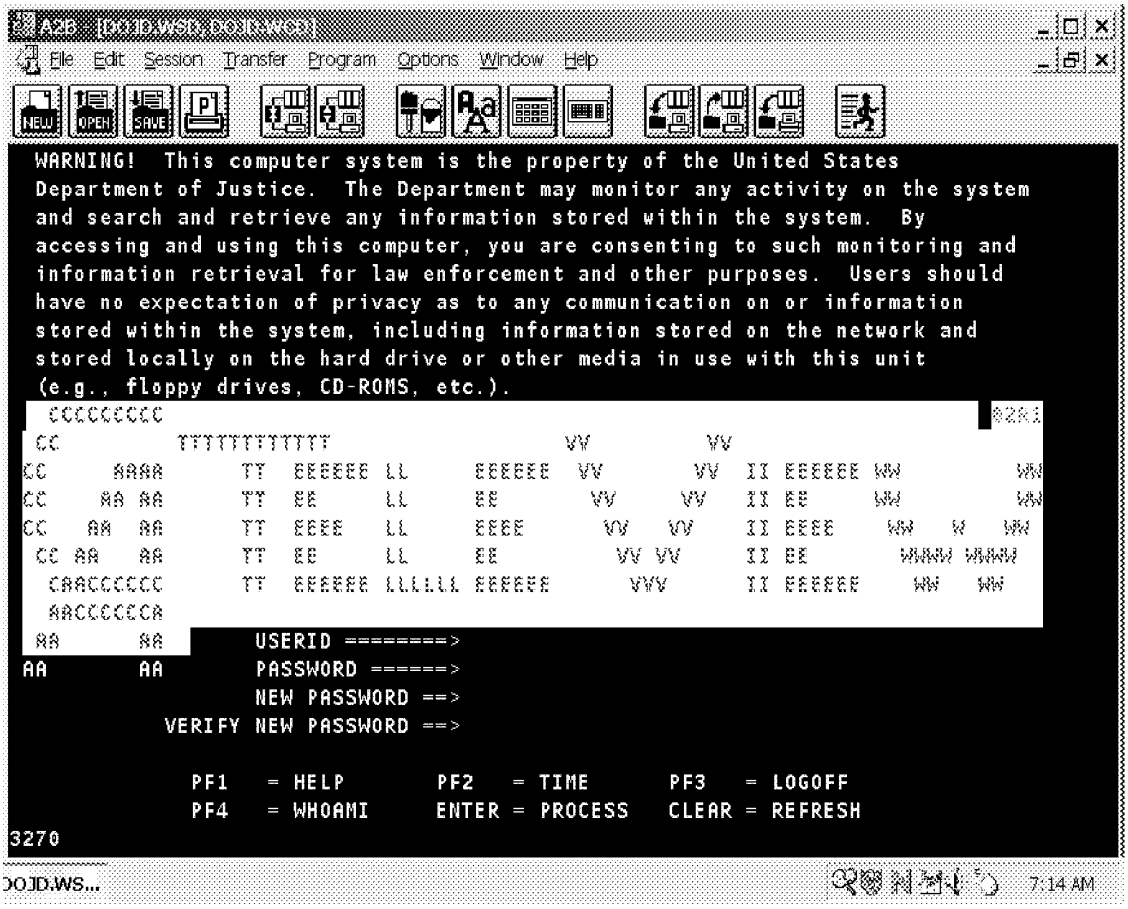
5. SYSTEMS USED AND DESCRIPTION OF THE SYSTEMS

The paragraphs below provide a description of some of the systems used by USCIS, ICE and CBP. Most A-files contain screen prints from one or more of these systems.

5.1 Central Index System

(CIS) is a database used to maintain records, search for records, and display data. CIS is a menu driven system as opposed to a point-and-click graphical user interface system. CIS provides information about persons and information about file location and movement. The CIS user navigates among various screens, depending on the type of information he or she needs. A user may search for a person in CIS by using the A-Number, social security number, FBI number or a passport number. CIS provides the option of searching for people using "sounds-like" and exact name searches.

5.1.1 Introduction Screen



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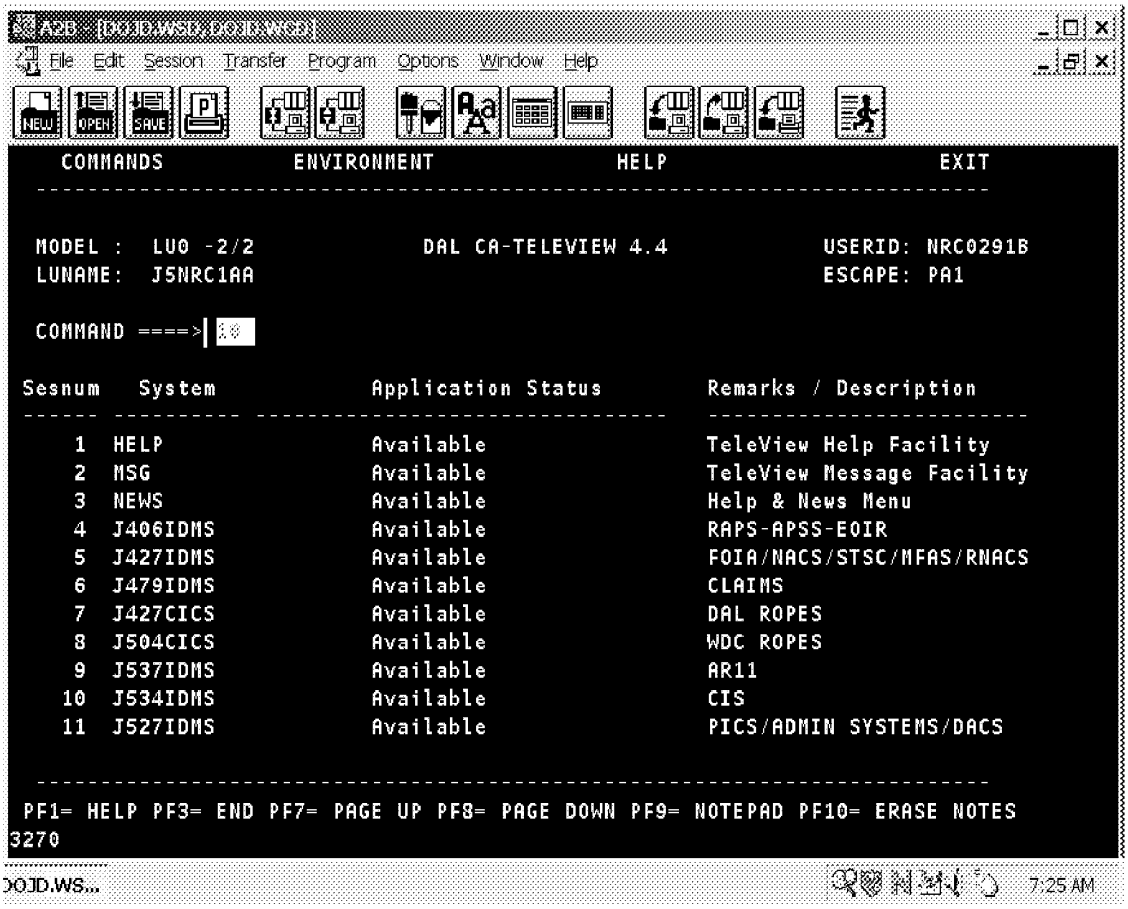
This screen is the introduction to TeleView. From this screen use the designated User ID (last 4 digits of Social Security Number plus an alpha) and Password to sign onto the database.

5.1.2 TeleView Main Menu



The number selected to access CIS will vary for each computer.

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5.1.3 CIS Login Screen

This is the screen used to navigate through CIS. Pressing enter can access the main menu for CIS.

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5.1.4 CIS Main Menu

This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the alien file (which we will frequently refer to as 'A-file'). The only "95" menu command we use is "9504" + F11 (CIS File Transfer Display) to verify if the file is Not Found (N).

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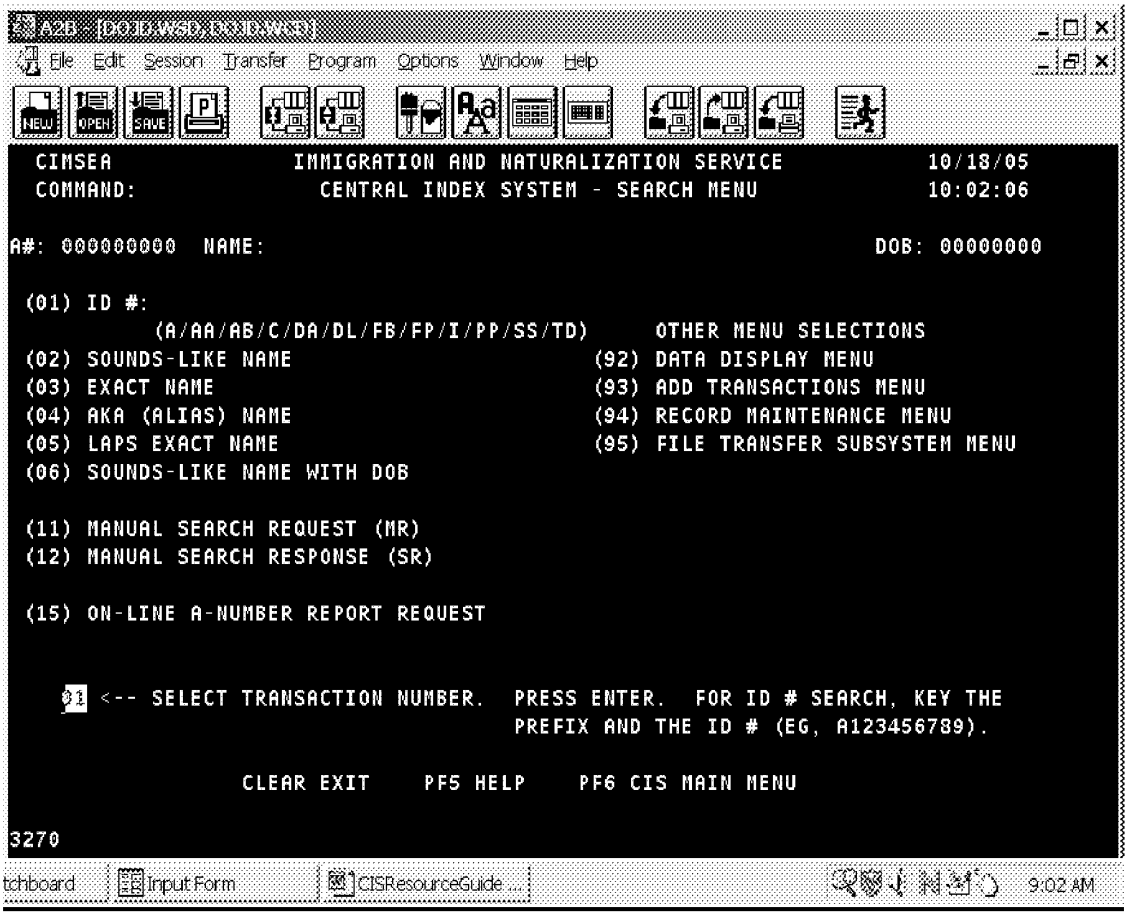
5.1.4.1 Search Menu Screen



From this search screen a decision is made as to how to begin a search for an individual's records. The most commonly used methods to search for an individual's record are:

Code	Search By Category
01	ID # (A-Number, certificate number, social security number, passport number etc.)
02	Sounds-Like Name Search
03	Exact Name Search
04	Alias (AKA) Name Search
06	Sounds-Like Name Search with DOB

Type in the two-digit code (01) and press enter. The screen displayed will be the screen where the search for records begins. ***Note:** Remember to read the screen in its entirety for additional information.

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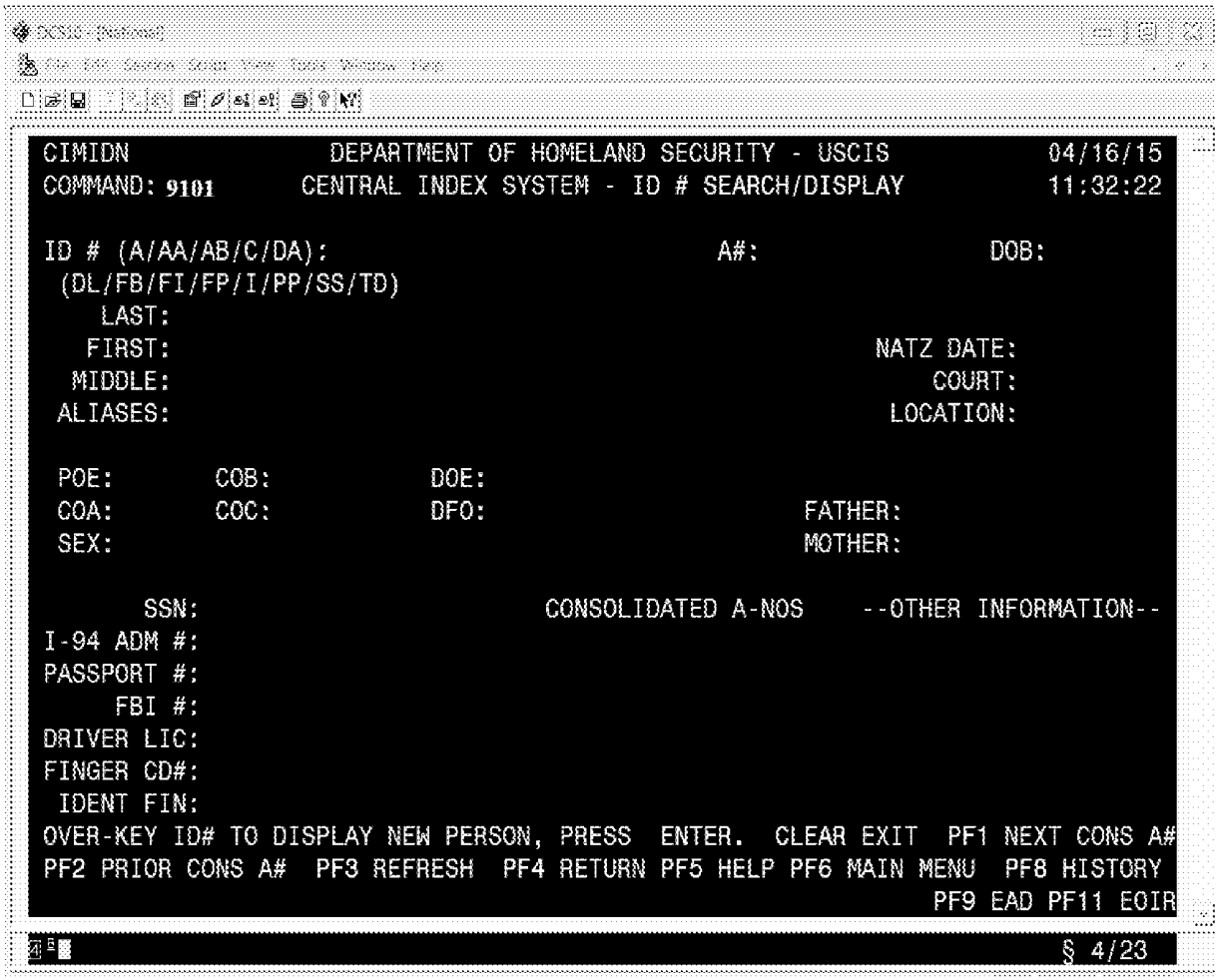
5.1.4.2 Search by A-Number (9101)



In the ID# field enter the appropriate prefix with information (commonly used ID searches, A = A-Number, SS = social security number, PP = passport number, C = naturalization certificate number and I = I-94 number). If there is information in the system on the subject, it will populate in the fields below the ID#. Pay special attention to the legend at the bottom of the screen specifically PF8, PF11, and any information listed under (other information). By pressing PF8 the history menu is displayed. This screen holds chronological information about actions that have been taken or changes in the subject's immigration status. The PF11 screen shows EOIR (Executive Office of Immigration Review) information. This screen contains information about ongoing or closed deportation proceedings. In the section of the screen listed (other information) different acronyms may appear such as: CARD, EADS, RAPS and DACS. For additional information on DACS please see Chapter 3.

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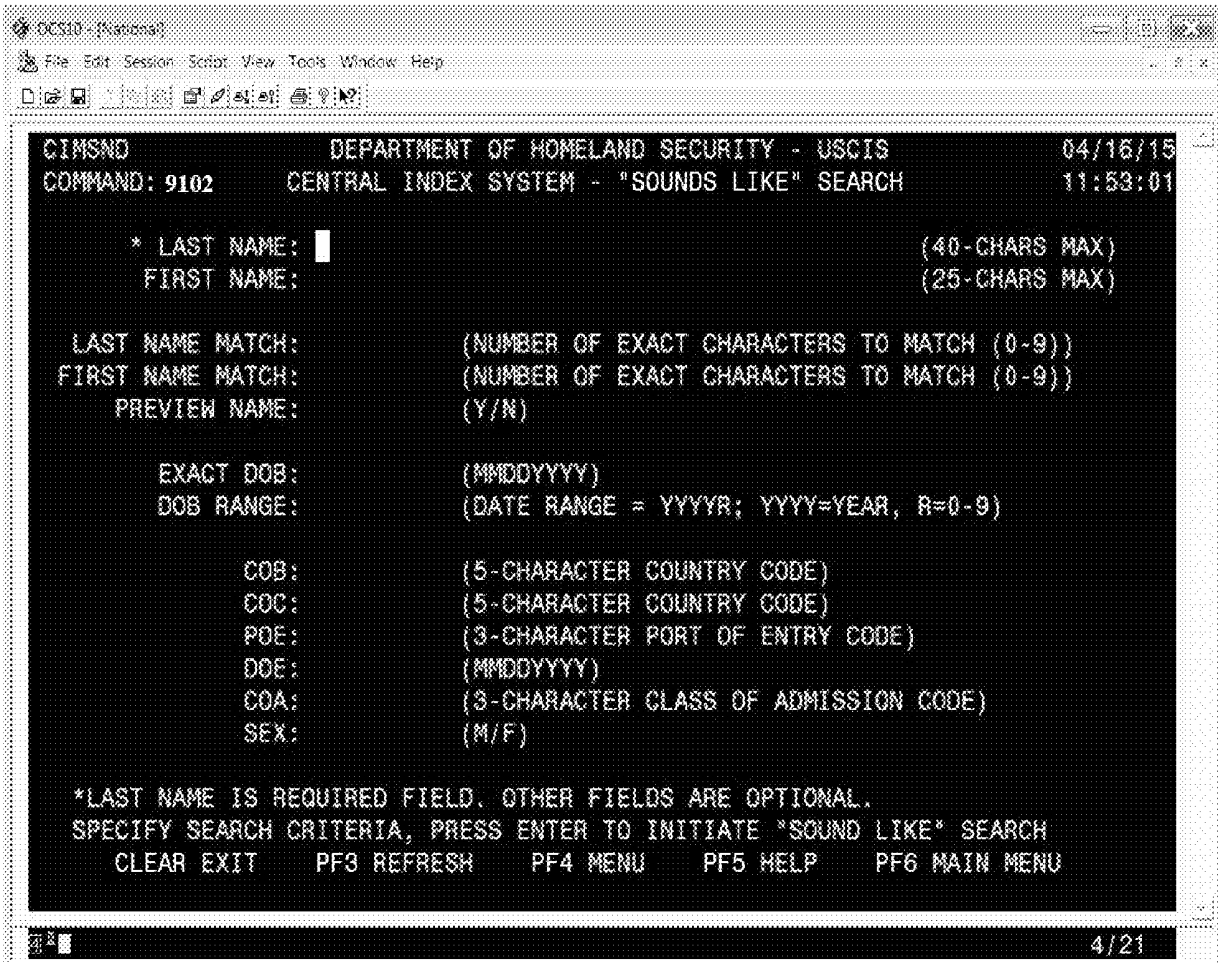
5.1.5 Sounds-Like Name Search (9102)



Use the 9102 screen when there could be variations in the spelling of a name. There are times when the person who created the record in CIS misspelled the name. There could be many spelling variations in a name transcribed from a non-Roman alphabet. The * indicates the minimum amount of information required to search. The search results may be voluminous.

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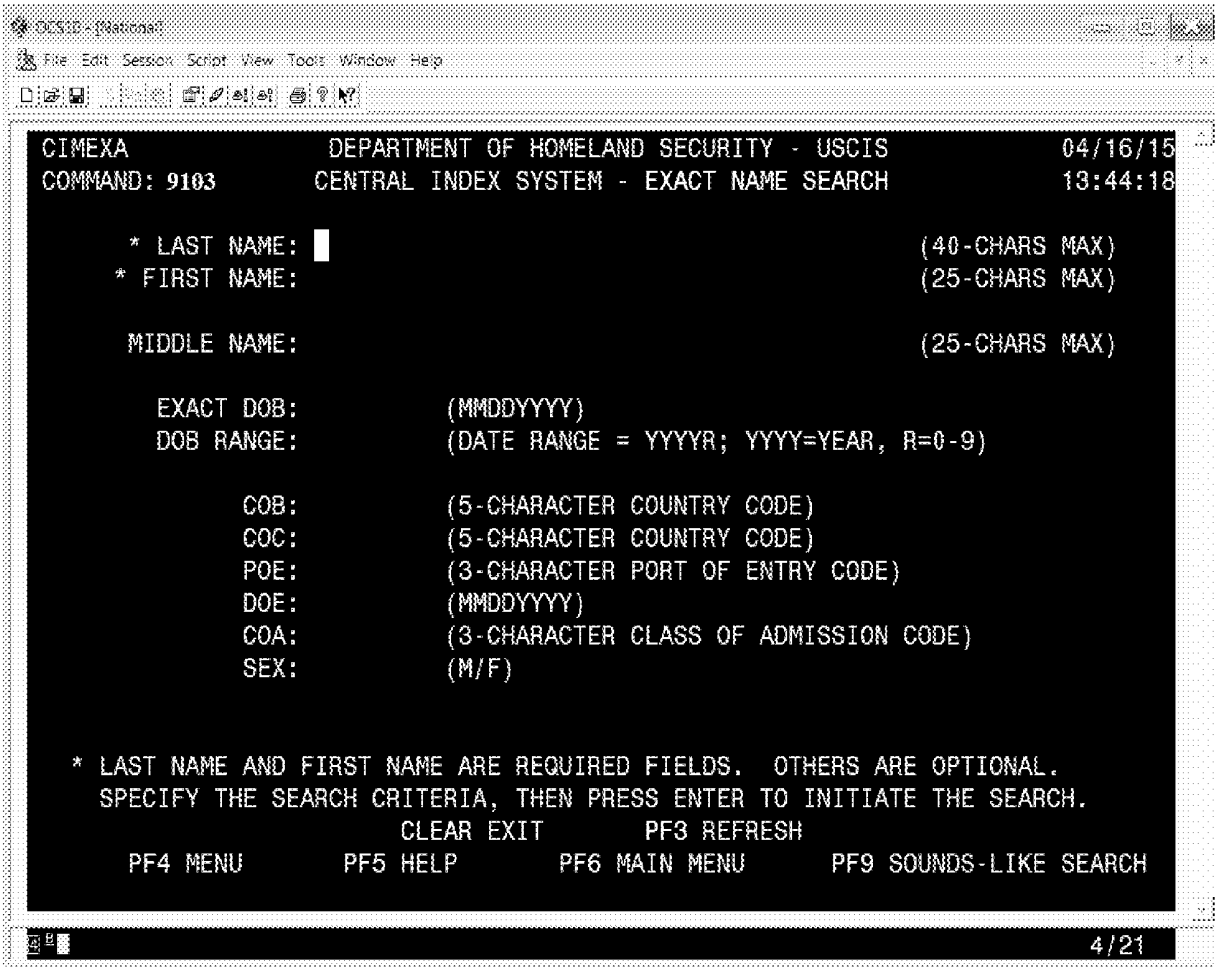
5.1.6 Exact Name Search (9103)



9103 is the primary screen used when performing a search based on the subject's name only or the subject's name with a specific year of birth range. The information displayed will be an exact name match.

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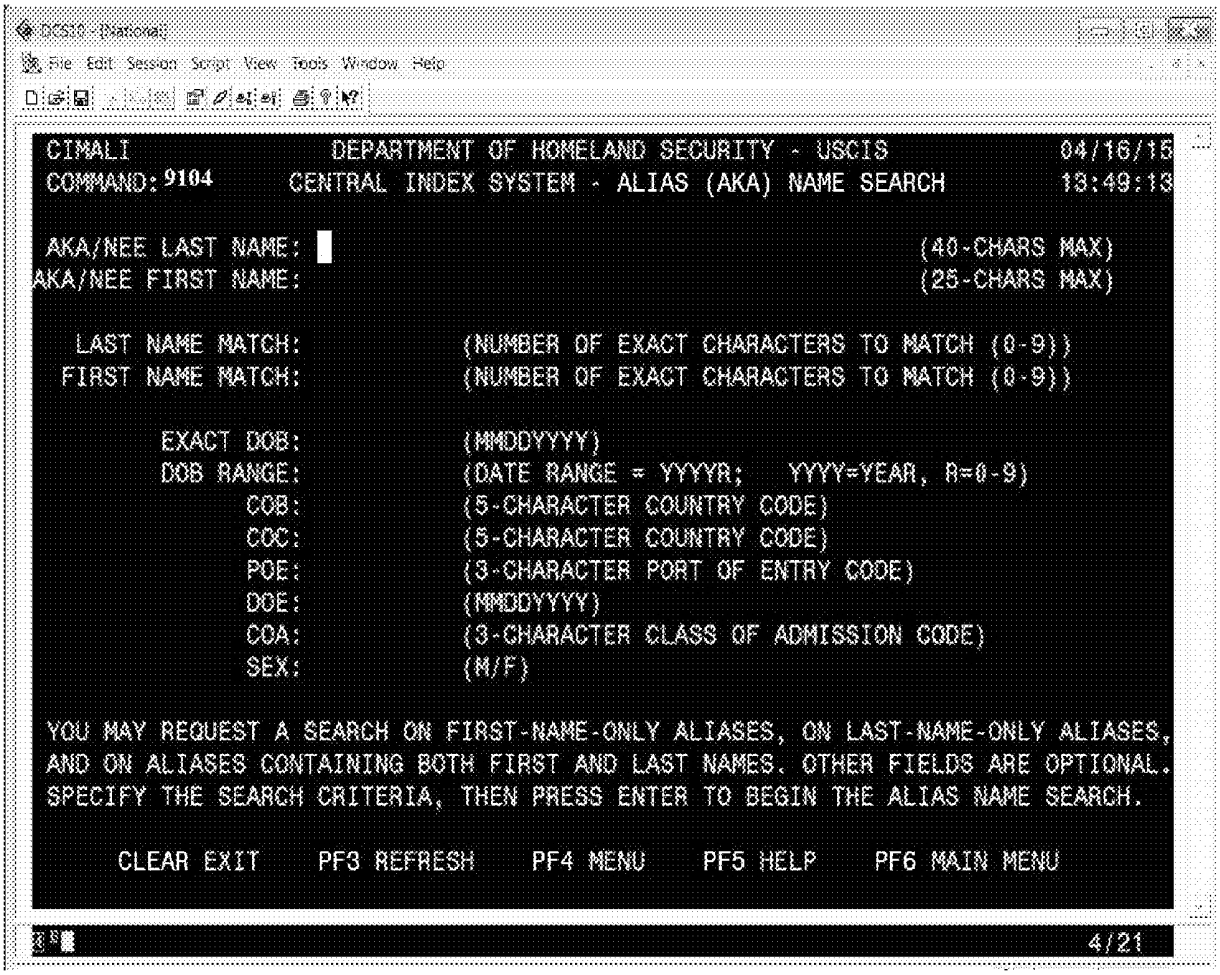
5.1.7 Alias (AKA) Name Search (9104)



The primary use for the 9104 screen would be to perform a search using any alias information provided in the FOIA request.

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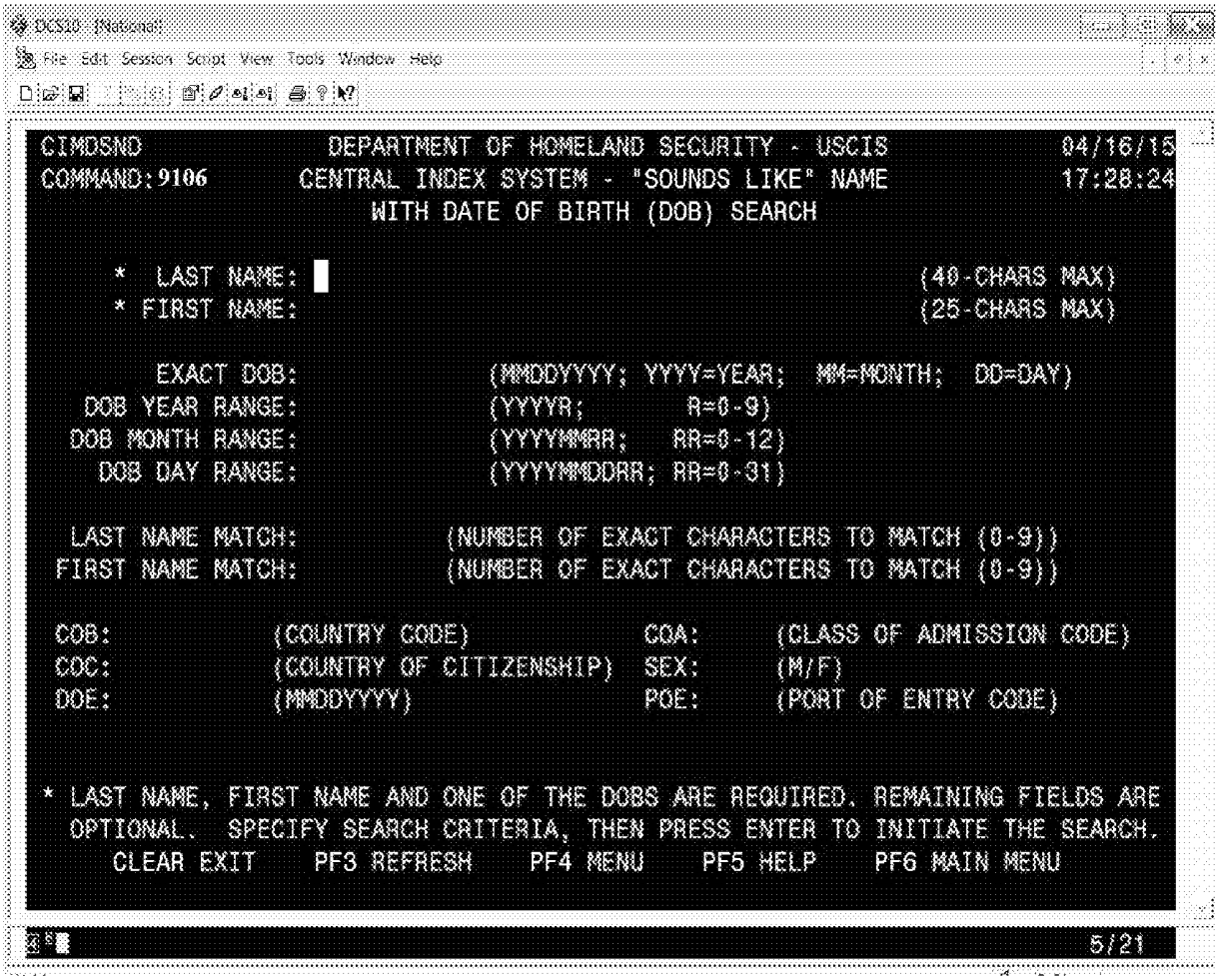
5.1.8 Sounds Like Name With Date of Birth (DOB) Search (9106)



The 9106 screen allows searches for information pertaining to the subject of the request even if the spelling of the name is incorrect. For example, the Requestor made a typographical error in the spelling of the name the search results will yield a list of similar names matching the subjects.

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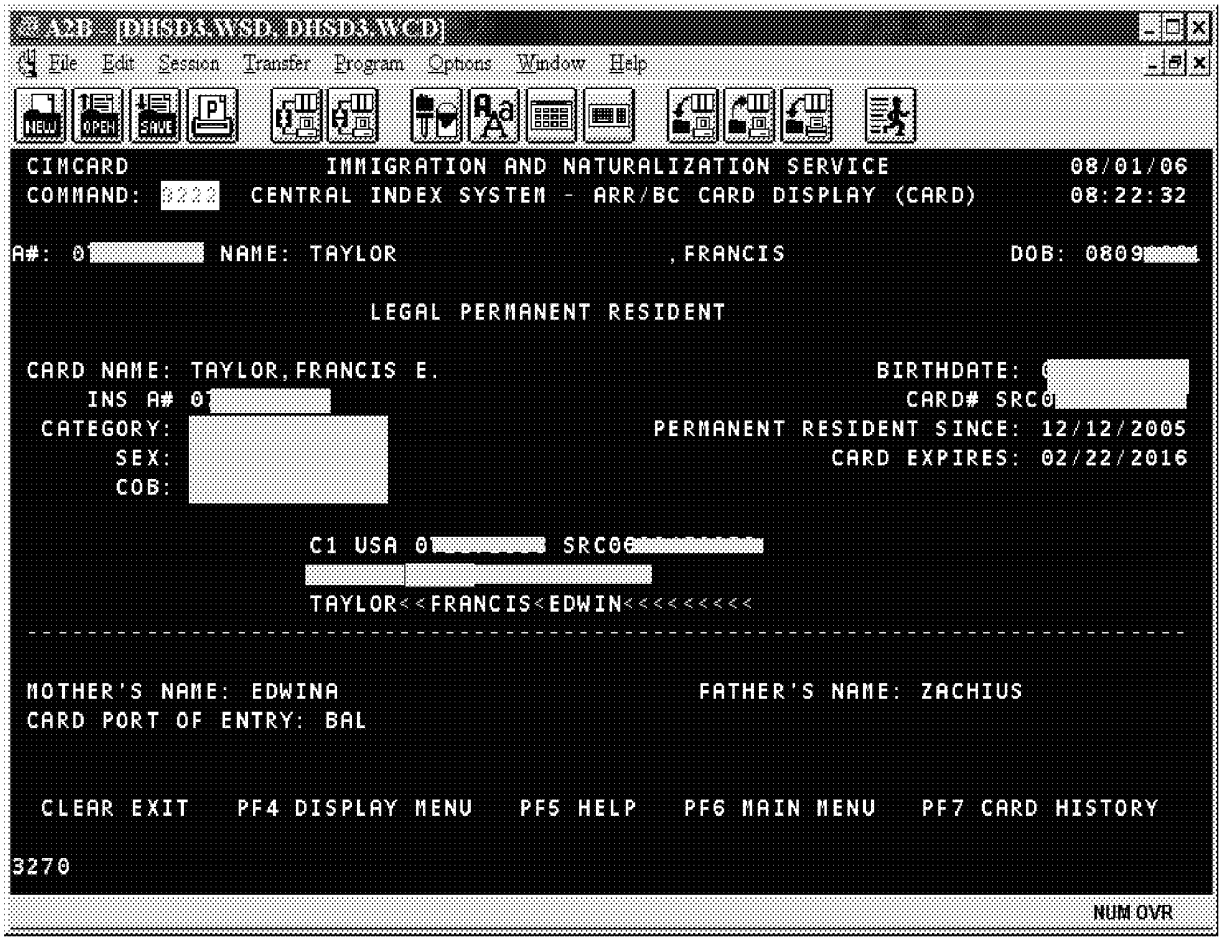
5.1.9 Card Display (9222)



The 9222 screen is a snapshot of an actual Legal Permanent Resident (LPR) Card. In addition, this is the same screen to find Border Crossing (BCC) Card information.

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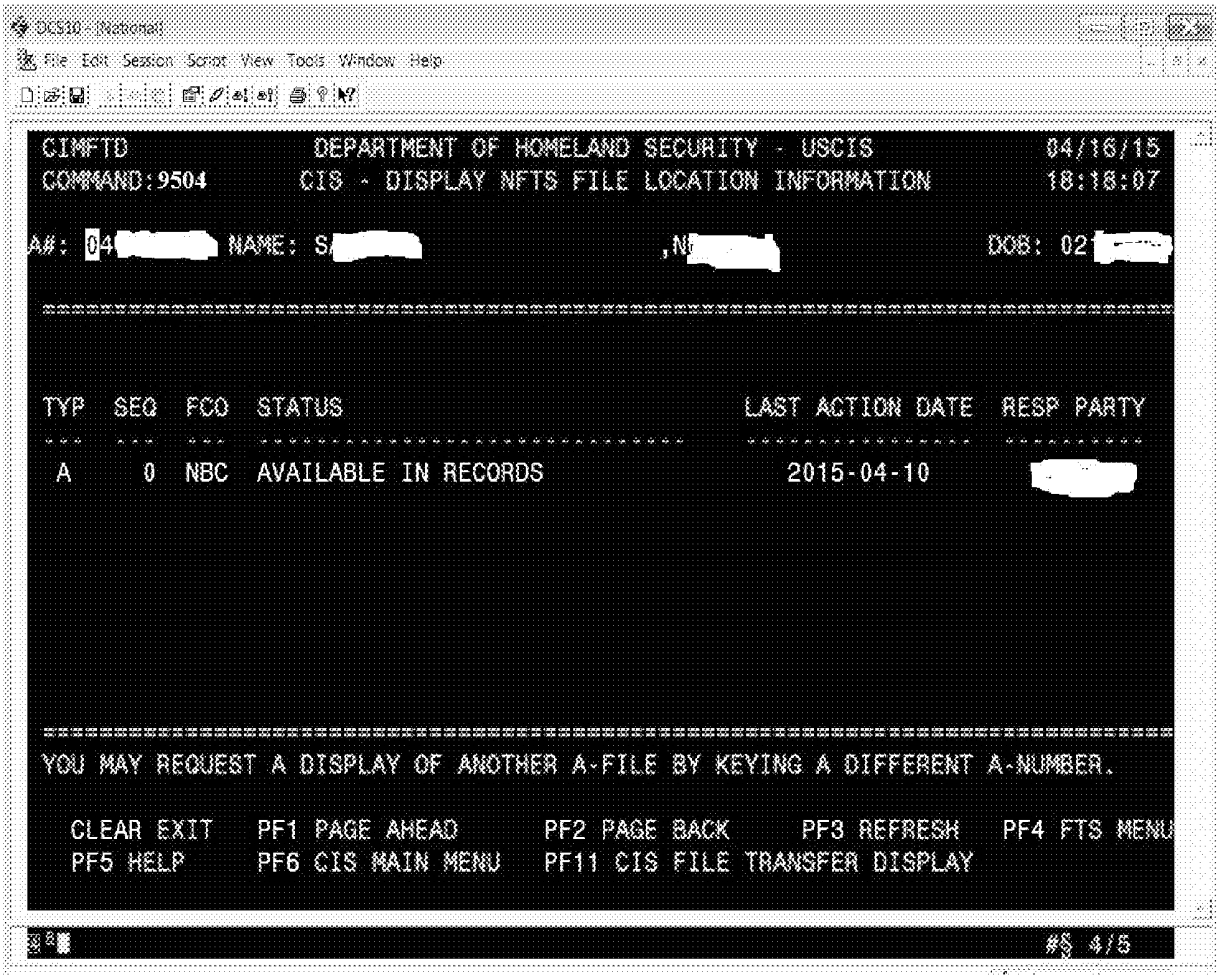
5.1.10 File Location Display (9504)



The 9504 screen is split into two parts. This first screen shows you which File Control Office (FCO) has the A-file per NFTS. To view the old 9504 screen, please push "F11" (CIS File Transfer Display).

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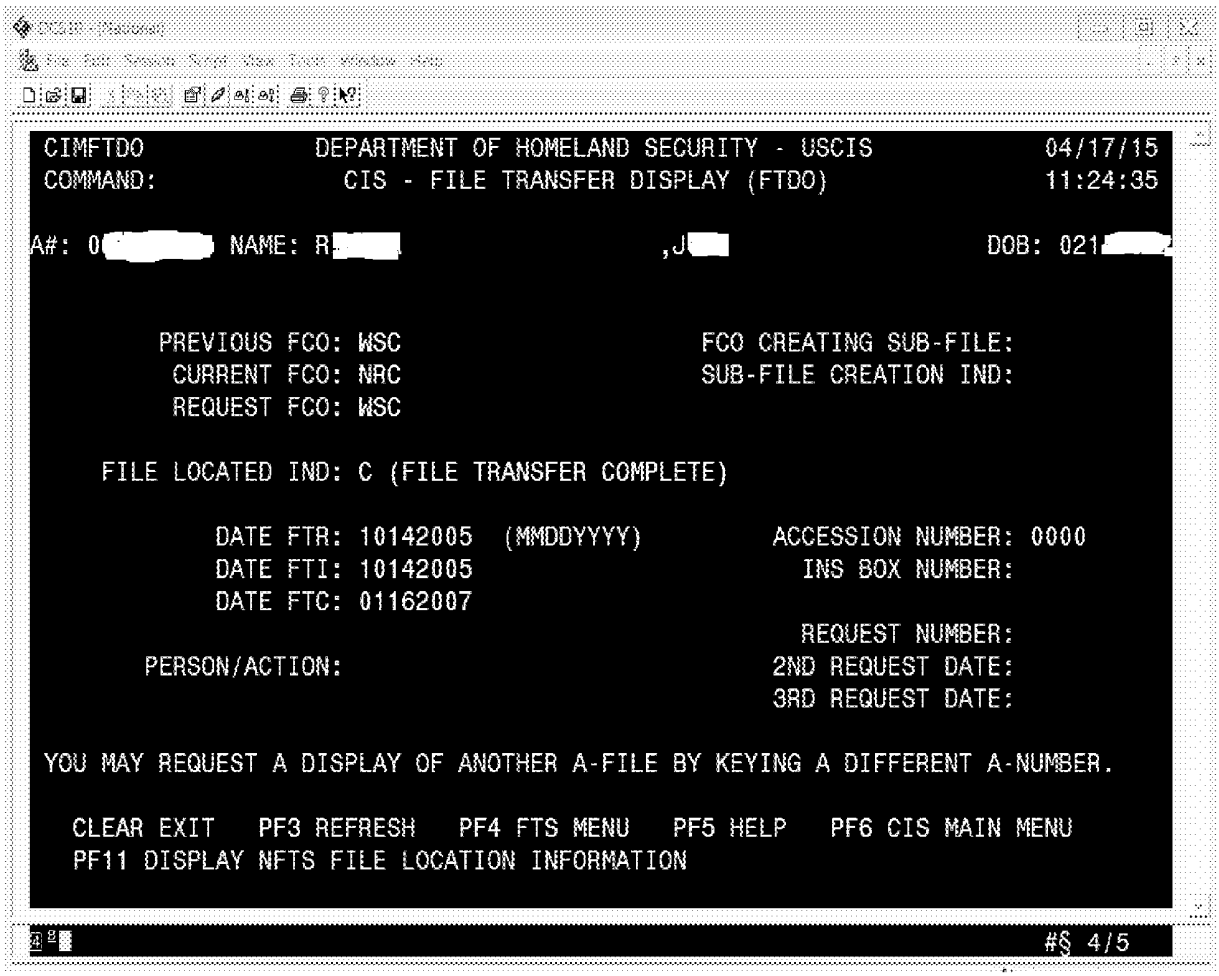
5.1.10.1 File Transfer Display (9504 + F11)



The main purpose of the 9504 screen is to check the location and movement of files. The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request
FTI: File Transfer Initiated
FTC: File Transfer Complete

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5.1.11 Tables

The Tables section contains a wealth of informational codes that can be of assistance in making a decision about the subject of the request, such as Class of Admission. To get to this screen select the "keyboard" from the toolbar at the top of the screen and click the clear button on the keyboard. Once this is done type in the word tables. The next screen displayed will be the Tables Menu Screen.

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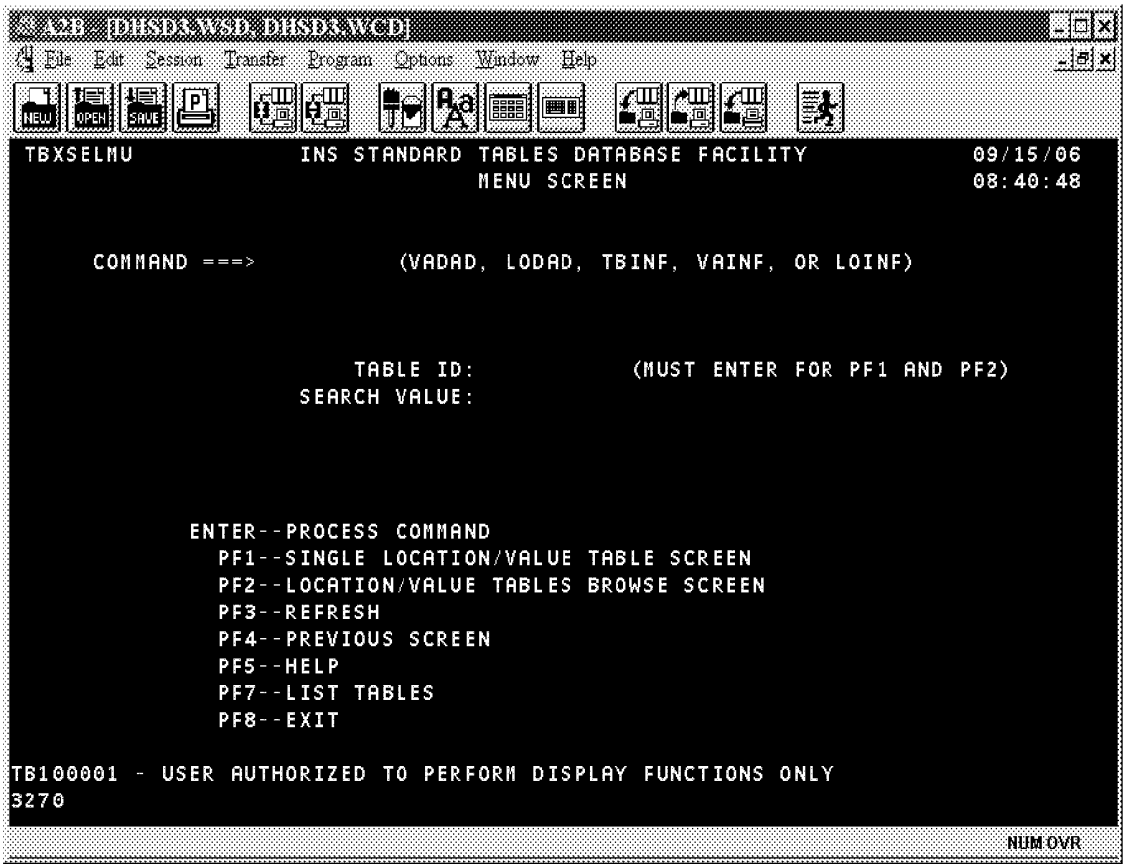
5.1.12 Tables Menu



Placing the cursor in the **Table ID** field and pressing the function key PF7 a list of tables is displayed.

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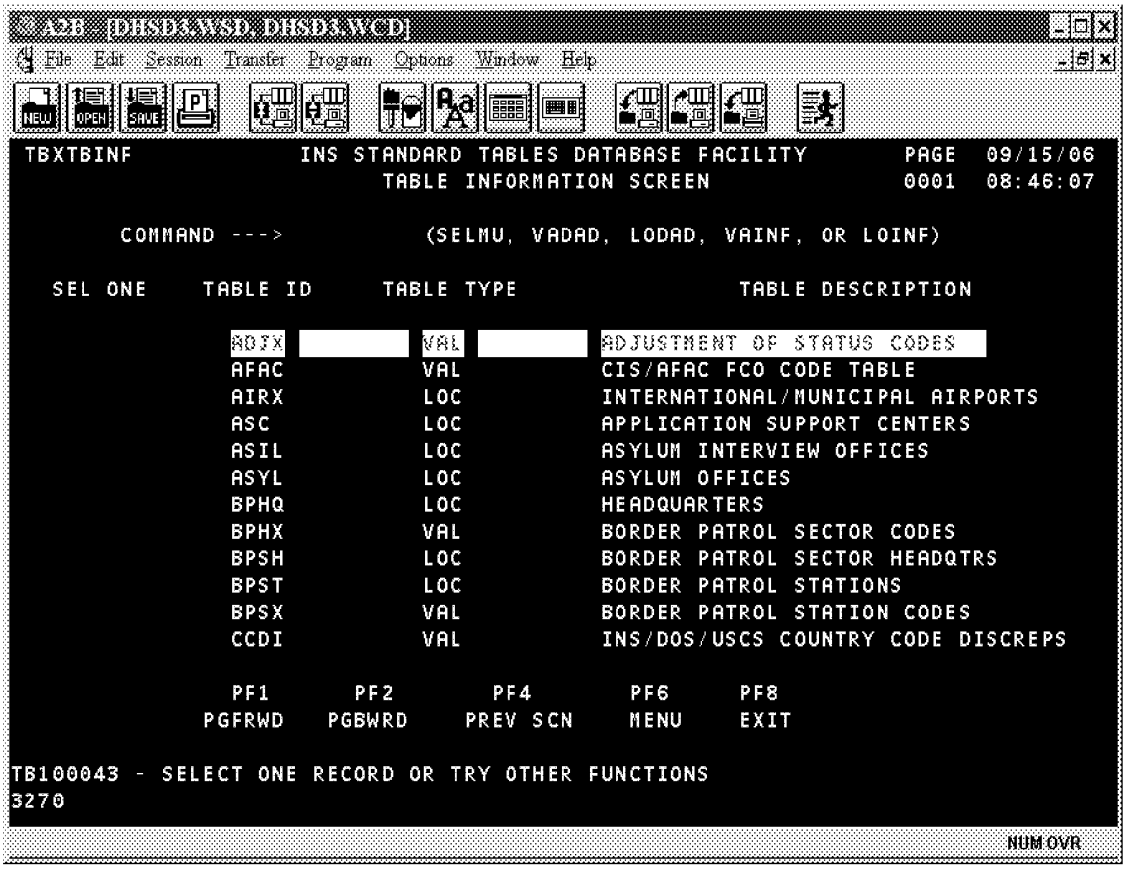
5.1.13 Tables Information Screen



The tables are in alphabetical order. Place an **X** in the "SEL ONE" column and press enter and this will bring up a list of different codes.

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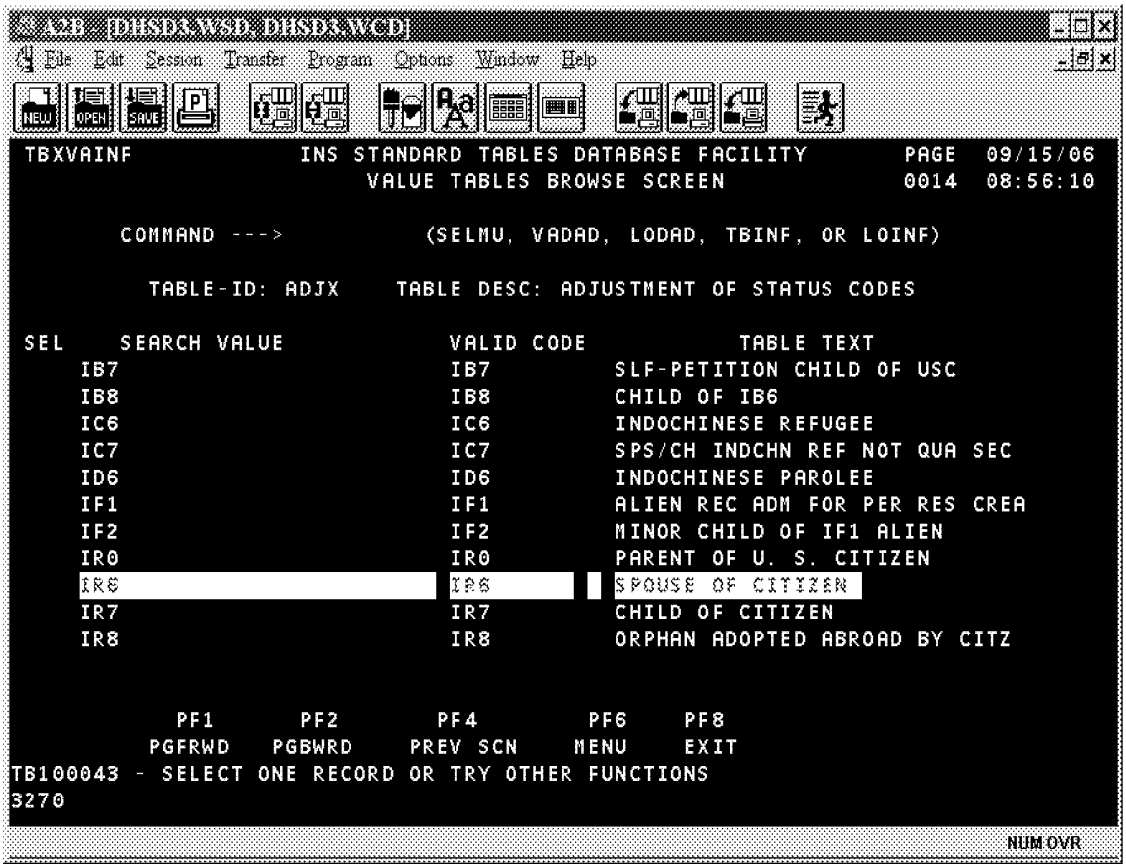
5.1.14 Value Tables Browse Screen



Read the screen in its entirety for navigation instruction and additional information.

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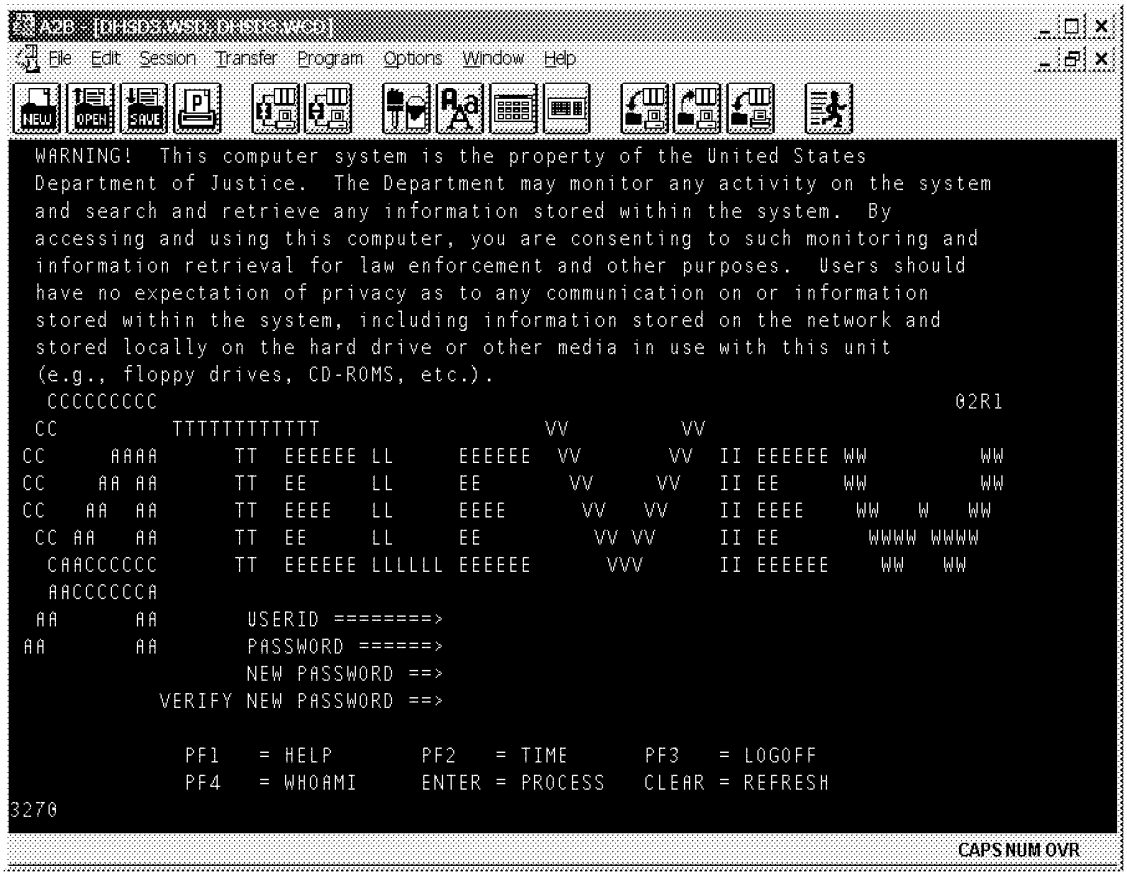
5.2. Computer Linked Application Information Management System

5.2.1 Introduction

The Computer Linked Application Information Management System (CLAIMS) tracks application and petitions. CLAIMS is a menu driven system. The Inquiry/Update Processing selection on the menu is the only menu NRC FOIA uses because we search for receipts but never modify information in CLAIMS.

5.2.2 TeleView Introduction Screen



This screen is the introduction to TeleView. From this screen, use the designated User ID (NRC####A) and Password to sign onto the database.

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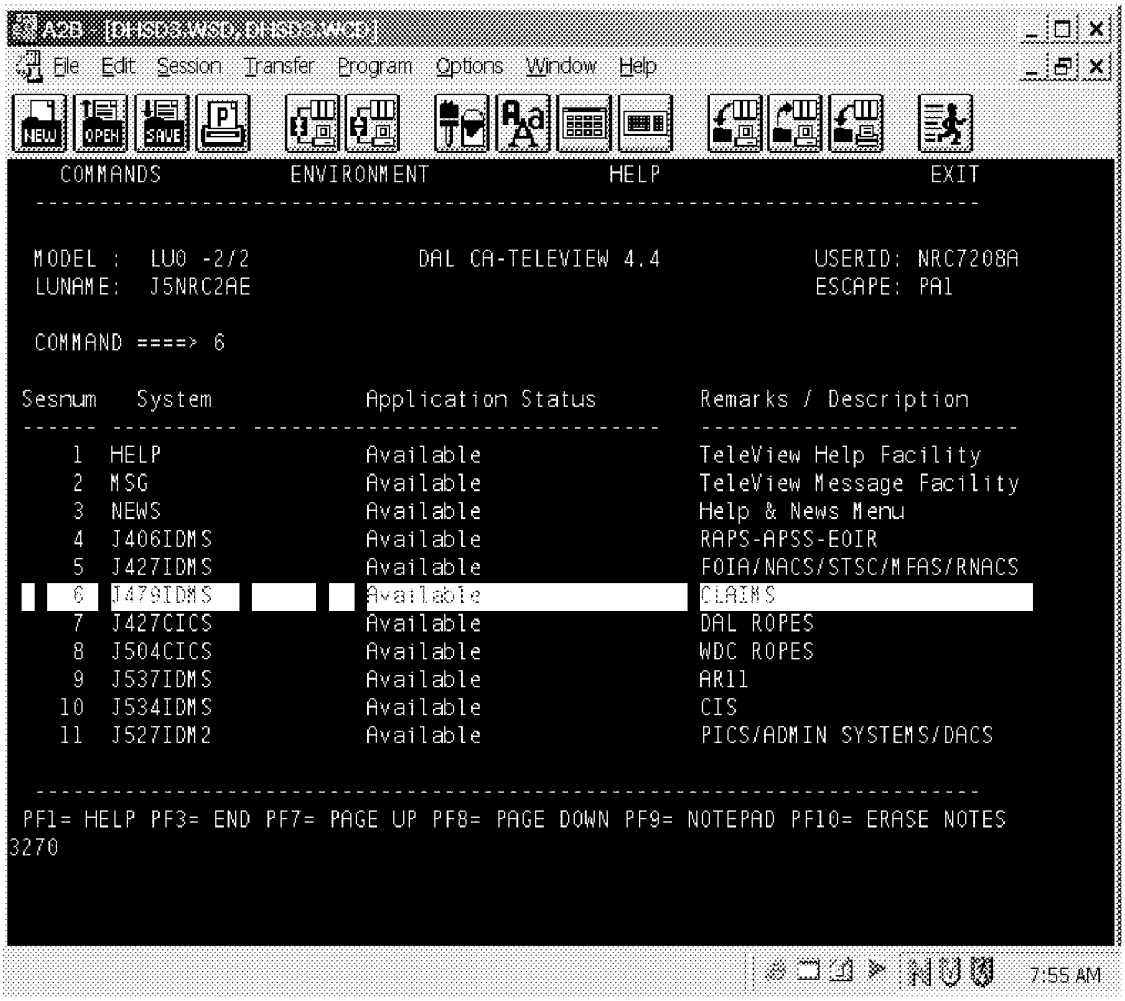
5.2.3 CLAIMS Selection Screen



The number selected to access CLAIMS can vary for each computer.

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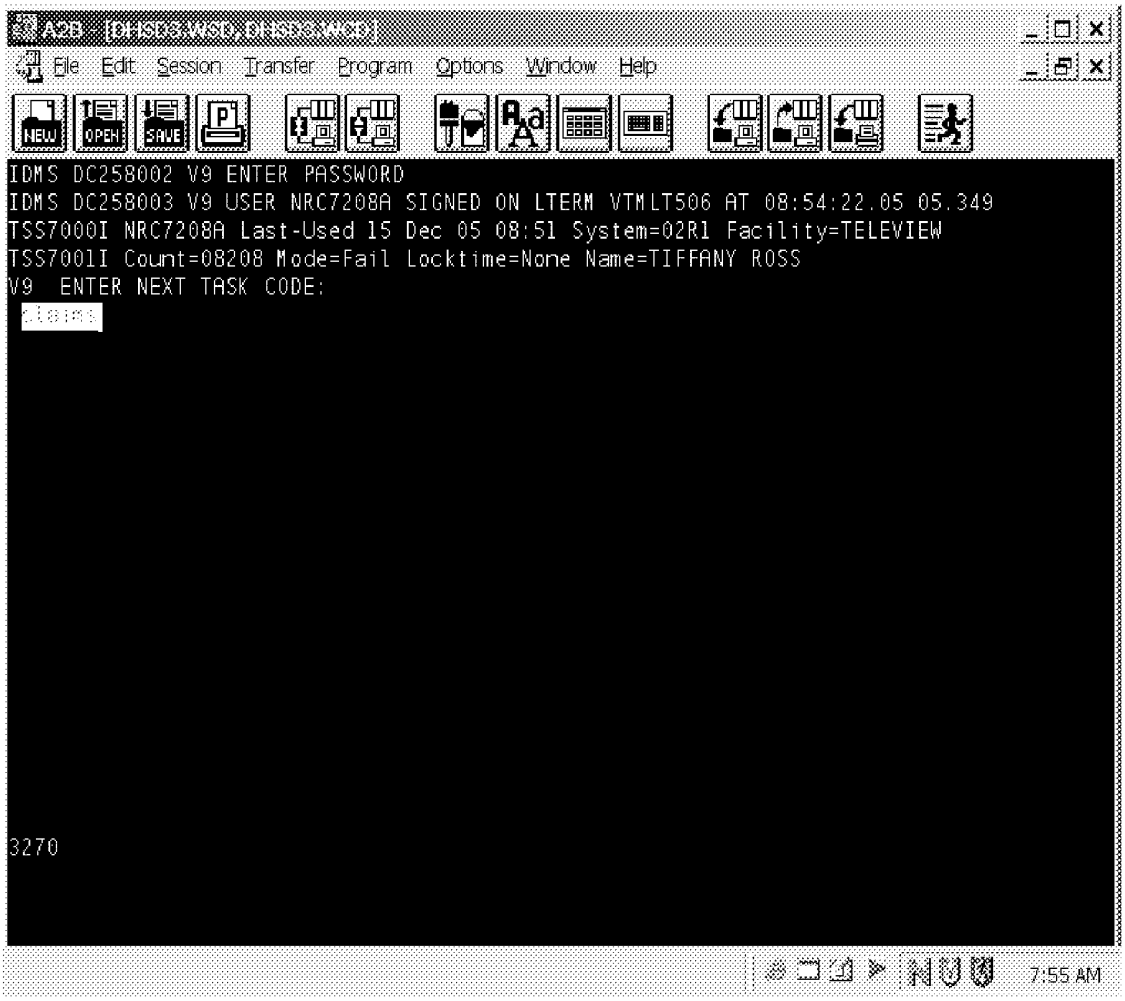
5.2.4 CLAIMS Function Screen



After selecting CLAIMS from the main menu, you will see the screen print shown above. Type in "claims" or "fare" and press enter. This screen is not case sensitive.

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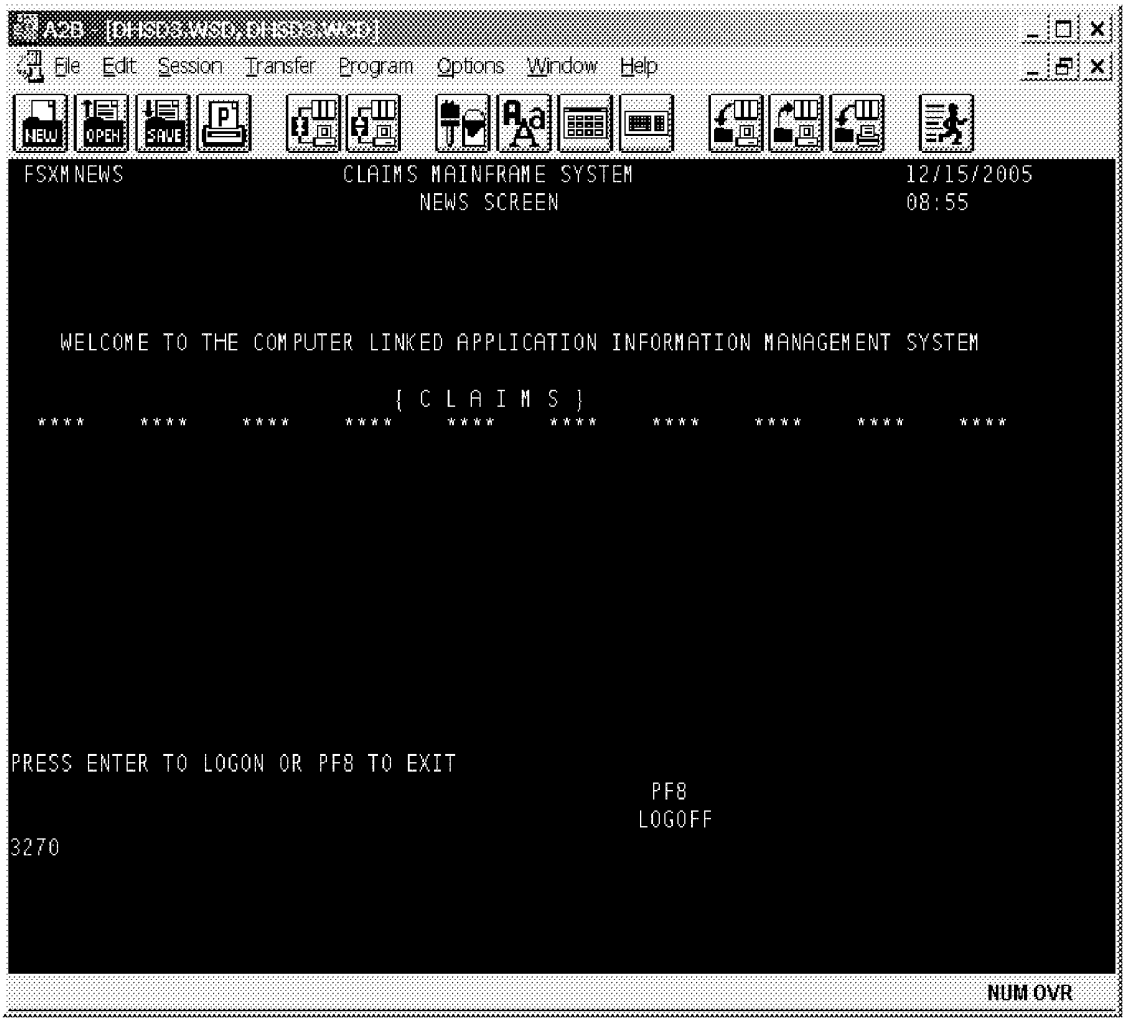
5.2.5 CLAIMS Welcome Screen



Press enter from here to get to the logon screen.

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5.2.6 CLAIMS Logon Screen

To logon, your USER ID will be NRC and the last 4 digits of your social security number followed by a letter (NRC1234A). Check with your supervisor for your password. Normally, your password is your last name in lower case. If your last name is longer than eight characters, then your password is the first eight characters of your last name in lower case. Your CLAIMS ID and password do not change.

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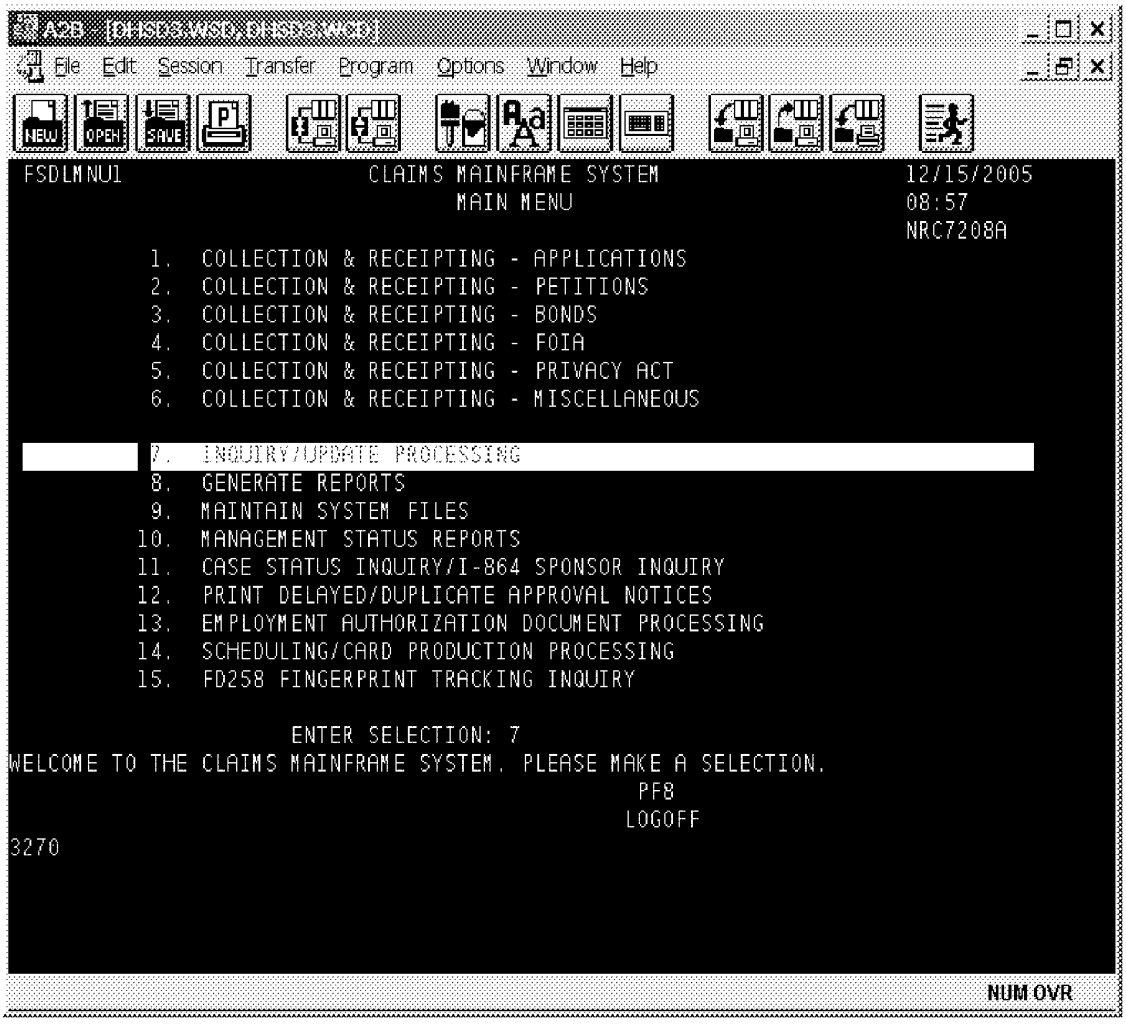
5.2.7 CLAIMS Main Menu Screen



From the Main Menu type the number for INQUIRY/UPDATE PROCESSING and press enter.

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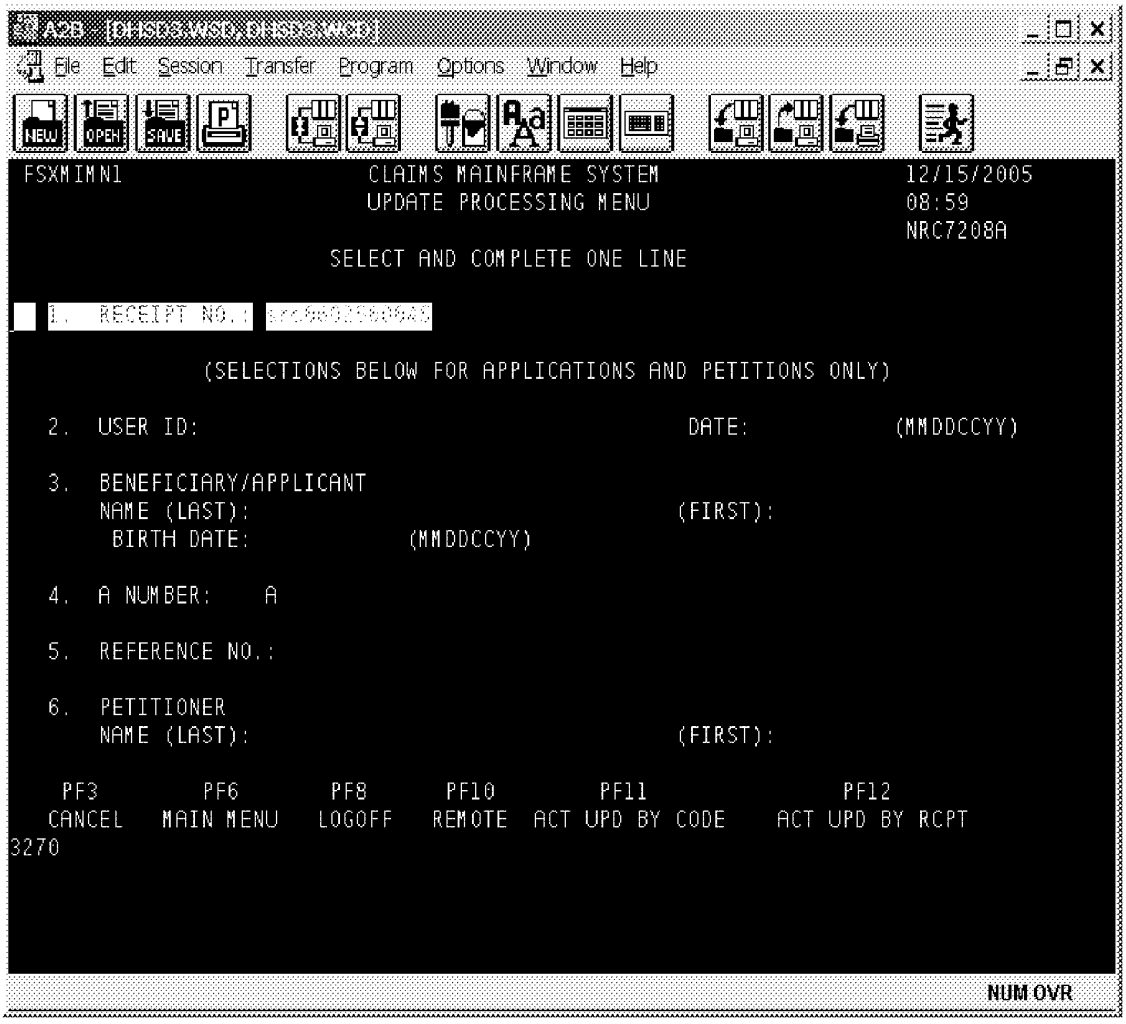
5.2.8 Inquiry Screen, searching with a Receipt Number



On the Inquiry screen, there are several ways to search for records. If you know the receipt number, type the number under the first field to pull up the receipt information.

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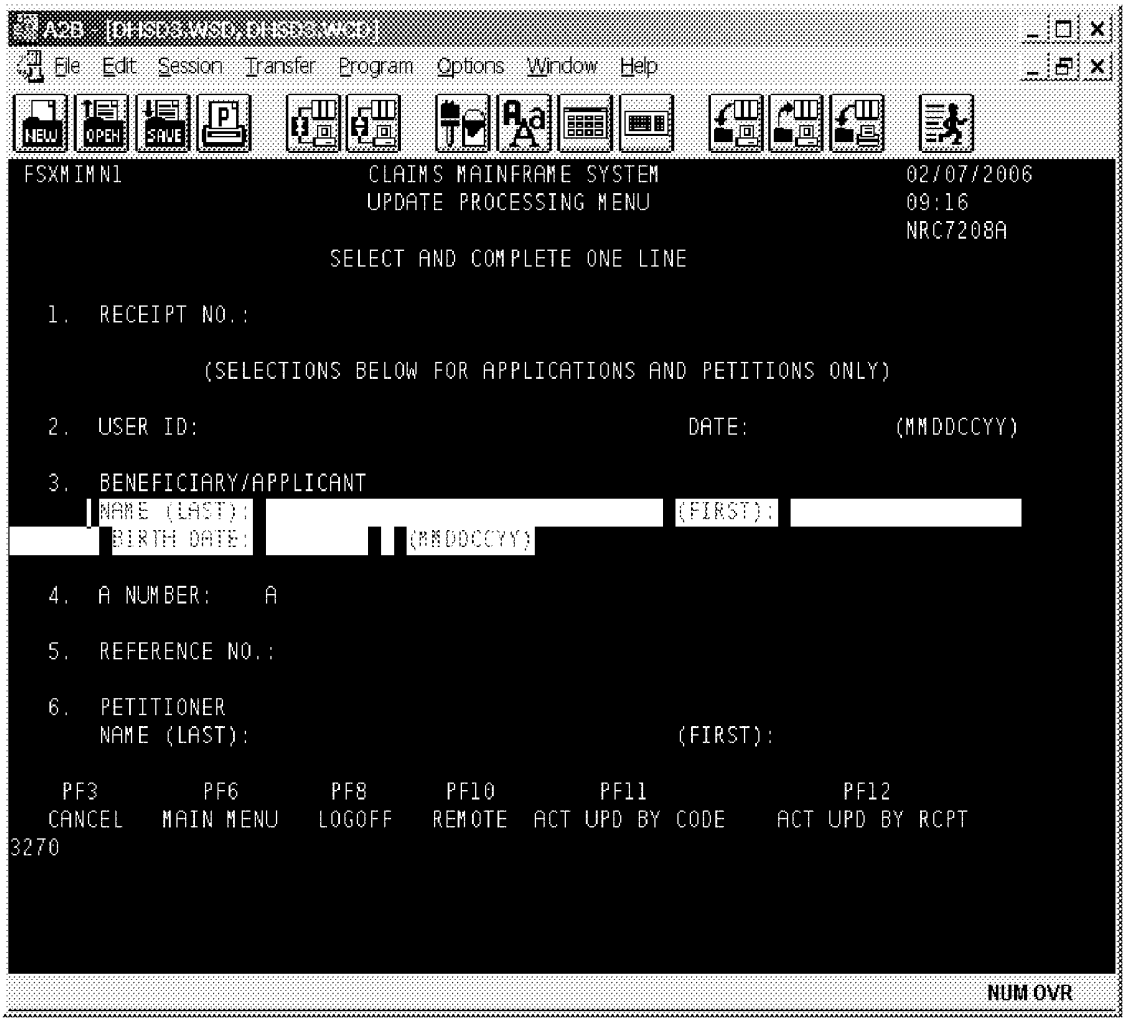
5.2.9 Searching CLAIMS using a Name and Date of Birth



You may also search name and birth date. CLAIMS does not forgive spelling errors and will not conduct "sounds-like" or wild card searches. If you do not immediately find a receipt, you should also search by alias names and variations of the name. You may also search without the birth date. This may have the results you are looking for depending on how common the name of the subject. Searching using the birth date will narrow the findings.

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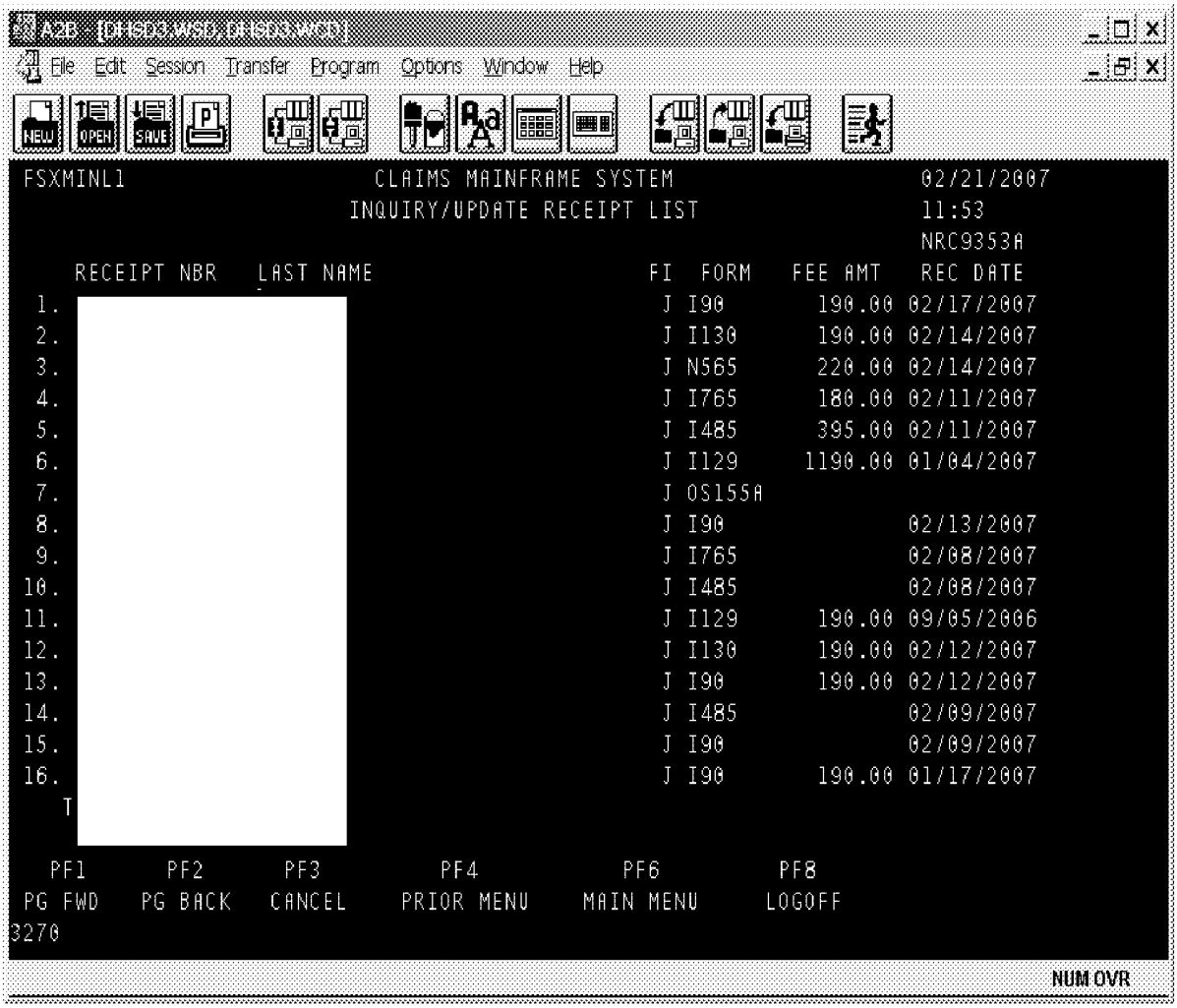

If your subject has a very common name, the inquiry may result in several pages of matches. View the screen pertaining to the individual receipt number or look for the type of form. It will show detailed information relating to that specific receipt number. To view the detailed information, type the corresponding number at the bottom of the screen labeled "TYPE IN SELECTION." For example, if you type "3", the detailed information relating to receipt number [redacted] will be displayed.

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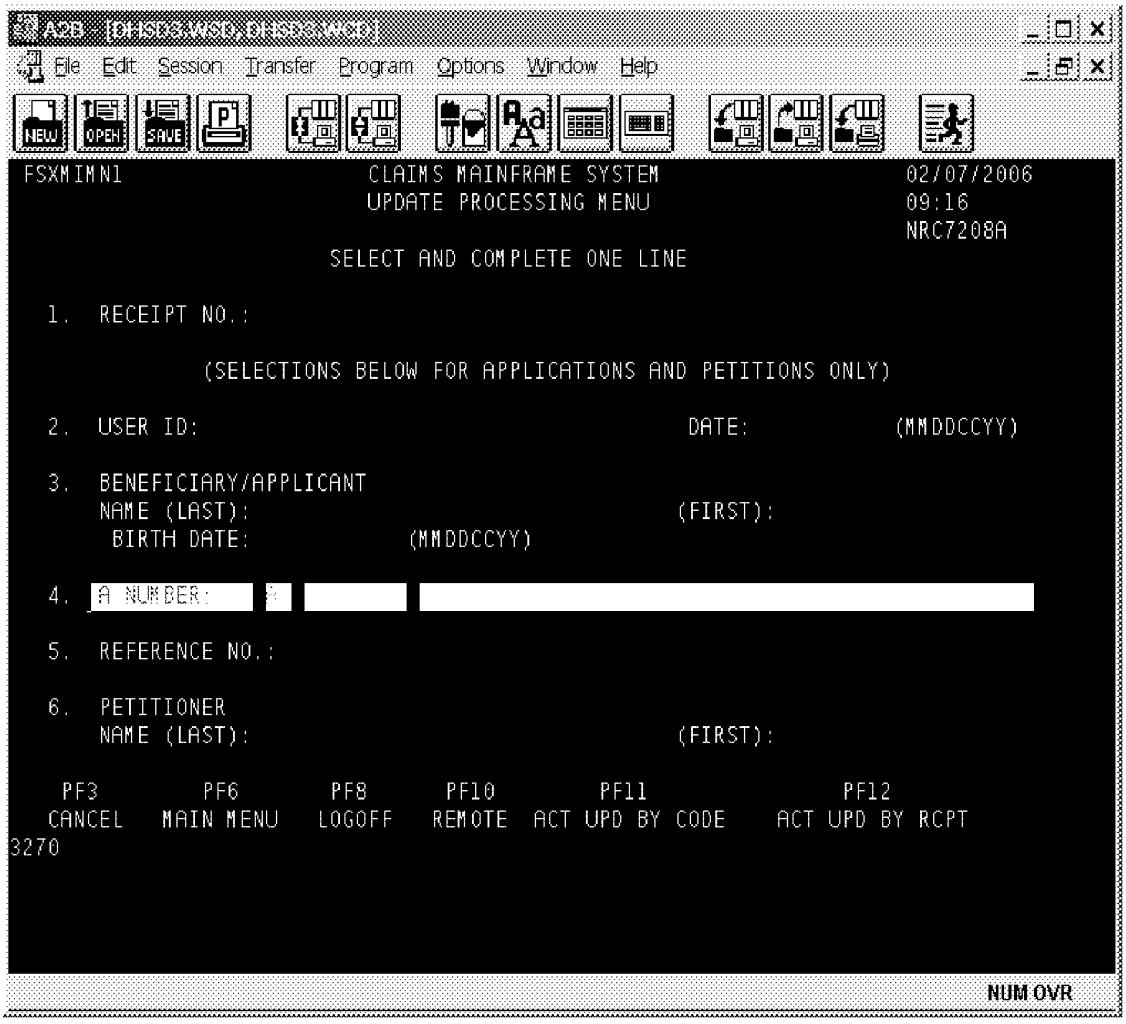
5.2.10 Searching with the A-Number



You may search by A-Number. Navigate through these fields by tabbing, or to go backwards, use Shift-Tab. CLAIMS used to allow adjudicating officers to enter alien numbers as an eight-digit number without a leading zero. Ordinarily you should enter a leading zero immediately following the letter A (in purple on this screen) and then enter the rest of the A-Number. If you do not find what you need, try deleting the zero immediately after the "A." If the person has a nine digit A-Number, you will not have to worry about it. Note: if you search by A-Number, it may not show every receipt belonging to the person, so you may still have to search by name and date of birth or by petitioner's name.

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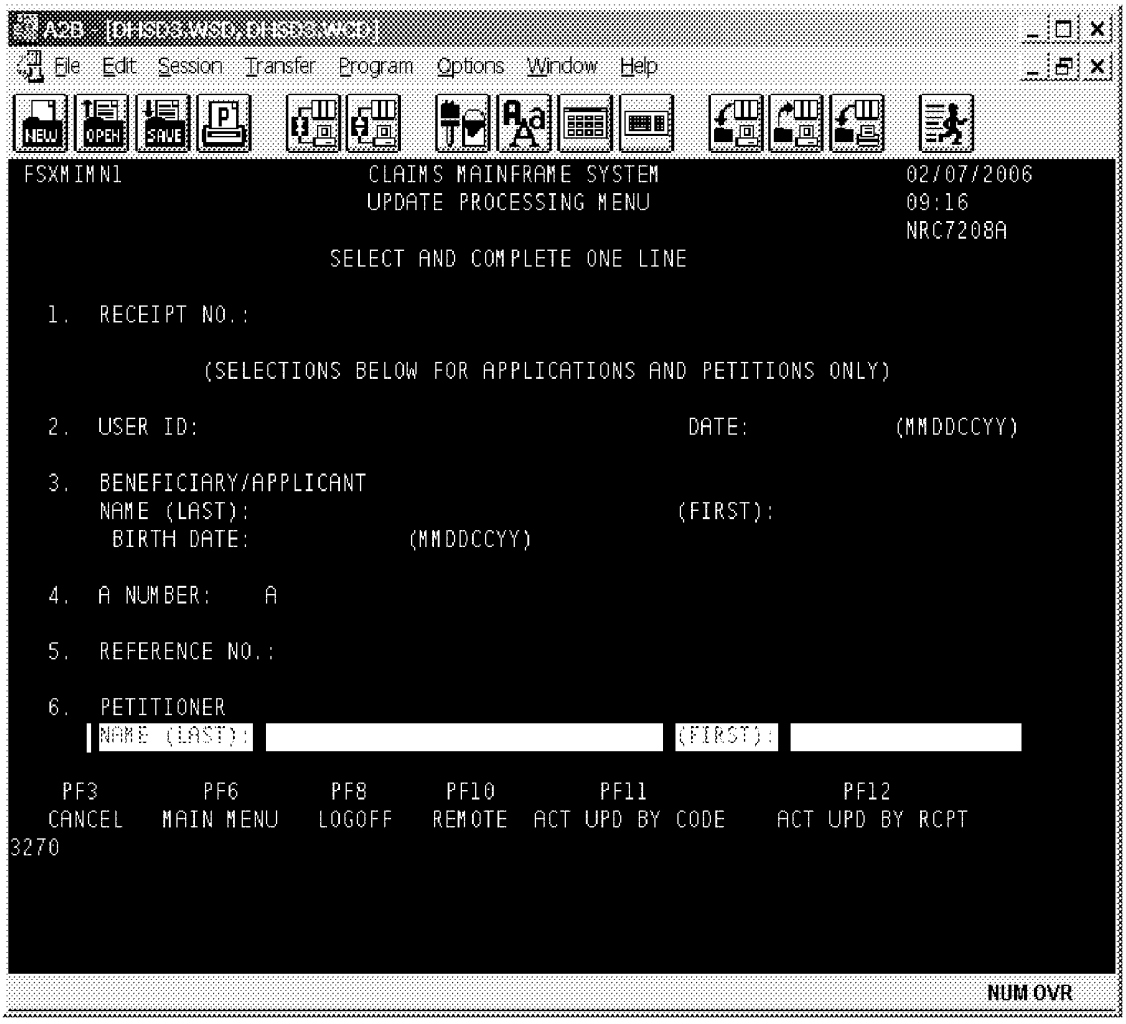
5.2.11 Searching with the Petitioner's Name



You may search by using the petitioner's name, but be forewarned: if the petitioner has a very common name the results of this search may be overwhelmingly voluminous.

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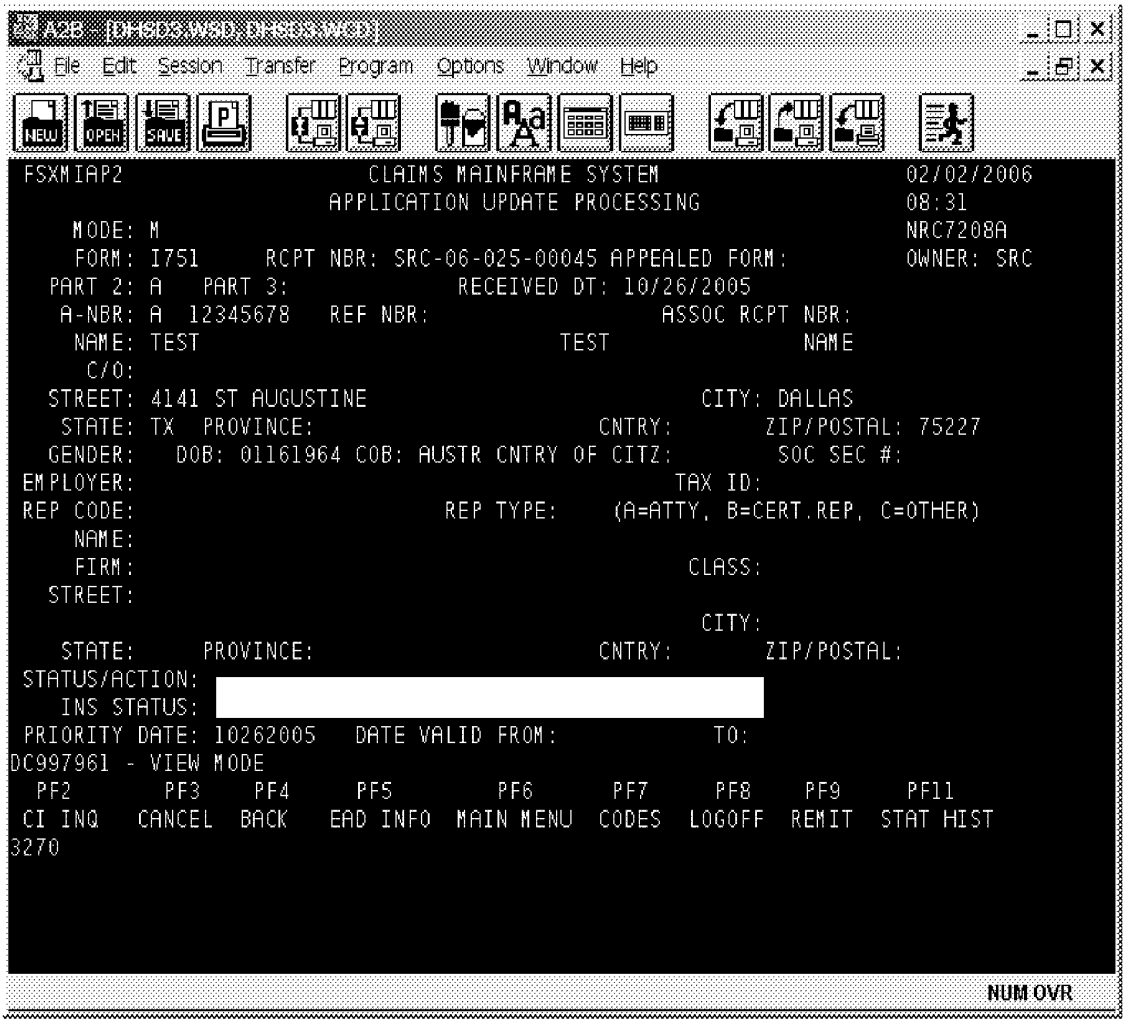
5.2.12 Search Results

The screen print below is the result of a search. The receipt shown is for an I-751, Petition to Remove Conditions on Residence.



(b)(7)(e)

The receipt information gives the name, date of birth, A-Number and address. The status of the receipt file is near the bottom of the screen. (STATUS/ACTION: IBS1)

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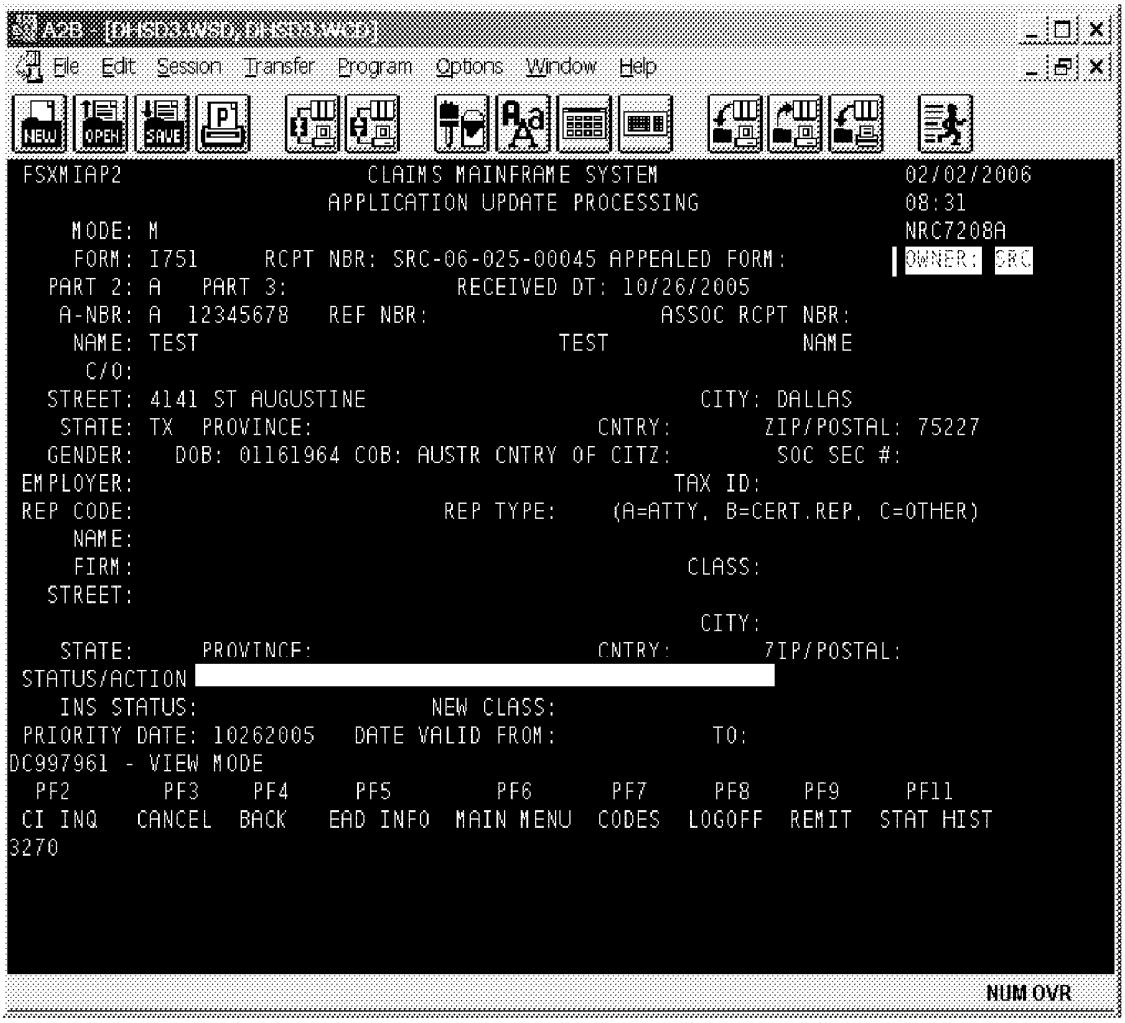
(b)(7)(e)



The top right corner of the screen shows the owner of the file; this may help in determining where to request the receipt file especially if the receipt information is not in NFTS. This receipt begins with SRC but that does not matter for staffing – the OWNER would be where you staff.

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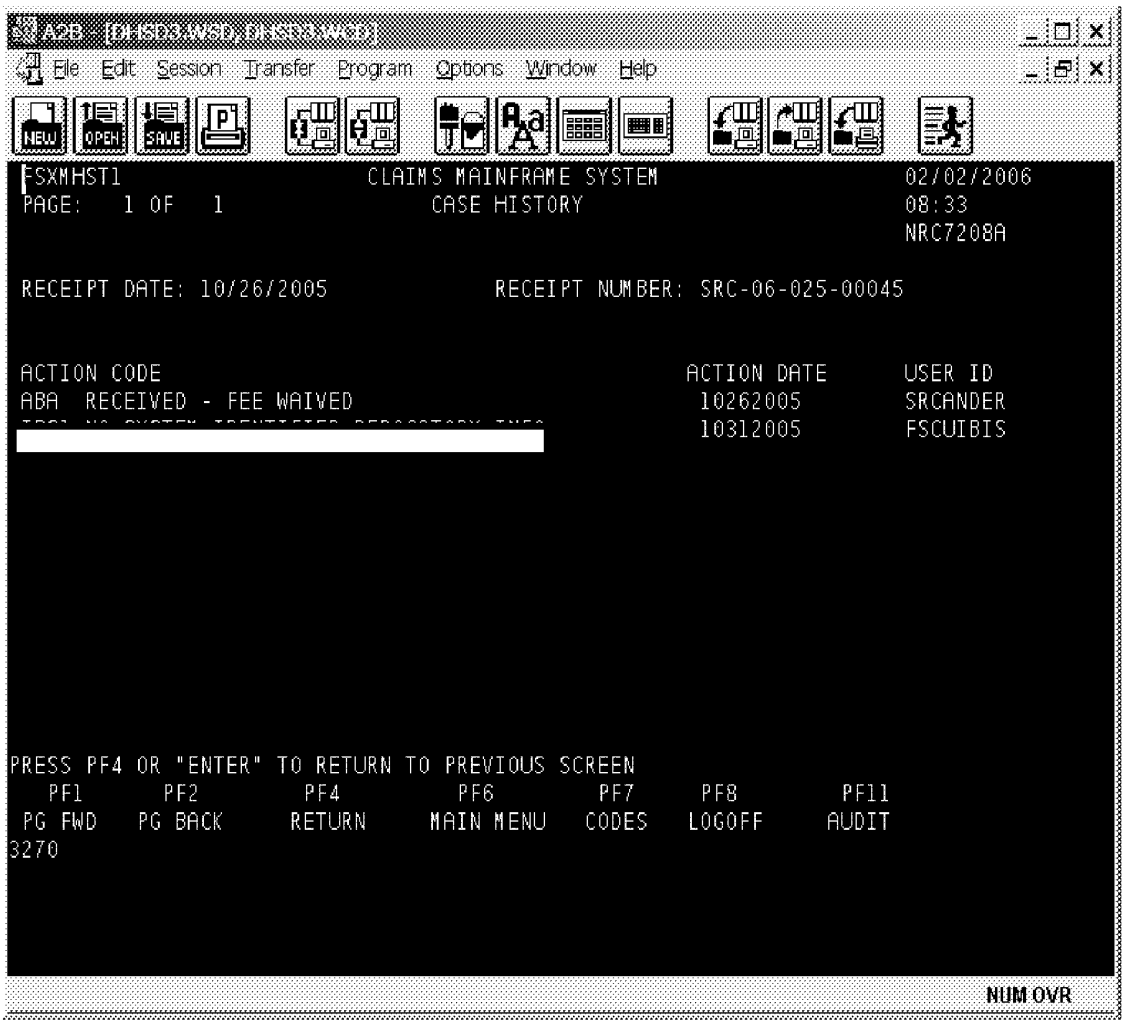
(b)(7)(e)



By pressing F11, you may view the history screen. From this screen, we can see the status of the application/petition. If the petition has been approved, destroyed, rejected or transferred, it may make a difference as to how we staff.

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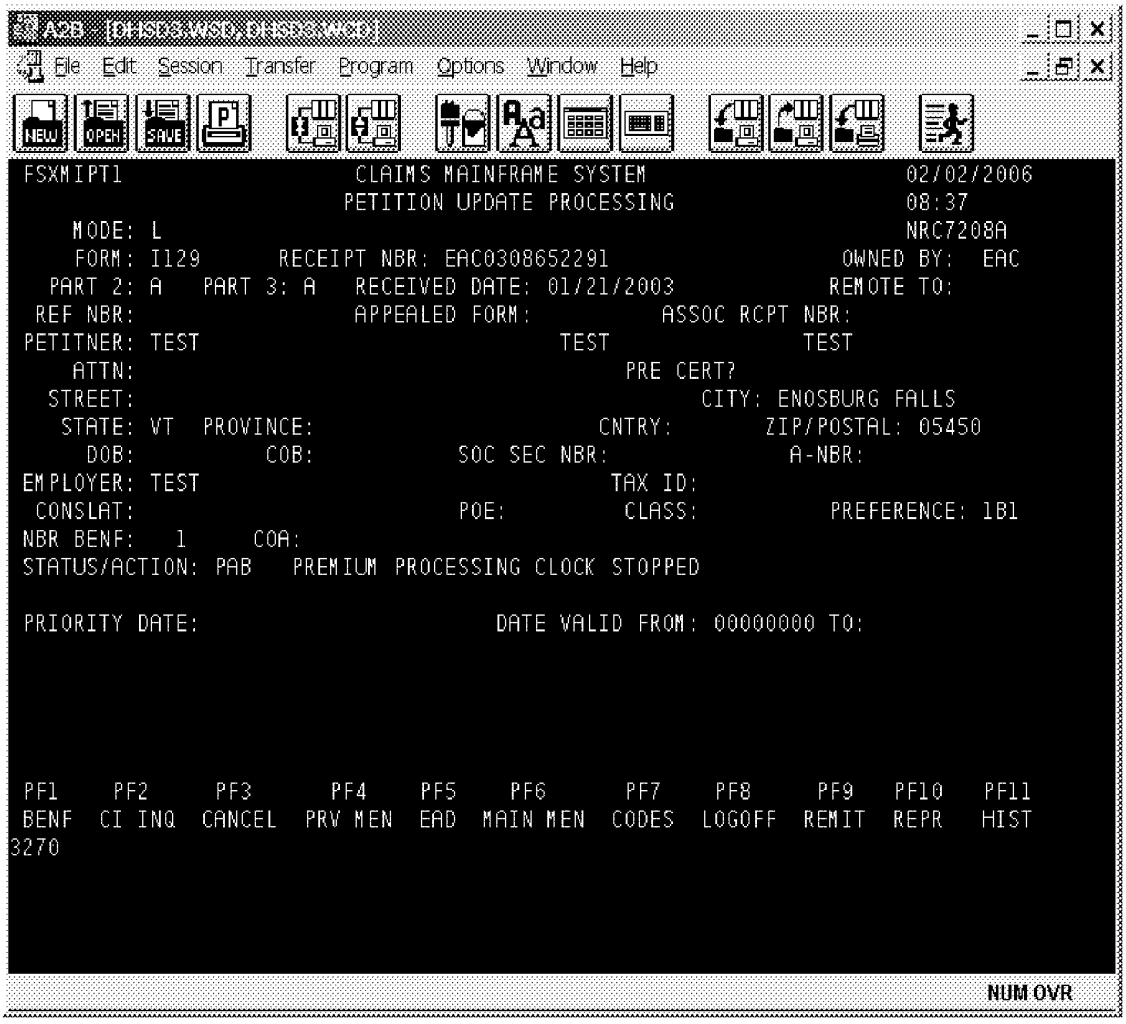
5.2.13 Beneficiary Petition for Non Immigrant Worker



On an I-129 petition, the petitioner's information is on the first screen you pull up after you enter or select the receipt number.

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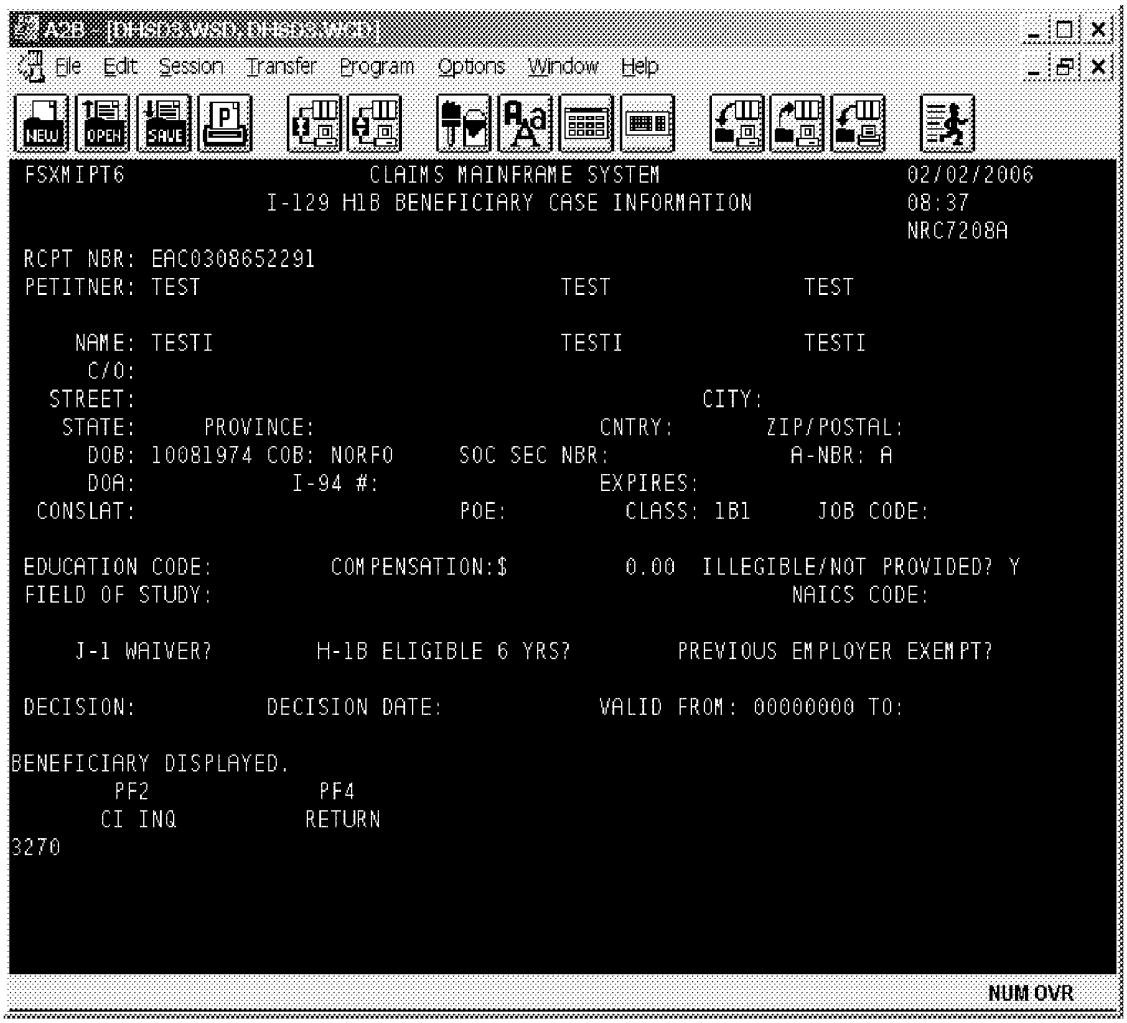
To see the beneficiary information press F1.



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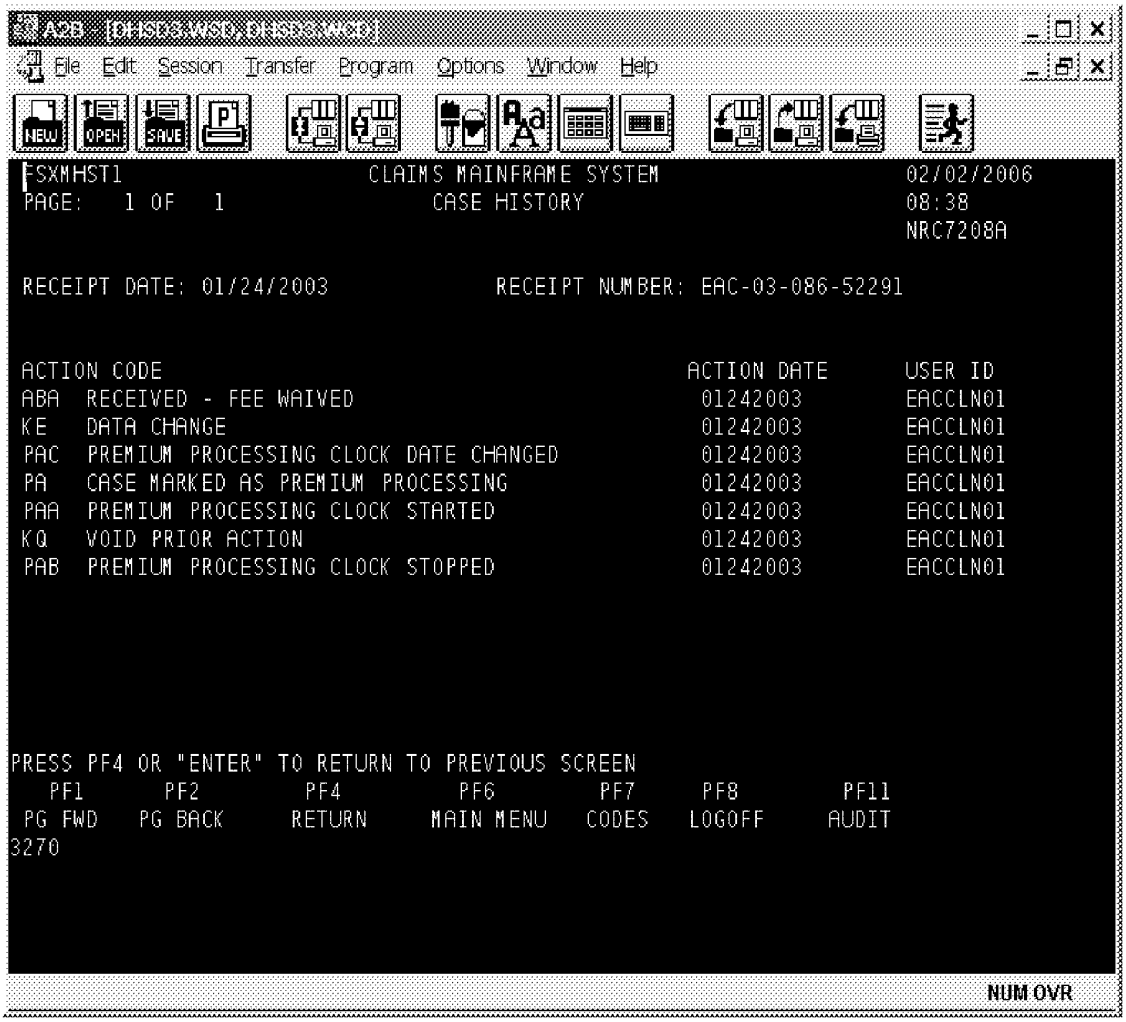
To view the history press the F4 key to return to the previous screen and enter F11.



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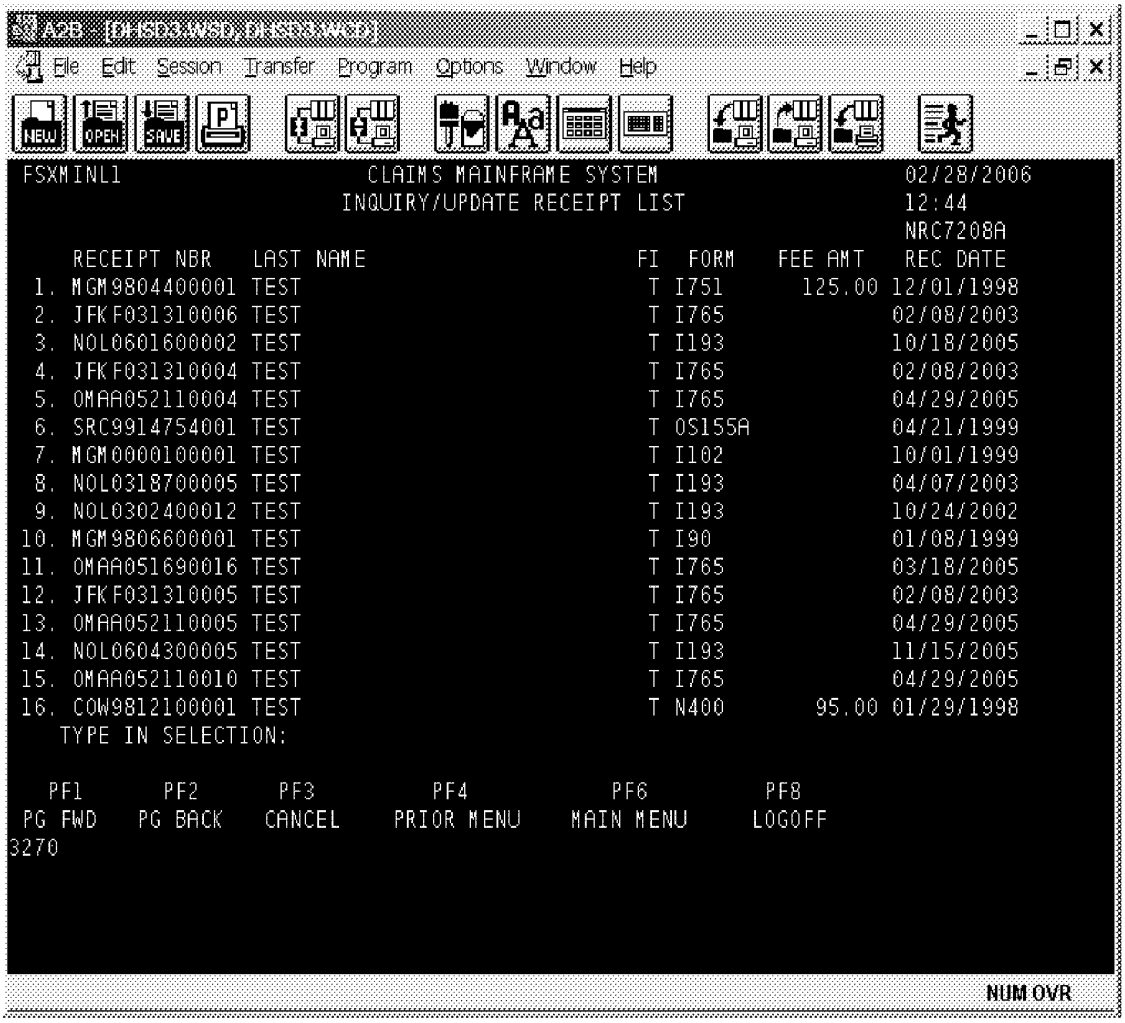

There may be numerous results on a name search. Press F1 to see the results of the next page. To view number 10 on page 2 of the results, enter "10." To go back to the results of the search, press F4. The screen always returns to the first page of the search results. Remember this if you are going through the results page by page.

5.3. National File Tracking System (NFTS)

NFTS is an automated system that enables USCIS to track and account for nearly 50 million Alien Files (A-Files) and Receipt Files. NFTS allows for local control of all files within a designated USCIS File Control Office (FCO) or Case Control Office (CCO). The system supports the file migration from the USCIS field offices to facilitate a national tracking system that supports the National Records Center (NRC) and a centralization of agency records. You will learn much more about using NFTS in the Staffing section of this guide.

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5.4. Person Centric Query Service (PCQS)

PCQS is an automated system that allows a person to submit a single query for all transactions involving an immigrant across a number of USCIS and Department of State (DOS) systems. PCQS returns a consolidated view of the immigrant's past interactions with USCIS and the Department of State as he or she passed through the U.S. immigration system.

Since PCQS can give us a comprehensive overview of a person's immigration history, it can help us locate certain documents to request, for instance, we may find information about an archived receipt in PCQS that we would not find in CLAIMS. You do not have to log in to PCQS to read the PCQS User Guide. Simply go to https://pcq2.esb.uscis.dhs.gov/PCQS/PCQS_User_Guide.pdf

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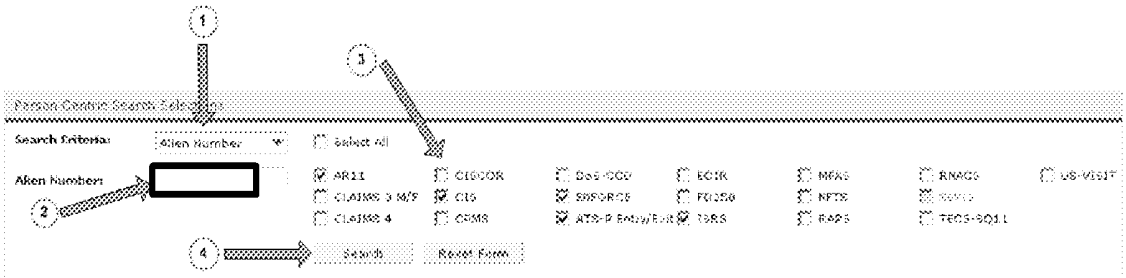

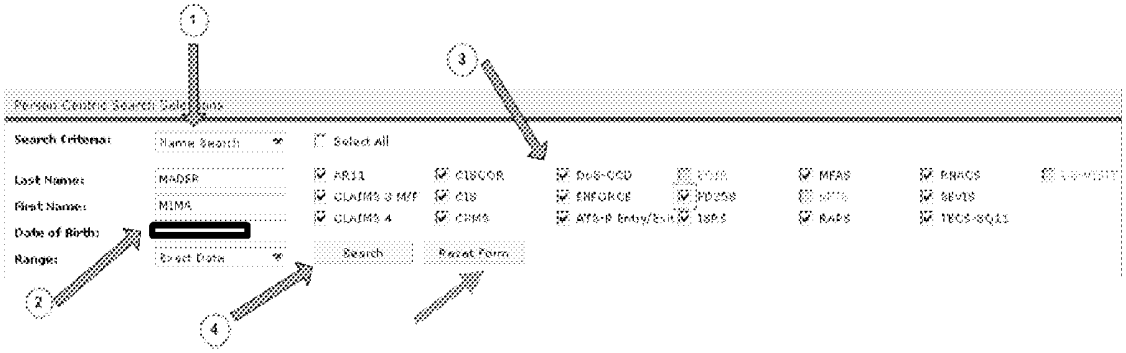

5.5. FOIA/PA Information Processing System (FIPS)

The Freedom of Information Processing System (FIPS) is an automated system that allows us to process FOIA/PA requests electronically. This automated system enables the scanning of paper files into electronic images. These images are easily stored, retrieved, and processed. FIPS provides workflow processing for the life of a case. Any time you do any transaction concerning a FOIA/PA case, it will be through FIPS.

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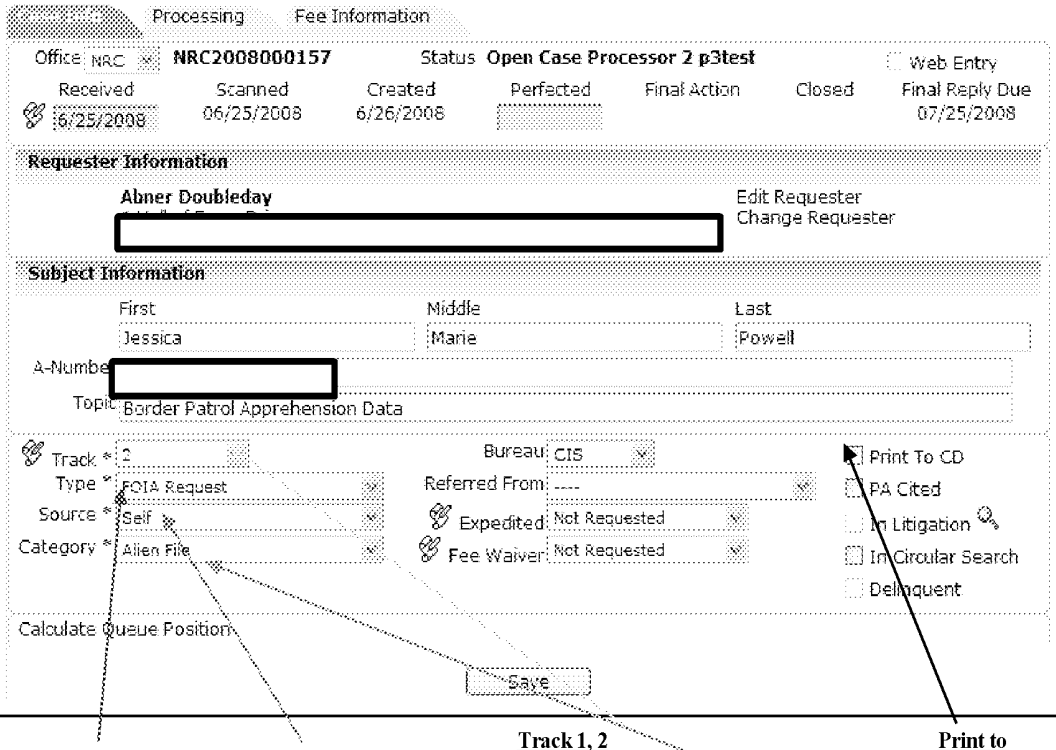

Type of request	Source	Track 1, 2 or 3	Category	Print to CD
• Always FOIA	• Attorney • Commercial • Education/Scientific • Foreign Government • News Media • Others • Representative • Self • White House/Congressional		• Alien File • Asylum • Specific Documents • Non A-File Material • Personnel • Special Interest Group • SFR cases at NRC	

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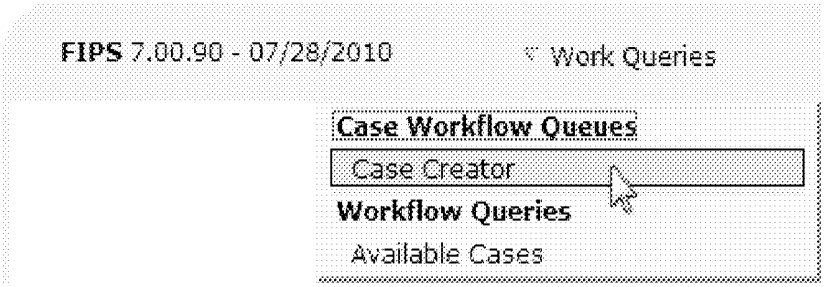
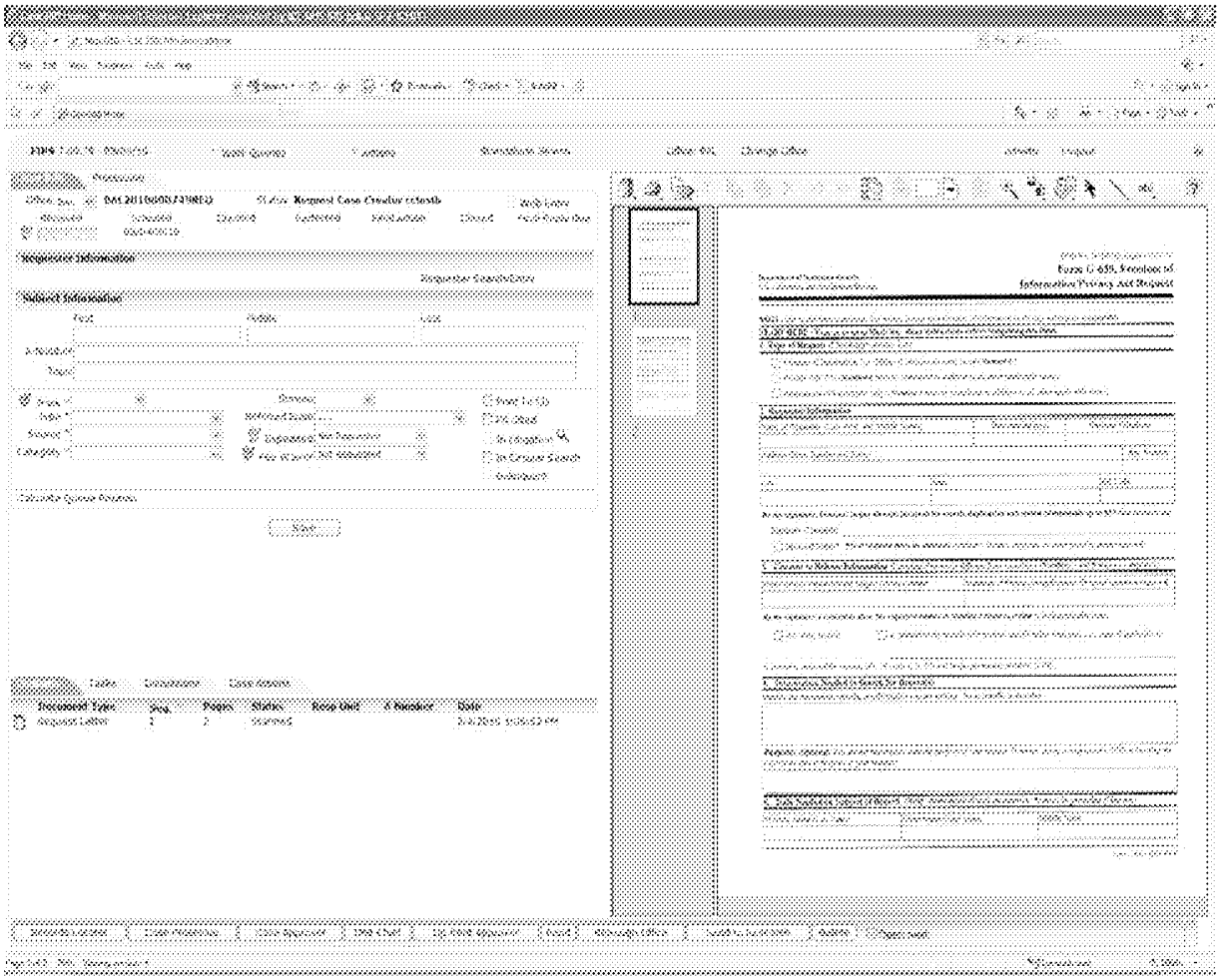
6. CREATING THE CASE





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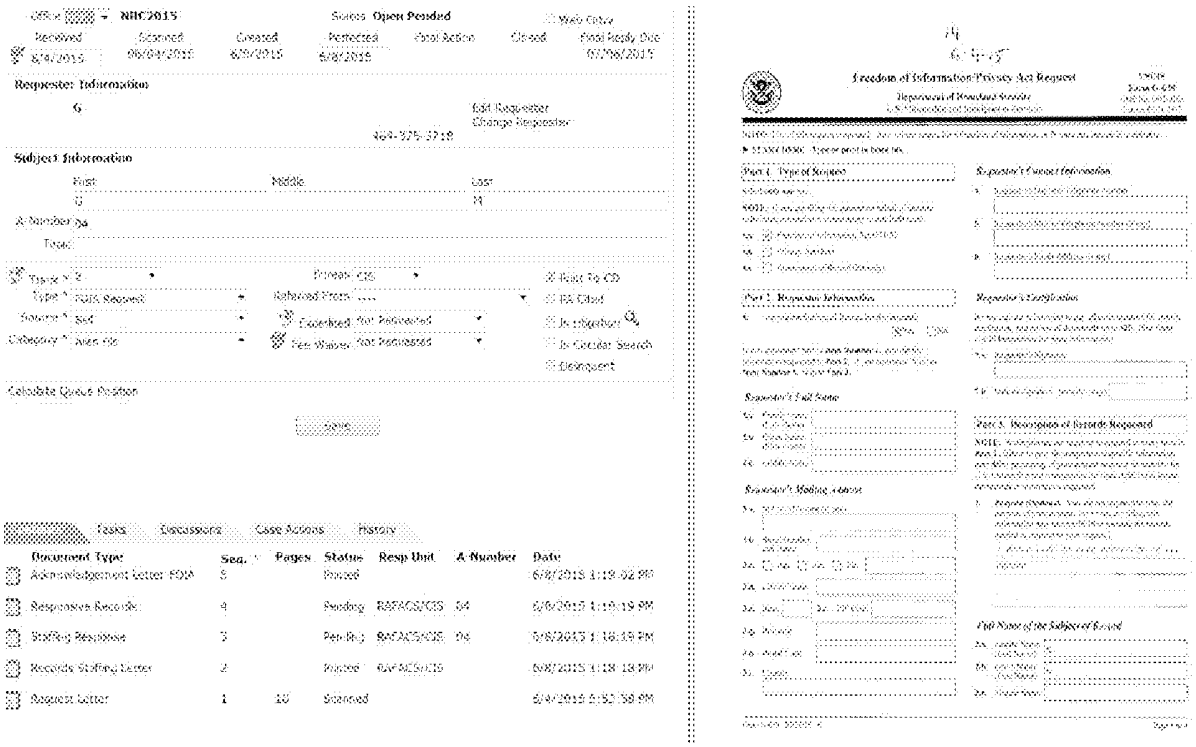

On the FIPS worksheet under the header "Contents," you will notice that usually Seq. 1 is the "Request Letter" and any supporting documents submitted with the request to include the mailing envelope. There will be a date and time in the right column. In older cases, the supporting documents may show in sequence 2 as Request Supporting Documents.

Occasionally requests are submitted on the following forms; the G-639 alone, G-639 and G28 together, or a Power of Attorney. In addition, requests are submitted by letter from an attorney or a representative and a G-28, and finally requests are submitted by letter from an attorney, or from the subject of record. Occasionally, there will be other documents scanned in, such as an alien registration card, driver's license or other types of identification. You may also see miscellaneous screen prints or memoranda. Make sure to view all documents scanned in FIPS, in the Request Letter, and Request Supporting Documents slots before you create the case.

If you find two or more unrelated requests scanned into one request slot:

A. Create one of the cases.
B. Search to see if the other subject has an active case.
C. If you find an active case for the 2nd request, create a Discussion note explaining – no further action required.
D. If you do not find an active case for the 2nd request:
   a. print the request and attach a Scan As sheet noting it is a new request.
   b. take it to OA to be scanned as a new request.
   c. create a Discussion note.

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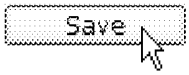
During the Case Create process, you may need to leave your work station, or you may receive a telephone call, or various things may happen to distract you from creating the case. If anything happens and you need to stop work temporarily, it is ***always*** a good idea to click:



You must identify the following critical items and enter them into the FIPS worksheet before creating the case: Requestor name and address, subject name, Track, type, source, and bureau.

If you are going to be away from your desk for 15 minutes or more, it is a good idea to check in your documents and log out of FIPS. It does not usually take very long to log back into FIPS and check your documents out again – in fact, it will save you time and effort. If you forget to log out and come back after a prolonged absence, you might possibly be disconnected from the server and not know it. When disconnected from the server, FIPS sometimes allows you to continue working but as soon as you attempt to save or check in a document, it will send you to the log-in screen and you lose the work you have done.

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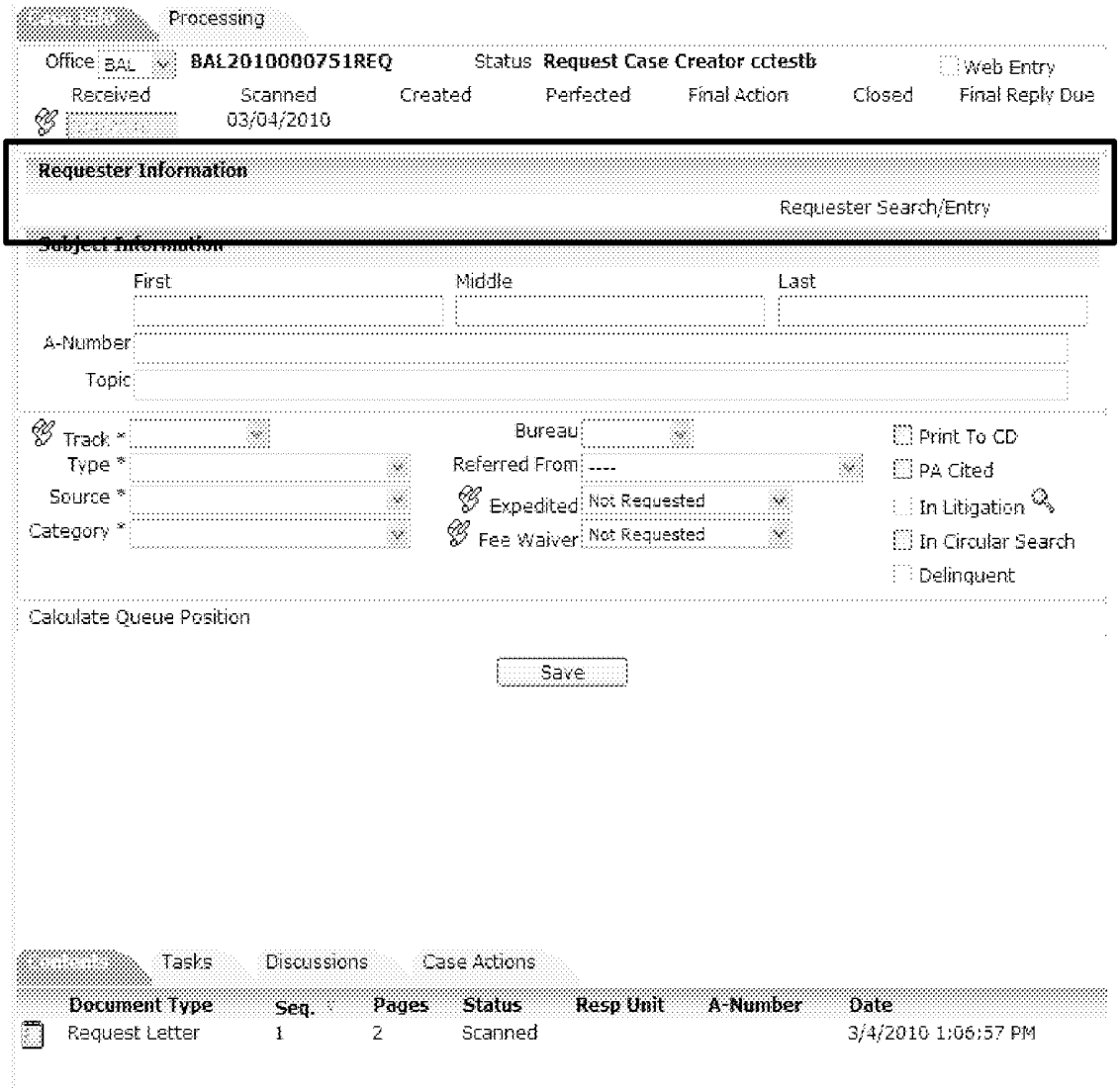
6.1 REQUESTOR INFORMATION



6.1.1 RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET

6.1.1.1 If the Requestor provides an alien number (which we will refer to as "A-Number,") you should first verify that it is the subject of the request and that this is not a duplicate case. After entering the A-Number in FIPS, copy the number you entered and open CIS 9101 screen. Enter 'a' on the number line, paste in the A-Number after the 'a', and press enter. Verify that the subject shown in CIS matches the subject listed on the request. Next, open NFTS, enter 'a' on the number line and paste the A-Number after the 'a', and press enter. This will show you the current location of the file. If the Requestor did not provide an A-Number, you should search by subject name and/or Requestor name by entering the information on the search screen and checking the boxes to use them in the search. If the Requestor provided multiple A-Numbers, you should verify that each is for the subject and

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then search by each file number. You may discover that two A-Numbers have been consolidated. In that case, you use the surviving A-Number only.

6.1.1.2 Do not use professional titles, such as Doctor or Reverend in the Requestor information.

6.1.1.3 You may use Jr., Sr. or II, III, etc., if the Requestor or subject uses it on the request. If Jr. or Sr. applies, make sure it ends with a '.' (period).

6.1.1.4 Do not open cases in the name of a company or firm only. If the name of the Requestor on the Form G-639 is a company name, please review the supporting documents to try to locate the name of the attorney/representative of the company. For example, if your request comes in on a G-639 and the name of the Requestor is only the name of the law firm representing the alien (for example, Wilens & Baker) you will need to look through your supporting documents to see if you can locate the name of the attorney at Wilens & Baker who is representing the alien. If you cannot locate the name of the attorney who is representing the alien, then open the case in the name of the alien, in care of the law firm. Do not use "Wilens and Baker" as the Requestor name.

6.1.1.5 Do not hyphenate names. For instance, if the Requestor has written his or her last name as "Ortega-Ramirez," you should enter that name in FIPS as "Ortega Ramirez," omitting the hyphen. This saves time by permitting a person researching cases to enter "Ortega Ramirez" without having to guess if the case creator hyphenated the name.

6.1.1.6 Double-check the spelling of the names. If the name of the Requestor is not clear on the request letter, check the supporting documents for a Form G-28 for the Requestor name.

6.1.1.7 Please add a period after the middle initial.

6.1.1.8 Rescinded.

6.1.1.9 Do not use part of the last name as a middle name, for example Hispanic names. Sometimes it is obviously a middle name, such as Juan Jose Gonzalez. Sometimes it is obviously a first and second last name, such as Juan Gonzalez Becerra. Other times, it is not so clear. If you do not find the person by exact spelling, you might look at the mothers and fathers last names, if provided. You may use a percent sign (%) as a wild-card for these searches. For example, if the Requestor's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%que%" and Subject First Name "Jaime." You may also need to search by variations of the first, middle, and last names – they may be in a reversed order in CIS. Some names may be found in CIS with a different sequence or combination of the first, middle, and last names. If you are unsure consult a co-worker, or supervisor.

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6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information*."

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the *Requestor Information* block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

You may use other request documents to verify what is shown as the Requestor address on the request.

We cannot create FOIA cases in the name of a foreign consulate or a congressional office. If the address on the request is a foreign consulate office, or is a congressional office, then you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you do, please create a Discussion saying you did so.

If there is a cover letter or other document specifying that the records should be sent to a different address than the consulate or congressional office, then you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you do, please create a Discussion saying you did so.

Something that is evident to you because you have been creating the case might not be immediately obvious to a supervisor or processor who has just opened the case. Please keep in mind that if you have done something out of the ordinary, adding a Discussion note will clarify your thought process and your decision.

If you can find no useable address, be sure to add a Discussion note to the case and send the case to Unit Chief (which we will frequently refer to as UC). If addresses are difficult to read or unclear, you may call the Requestor or go to

A. http://zip4.usps.com/zip4/welcome.jsp to verify that it is a valid address and the format that should be used.

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B. http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides similar address information for Canadian addresses.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

6.1.1.11 Each line of the address in FIPS can contain no more than 35 characters; this includes spaces and punctuation. When we are printing the responsive records to CD, nothing over 35 characters prints on the CD. This requires the OA clerks to print a label separately for those CD's before mailing.

6.1.1.12 Do not use special characters, such as "&" and "#" in the address field; rather, spell them out or use an abbreviation, such as "and" or "No." Note: you ***may*** use spaces, dashes, periods, commas or single quotes (‘). You ***may not*** use @, #, $, %, ^, &, *, (,), =, +, [,], {, }, \, <, >, or /.

6.1.1.13 Please include the suite number or apartment number on the same line as the street address. FIPS will allow you to key in more than 4 lines in the address box. The issue is when the case is processed and the CD is printed, it only prints the first 4 lines. The Requestor's name is the first line of the address, so you have three lines left. Enter any suite numbers or apartment numbers in the address line.

6.1.1.14 If the Requestor does not provide a valid address use: 123 Main Street, Washington, DC 12345. Close the case as FC, blank out FC letter, then send the case to up front approver. Please add a Discussion note to the case titled "Missing address," explaining the illegible mailing address.

6.1.1.15 When the attorney or subject of the request provides both a physical mailing address and a P.O. Box, use the P.O. Box for the official mailing address and do not include the physical address. Please do not use both.

6.1.1.16 The address can only be four lines long, even though FIPS gives you an extra line. The Requestor's name is always the first line.

6.1.1.17 Why identify the Requestor as an attorney? In addition to being a sign of respect and professionalism, it makes the acknowledgment letter legal mail, which in many states guarantees special confidential treatment. Properly addressing attorney(s) as third party Requestors in FIPS:

Example 1: If the attorney(s) is <u>not</u> affiliated with a law firm, then the first line of the address should be "Attorney at Law."

Requestor **Address**

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Christopher T. Stender, (Esquire)	Attorney at Law 111 Main Street Sample, MS 44444

Example 2: If the attorney(s) name is part of the firm's name, then the first line of the address should be "Attorney at Law."

Requestor	**Address**
Manual Solis, of (Law Offices of Manuel Solis)	Attorney at Law 111 Main Street Borderline, AK 22222

Example 3: If the attorney(s) name is not part of the firm's name, then the firm's name should be the first line of the address.

Requestor	**Address**
Spiro Serras, of (Wilens and Baker)	Wilens and Baker 111 Main Street Aroundthebend, OK 33333

If the address on the request is a residential address under the name of someone other than the subject or Requestor, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the Requestor or subject name on the request as living at that address, the mail will be returned. Using 'c-o' (in care of) allows USPS to deliver the mail to that address as long as the person listed receives mail at that address.

6.1.1.18 If an address is foreign, check the box marked Foreign. This will change the format of the worksheet to include the Province and Country and postal code. You must complete the city and country name fields to ensure proper delivery. Some foreign countries also require postal codes.

This link (http://www.canadapost.ca/cpotools/apps/fpc/personal/findByCity?execution=e1s1) provides address information for Canadian addresses. Also http://bitboost.com/ref/international-address-formats.html#Formats can be used to find the proper format for foreign addresses to ensure you have the needed information in the correct format.

If a foreign address has no postal code and FIPS will not accept the address without it, add an '-'as the postal code. It may also be necessary to view the return address on the

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envelope to see how the address should read because their address formats are different than ours. A foreign address may be very long, and you may have to consult a supervisor to complete the address field correctly. The following places should use standard U.S. mailing addresses because they are NOT foreign countries:

American Samoa
Guam
Puerto Rico
Northern Mariana Islands
Baker Island
Howland Island
Jarvis Island
Kingman Reef
Midway Islands
Navassa Island
Palau
Palmyra Atoll
U.S. Virgin Islands
Wake Island
Micronesia

6.1.2 Requestor Search/Entry. To locate and select existing Requestors or to enter new Requestors, click the **Requestor Search/Entry** link to open the Requestor Search Form. To search for an existing Requestor, click in one of the available fields in the Requestor Search Form and begin entering pertinent information. When searching for a Requestor whose last name is Smith, for example, click in the Last Name field and enter a portion or the entire last name. After you have entered enough information, click **Search** to locate Requestors with matching information. Searching by last name and first name brings up more exact matches. Changing the frequent Requestor indicator to 'either' will search for both regular and frequent Requestors. Refer to the rules in section 6.1.1 for any questions on searching for Requestor information.

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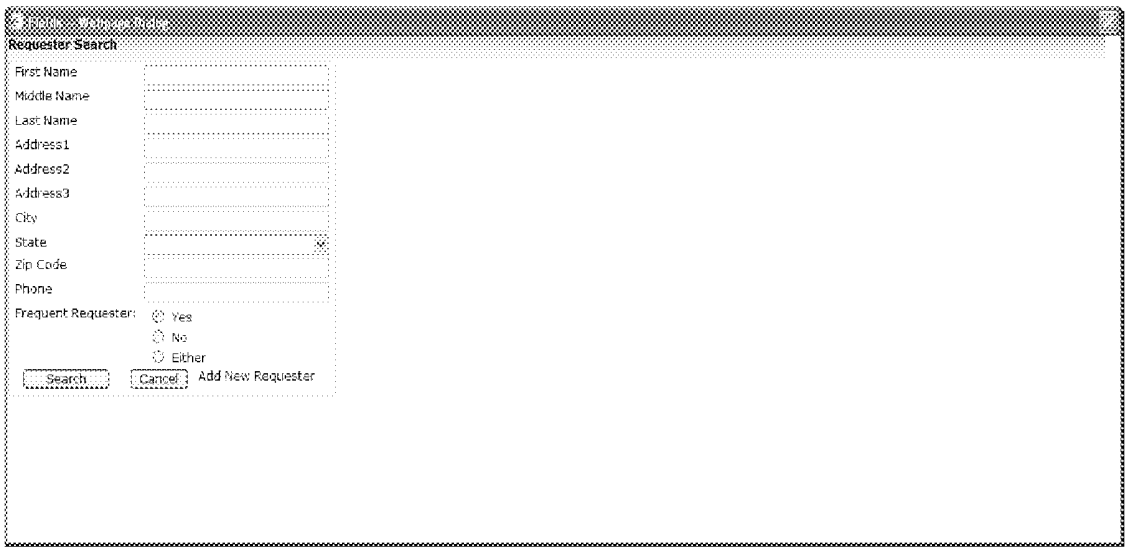

If you get any matches to your search, you will see a screen that looks like this:

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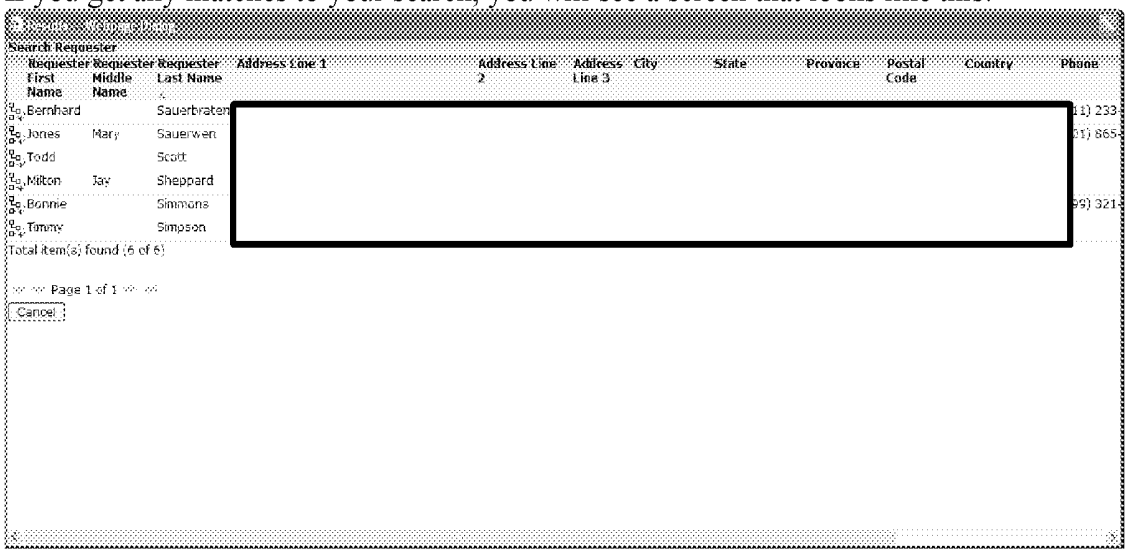

If any of those Requestors are a perfect match for your Requestor, you may "Assign this Requestor" by clicking on the icon to the left of the name. Make sure the address is an exact match, including any apartment or suite number – just matching by names causes problems when addresses don't match exactly.

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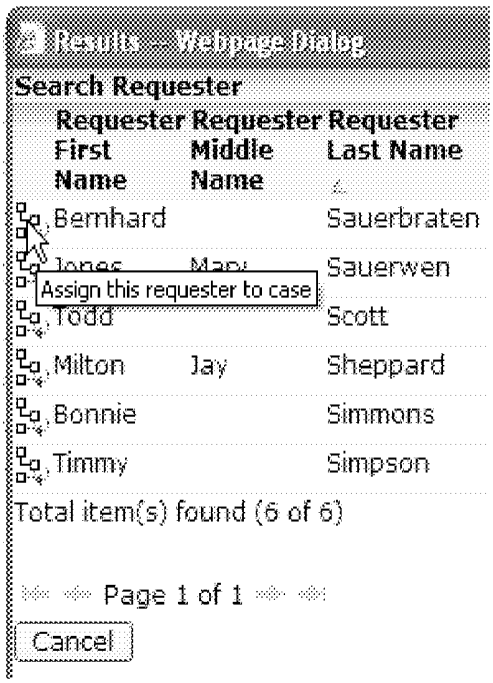

And it will populate the Requestor information like this:

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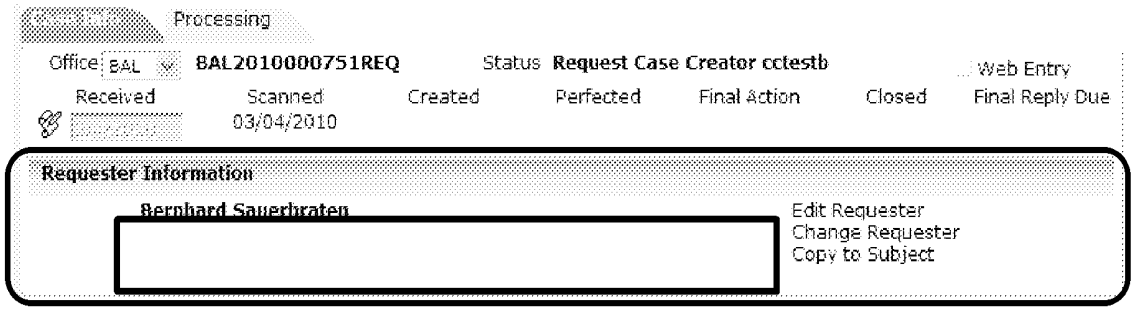

6.1.3 Add New Requestor. If you do **not** find a match, you will have to add a new Requestor by selecting Add New Requestor:

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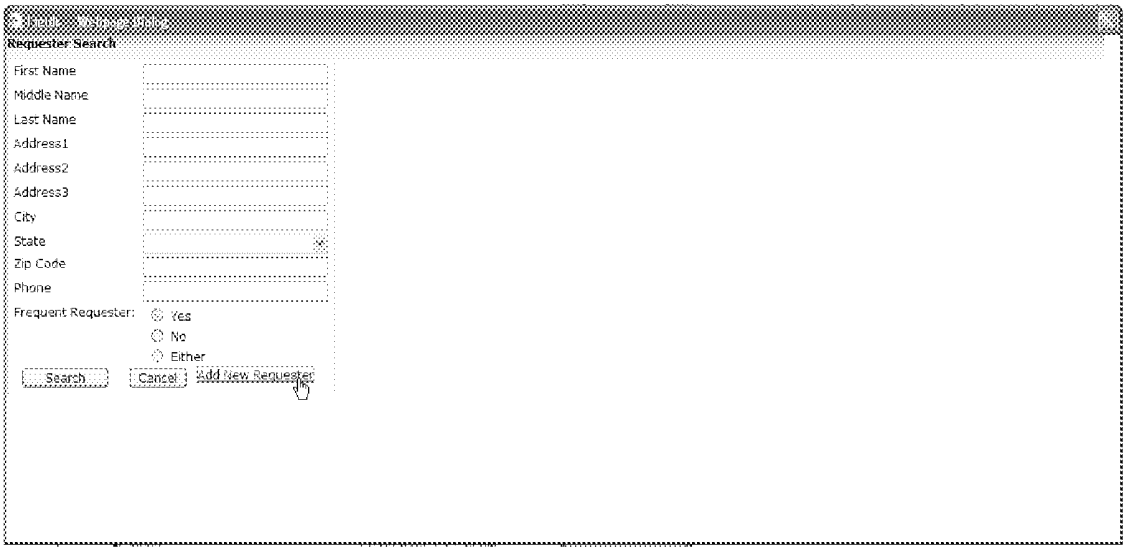

Click on Add New Requestor, you will get a dialog box .

Note: We don't use parenthesis when entering phone numbers

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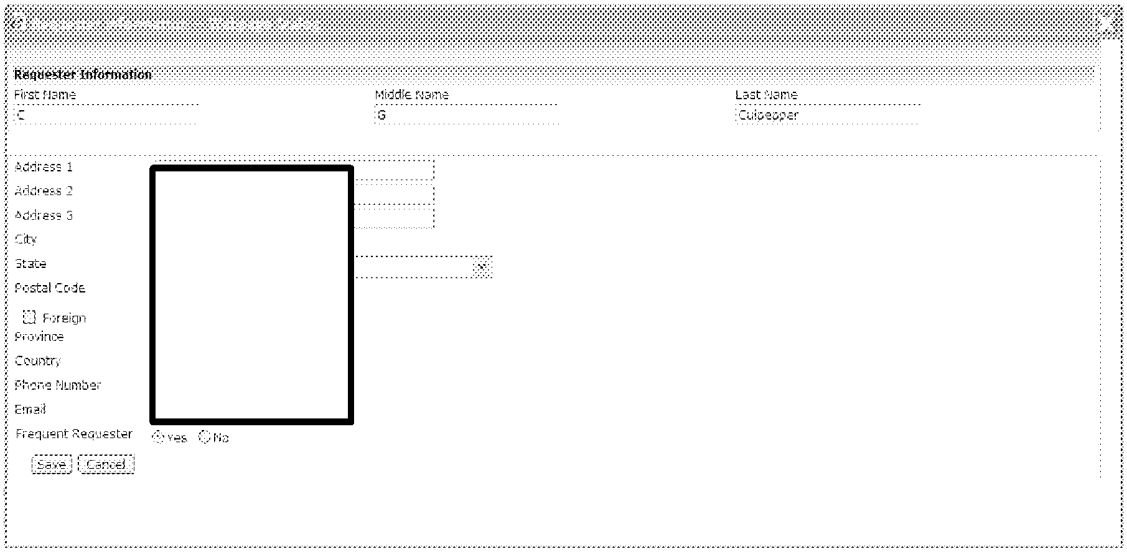

When you click Add New Requestor, you will get a dialog box that you fill in. You will enter all information and decide if this is a Frequent Requestor. If the Requestor is an attorney or representative who is not already in the system, please save as a Frequent Requestor. Do not create a new frequent Requestor if one already exists with matching name & address information, including apartment or suite numbers (first & last names should match, but first initials or a second last name may be used in some cases and if addresses match, they can be used). Phone number should be entered in the following format: 999-999-9999 for US phone numbers. Extensions are allowed after a space following the phone number. Although you are not required to do so, you may enter the e-mail address if it is provided. Click 'save.'

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6.2 SUBJECT INFORMATION

After saving, look to see if this is a self-request. If so, you can copy the Requestor Information to the Subject by clicking on 'Copy to Subject'

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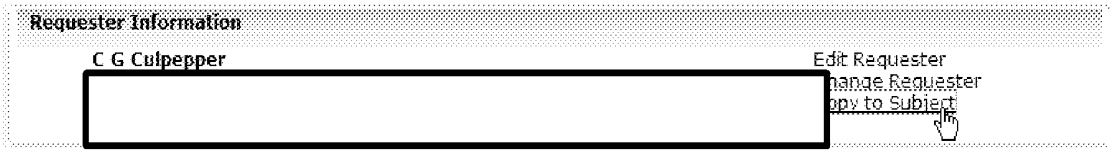
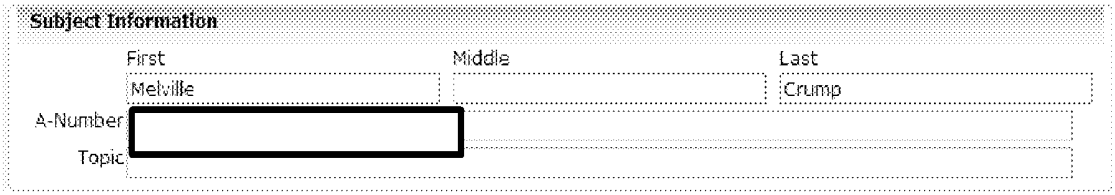


Otherwise, you will have to enter the subject information in the area. If the person gave more than one A-Number, please separate them with a comma in the A-Number field. FIPS converts all 'A-Numbers' to 9 digits by inserting leading zeroes.

Note: We don't use parenthesis when entering phone numbers



6.2.1 Name

(b)(6)

Enter the subject's name, as it appears in section "Requestor Information" of Form G-639 (except in the case of a petitioner asking for a petition).

The name portion of the worksheet is the name of the alien whose file we are requesting. This is usually the name in the subject portion of the Form G-639, or in the subject line of the request letter. However, if the Requestor is asking for a petition he or she filed on behalf of a beneficiary, then that document will be a separate receipt or it will be in the beneficiary's file, not the Requestor's file. In situations like this, the subject information would be that of the beneficiary, not the Requestor. If a receipt has been consolidated into the beneficiary's A-file, we require certification of agreement from the beneficiary or we will close the case as a Total Denial (TD). *See Section 7 for Certification of Agreement and Verification of Identity*. Watch for identical family names requesting records of other family members. Please verify all A-Numbers and receipt numbers in CIS or CLAIMS to be sure they belong to the person whose records are being requested.

6.2.2 Alien Number

In the alien number field, enter the subject's alien number, as provided on the request, as an eight-digit or nine-digit number. FIPS will automatically convert all A-Numbers to nine digit

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numbers by adding leading zeroes. Do not use the preceding 'A' or 'T' file indicator in FIPS.

6.2.2.1 Always check the A-Number in CIS to be sure it belongs to the correct subject. Copying and pasting the A-Number will save you from making a typographical error and inadvertently staffing for the wrong file.

6.2.2.2 If the alien provided us with more than one A-Number, please separate these numbers with a comma and verify they are all for the subject.

6.2.2.3 If you have created the case and you see less than eight digits in the A-Number field, please re-check (by pasting the number into CIS) to make sure you have entered the number correctly.

6.2.2.4 Do not enter the petitioner's A-Number if the request is only for a copy of an unconsolidated petition filed on behalf of someone else. If the request is for all records, we would need to staff for the A-Number and receipt file. If the subject of the A-Number and beneficiary are different people, you must create additional cases.

6.2.2.5 If the Requestor is a petitioner asking for a copy of a petition that has been consolidated into the A-file of the beneficiary, you should enter the A-Number of the beneficiary, and change the subject name to that of the beneficiary, since we will request the beneficiary's 'A-file'. We require certification of agreement from the beneficiary or the case will be closed as a Total Denial (TD). For more information about this, please refer to section 7, Certification of Agreement, Verification of Identity and Description of Records.

6.2.3 Topic

If the request is for something other than an alien file, for example, a receipt file or a vacancy announcement, then you will add this information in the "Topic" field in the Subject Information area.

"Topic" is used at different times, such as:

- when there is an unconsolidated receipt file
- when it is a request for a vacancy announcement
- when it is a request for a personnel file
- when it is a request relating to policies and procedures service-wide
- significant interest requests with a topic unrelated to a subject records request. You may change the Topic field (unlike the A-Number field) after you have created the case.

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Do not use Topic to describe specific documents such as an I-130 or immigrant visa if the receipt number is unknown – you should specify that in the Discussion notes and in the acknowledgement letter. It is always a good idea to read any correspondence you prepare to be sure it makes sense. For more information, refer to section 18, Acknowledgment Letters. When you use Topic, you must check and possibly modify any staffing or acknowledgement letters.

6.2.3.1 If the alien is requesting a receipt number, enter the information in the following format:

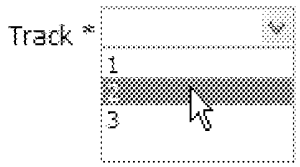
Correct: MSC0412360000
Incorrect: MSC-04-123-60000

6.2.3.2 The format above assists the Mission Support Assistants in locating the files and in locating the cases in FIPS when the receipt files come into the facility, and it will make it possible for case creators to spot duplicate or similar cases. If you are requesting multiple receipt files from the same facility (for the same subject), you may staff for up to four receipt files on one staffing sheet. See **Staffing Sheet Guide** for more guidance.

6.2.3.3 When the request is for vacancy announcements, the vacancy announcement number must be the first part of the description. See section 6.3.4.4, Significant Interest Group (SIG) Requests, for more information on handling personnel related requests. In other types of situations, put as much of the pertinent information in the description line as space will allow. You will need to modify the acknowledgement letter.

6.3 CASE SPECIFICATIONS

6.3.1 Track



6.3.1.1 Track 1 –

Select Track 1 if the request is for:

- a specific document, or
- if your search yields only a receipt file or
- if the only responsive record is screen prints.

Any time you have a RAFACS-only staffing, you should create the case as Track 1. A specific document request consists of three documents or less (except asylum or

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refugee requests, which you must evaluate more carefully – please refer to section 8.24 SITUATION: Requests for Asylum or Refugee documentation).

6.3.1.1.1 If the request is for a specific document, please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the Requestor contains the following paragraph and you must modify it to show the specific documents requested:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). **You specifically requested Specific Doc Information. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified.**

You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request. Otherwise, if the request is Track 1, but is not a request for specific documents, please delete both sentences that address specific documents (bolded in the paragraph above). Either way, you should never leave the words "**Specific Doc Information**" in your acknowledgment letter.

6.3.1.1.2 If the request is for a specific document, continue to create the case in Track 1 as Specific Documents. If the Requestor responds that he or she needs the whole file, a FOIA/PA Assistant or Government Information Specialist working in Records Locator (which we will refer to as RL) or the Research queue can change it to Track 2 at that time. See section 34 for instructions on how to change tracks.

6.3.1.2 Track 2 – Requests for entire copy of alien file, detentions, deportations or removals, asylum or refugee requests, and requests from news media or special interest groups.

If the request has "all records" checked and/or lists more than three documents on the G-639, please select the category Alien File, Asylum or SFR cases at NRC and make the case a Track 2. (See section 34 for instructions on how to change tracks.) Track 2 should also be used for cases created for SIG.

6.3.1.1.2.1. Track 1 vs. Track 2 Clarification (G-639 dated 3/31/2015)

We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Part 3 to our decision-making process.

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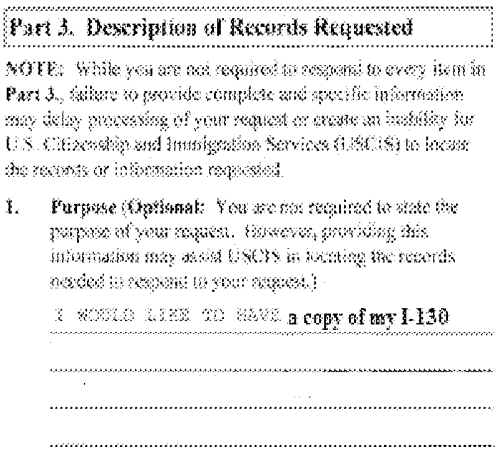
In the latest version of the Form G-639, there is no "Subject of Record Consent to Release Information." You only have Part 3, Description of Record(s) Requested to decide what to release to the requestor.

Part 3: Description of Record(s) Requested:

Part 3 is where the requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The requestor writes in **"I would like to have a copy of my I-130.**

This request will amount to just a few pages. This is a Track 1 case.



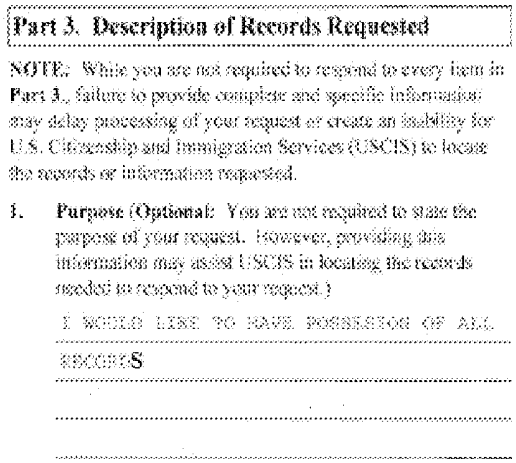
Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE **a copy of my I-130**

In this next Part 3 example, the requestor wants all of his or her records.



Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in **Part 3.**, failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional:** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE POSSESSION OF ALL RECORDS

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Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

However, if the person asks for all records and you find the A-file or more than three documents (Section 6.3.3.2), you are going to make this a Track 2 case.

6.3.1.1.2.1 Track 1 vs. Track 2 Clarification

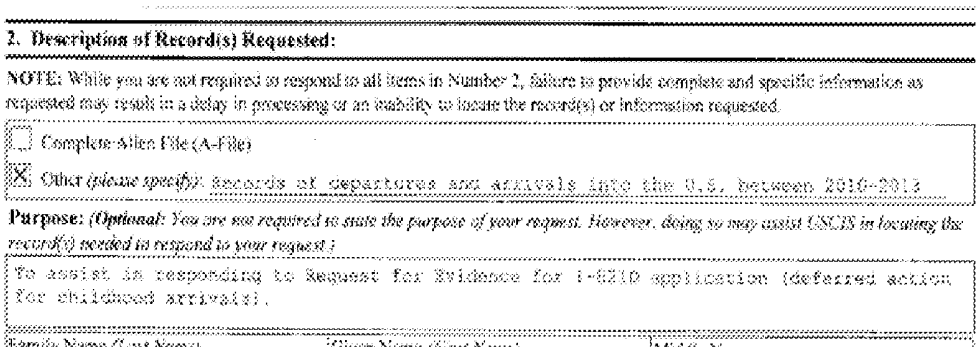
We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Blocks 2 and 3 to our decision-making process.

Block 2: Description of Record(s) Requested:

Block 2 is where the Requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The Requestor selects **"Other"** and specifies **"Records of departures and arrivals into the U. S. between 2010-2013."**

This request will amount to just a few pages. This is a Track 1 case.


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other (please specify): Records of departures and arrivals into the U.S. between 2010-2013

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

To assist in responding to Request for Evidence for I-601D application (deferred action for childhood arrivals).

In this next Block 2 example, "Complete Alien File" is checked.

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

But if "Complete Alien File" is checked and you find the A-file or more than three documents (Section 6.3.3.2), check the Track 2 block, no matter what is written in the "Purpose" section.

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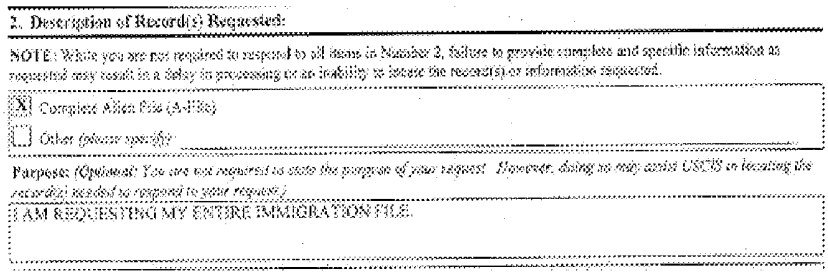

2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☒ Complete Alien File (A-File)

☐ Other (please specify)

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

I AM REQUESTING MY ENTIRE IMMIGRATION FILE.

In Block 3, we see what the Requestor gives consent to release.

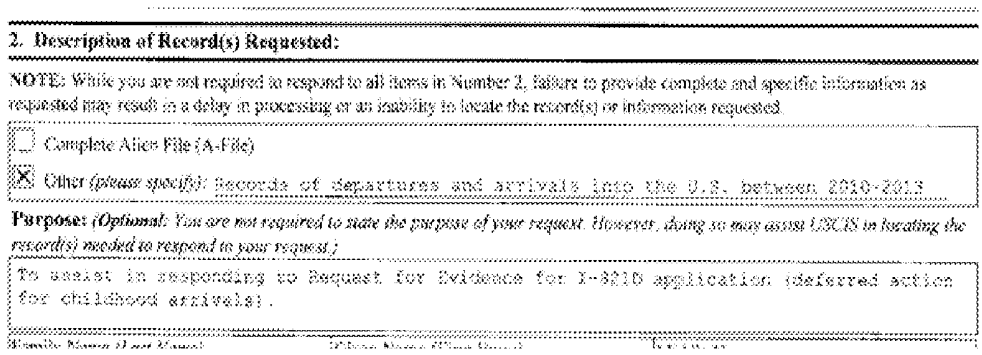
Block 3: Subject of Record Consent to Release Information

You've already selected the track of the case in Block 2. In Block 3, you decide if you have consent. Additionally, you need to consider the following:

1. If your case is a Track 1 (decided in Block 2), the subject of record confirms what information they want released to the Requestor.

2. If your case is a Track 2 (decided in Block 2), Block 3 is only used for certification of agreement if you're releasing to a third-party…nothing else.

For continuity, we'll repeat our first Block 2 example:


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other (please specify): Records of departures and arrivals into the U.S. between 2010-2013

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

Now in Block 3, the Subject of Record tells us specifically (gives consent) how much of what was requested in Block 2 gets released to the Requestor.

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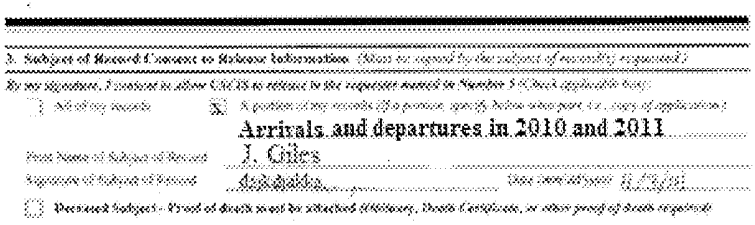
Arrivals and departures in 2010 and 2011
J. Giles

In Block 3, the Subject of Record checked "A portion of my records," and specified that he only wants "Arrivals and Departures in 2010 and 2011" released.
When the records are processed, we will release "Arrivals and Departures in 2010 and 2011" only.

6.3.1.3 Track 3 – Requests for records of individuals scheduled in the future to appear before an immigration judge. Requestors must provide one of the following documents to receive Track 3 processing:

- Form I-862, Notice to Appear, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-122, Order to Show Cause, documenting a future scheduled date of the subject's hearing before the immigration judge.
- Form I-863, Notice of Referral to Immigration Judge
- Written notice of the continuation of a future scheduled hearing before an Immigration Judge.

6.3.1.3.1 A supervisor will normally review all incoming FOIA requests and identify Track 3 requests. The supervisor will verify that necessary documentation is present with the request. There should be an attached cover sheet indicating to the case creator whether the request for Track 3 is approved or denied.

6.3.1.3.2 If there is no cover sheet, please evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.3 Already Approved Requests for Track 3 Processing with Pending Cases

Before you create the case, look at the documentation and/or check for a duplicate. Sometimes you will find a current, open pending case which is ***already approved*** for Track 3. If you find another case and it is not a DP case, simply click "Send to Research" and you are finished with the case. Add a Discussion to the original case, "Research, original case already approved for Track 3 processing please attach as

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CSD". If it is an exact duplicate request to the existing pending case and already approved for Track 3 processing, you will close this case as final action DP: Duplicate. Add a Discussion to the original case, "Research DP Case closed as DP and provide the NRC control number." (See section 6.4 for information on Searching for Duplicates.)

Track 3 Approval on Pending Cases. If you find an ***existing duplicate pending case that was denied*** Track 3, and has now been ***approved*** for Track 3 processing, do not create the case. You should send the case to Research, where they will attach the new request to the existing case as a CSD, change the case to track 3 and send approval notification. Add a Discussion note to original case, "Research, Track 3 upgrade needed". (See sections 34 & 35 for instructions on how to change tracks.)

6.3.1.3.4 Requestors will sometimes request both Track 3 processing and expedited processing. Do not select both. Neither has to do with the other. A Requestor could be granted either Track 3 processing or expedited processing, but never both on the same case. For expedited processing guidelines, please refer to **"Expedited Treatment"** in this guide, section 6.3.6

6.3.1.3.5 Track 3 processing is not "expedited" processing as that term is used and understood in law. It is not appropriate to use the word "expedited" when discussing Track 3 processing of a FOIA request ("priority" or "accelerated" processing are more appropriate terms for Track 3). Don't confuse the two in correspondence with Requestors. Attorneys may refer to Track 3 as "the removal track" or "the immigration hearing track." The key is any reference to deportation or removal. Some attorneys do not know the difference between "Track 3" and "Expedited Treatment," and we should not punish them for that. If an attorney requests expedited processing because his or her client has a removal hearing, we should treat that as a request for Track 3 processing and evaluate accordingly.

- Example 1: if the attorney requested expedited processing because his or her client has a removal hearing and the attorney also provided a Notice to Appear with a future scheduled date, then you will create the case as a Track 3 and our acknowledgment will say that the case will be processed in the accelerated track (Track 3). Of course, if you are not sure, you should contact a supervisor.
- Example 2: if the attorney requested expedited processing because his or her client has a removal hearing but the attorney did not also provide supporting documentation, then you will create the case in the regular track and include the Track 3 denial paragraph in your acknowledgment letter. The attorney then has the opportunity to provide supporting documentation to move the case to Track 3.
- Example 3: if the attorney requested expedited processing and cites a threat to health or physical safety, or if the attorney cites no reason at all, then we

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should treat it as a request for expedited processing. When we deny expedited processing, we have to send a separate letter informing the Requestor of our decision. The Requestor has the right to appeal our decision to deny expedited processing.

6.3.1.3.6 Refer to the cover sheet the supervisor attached to the request. There should be either an Expedited coversheet or a Track 3 coversheet, but not both. Follow the instructions on the cover sheet attached to the request. If there is no Expedited cover sheet, do not mark either box. Add a Discussion and send the case to Unit Chief. A supervisor will approve or deny expedited requests.

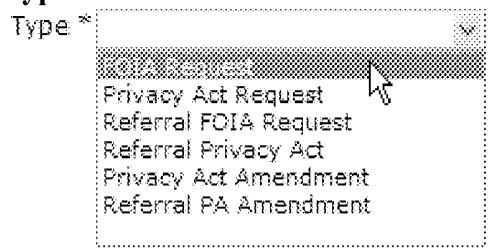
6.3.1.3.7 New FOIA Requests for Track 3 Processing If the Requestor specified Track 3 processing on a new FOIA request but the request does not have a cover sheet, please create the case, evaluate the request and make a determination to approve or deny Track 3. If you are unsure, consult your supervisor.

6.3.1.3.8 If the Requestor did not provide any documentation or if the documentation says "a date and time to be determined" prepare an acknowledgment letter and click "Add Track 3 Denial Paragraph." Proceed with creating the case.

6.3.1.3.9 If you are not sure whether to approve or deny Track 3, please consult your supervisor.

6.3.1.3.10 If you assign the case to Track 3, ensure you put the words "TRACK 3" near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. Entering this information near the center of the page will stop the text box from interfering with the barcode. Check the barcode at the bottom of the staffing sheet anytime you add or modify a staffing sheet. You may have to move the text box up if it interferes with the barcode.

6.3.2 Type



Always select **FOIA Request**. It will be incumbent upon the processor to verify the status of the alien, and to change the case type if necessary.

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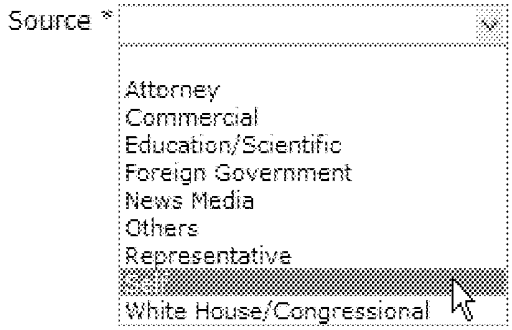
Privacy Act Amendments are requests to correct or amend something on the specific document or file. This type of request is not for a copy of records or the file. If a request is for a 'Privacy Act Amendment' please refer to Section 6.3.4.4.

6.3.3 Source



The source of the request is, quite simply, who is making the request. Is the Requestor the individual or an attorney or representative speaking on the alien's behalf? Is it a request from the media or a true third party Requestor? Below is a list of possibilities for Requestors:

- Attorney - The Requestor is an attorney representing the alien. The attorney will have checked the box on the G-28 marked "Attorney," or will have sent us a letter on the law firm's letterhead.
- Commercial
- Education/Scientific
- Foreign Government
- News Media
- Others - The Requestor of the file is someone other than the alien, an attorney or an accredited representative. They might possibly include a G-28 with something other than "Attorney" or "Accredited Representative" checked.
- Representative - The Requestor is an accredited representative under the provisions of 8 CFR 103.2(a)(3) and 292.1(a)(1) or 292.1(a)(4). On a G-28, the Requestor will have marked the box "Accredited Representative."
- Self - This is a request from the alien himself or herself. The request may have the name of an individual followed by "care of" a certain law firm. This is still a self-request.
- White House/Congressional

If you feel that you have a case of a different source of request, please contact a supervisor for further guidance.

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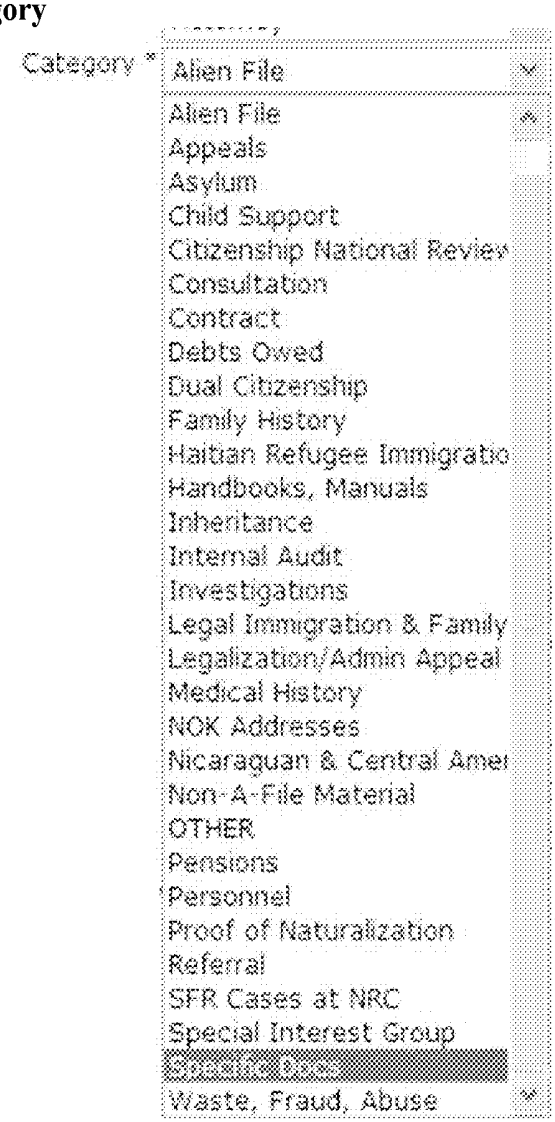
6.3.4 Category



There are 35 different categories of requests. However, the most commonly used ones are:

6.3.4.1 Alien File – The Requestor is asking for an entire copy of an alien file. This category includes the following:

a. Files of living subjects
b. Naturalization records on or after April 1, 1956
c. Visa records on or after May 1, 1951 in A-files
d. A-Files above 8 million (A8000000), and documents therein dated on or after May 1, 1951
e. Registry records on or after May 1, 1951 in A-Files
f. Alien Registration Forms on or after May 1, 1951 in A-Files
g. Requests for copies of Refugee files/ Asylum files

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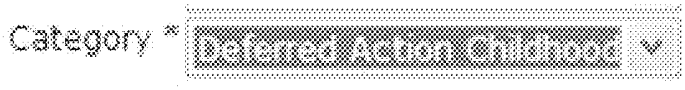
6.3.4.2 Specific Documents – The Requestor is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case. As a rule, you should create a case as Specific Documents if the Requestor is asking for up to three documents. If a Requestor is asking for an asylum application and supporting documents, or refugee documents you should create it as Asylum, Track 2, or a refugee request as Alien file, Track 2.
You must update the language in any Specific Document request to specify what documents have been requested. See section 9 for CBP and ICE referrals.

6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.

6.3.4.4 Significant Interest Group (SIG) Requests – Generally speaking, SIG processes non-A-File FOIA requests with a few exceptions. Please send requests involving A-files belonging to high-profile individuals, along with all A-file requests submitted by the media, to SIG for handling.

6.3.4.4.1 Direct the following requests to SIG for handling if:

a. The FOIA request is for congressional correspondence;
b. The FOIA request is from a member of the media;
c. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.; Such organizations include: AILA, ACLU, CAIR, CREW, EFF
d. The FOIA request is for a vacancy announcement
e. The FOIA request is for personnel records
f. The FOIA request is for records related to an investigation. It may mention:
    a. Report of Investigation
    b. OSI Investigation

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c. Background Investigation (These are not USCIS requests – they are redirected to OPM, however, SIG will handle the redirect).

g. The FOIA request relates to a USCIS contract
h. The FOIA request relates to a USCIS grant program
i. The FOIA request mentions "EB-5" or "Regional Center" records
j. The FOIA request is for data/statistics
k. The FOIA request is a PA Amendment
   a. The Requestor wants to correct information in their records
   b. The Requestor mentions "SAVE"
l. The FOIA request is a hybrid, the Requestor is seeking both A-File material AND non-A-File material (for example: "My child's A-file and all USCIS adjudication policies for Vietnam adoptions")
m. The FOIA request is for emails.

Items listed above are suggestive and not exclusive.

6.3.4.4.2 If you believe a request qualifies as a SIG request, create the case in the NRC queue, but do not staff or create an acknowledgment letter. Create the case as follows: Track 2; Type: FOIA Request; Source: Others; Category: Others. Do not enter subject's name or A-Number. You must enter a short description into the Topic block. Send an e-mail to NRC, FOIASIG and enter a discussion note into FIPS explaining the situation. Send the case to Unit Chief.

When the FOIA request is for both an immigration file and e-mail, please staff for the file. Next, create a RAFACS staffing slot for the e-mail. Send an e-mail to NRC, FOIASIG, explain the situation in a discussion and send the case to Unit Chief.

A SIG processor will review the case and move it to their queue if it is truly a SIG case. A SIG processor will then finish the creation, create the staffing and acknowledgment letter. If you have questions or need to send information regarding a possible SIG case send it to their e-mail address: NRC, FOIASIG.

6.3.4.5 SFR cases at NRC – NRC uses this category to track all workload staffed to SFR. This includes cases retired by or lost by SFR, but **does not include ZSF.** This category is very important. SFR cases at NRC can apply to cases in any processing Track. It does not matter what Track the case is in – if the FCO is SFR, you must make the Category "SFR cases at NRC."

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6.3.4.6 Genealogy: Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:

A. Naturalization Certificate Files (C-files) from September 27, 1906 to April 1, 1956

B. Alien Registration Forms from August 1, 1940 to March 31, 1944

C. Visa files from July 1, 1924 to March 31, 1944

D. Registry Files from March 2, 1929 to March 31, 1944

E. Alien Files (A-files) numbered below 8 million (A8000000) and documents therein dated prior to May 1, 1951

The case is not Genealogy unless it meets one of the above criteria. If there is a cover sheet with instructions, such as a Hybrid Genealogy cover sheet, please follow the instructions on the cover sheet, rather than the instructions in this paragraph. If the case you are creating does meet the criteria for Genealogy, select Category **OTHER,** then do the following:

a. Create the case.
b. Do not staff for the file or create an acknowledgement letter.
c. Select Final Action Letter and redirect (RD) the case to "USCIS Genealogy Program." Use the "RD –Genealogy" letter unless you have a request for dual Italian Citizenship. If you have a request for dual Italian Citizenship use the "Genealogy form –ItalianCit" letter. Both letters are located on the O drive (O:\Foia\FOIA LIBRARY). Copy and paste the appropriate letter over the default letter.
d. After the case is created and the letter has been generated, prepare a discussion and send the case to Unit Chief.
e. Send an email to NRC, GEN (nrc.gen@uscis.dhs.gov) and copy your supervisor with the control number for review. Please case note accordingly.

If it does not meet the criteria for genealogy it will be returned to you in the Case Create queue to send an acknowledgment letter and staff for records.

If it does meet the criteria, Unit Chief will return the case to you to close.

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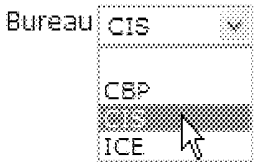
6.3.4.7 Border Crossing Card: Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, and then refer to Section 12.13 of this guide.

6.3.5 Bureau



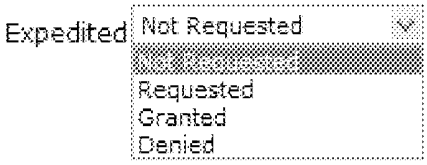
The Bureau selections are used to track cases and apply equally to all processing Tracks. Bureau should be determined by the location of the file at the time the case is created. The three possible selections for Bureau are:

ICE – Select this when the Requestor is seeking information in connection with deportation hearings and other immigration related litigation (OPLA/DRO/SAC), based on the NFTS ICE staffing locations. Please set the bureau to ICE if either an A-file or T-file is at an ICE staffing location, regardless of where other files may be.

CIS – This is the default in FIPS. Leave it selected unless it falls under ICE or CBP.

CBP – Used for requests pertaining to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the Requestor/subject provided an alien number, request the file.**

6.3.6 Is there a request for expedited treatment?



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A Requestor may ask for his or her request to be expedited and processed outside the order of receipt. By law, we must respond to a request for expedited treatment within 10 business days.

USCIS will grant expedited processing if the Requestor establishes ***either:***

> (1) circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; **or**
> (2) an urgency to inform the public about an actual or alleged federal government activity, if the Requestor is a person primarily engaged in disseminating information.

A Requestor who seeks expedited processing must explain in detail the basis of the need and submit a separate statement that the facts are certified to be true and correct to the best of his or her knowledge and belief. The Requestor must establish that one of the following situations exists in order to receive expedited treatment of his or her FOIA/PA request. If a Requestor asks for expedited processing and fails to meet the criteria, we process the request in the appropriate track, using the "first in/first out" rule [See 6 C.F.R. § 5.5(a)].

6.3.6.1 Reviewing Expedited Treatment Requests

The OA personnel normally separate mail and faxes pertaining to expedited treatment prior to scanning. A supervisor then reviews and makes a determination regarding the expedited treatment. The supervisor will attach a cover sheet to the front of the request detailing the determination. Please create the case in accordance with the instructions on the cover sheet. With *or* without a coversheet attached to the request, you will still need to review the request. ***Helpful review information:***

A. If you search for duplicates and find the case recently closed as FC or NR, refer to the guidelines in 6.3.6.4 or 6.3.6.5, depending on whether expedited processing was granted or denied. In any case, you must read the entire request carefully to ensure it is or isn't a new FOIA request. Sometimes the request will be similar to the closed case but now the Requestor is seeking additional documents or is responding to the closed case.
B. If you find an open pending FOIA request or a case closed as PD or G1 within 6 months, we consider it a duplicate request with a request for expedited treatment. Refer to section 6.4.

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C. If you find a recently closed case with the final action codes of RD, RF, or DP, it may also be a duplicate request with a request for expedited treatment. Refer to section 6.4 if you determine it is, but otherwise refer to section 6.3.6.2.3.

6.3.6.2 Resubmitted for expedited processing: If the requested file has already been scanned because of a *currently open* FOIA request that has now been resubmitted for expedited processing, do not create a new case. You should send the request to Research where they will attach the new request to the existing case as a CSD. ***Helpful steps to reviewing duplicate or currently open expedited treatment requests are:***

A. Search and review any existing duplicate cases.
B. Review the new request documents to ensure it is a duplicate case with Expedited Treatment Requested.
C. Attach the new request as a duplicate (DP) to the current open pending FOIA request case.
D. Enter a Discussion on the original FOIA request case, "To Research, Expedited Treatment Requested, and briefly describe your findings.
E. Send the new request to the Research queue. The Research point of contact (POC) will attach the new request to the existing/pending case as a CSD and complete the expedited approval or denial actions, if needed.

6.3.6.2.1 If expedited processing has been granted based on new information and a duplicate (DP) case exists, follow the guidance listed above in sections 6.3.6.2, (A-E).

6.3.6.2.2 If expedited treatment was already denied or approved in the ***currently open prior case,*** and the supervisor's decision is the ***same***, if you have not already created the case, you may send to Research, where they will attach your request to the original case as a CSD. Follow the guidance listed above in section 6.3.6.2, (A-E), or if the case is a duplicate case (all new expedited request documents that are the exact same FOIA request documents previously submitted at the same time, in a currently open or prior case), follow the guidance in section 6.4, Searching for Duplicate Cases.

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case. If in doubt, consult your supervisor. Please refer to the section 6.4 on DP (duplicate) Cases, and the previous guidance listed above on reviewing expedited treatment requests. Create a Discussion with your findings on the original FOIA case prior to sending to Research or closing as a DP case.

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6.3.6.3 Sometimes the OA room will miss an expedited request or there is no coversheet attached. As you are reading the request, you will notice the Requestor has asked for expedited treatment within the body of their letter, and it would not have been obvious to anybody who had not thoroughly read the letter. If this happens, do not select anything (requested, approved or denied) in the drop-down box at this time and do not create the Expedited Denial Letter, the Acknowledgement letter or the Staffing letter.

A supervisor must review newly created FOIA Request cases with Expedited Treatment requests in the ***Unit Chief (UC) Queue***, before selecting expedited processing or addressing the decisions. If the review process was missed and/or the coversheet is missing you must then do the following:

A. Create the case
B. Enter a Discussion prior to sending to the UC (Unit Chief Queue) "Expedited Treatment Requested per page(s) __, denied/approved"
C. Send the request to UC (Unit Chief Queue)
D. E-mail your supervisor with NRC FOIA Request number and the details.
E. Send the request to UC (Unit Chief Queue).

When the case is returned to you from the Unit Chief in the Case Create queue, review the decision, refer to 6.3.6.4 or 6.3.6.5 whichever applies.

6.3.6.4 If the supervisor **granted expedited processing**, you will not create an Expedited Denial Letter, of course. You must select "***Granted"*** in the Expedited drop-down box. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted.

A. Select "Granted" in the Expedited drop-down box.
B. When you create the acknowledgement letter, it will not address the fact that Expedited Treatment is granted. After completing the acknowledgement letter you will then need to create a "Blank Letter" and add the following: "This letter serves to notify you that your case has been approved for expedited processing." Make sure you review both letters for accuracy and complete the selected processes by saving each letter and by checking the letters in.
C. Create a Discussion "Expedited Approved by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request as approved per the Unit Chief/Supervisor's guidance.

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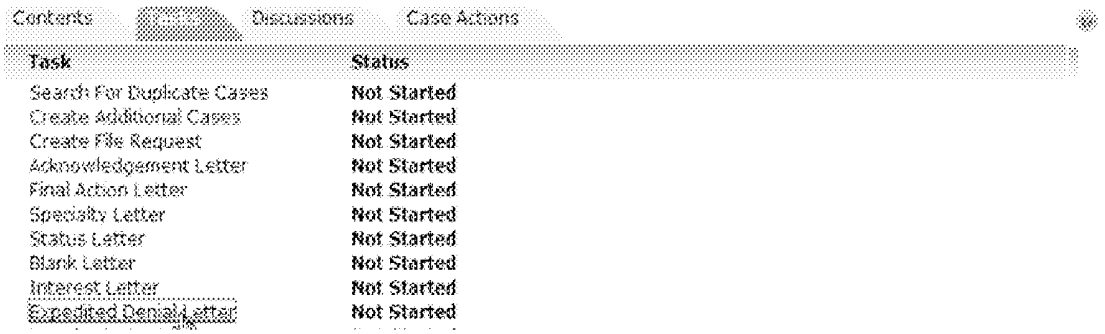
USCIS denies most requests for expedited treatment because the Requestor fails to establish either of the necessary criteria.

6.3.6.5 If the supervisor **denied expedited processing**, you must select "***Denied"*** in the Expedited drop-box. After this, you should create the Expedited Denial Letter. If the supervisor denied expedited processing, we must advise the Requestor of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor also has the right to appeal the decision to the USCIS FOIA Appeals Office.

A. Select expedited denied by clicking on the Expedited drop down box.
B. Advise the Requestor in this denial letter of the criteria for expediting a request and offer an opportunity to resubmit additional justification. The Requestor also has the right to appeal the decision to the USCIS FOIA Appeals Office. Select the Expedited Denial Letter. A Word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it back in.
C. Enter a final Discussion note "Expedited Denied by supervisor."
D. Complete any remaining actions as needed. You have now completed the Expedited Treatment Request, denied per the Unit Chief/Supervisor's guidance.



6.3.6.6 Do not mark both "Expedited Treatment Requested" and "Track 3." A request can be either expedited or Track 3, but not both. If the Requestor has asked for Expedited Treatment and Track 3, treat it as if it is a Track 3 request and follow the instructions in section 6.3.1.3.

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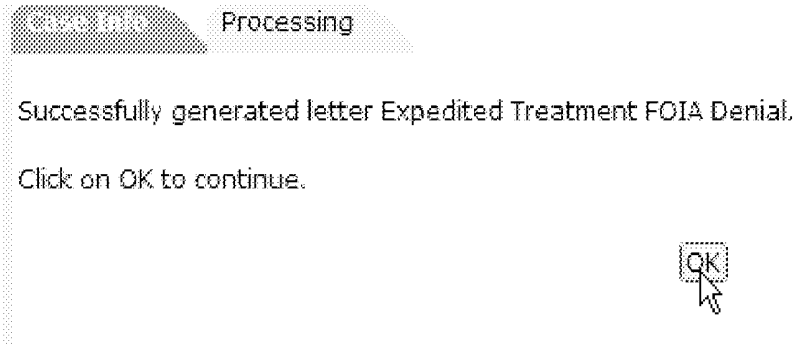
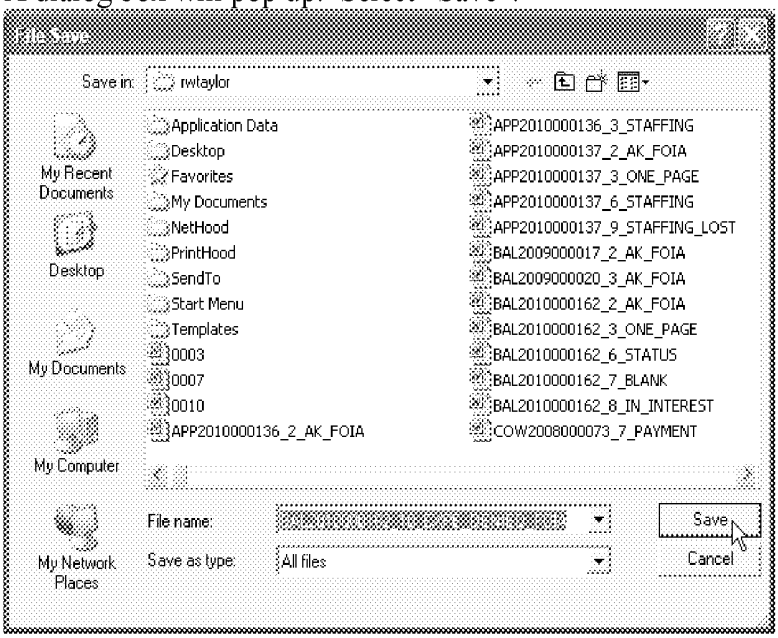


A dialog box will pop up. Select "Save":



A word document explaining the denial and appeal rights will pop up. After you have done any editing necessary, save the document and check it in.

If you have made expedited granted selection, your acknowledgement letter will not address expedited treatment granted. Refer to section 6.3.6.4, for granted letter guidance.

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that you must create additional cases, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The Supervisor will make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests. Send the case to the Unit Chief Queue (UC) if an approval or denial is needed. Refer to section 6.6 of this guide when creating additional cases.

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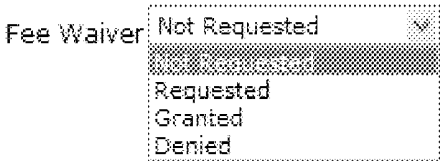
6.3.6.8 If there is an Expedited Treatment Requested cover sheet, but for any reason, the disposition of the case is to Up-front Approver, then please change the Expedited drop-down box to "Not Requested" before you send the case to Up-front Approver. Because we are not generating a letter regarding expedited treatment denial or grant, and because it would cause erroneous reporting of Expedited Treatment Requests, you must change it to "Not Requested."

6.3.7 Is there a request for fee waiver?



The Requestor may ask for a waiver of fees in his or her request or in accompanying documentation submitted with his or her request. USCIS considers all requests for fee waivers on a case-by-case basis.

A Requestor must meet two requirements in order for USCIS to grant a fee waiver:

1. The disclosure of the requested information must be in the public interest,
2. AND the disclosure of the information is not primarily in the commercial interest of the Requestor. For a detailed explanation, please refer to the U.S. Department of Justice Guide to the Freedom of Information Act, "Fees and Fee Waivers."

If there is no coversheet, how will you recognize a fee waiver request? Please follow these guidelines:

1. If the Requestor mentions fee waiver at all, treat it as a request for fee waiver.
2. If the Requestor says anything about not being required to pay, treat it as a request for fee waiver.
3. If the form is titled "Fee Waiver Request," treat it as a request for fee waiver.
4. You may call the Requestor to verify that it is a fee waiver request. If you call, please insert a Discussion. If you tried to call but were not able to speak with the Requestor, please insert a Discussion saying so.
5. If the Requestor provides some statement of financial insolvency but makes no mention of fee waiver request or does not mention inability to pay, then it does not constitute a fee waiver request, and we ignore it.
6. Contact a supervisor if you are unsure. If you have specific guidance from a supervisor, please insert a Discussion saying so.

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6.3.7.1 When a Requestor has asked for a fee waiver, there should be a ***cover sheet*** advising you of approval or denial. The supervisor may determine to deny based upon the two criteria listed above. If the supervisor marked denied, you must select "Denied" in the Fee Waiver drop-down box on the FIPS worksheet. Regardless of the decision on the fee waiver, you must insert a Discussion in FIPS indicating that you addressed the fee waiver request.

Fee Waiver Denied with Coversheet

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

6.3.7.2 When you are finished creating a case with a fee waiver denial, create a Specialty Letter and select Fee Waiver Denied, edit the document if necessary and then create the case as normal. If you are not sure, please consult your supervisor.

6.3.7.3 If you believe the Requestor meets the requirements for fee waiver (and there was ***no cover sheet***) then select "Requested" and send the request to Unit Chief. E-mail your supervisor with the details. A supervisor will make the decision to approve or deny the fee waiver and send the case back to you in the case create role. At that point, you will select either "Granted" or "Denied."

Fee Waiver Request Without Coversheet

A. Do not select anything in the Fee Waiver Request drop down box
B. Create the case, but do not staff or create acknowledgement letter
C. Add a Discussion note and send to Unit Chief
D. Send an e-mail to your supervisor
E. After a decision is made, the case will be returned to your Case Create queue
F. Then use 6.3.7.4 for denied or 6.3.7.5 for granted, whichever applies.

6.3.7.4 Fee Waiver Denied

A. Select "Denied" in the Fee Waiver drop-down box.
B. Create a Specialty Letter and select Fee Waiver Denied.

6.3.7.5 Fee Waiver Granted

A. Select "Granted" in the Fee Waiver drop-down box. After the case has been created as normal,

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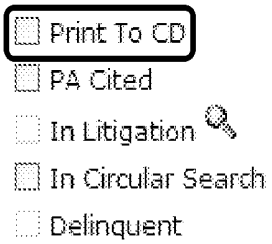
B. Create a Blank Letter with the following sentence included, "This is to inform you that your request for a fee waiver has been granted."

6.3.7.6 If there is a Fee Waiver Request cover sheet, and if you determine during case create that we need to ***close the case RD, RF, DP or ER***, then change the Fee Waiver drop-down box to "Not Requested" and click Save before you send the case to Up-front Approver. Because we are not generating a letter regarding Fee Waiver denial or grant, and because it would cause erroneous reporting of Fee Waiver Requests, you must change it to "Not Requested." If you are closing the case Up-front, do not generate a letter regarding whether the Fee Waiver was denied or granted. If you are not sure, please consult your supervisor.

6.3.8 Print to CD



In an effort to save time, money and resources, the FOIA unit sends out final action responses on CD to all Requestors (with two exceptions). When we send out the acknowledgement letter to the Requestor, it advises them that unless they write in and specifically ask for their documents on paper, they will be receiving them in a CD format.

RULES FOR UNCHECKING "PRINT TO CD"

6.3.8.1 Unchecking the Print to CD Box
Uncheck the "Print to CD box" on any case where the mailing address of Requestor is to a correctional facility or unless the Requestor specified paper in the initial request letter.

6.3.8.2 If the mailing address is foreign, it does not matter if they ask for paper. We are sending it on CD. If you are unsure, please consult your supervisor.

6.3.8.3 All responsive records mailed to a correctional facility must be on paper. In such an instance, you must modify the acknowledgement letter so that we do not tell the Requestor we are printing the responsive records to CD. Modify the acknowledgement letter by deleting the sentence that begins with "This office will be providing your records on a Compact Disc (CD)" and replacing it with a paragraph that reads "This office will be providing your records on paper."

6.3.8.4 If the Requestor is in prison but we are sending the responsive records to an attorney's office, we will print to CD.

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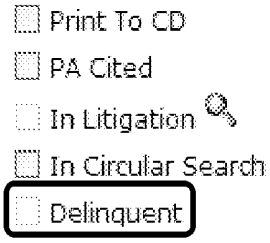
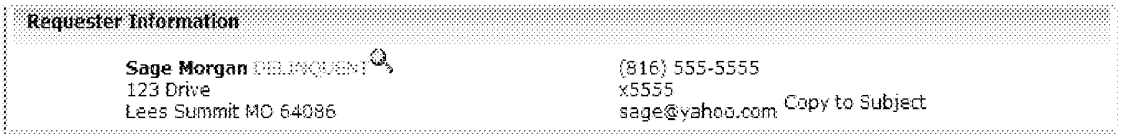
6.3.8.5 If a Requestor in the United States specifically asks for his or her records on paper, uncheck "Print to CD" box create a Discussion note citing the reason. In such an instance, you must modify the acknowledgment letter so that we do not tell the Requestor we are printing the responsive records to CD. Modify the acknowledgement letter by removing the paragraph that begins with "This office will be providing your records on a Compact Disc (CD)" and replace it with a paragraph that reads "This office will be providing your records on paper."

6.3.9 Is this a delinquent Requestor?

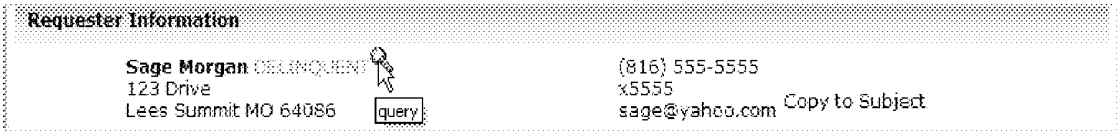


The Delinquent Requestor search helps FIPS users identify Requestors who have unpaid bills in the system. Requestors are delinquent when case fees remain unpaid for more than 45 days.

After you enter the last name of the Requestor, FIPS will automatically conduct a search for delinquent fees owed by that Requestor, using the last name of the Requestor. If the Requestor is delinquent on any case in any office nationwide, a box will pop up on the screen (see below).



To view other cases for the same Requestor, click the **Query** icon next to the delinquent notice.



The query results appear in a separate window.

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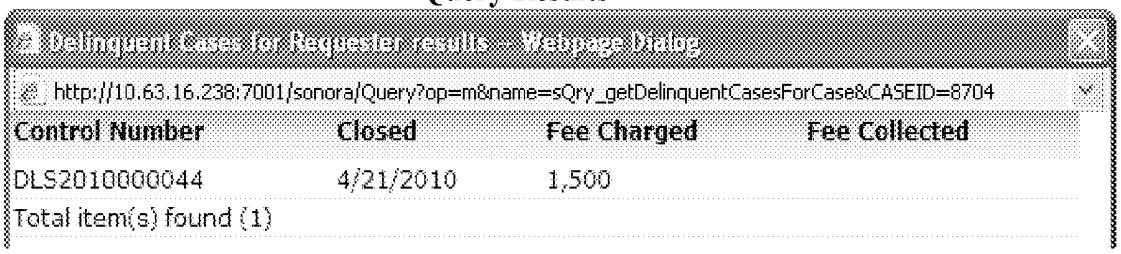
Query Results



If a Requestor/subject previously submitted a request and owed a fee on a case and he or she did not pay the fee within 30 days, the case closed as FP (failure to pay). If the subject/Requestor submits a new FOIA request, the Delinquent Requestor notification is going to pop up. Your Requestor may possibly not be on the pop-up list. FIPS conducts a search by the last name(s) of delinquent Requestors.

DELINQUENT REQUESTOR RULES:

6.3.9.1 Do not treat the case as delinquent if the case was processed on or before January 1, 2004. Send an e-mail to NRC, FIPSPROBLEM (clicking on the link will automatically include a copy to NRC, FOIAPROGRAM). In the body of the e-mail, include the name of the delinquent Requestor and the delinquent case number(s).

6.3.9.2 If you encounter a delinquent Requestor from a FIPS Lite office, do not treat them as delinquent. You will know the request was processed in FIPS Lite when you open the case because you will see a "FIPS Lite placeholder."

6.3.9.3 Make sure the Requestor of the case you are creating is the same Requestor that FIPS is showing as delinquent. You must view the delinquent request(s) to make this determination. To view a case, highlight the line and click "view." If the delinquent Requestor matches your Requestor, treat the new request as delinquent. To get the delinquent case information (case number, dollar amount) in your acknowledgement letter and in the new case, highlight the name in the box that matches your Requestor and click ok.

Next, to create the case, go to the Tasks tab and click:

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When you complete the case create process and the new case has a control number, FIPS will notate the delinquency on the worksheet.

6.3.9.4 If the Requestor is delinquent, do not request responsive records until we receive payment.

NOTE: If you are creating additional cases, you should do so before you prepare the Acknowledgment Letter and File Request(s) for the original case. For instructions, please refer to section 6.6 of this guide.

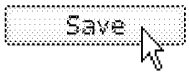
NOTE: A FOIA/PA Assistant or Government Information Specialist working in Records Locator queue may need to cancel pending Requestor documentation for cases pending payment of fees due to a prior delinquent status that has been removed, because the system does not.
If the FOIA/PA Assistant or Government Information Specialist working in Records Locator queue does cancel pending Requestor documentation, he or she should generate a new acknowledgement letter and staff the case as usual.

If the Requestor has more than one delinquent case, you will have to add up the total and modify the delinquent Requestor letter providing the case number for each delinquent case, the dollar amount owed for each, the total dollar amount owed, and instructions to prepare a check for the total amount made out to "U.S. Treasury."

When you click "ACK Letter" the following screen pops up. Click OK to generate the letter, save the letter and check it in

We will take no further action until the delinquency is resolved. Please pend.

Before you move to another part of the case create process, click:



6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, or was inadvertently scanned into FIPS multiple times, or are cases that we previously processed. To be considered a

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duplicate, a request must be from the same Requestor, include the same request documents dated on or about the same date and is seeking the same information about the same subject. If there is a request with an ICE or CBP referral letter, the letter should have been attached to the ***open pending original case*** as a CSD. Please do not close this case ER. Send the case to research.

Sometimes a Requestor will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, send these requests to NRC. These are true duplicate cases when an office has ***already processed*** this request with a final action code of either ***PD or G1.*** If the original case is ready to be processed, send to research to attach as a CSD. If we closed a previous case FC and the Requestor is now providing additional information, it is not a duplicate.

This does not include instances in which the Requestor has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. Set this case as a DP (duplicate) case to the open pending original case and modify (insert the "Upon review" statement…) your Final Action Letter.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the Requestor did not provide an alien number, you may search by the subject's last name and first name, or even by the Requestor's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the Requestor's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%quez" and Subject First Name "Jaime." We may have created a case for him before using either the name Vasquez or Vazquez, and we may have included his second last name, Hernandez. If you search "Va%que%" it will find all three of those variations, but be careful – if the subject has a very common name, you might get hundreds of matches. If the subject has multiple A-Numbers, you must search for each one. Sometimes they will provide an A-Number that has consolidated into another file. You may stop searching if you determine that those A-Numbers have been consolidated. Staff only for the survivor file – never a consolidated file.

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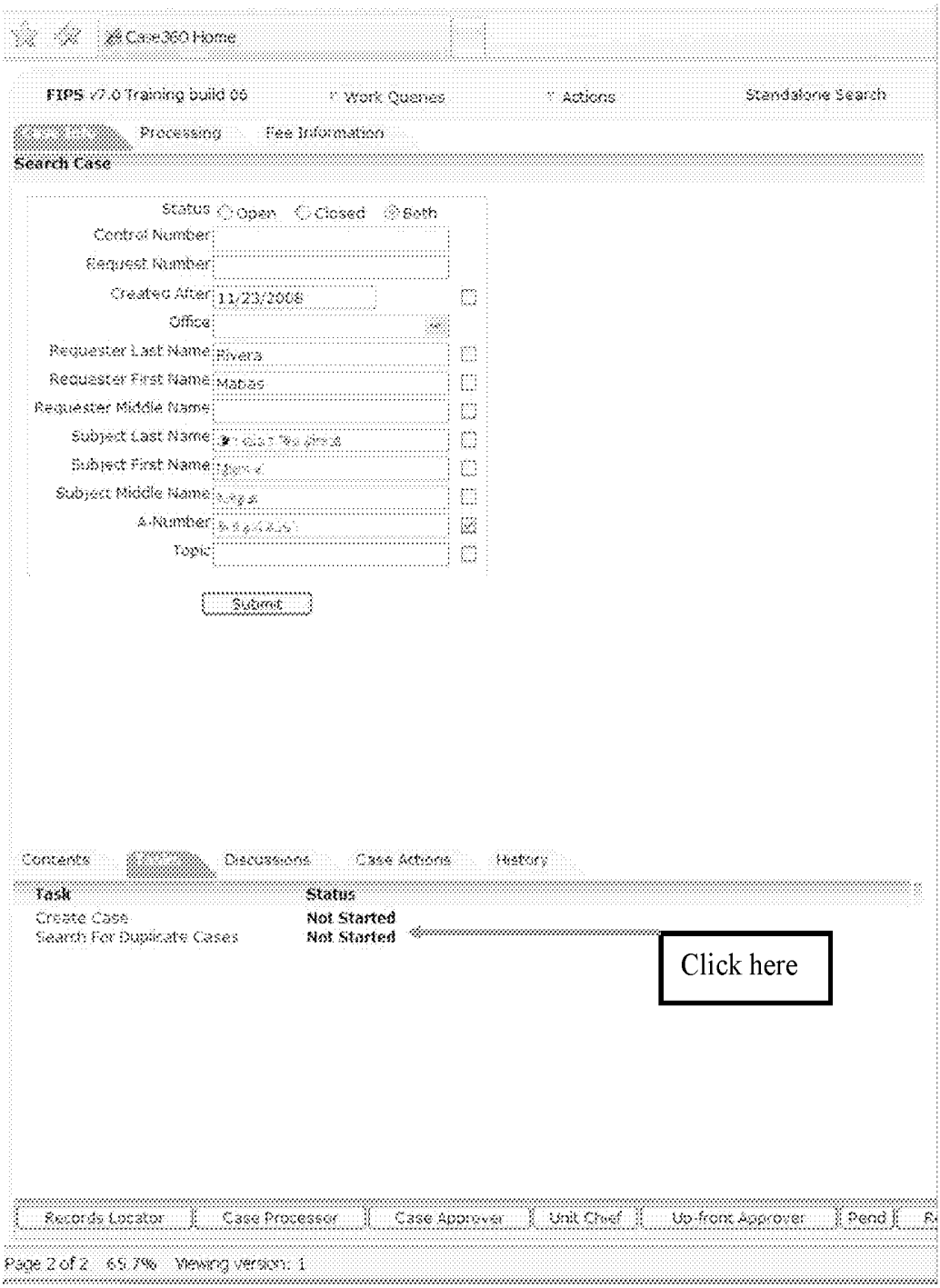

Ordinarily, you will get a blank result.

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You may select "Search Complete" or you may select "Search Again" to try the search by a single criterion or different combinations such as Subject Last Name, Subject First Name, Requestor Last Name, and so forth. However, the search may yield an open case:

If you do get a match, you should select "Edit" (the icon is a folder with a gear in front of it) to open the matching case and carefully review it to be sure it is a duplicate. To be a

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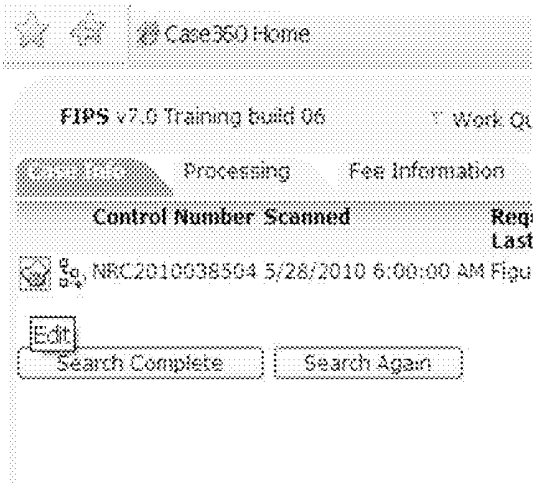
"true duplicate," it needs to be the same Requestor, seeking the same information about the same subject. Also, duplicate would not apply if the original case closed FC unless we are still missing the same information that caused the case to close.



By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

A. If there has been a case that was closed G1 or PD within six months from same Requestor – close the case with final action code DP. Modify the final action letter as follows:

   Upon review of the FOIA/PA Tracking System, we discovered that your request had been duplicated within the system. This request has been closed out. The original request NRC201xxxxxxx, was closed on (insert case close date) and a copy of the requested records were mailed to you on that date. Please contact us if you have not received a copy of the records.

B. This does not include cases that were closed with any other final action code.

Once you verify those items and you determine the case is a "true duplicate" of another case and closed G1 or PD within six months from same Requestor, you will select "Set this case as duplicate to original case" as follows:

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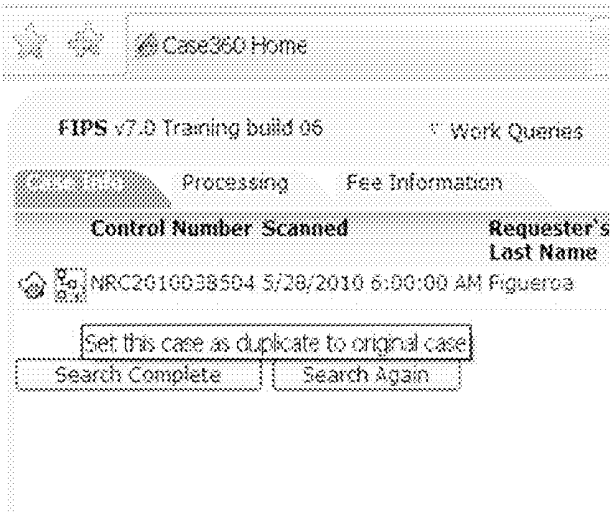

If you determine that it is not a *true duplicate*, please insert a new Discussion entitled "Similar Case" with the case number of the other case in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

A. The Requestor is the same, and
B. The information being requested is the same in both requests,

Close this case as a duplicate. Attach the case as a duplicate case by selecting "Set this case as duplicate to original case", next select "Create Case" and close the case with a final action code of DP and modify (insert the "Upon review" statement…) your Final Action Letter. Next, enter a case Discussion and send the case to the Up-front Approver.

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

6.5 COPYING RECORDS FROM A CLOSED CASE

You may be checking for duplicates and discover responsive records of an existing closed case meet the following criteria:

- Regular (not Appeals) case
- Status of the duplicate case is "Closed" and
- The date closed was within six months of the current date

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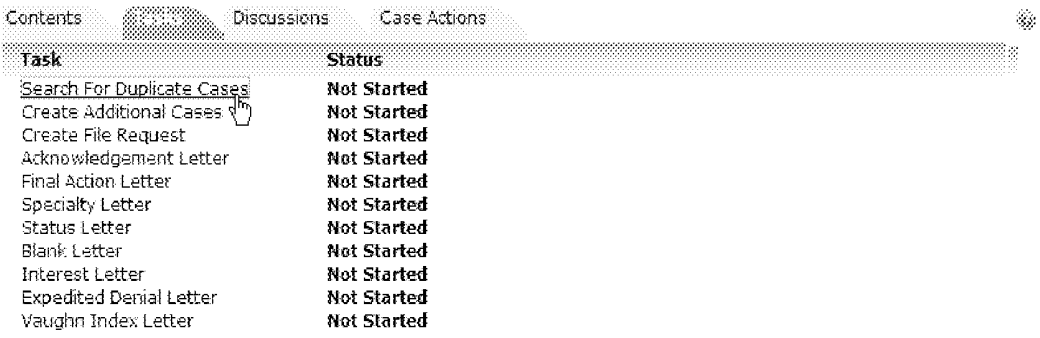
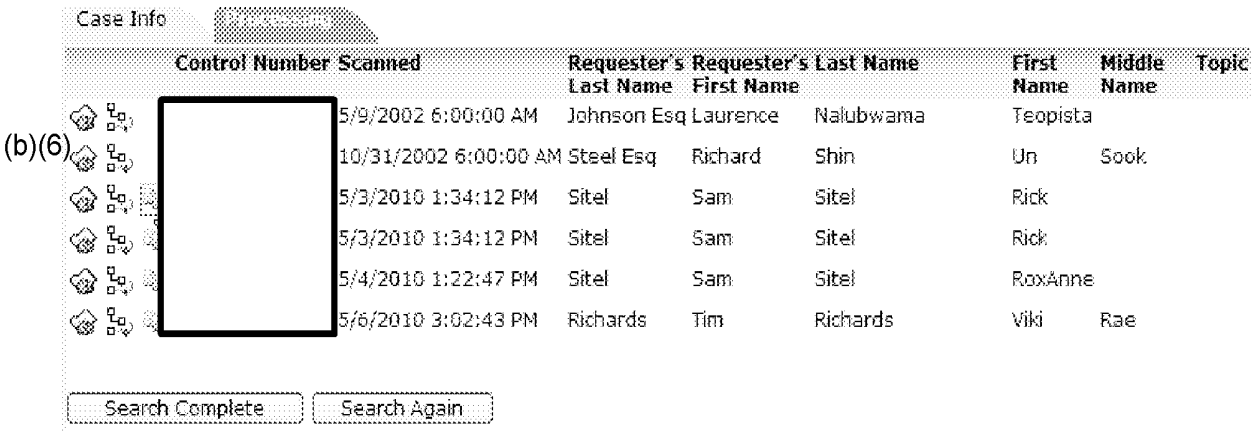
If the duplicate case meets all those criteria, then you may copy from the existing case into the new (active) case. The Request Type that you have selected for the existing case and the new case will determine whether any redactions are copied with the responsive records. If both new and existing cases are FOIA Requests or both cases are Privacy Act requests, then redactions will be copied into the new case with the responsive records. However, if the new case is a FOIA Request and the existing case is a Privacy Act request (or vice versa), then the responsive records will be copied but without any redactions.

To begin the search, select the Tasks tab and click **Search for Duplicate Cases**.



Click the checkboxes next to the populated fields to select which search criteria to use. Case Creators can also type information into other fields to use as search criteria. When you have entered all criteria, click **Submit**.

The Search Results screen lists any FIPS cases that match the selected criteria.
To copy the responsive records from the case shown in the search results into the new case, click the **Copy Documents** icon, which looks like two pages:



A message appears in the Case Info tab confirming that you copied the document into the new case:

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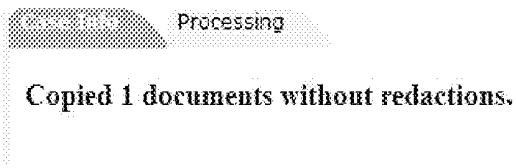
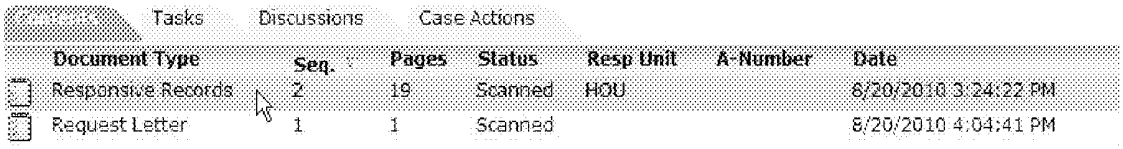


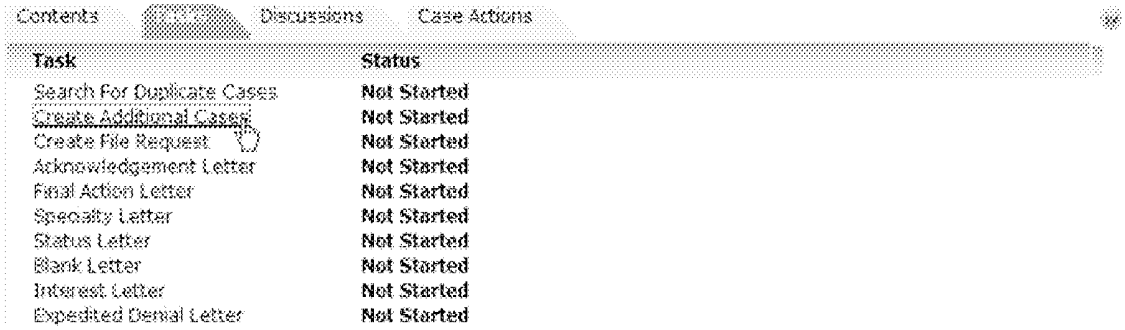
The responsive records now appear in the Contents List of the new case:



6.6 CREATING ADDITIONAL CASES

At times, you may have to create additional cases. For instance, a Requestor might send in one G-639 and ask for "all petitions filed for my three children, whose birth certificates are attached." Those petitions may be consolidated into the children's A-files, or they may be unconsolidated. When the Requestor is seeking information relating to more than one person on one FOIA request, you must create an additional case for each individual. This is true even if you are going to close all of the cases FC.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases.



FIPS will ask how many cases need to create and will then create them.

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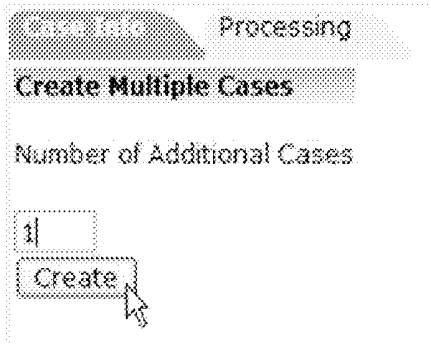

The first case created from the request becomes the "Parent case;" all subsequent cases created (one case for each subject) become the "Child cases." FIPS assigns consecutive case control numbers to the Parent case and all related Child cases, and the cases are given higher priority in the queue so that the Case Creator can process all related cases together. Requestor data from the Parent case is automatically added to all related child cases, as are the initial request letter and any related case supporting documents.
If you forget to create additional cases before you create acknowledgment letters, those documents will carry over into the Child cases. All is not lost. You may simply change the acknowledgment letters and save them in the Child cases. Unfortunately, you will have to cancel the staffings. Go to the Contents tab, click on "Staffing Response" or "Responsive Records," click on "Manage Document," maximize that screen, click on "Cancel Request," and then go back to the Tasks tab and create a new file request based on the correct set of responsive records.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases. FIPS will ask how many cases need to create and will then create them semi-sequentially. That is to say, FIPS will number the cases in sequence, but if another person creates a case while the process is ongoing, that case will take the next available number, so your additional cases might not have exactly sequential numbers. FIPS has the ability to create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the Requestor is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine certification of agreement and PII.

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7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS (G-639, dated 3-31-2015)

Note: On this version of the Form G-639, Certification of Agreement (consent) and Verification of Identity are combined. For Verification of Identity you still need a name, current address, date of birth, place of birth, and a signature.

However, you only need **one** signature, either notarized or signed under Penalty of Perjury. If the any of the above items are missing, close the case as a failure to comply.

Do not close any cases as Total Denials based solely on the Form G-639 (3-31-15).

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Part 3. Description of Records Requested (continued)

Other Names Used by the Subject of Record (include nicknames, aliases, and maiden name, if applicable)

3.a. Family Name (Last Name) Nana

3.b. Given Name (First Name)

3.c. Middle Name

Full Name of the Subject of Record at Time of Entry into the United States

4.a. Family Name (Last Name)

4.b. Given Name (First Name)

4.c. Middle Name

Other Information About the Subject of Record

5. Form I-94 Number Arrival-Departure Record

▶

6. Alien Registration Number (A-Number) (if any)

▶ A-

7. Application, Petition, or Request Receipt Number

▶

Information About Family Members that May Appear on Requested Records

For example, provide the requested information about a spouse or children. If you need extra space to complete this section, use the space provided in **Part 5. Additional Information.**

Family Member 1

8.a. Family Name (Last Name)

8.b. Given Name (First Name)

8.c. Middle Name

9. Relationship

Family Member 2

10.a. Family Name (Last Name)

10.b. Given Name (First Name)

10.c. Middle Name

11. Relationship

Parents' Names for the Subject of Record

Father

12.a. Family Name (Last Name)

12.b. Given Name (First Name)

12.c. Middle Name

Mother

13.a. Family Name (Last Name)

13.b. Given Name (First Name)

13.c. Middle Name

13.d. Maiden Name (if applicable)

Part 4. Verification of Identity and Subject of Record Consent

NOTE: The information requested in **Part 4.** is **REQUIRED.** Complete all applicable **Item Numbers.** In addition, the Subject of Record **MUST** sign **Part 4.** of this request.

Full Name of the Subject of Record

1.a. Family Name (Last Name) Orbit

1.b. Given Name (First Name) Gum

1.c. Middle Name

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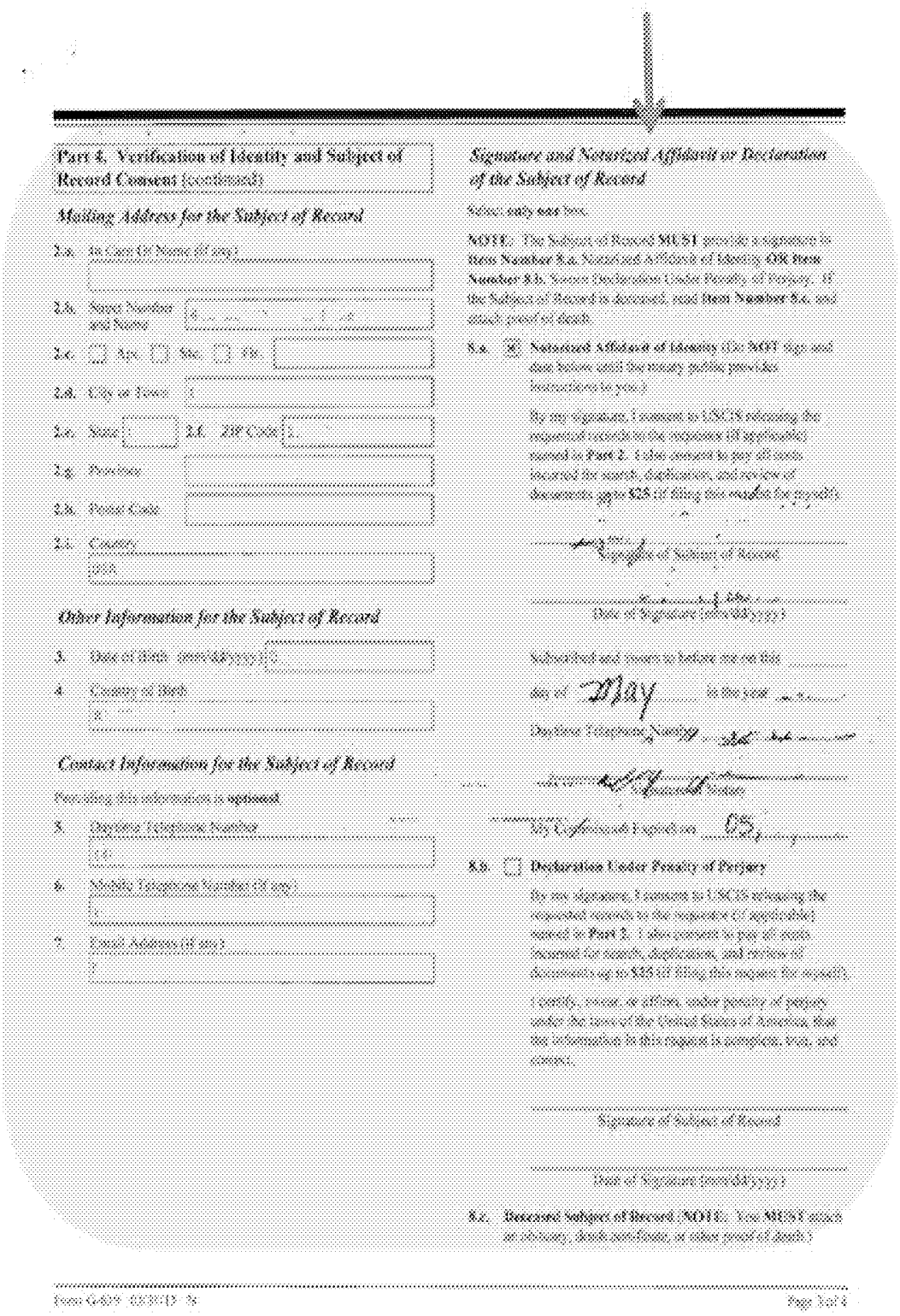

Part 4. Verification of Identity and Subject of Record Consent (continued)

Mailing Address for the Subject of Record

2.a. In Care Of Name (if any)

2.b. Street Number and Name

2.c. Apt. Ste. Flr.

2.d. City or Town

2.e. State 2.f. ZIP Code

2.g. Province

2.h. Postal Code

2.i. Country

Other Information for the Subject of Record

3. Date of Birth (mm/dd/yyyy)

4. Country of Birth

Contact Information for the Subject of Record

Providing this information is optional.

5. Daytime Telephone Number

6. Mobile Telephone Number (if any)

7. Email Address (if any)

Signature and Notarized Affidavit or Declaration of the Subject of Record

Select only one box.

NOTE: The Subject of Record MUST provide a signature in Item Number 8.a. Notarized Affidavit of Identity OR Item Number 8.b. Sworn Declaration Under Penalty of Perjury. If the Subject of Record is deceased, read Item Number 8.c. and attach proof of death.

8.a. Notarized Affidavit of Identity (Do NOT sign until you have met the notary public provider instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in Part 2. I also consent to pay all costs incurred for search, duplication, and review of documents up to $25 (if filing this request by paper).

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this

day of May in the year

Daytime Telephone Number

Signature

My Commission Expires on 05/

8.b. Declaration Under Penalty of Perjury

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in Part 2. I also consent to pay all costs incurred for search, duplication, and review of documents up to $25 (if filing this request by paper).

I certify, verify, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

8.c. Deceased Subject of Record NOTE: You MUST attach an obituary, death certificate, or other proof of death.

Form G-639 (03/30/12) Y

Page 3 of 4

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A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

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In any third party request for a Privacy Act Record, we need either:

- Verification of Identity to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS

Certification of agreement, for the purposes of FOIA/PA is written agreement, approval or permission for access to information in the record by the *competent* individual to whom the record pertains. The case creator must review the request and supporting documents to determine if proper certification of agreement is present.

> 5 U.S.C. § 552a(b) No agency shall disclose any record … except pursuant to a **written** request by, or with the prior **written** consent of, the individual to whom the record pertains.
>
> 6 CFR § 5.21(f): If you are making a request for records concerning *(a living)* individual *(other than yourself)*... You must also provide a statement from the individual certifying the individual's agreement that records concerning the individual may be released to you.

Any petition filed for another person creates special requirements for certification of agreement. Sometimes the VOI and certification of agreement the Requestor provided is sufficient, but sometimes not. If the Requestor is asking for a petition, please refer to section 12.16 of this guide.

A person does not need to sign certification of agreement to request his or her own file.

Certification of agreement could be:

A. Block 3 on Form G-639, or

B. A properly executed Form G-28, or

C. A separate declaration by the subject, such as:

> Pursuant to the Privacy Act of 1974 and DHS policy, I hereby agree to the disclosure to _____ _____ of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE.

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Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised (03/04/2015). As of **May 15, 2015**, USCIS no longer accepts prior versions of the G-28.

As a FOIA/PA Assistant, this may affect your decision on certification of agreement in the following instances:

• If certification of agreement is provided on no other place except Form G-28,
• Then the attorney must use a *properly executed* new Form G-28 (revision of 03/04/2015).
• If the Form G-28 is an older version than the revision of 03/04/2015, then you will close the case FC, not TD. Please refer to section 16b of this guide.
• If the new Form G-28 (revision of 03/04/2015) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

The G-28 might not matter. If there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, the version of Form G-28 or if it was properly executed does not matter.

A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor. We refer to that as "certification of agreement."
A subject of record is not required to provide a certification of agreement signed by himself or herself giving us permission to release information to himself or herself.

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Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity or Certification of Agreement. Non-Privacy Act Record requests frequently fall under SIG. Such a request may arrive by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

In any third party request for a Privacy Act Record, we need either:

- A certification of agreement to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

If none of those elements are present, VOI becomes irrelevant. We will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

Who is the Requestor?	Certification	VOI	Close?
Self	Not needed	If adequate	No close - staff
Self	Not needed	If inadequate	FC – Sec. 16b
3rd Party (incl Atty)	If adequate	If adequate	No close - staff
3rd Party (incl Atty)	If inadequate then	Does not matter	TD – Sec. 16a
3rd Party (incl Atty)	If adequate	If inadequate	FC – Sec 16b
3rd Party (incl Atty)	Other proof (death cert, proof of guardianship)	Must establish identity of subject of record	No close - staff

7.1 Certification of agreement of parents or guardians

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If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming the Requestor as a legal parent. If guardians file on behalf of their wards, they must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent if the Requestor is the parent or guardian, however the parent or guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6C.F.R. § 5.21(e)].

Please note: if the request references a baby from Vietnam, Cambodia, Guatemala, Nepal or Ethiopia, please refer to section 8.23 of this guide. If the Requestor is a prospective adoptive parent, we will provide any documents concerning them. If unsure, please consult a supervisor.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent as long as the Requestor has proven parentage or guardianship [6 C.F.R. § 5.21(e)].

If the Requestor asserts parentage or guardianship but does not provide proof, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

Minors may request their own files; they do not have to have the certification of agreement from their parents or guardians to do so. Attorneys may represent minors also.

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

If a requestor is asking for a Privacy Act record, he or she must provide verification of identity. A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 6 CFR § 5.21(d), we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the requestor does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

If we have verification of identity, but are unable to confirm a match because of multiple matches or a possible match, we may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional

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information, the information they send back to us does ***not*** have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The requestor may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639.

6 CFR § 5.21(d) ***Verification of Identity***, says the requestor must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A requestor who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the subject has not signed under Penalty of Perjury or Verification of Identity. Close as a failure to comply.
C. If the requestor is asking for records concerning a *living* individual and it has not been signed under penalty of perjury nor notarized, close as a failure to comply.

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8.a. ☐ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this _____

day of _____ in the year _____.

Daytime Telephone Number _____

_____

Signature of Notary

My Commission Expires on _____

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8.b. ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Closing as Failure to Comply (FC) for inadequate Verification of Identity: Please refer to section 16 of this guide.

More information about VOI: The signature of the subject of record must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

A. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
B. If a requestor has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.
C. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
D. DOJ-361, Certificate of Identity: we may not suggest or require that a requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
E. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID can be used for verification of identity.

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"Verification of Identity" for purposes of FOIA/PA ***does not include*** a Form ***G-28*** with a ***statement made under penalty of perjury by the requesting attorney or representative*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United State s or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).(Signature)".

(2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).(Signature)".

7.2 Verification of Identity (VOI)

If a Requestor is asking for a Privacy Act record, he or she must provide verification of identity. Do not confuse verification of identity with certification of agreement.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 6 CFR § 5.21(d), we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the Requestor does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

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If we have certification of agreement and verification of identity, but are unable to confirm a match because of multiple matches or a possible match, We may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional information, the information they send back to us does *not* have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The Requestor may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the Requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639.

6 CFR § 5.21(d) ***Verification of Identity***, says the Requestor must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the Requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A Requestor who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the *subject has signed only the first page* and the second page does not contain the signature of the subject but has been notarized. The Verification of Identity section was not signed. Close as a failure to comply.
C. If the Requestor is asking for records concerning a *living* individual and if there is only one signature and it is not signed under penalty of perjury nor notarized, close as a failure to comply.

Closing as Failure to Comply (FC) for inadequate Verification of Identity: Please refer to section 16 of this guide.

More information about VOI: The subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

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F. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
G. If a Requestor has inserted the **penalty of perjury statement on <u>ANY</u> document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.
H. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
I. DOJ-361, Certificate of Identity: we may not suggest or require that a Requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
J. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID can be used for verification of identity.

"Verification of Identity" for purposes of FOIA/PA ***<u>does not include</u>*** a Form ***G-28*** with a ***<u>statement made</u> <u>under penalty of perjury by the</u> <u>requesting attorney or representative</u>*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

> Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:
>
> (1) If executed outside the United States:
>
> > "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
> > Executed on (date).
> > (SIGNATURE)".
>
> (2) If executed within the United States, its territories, possessions, or commonwealths:
>
> > "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).

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(SIGNATURE)".

7.3 Reasonable Description of Records Being Sought:

7.3.1 Finding a Single Match

If the Requestor provided all elements required by 6 CFR § 5.21(d), but did not provide an alien number or receipt number, you may still request (*staff for*) the Alien file if there is only one match and there is no other indicator that it may not be the correct subject of record. If the Requestor provided the required information and we do not find a match or a possible match, and the subject of record would have entered the United States after 1975, we do not send out for additional information. You will prepare a No Record (NR) final action letter and close the case (see section 12.18.6, No Record).

If the Requestor believes we have records, he or she may provide additional information in order to open a new request and have us conduct a second search. Always create a Discussion addressed to the case processor (CP), justifying why you sent for additional information and whenever you staff for a possible match based on best available information.

7.3.2 Finding Multiple Matches

Sometimes a requestor provides complete Verification of Identity, but you still cannot locate the Subject of Record. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need additional beneficiary and/or petitioner PII to find a petition. In situations like this, we do not have a reasonable description of the records the requestor wants. We will have to ask for additional requestor documentation, specifically:

A. Alien Number (if known)
B. Application/Petition Receipt Number (if known).

Additionally, we may ask for items of information such as names of the mother and father. If you have found more than one possible match, and those matches have parents' names in CIS, we can narrow our search or confirm we have the right A-Number. The requestor is not required by law or regulation to provide that information, but if the requestor does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. Check all relevant boxes on the requestor documentation worksheet, save the letter, and check it in. Do not staff for a file if you are sending for requestor documentation. In the "Contents" tab, you will see a Pending slot for Requestor Documentation. Send the case to Pend. After we receive a response from the requestor, a FOIA/PA Assistant or Government Information Specialist working in Records

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Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requestor entered "unknown," or "none" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter. For example, if the requestor entered "unknown," "none" or "N/A" under Alien Number, it does not make sense to ask for their A-Number. You may have to use discretion. If you found parents' names in CIS and it would help to match the person to the A-Number, you may ask them for parents' names, even though the requestor may have entered "unknown," "none" or "N/A" under Father's Name and Mother's Name. If in doubt, please consult a supervisor.

7.3.3 Researching Considerations

7.3.3.1 If you do not find a confirmed match, refer to Section 8, CASE CREATE SITUATIONS/OTHER PROBLEMS.
7.3.3.2 Verify the Requestor is not asking for specific documents we would normally refer (RF) or Redirect (RD) and is not a part of the "Bracero Program" (section 8.6), or entered into the United States prior to 1975 (section 12.7.5), Genealogy (section 6.3.4.6), etc.
7.3.3.3 After you make sure none of the above situations apply, you will then need to close the case as a No Record, (NR) final action code. Please refer to section 12.18.6, No Record.
7.3.3.4 Always create a Discussion to document your findings and the reason you decided to request the additional information. If you do not enter a Discussion, the Records Locator (RL) and Case Processor (CP) will not know what you found in your searches.

If you send an acknowledgment letter requesting additional information, please do not request a file. This is to avoid having to pay for the file scan if the Requestor does not respond with additional information. Also, if we have to ask for additional information, we probably do not have enough information to staff for a file.

7.3.4 Requesting Additional Information with the Acknowledgement Letter

7.3.4.1 Go to the "Tasks" tab and select "Acknowledgement Letter"
7.3.4.2 After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.
7.3.4.3 We then click on "Generate Letter." Our only option at that point is to click OK
7.3.4.4 As soon as you do, a File Save pop-up window will appear. Click "Save."
7.3.4.5 The acknowledgment letter will pop up

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7.3.4.6 The acknowledgement letter has a third page. Do not change the wording on the acknowledgement page without specific supervisory instruction to do so unless it is a Specific Document request. For Specific Document requests, we modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need. You save the document, exit Word, and check the document in, click "Open" and you will notice that there is now a slot for "Requestor Documentation" and the Responsive Unit is "Requestor."

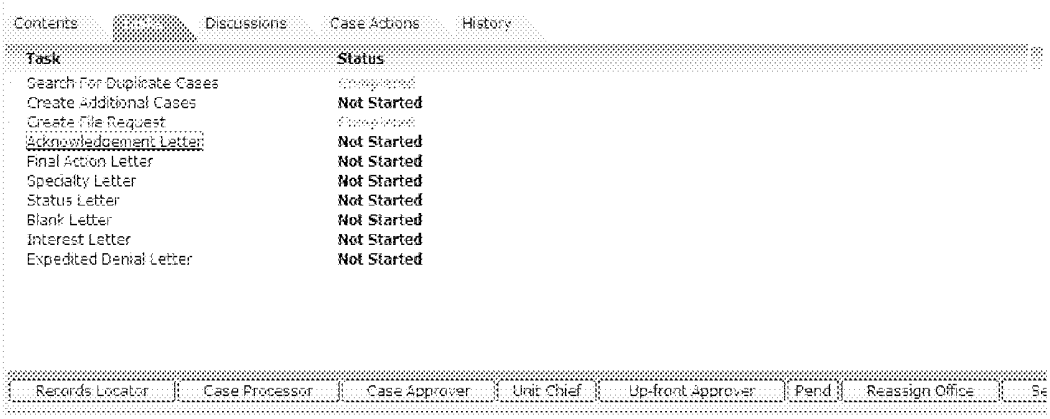
7.3.4.7 Create a Discussion explaining why you needed to request additional information

7.3.4.8 Pend when you are finished.

7.3.4.9 When the Requestor provides the additional information, A FOIA/PA Assistant or Government Information Specialist working in Records Locator queue will request the records.

Screen shots including step by step guidance follow.

Go to the "Tasks" tab and select "Acknowledgement Letter"



After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.

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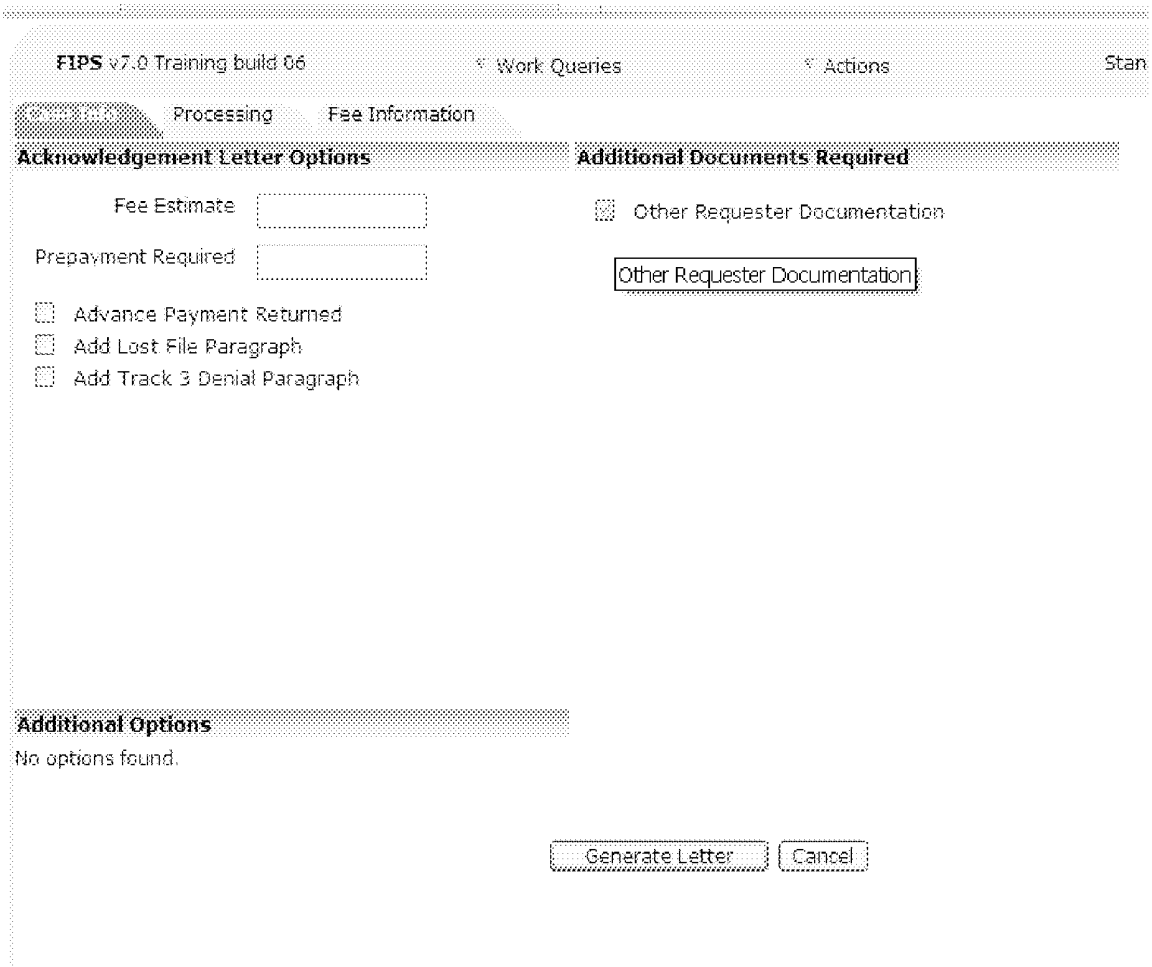
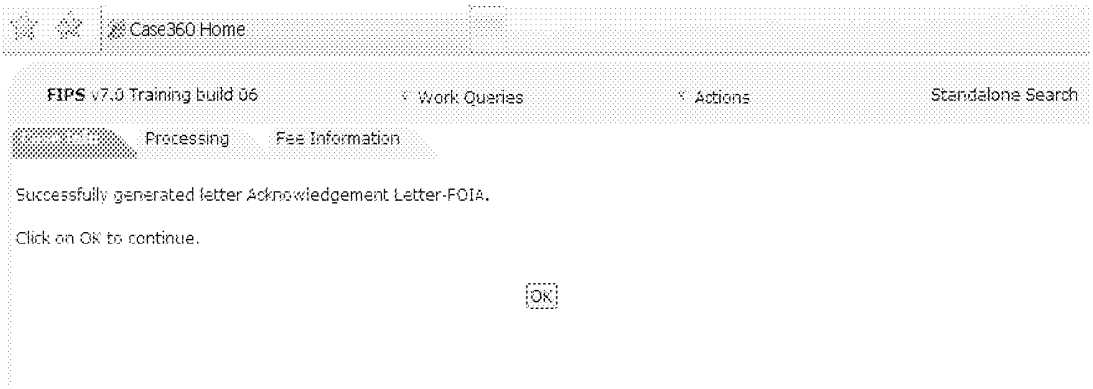


We then click on "Generate Letter." Our only option at that point is to click OK.



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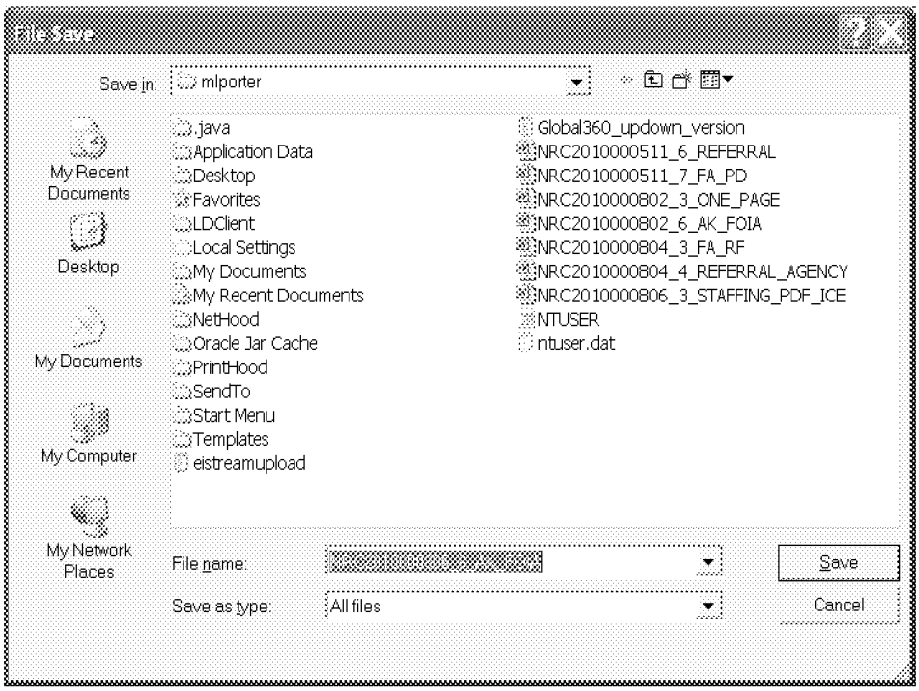

The acknowledgment letter will pop up.

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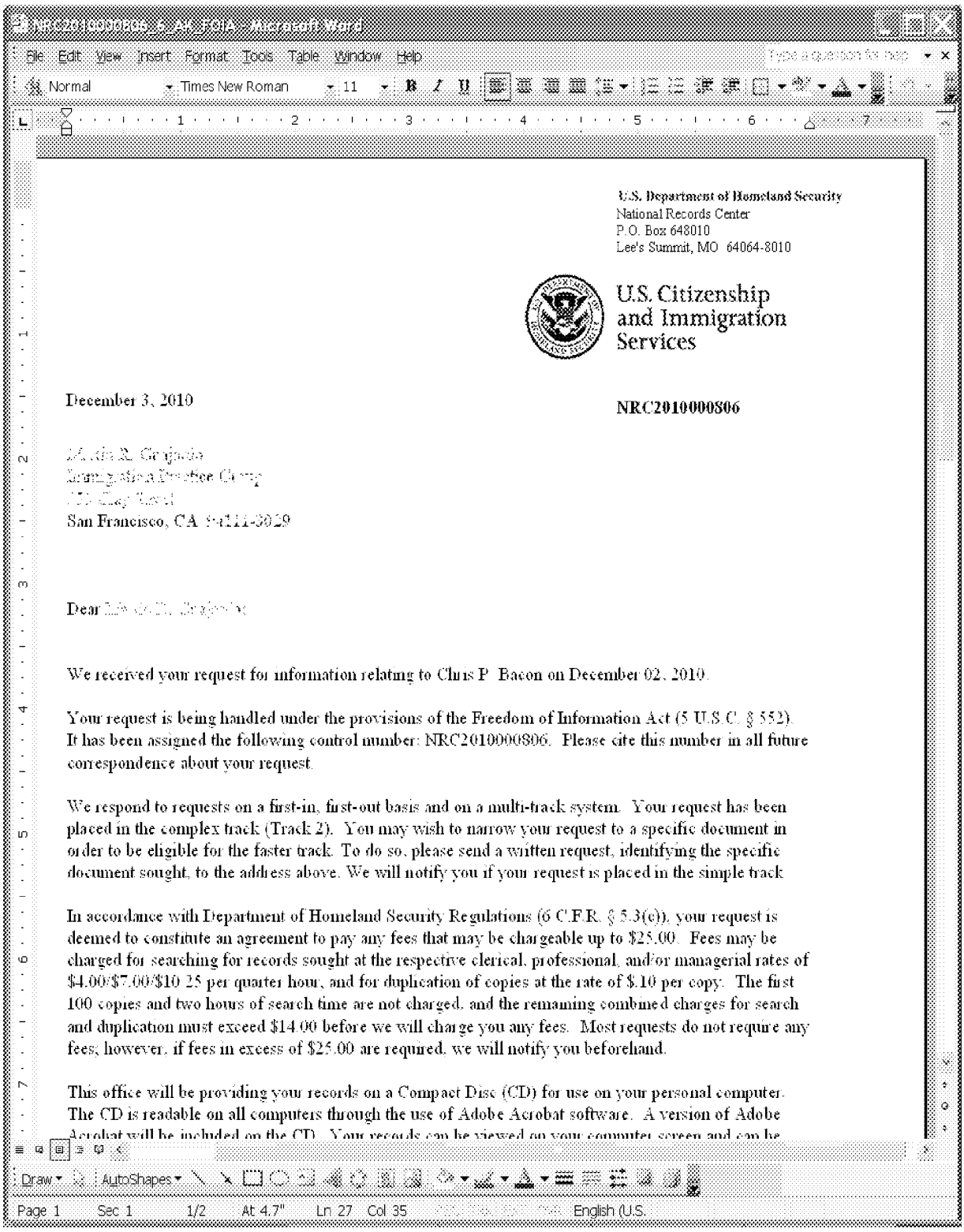

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

[redacted]
San Francisco, CA [redacted]

Dear [redacted]

We received your request for information relating to Chris P Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

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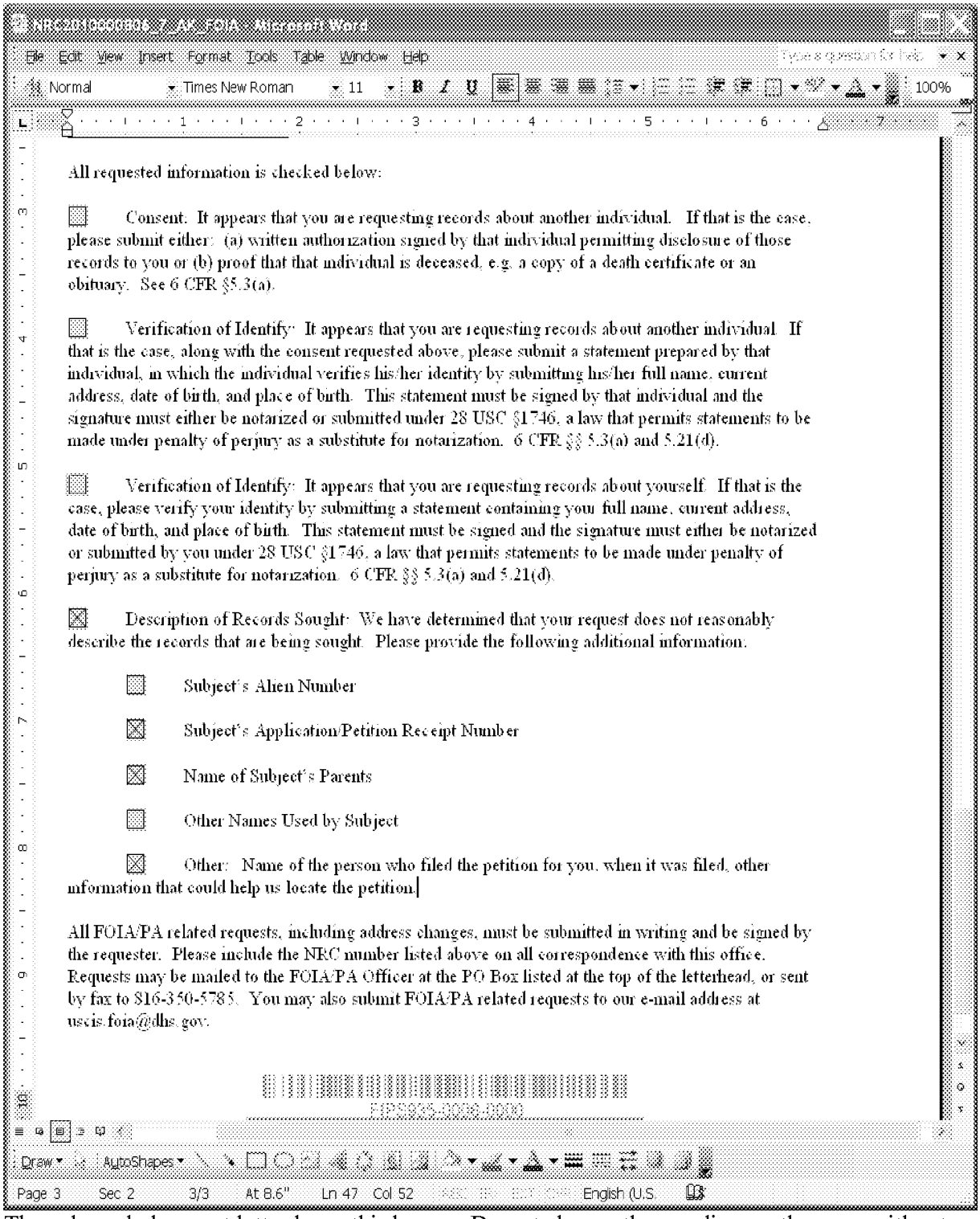

The acknowledgement letter has a third page. Do not change the wording on the page without specific supervisory instruction to do so. In Track 1 cases we must modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need

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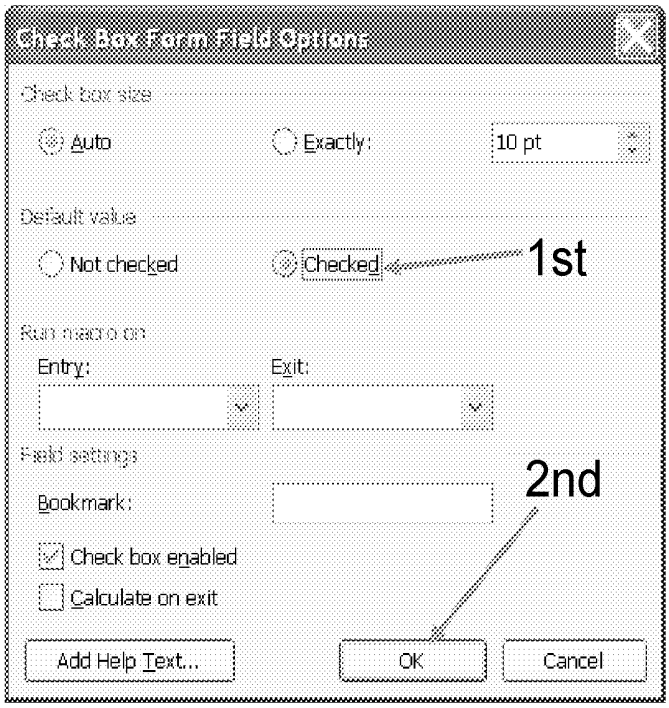
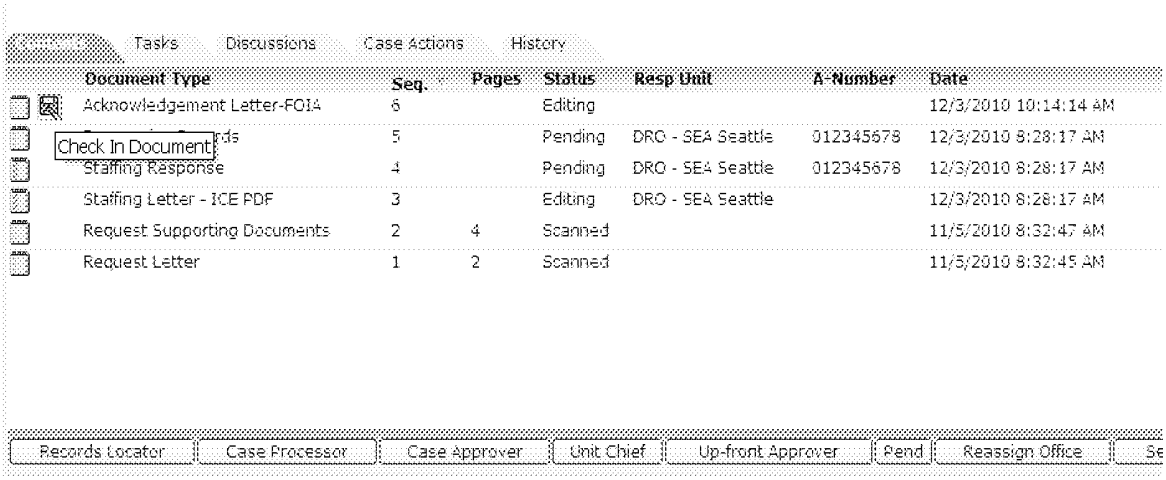
additional information, select the radio button marked "Checked" and then click OK for each item of information you need.



The resulting page will look something like this:

In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in.



Click "Open".

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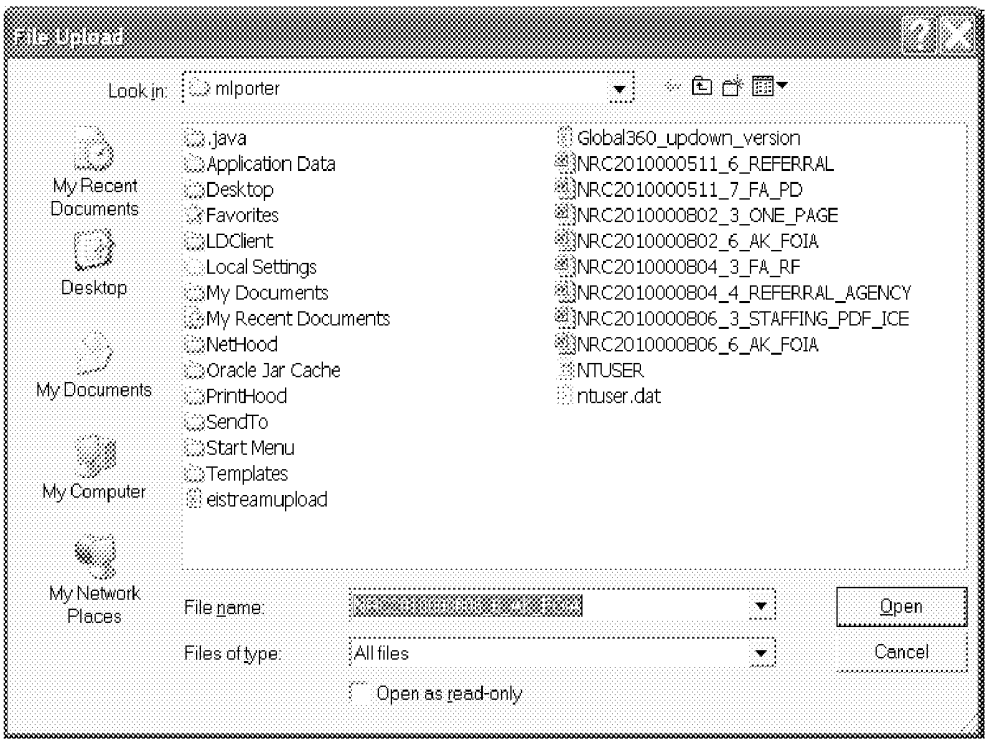
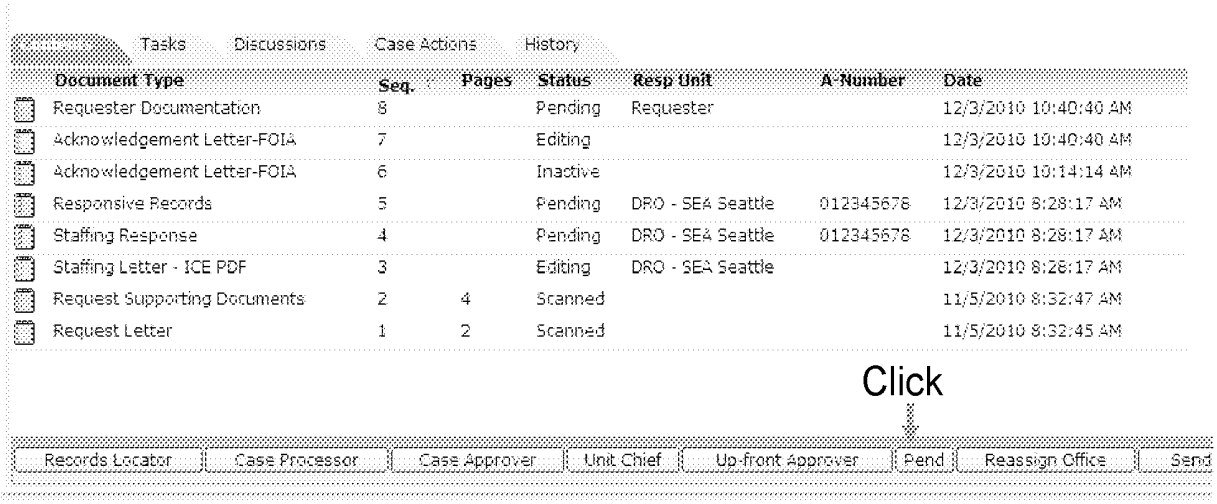


You will notice that there is now a slot for "Requestor Documentation" and the Responsive Unit is "Requestor." After this, create a Discussion and send the case to "Pend."



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7.4 Third party requests

Sometimes certification of agreement is not necessary. For instance, a Requestor asking for a "*list of all employers in Utah who use E-Verify*" does not have to provide certification of agreement. Commercial, contract, and media requests are usually third party requests.

On the other hand, USCIS will not release personally identifying information (PII) or personally sensitive information to a third party without certification of agreement. If the Requestor is asking for records concerning an individual and does not provide certification of agreement, nor does it appear likely that the Requestor is going to get certification of agreement, close the case as a total denial (TD). It may be obvious from the request that the Requestor will not be able to obtain certification of agreement from the subject of record. If you have a doubt, consult your supervisor.

Third party Requestors are not entitled to any public documents that may be in the file they are seeking, nor documents that they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his certification of agreement, do, close the case as a Total Denial. Please refer to Section 16a, TD (total denial) Case Closings.

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the Requestor to provide proof of death. Proof of death could be any of the following:

- Death Certificate;
- Obituary;
- Funeral Memorial; ~~or~~
- Photograph of headstone; or
- Screen print from the Social Security Death Index

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

If the Requestor says the subject is deceased and did not provide proof of death, but the subject is not over 100, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

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7.6 Power of Attorney

A power of attorney is a document in which one person appoints another person to act as an agent on his or her behalf. A Requestor may submit a power of attorney with a request, and we may consider it.

The Requestor may have provided adequate certification of agreement on the Form G-639 or elsewhere in the request, and if so, we do not need to evaluate the validity of the power of attorney.

A power of attorney cannot override either the requirement for verification of identity in 6 CFR § 5.21(d) or the requirement for certification of agreement in 6 CFR § 5.21(f).

The subject of record must have signed the power of attorney. In order to meet the 6 CFR § 5.21(d) requirement, the power of attorney must list the subject of record's name, date of birth, place of birth and address, and the subject of record's signature must be notarized or made under penalty of perjury.

If the Requestor did not provide certification of agreement on the G-639 or on some other document, only then we should look for certification of agreement on a power of attorney. The wording on the Power of Attorney must meet the 6 CFR § 5.21(f) requirement, for example:

> "By this Power of Attorney, I agree to the disclosure to (the named person) of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE."

If you are unsure if the wording is sufficient to meet the requirement, please contact a supervisor.

If the subject of record is not alive, a power of attorney is irrelevant. If the Requestor states that the subject of record is deceased, please refer to section 7.5 of this guide.

We cannot consider a power of attorney describing blanket authority without specific mention of delegated authority to request USCIS records. We cannot consider a power of attorney with no expiration date or a power of attorney with an indefinite expiration date.

If it is expired, the power of attorney is invalid, even if it met all the § 5.21 requirements. We are not legally covered if we honor an expired power of attorney.

If the Requestor provided adequate certification of agreement and verification of identity elsewhere in the request, such as on Form G-639 or on a separate document, any attached power of attorney is irrelevant, whether or not it is valid.

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8. CASE CREATE SITUATIONS/OTHER PROBLEMS

At any time during the case-create process you may encounter a quirky or unusual situation. Some not-so-usual situations follow this paragraph, but as a case creator, you will inevitably see situations you have never seen before. Case creators should seek assistance from their co-workers and then supervisors. If the problem cannot be resolved, the creator should create a Discussion and send the case to the Unit Chief and send an e-mail to the supervisor for clarification. If it is not a situation that needs clarification but some type of FIPS error, please refer to section 23 of this guide.

8.1 REQUESTS: Foreign Consulate

Please verify it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports).

After you've verified that the request is from a consulate, please do the following:

1. Print out the entire request.
2. Attach a cover sheet ("Request from Foreign Consulate")
3. Take the printout to your supervisor.
4. Add a discussion, "Request from Foreign Consulate."
5. Send an email to NRC, FOIAOA with the case information.
6. Create the case and close it, ER.
7. Send to Up-front Approver.

A person may be using the consulate's address, and that is not the same thing as a request from a foreign consulate. If the subject mailed the request and wrote the consulate's address on the G-639, then you should use the subject's address from the envelope and set it up as a self-request. If you are unsure about which address to use, please consult your supervisor.

8.2 REQUESTS: Non-immigrant visa material

If the Requestor specifically asks for non-immigrant visa data and there is no record of the person in CIS or CLAIMS, do not close the request as NR. If the Requestor is asking a question about being a student, au pair, camp counselor, or participating in a summer work/travel program, or if the Requestor specifically mentions visa type F-1, F-3, J-1, M-1 or M-3, or if they are asking for an I-20 which is a student visa, then you should refer (RF) the request to ICE, since that record will be tracked in SEVIS (Student and Exchange Visitor Information

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System.) An example of a "refer to ICE" type request might be: "Type of visa, visa number and legal documents allowing entry into the US. The subject was a student at the University of Nebraska." See section 9, Referral and Redirection.

Otherwise, redirect (RD) the Requestor to Department of State. An example of a "re-direct to State" type request might be for a B1/B2 visa, such as: "Type of visa, visa number and legal documents allowing entry into the US. The subject visited Disney World and Cape Canaveral and entered at Orlando International Airport." See section 9, Referral and Redirection.

8.3 Routine use requests

USCIS may disclose records to an appropriate Federal, State, tribal, local, international, or foreign agency, including law enforcement, or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, where a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

What does that mean? We may disclose records from alien files to other Federal, State and local government agencies as a normal course of operation for law enforcement purposes. Certification of agreement is not necessary for the processing of these types of requests. Some examples of these types of requests include requests relating to child support enforcement and aliens seeking public assistance.

Requests from government agencies (federal, state or local) for verification of status of aliens are routine use.

These types of requests are not a part of FOIA and should not be in FIPS. For example, you may open a request from a county public assistance agency attempting to locate a child's father who is avoiding financial responsibility. If you open a request from a state or local government agency requesting information about an alien, you will close this case as "Created in Error"(ER). The only exception to this rule is if there is a cover sheet with instructions to create as FOIA.

If you are not sure if the case is a routine use case, do not close the case as ER. Seek supervisory guidance. If you are not able to seek guidance, create a Discussion and send the case to the Unit Chief (UC) and e-mail the supervisor.

Closing as ER- Routine Use cases

A. Select the "Final Action Letter" from the Tasks tab. Select "ER" from the final action codes list. FIPS will not generate a letter.

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B. Print the request and place a cover sheet on the request with the comment "Supervisor: Routine Use. Not a FOIA-Request. Do not scan into FIPS."
C. Create a Discussion with your findings for the Up-front Approver, "UFA-This case is a Routine Use case" and explain why.
D. Move the case to the Up Front Approver queue.
E. Give the printed copy to your supervisor and follow up by sending an e-mail with the NRC control number and Requestor name to your supervisor

8.4 REQUESTS: Bond obligor, no certification of agreement, closed as a Total Denial

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law.

Immigration bond obligors are surety companies who have posted an immigration bond (Form I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond.

These requests previously were processed by Immigration and Customs Enforcement.

We will now create bond obligor requests under FOIA.

Since there is no certification of agreement provided with bond obligor cases, we will close these as a TD.

Please refer to Section 16a (TD (total denial) CASE CLOSINGS.

8.5 REQUESTS: A-Number Only

If a Requestor/subject is asking for his or her alien number **only**, follow these steps:

A. Search CIS with the information provided on the request to locate an A-Number.
B. If you locate an A-Number, compare the information provided on the request with the information in CIS to make a positive ID.
C. You must have VOI and possibly certification of agreement in order to proceed. If it is a third-party request and you do not have certification of agreement, VOI does not matter. Close the case as Total Denial (TD). Reference section 16a, TD Case Closings. If VOI is inadequate, close as Failure to Comply (FC). Reference section 16b, FC Case Closings.
D. If you do have adequate agreement to release (if needed) and VOI:
E. Print a copy of CIS 9101 screen.
F. Create a File Request to RAFACS and leave the "Customize Letter" button selected.
G. Create a Discussion "CP, A-file number only requested".

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H. Attach a "Scan As" cover sheet to the screen print, mark the box "Responsive Records" and take to a person designated to scan RAFACS-only responsive records.
I. You will not staff for the Alien file. When the alien is requesting A-number only, the CP will be using the 9101 screen print as responsive records.

Make the case a Track 1 case and pend the case for responsive records. When the responsive records (9101, CIS Screen Print) are scanned in, the case will move to the processing queue.

8.6 REQUESTS: Bracero Program

The Bracero Program (1942-1964) began as a temporary World War II program to fill agricultural labor shortages, and continued in one form or another for more than twenty years. Initially the program included workers from Mexico, the Virgin Islands, British West Indies, and elsewhere. After about 1945, the program was limited to agricultural workers from Mexico, and the term "bracero" refers to an imported farm worker from Mexico. "Brazo" means arm, and "bracero" means a person who works with his arms.

A. Begin with a thorough search of CIS, CLAIMS and PCQS.
B. If you find a record, please staff for the file. If you do not find a record, you will be requesting a manual search.
C. Create a Records Indexing Staffing and enter all information provided by the Requestor.
D. Enter a Discussion note
E. Pend for the manual search.

From the Records Locator Queue, if the manual search staffing response produces no record, generate a "NR" letter and send the case to Up-front Approver. The supervisor will review and close the case. Reference Section 12.18.6 No Record (NR) for Final Action NR.

For the Records Indexing letter which is used to paste onto the FIPS staffing Sheet, O:\Foia\FOIA LIBRARY\Case Create References\Case Create References.

Or Enterprise Collaboration, ECN Network /Case Create Library
http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx
Select the "RECORDS_INDEXER" letter and copy paste the Records Indexing staffing sheet onto the end of the FIPS request letter. Press Ctrl+Enter at the bottom of the FIPS letter to insert a page break and paste in the letter.

In these no record cases, the researcher's only recourse may be to search for a record of admission at the National Archives (NARA). Today NARA holds microfilm of arrivals at US-Mexico Border ports of entry from ca. 1905 to 1954 (some to 1957). A Bracero admitted in 1960 will not appear in these records due to the cut-off dates.

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The Requestor can request a search by writing directly to NARA. In their letter, the Requestor should ask for a search of Mexican border arrival manifests in Record Group 85. The correspondence to NARA should contain the date and port of entry, as well as the name used at the time of entry, age at the time of entry and any other identifying information. Create a Discussion asking the CP to provide this NARA contact information, if no other records are found in the Records Indexing search.

NATIONAL ARCHIVES AND RECORDS
ADMINSTRATION
CIVIL REFERENCE
7th AND PENNSYLVANIA AVENUE NW
WASHINGTON DC 20408

8.7 REQUESTS: Referrals and Consultations Received From Other Agencies

Other government agencies' and DHS components' FOIA/PA offices will make the determination to refer a FOIA request to the USCIS FOIA office at the NRC for a direct response to the Requestor. The referral can be complete or partial.

8.7.1 Complete Referrals

A complete referral comes from another government agency or DHS component in which either the entirety or a segregable portion of the request falls under the purview of USCIS. If the referral is a request for an A-File or A-File material (petition, application, etc.) create the case as if the request came directly to the NRC. If the referral is a request for anything else please see section 6.3.4.4 as the request may fall under SIG.

8.7.2 Partial Referrals

As other agencies process FOIA/PA requests, they will sometimes find USCIS documents within their files. These documents will be referred to us for processing. The majority of partial referrals come from the Office of Personnel Management (OPM), Department of State, and the Federal Bureau of Investigation (FBI). SIG processes all partial referrals. Follow the procedures in section 6.3.4.4.2 for partial referrals.

We process a consultation when another government agency or DHS component has found USCIS equities within their documents and then forwards those documents to the USCIS FOIA office to make any recommended withholdings or disclosures. The USCIS FOIA office processes only that specific portion of the document that contains USCIS equities and upon completion returns it back to the original agency/component. SIG processes all consultations. Follow the procedures in section 6.3.4.4.2 for consultations.

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8.8 Deleted

8.9 Deleted

8.10 REQUESTS: Red Cross / Last known address

Requests from the Red Cross or from some other non-governmental organization (such as Salvation Army, etc.) looking for the last known address of an alien are normal FOIA requests. You should create the case and request the file as a specific document request. It is not necessary to create an acknowledgement letter if the request is from the Red Cross. Create a Discussion identifying the case as a Red Cross request.

8.11 REQUESTS: Federal, state, local agencies

Governmental agencies, including county public assistance agencies, are seeking the alien to enforce court ordered support or enforcement of some other lawful responsibility. These types of requests fall under the **routine use** category. Reference section 8.3 REQUESTS: Routine use.

8.12 REQUESTS: Return of original documents

Requestors will sometimes ask for the return of original documents, such as adoption decrees, birth certificates or other documents of a personal nature on a request addressed to FOIA. If the request for the return of original documents is submitted ***on a G-639, we are required to provide the Requestor with a copy*** of the specific documents requested. Create the case as normal and insert the language in the acknowledgement letter. For return of original documents, the Requestor must submit a G-884 to the SAVE Unit of their local district office. Insert the following language in the acknowledgement letter:

> In your FOIA request you have specifically asked for the return of original documents. We will provide you with a copy of these documents. In order to obtain the original documents you must submit a G-884, "Request for the Return of Original Documents" to the Save Unit of the nearest district office.

A. If a Form G-884 has accidentally been scanned into FIPS as a FOIA request, close the case as "ER" (created in error). To close a case ER, please refer to section 15 of this guide.

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B. When you close a case ER, FIPS does not create a Final Action letter. You will need to create a Blank Letter explaining the reason we did not accept their request as a FOIA request. Print two copies of the letter.
C. Attach a cover sheet on one copy to be scanned in as a CSD and send the other copy to the OA room for mailing to the Requestor.
D. Include a detailed Discussion note on your findings.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

The Case Resolution Team at the NRC handles all G-884's (Request for Return of Original Documents). OA ordinarily forwards any requests for return of original documents to Case Resolution. Print a copy of the request. Attach a coversheet to the copy of the request and write "OA- Do Not Scan, G-884 Request for Return of Original Documents." Deliver the copy to the OA Room. They will forward it to the Case Resolution team if they have not done so already.

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

8.14 SITUATION: Untranslated Foreign Language Documents

If you find an untranslated foreign language document which may contain essential information needed to create a case, and you are unable to determine what that information is, there are individuals at the NRC available to translate. Here is the procedure:

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A. Insert a Discussion titled "Untranslated Documents" and the reference page numbers
B. Copy the text of the Discussion and paste it into an e-mail to NRC, NRCFOIAMSB
C. Send the case to Unit Chief
D. After translation, a copy of the translated information may be scanned in, or the translator may add a Discussion response. The translator will then return it to you for creation and/or staffing.

8.15 SITUATION: Congressional Correspondence

Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.
When the unit receives correspondence from a member of Congress, we may need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to congressionalnrc@uscis.dhs.gov advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject is not in the request, please contact a member of the FST for more guidance.

8.16 SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The Requestor will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo used to print the request.

A. Select "Print." FIPS will then print out all the pages of the request.
B. Retrieve those pages and take them to the designated appeals point of contact (currently Claire Gage). After you are sure the pages printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

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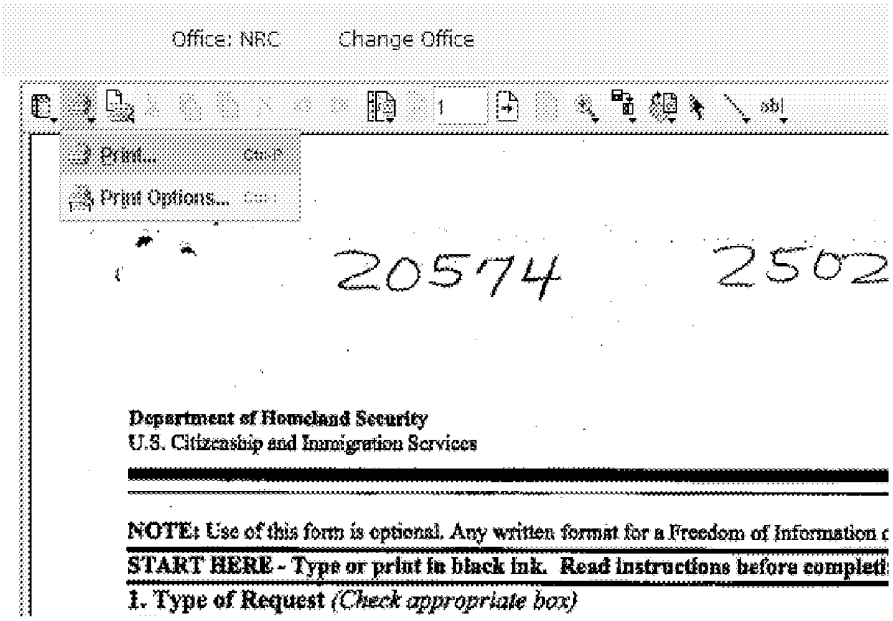
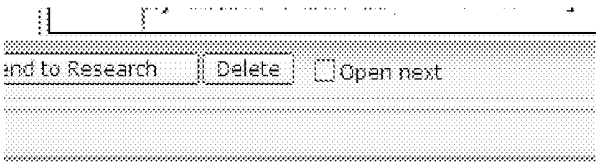


Before you press Delete, you should have the printed request *in your hands* and not still on the printer. Once you press Delete, there is no way to get the information back.



8.17 SITUATION: New requests received on the I-694

If you see a case in the creator role or the processor role that has the I-694, Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act (INA), scanned as the FOIA request letter, this is a legitimate request. The Administrative Appeals Office sends this form along with the A-file to the NRC for processing under FOIA.

Form I-694 is used to notify USCIS that an individual is appealing the denial of their permanent residence, temporary residence, or a waiver of grounds of inadmissibility.

To assist you in identifying this I-694 request, the words "NEW REQUEST" should have been written on the top of the form before scanning. Please note the request may not have a current date. There should already be responsive records in the case.

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A. Create the case.
B. When you prepare the acknowledgment letter, request VOI and/or certification of agreement if needed. Most often, you will have to request adequate VOI. *Please take note:* We do not close an I-694 request TD or FC for not providing all the required elements of Certification of Agreement or VOI with the original request.
C. Create a Discussion for the case processor.
D. If VOI or certification of agreement is not necessary and there are responsive records already scanned in, send the case to processor.

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER.

A. Create the case.
B. Create a Discussion with findings for the Up-front Approver to close as ER
C. Send a message to NRC, FOIA PROGRAM and the current OCC Paralegal, providing the NRC control number and information indicating the request was a subpoena or court order. The Chief Counsel's Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM and NRC, FOIAOA as soon as possible.
D. If you aren't sure, please contact your supervisor for guidance on how to proceed.

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "certified documents requested."

Create the case as normal. If you are closing the case as no record, total denial or failure to comply, there is no need to address certification of record in the final action letter. If you are not closing the case NR, TD or FC, and if the Requestor does not want a copy of the whole file, but specifically requests only a certified copy of a particular document, you will be closing the case NB. According to the situation, please add the following paragraph(s) into your final action letter:

NB Situation 1: If a request is only a request for a certified copy of a Name Change document, insert the following paragraph:

> Regarding your request for a certified copy of Name Change document, you may check with the Court that issued and certified the Name Change document.

NB Situation 2: If a request is only for a certified copy of Certificate of Naturalization of a living person and not a request for the whole file:

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This is in response to your request for a certified copy of your Certificate of Naturalization.

To request a "Certified True Copy" of your Certificate of Naturalization, and if you have the original document, you must make an appointment at your local USCIS office by using the on-line InfoPass Appointment Scheduler. If you do not have the original document, to request a replacement of your Certificate of Naturalization, you must fill out Form N-565, Application for Replacement Naturalization/Citizenship Document. Please see www.uscis.gov for more information about these processes and the downloadable Form N-565.

If you have additional questions, you may contact your local USCIS Office or call the National Customer Service Center at 1-800-375-5283 (TTY 1-800-767-1833).

If the request is for a copy of the whole file, and there is a request for certified copy of a naturalization certificate of a deceased person (but not Italian dual citizenship – if it is an Italian dual citizenship request, please go to section 8.20 of this guide), or if it is a request for any other documents that may be within the file, you will not close the case
NB. Please staff for the file and add this paragraph to your acknowledgment letter:

You requested a certified copy of a U.S. Citizenship and Immigration Services (USCIS) record. The National Records Center does not certify documents and is responding with a copy of these records as required under the Freedom of Information Act/Privacy Act.

8.20 SITUATION: Certification of record for dual Italian citizenship

If we receive a request asking for a certified copy of a relative's naturalization certificate for the purpose of applying for dual Italian citizenship.

A. Evaluate if the request qualifies under the Genealogy Program. Refer to section 6.3.4.6.

B. If the Requestor's relative does fall under the description of genealogy records as described in section 6.3.4.6, he or she must submit the request to Genealogy.USCIS@dhs.gov. You may direct them to USCIS.gov for more information. The link for Genealogy requests is in the left column, listed under "Services."

C. If the Requestor's relative does not fall under the description of genealogy records described in section 6.3.4.6, please include the following paragraph in your acknowledgement letter:

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This is in response to your request for a certified copy of a relative's naturalization certificate in order to apply for dual Italian citizenship. According to information obtained from the Italian Embassy in Washington, D.C., certified copies of naturalization certificates are not required for the dual citizenship application. The Italian Embassy requires the naturalization certificate copy along with our USCIS cover letter and envelope. The records that we release as part of this FOIA request will serve that purpose.

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

The National Archives and Records Administration has designated alien files as permanent records for the Federal Government, ensuring their retention indefinitely. As with all permanent records of the Federal Government, ownership and physical custody of the record is transferred to NARA at a designated point and NARA becomes the custodian of the record. Once the record is transferred to NARA, anyone who wants documents out of the file will have to file his or her FOIA request directly with NARA. The "magic date" for alien files to be turned over to NARA is when the subject of the file passes 100 years of age. The NRC routinely transfers the targeted files into the custody of NARA.

As a result, case creators need to pay close attention to those cases in which the subject of the file was born more than one hundred years ago, particularly if the request does not meet the criteria for a genealogy case.

For example, a Requestor writes with the following request:

"Please send the records of Giuseppe Granchio, born March 22, 1899 in Italy. Mr. Granchio naturalized in 1957, changed his name to Joe Granchio, and died in 1969. Enclosed is proof of his death and alien number."

NOTE: You may find the complete list of criteria in section 6.3.4.6 of this guide.

Mr. Granchio meets one of the criteria for genealogy because he was born long ago; however, since he was naturalized in 1957, he does not meet the criterion of section 6.3.4.6 E, because he would have documents in his file dated after 1951.

If you are creating a case and the subject of the request is 100 years of age or older, **but** the person **DOES NOT fully meet the criteria for a genealogy case**, please pay special attention to NFTS.

A. NFTS may show that the file has been retired and is at a Federal Records Center. If that is true, create the case and request the file.

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B. It may happen that USCIS has not yet transferred the file to NARA. If NFTS still shows a shelf location within NRC (or any other office), request the file.

If the subject meets the criteria listed in section 6.3.4.6, continue with the steps listed below:

A. If NFTS shows that the A-Number has been retired to NARA, it means we have turned the records over to NARA permanently. The Requestor will have to send a request to NARA.

B. Please select Final Action Letter and select NA: FOIA or PA not applicable. Please refer to section 14 of this guide.
Replace the body of the Final Action Letter with the National Archives Letter located at O:\Foia\FOIA LIBRARY\Case Create References\National Archives.doc

C. Create a Discussion with findings for the Up-front Approver.

8.22 SITUATION: Old records

Occasionally we will receive a request for records pre-dating our recordkeeping system. The agency maintains immigrant arrival records created since 1892; and naturalization records since 1906.

A. Create the case
B. When a request is for records older than those maintained by the agency, create a Final Action Letter and select "OR." This generates a letter to the Requestor explaining that the records being requested are older than those maintained by the agency.
C. Create a Discussion for the Up-front Approver
D. After generating the final action letter, send the case to Up-front Approver.
E. The supervisor will review and close the case.

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without certification of agreement of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

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Normally if we cannot verify certification of agreement or prove parentage in a case, we do not send out for additional information, we close as TD or FC for no certification of agreement and Verification of Identity, but this situation is an exception. You should create the case as you normally would. Please do not send out for additional information in pending (not finalized) adoption cases and do not close as TD or FC for the following reasons:

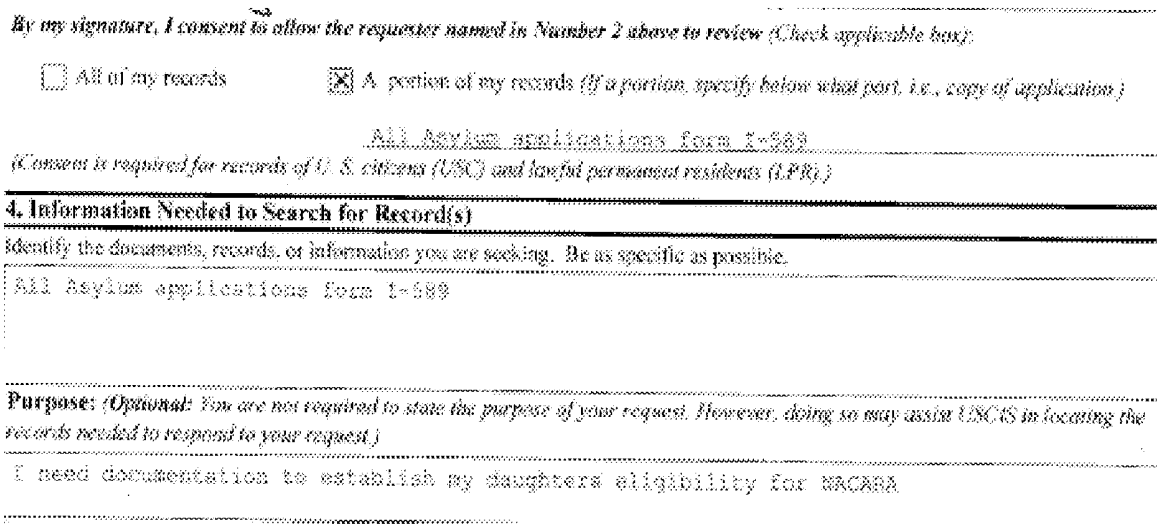
A. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. In cases like this, it is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship
B. The child is usually too young to give certification of agreement
C. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please create a Discussion and send your case to the Unit Chief (UC) for supervisor review.

8.24 SITUATION: Requests for Asylum or Refugee documentation

Asylum and refugee A-Files can be very large. We frequently see voluminous evidence of past persecution or conditions that would jeopardize the life or safety of the applicant. Because of this, we do not adhere strictly to the "three documents or less" rule when deciding whether we have a Track 1 or Track 2 case. The two examples below show first, a Track 1 and second, a Track 2:

Example 1, Track 1:



By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ *All of my records* ☒ *A portion of my records (If a portion, specify below what part, i.e., copy of application.)*

All Asylum applications form I-589

(Consent is required for records of U. S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

All Asylum applications form I-589

Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)*

I need documentation to establish my daughters eligibility for WRCRRA

An asylum application and a Form I-589 are the same thing. They are usually about 10 pages. There are some things we might do to help decide whether this is Track 1 or Track 2. For

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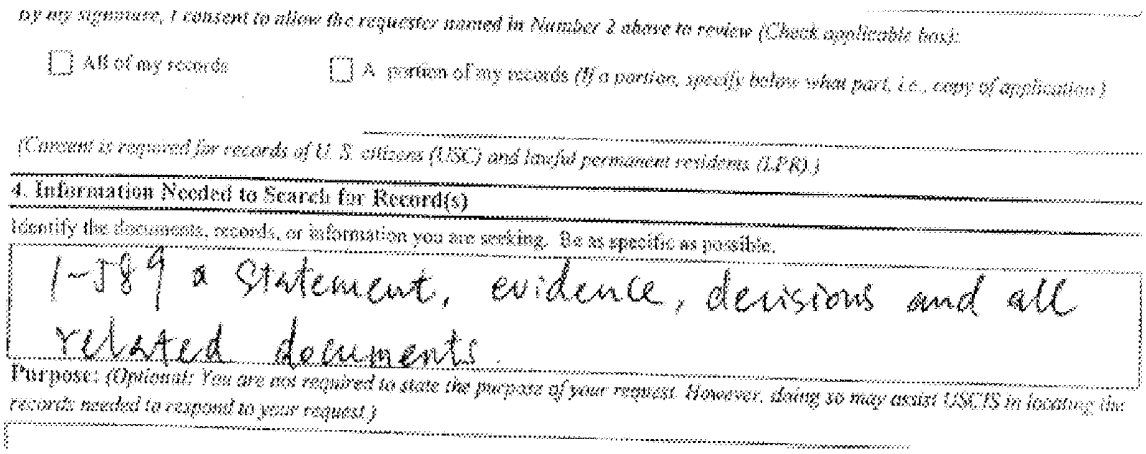
instance, we might want to ask a more experienced creator what it takes to establish eligibility for NACARA. For NACARA, if the Requestor can produce a Form I-589 that was accepted by the service and lists the daughter on it, the Requestor can establish eligibility. We could conclude that all the Requestor needs is the Form I-589. Alternatively, we might call the attorney's office to ask if they mean only the Form I-589 and nothing else. In either case, you would create a Discussion explaining what you did and why, and modify the acknowledgment letter, using language as close as possible to the request while remaining grammatically correct, stating, for example, "you specifically requested all Forms I-589, Asylum Applications." If we fail to state it that specifically in the acknowledgment letter, the processor will be forced to process the case as if it were a request for the entire file. An example of such a failure would be "you specifically requested asylum documents."

Example 2, Track 2:



by my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ *All of my records* ☐ *A portion of my records (If a portion, specify below what part, i.e., copy of application)*

(Consent is required for records of U. S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

I-589 a statement, evidence, decisions and all related documents

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)

This may as well be a request for the entire file. Even if this request had only listed three things: "I-589, evidence and decisions," we should still create this as a Track 2 rather than a Track 1 because of the word "evidence," which could imply hundreds of pages.

There are other times that the decision to assign the case to Track 1 or Track 2 is not easy, and at those times it helps to speak with more experienced creators, your supervisor, or as a last resort, create a Discussion and send the case to Unit Chief.

9. Referral and Redirection

9.1 Referral (RF)

The FOIA requires us not to close a case if there is information in another component of our department. For instance, the Drug Enforcement Administration and the Federal Bureau of

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Investigation are both components of the Department of Justice. If DEA receives a FOIA request and determines the information is with FBI, they may not close the case and tell the Requestor to write to FBI (that is redirection). They must send the request to the FBI and advise the Requestor they have done so (that is referring).
USCIS occasionally receives FOIA requests for non A-file records totally under the purview of another DHS component. When this occurs, we refer the FOIA request in FIPS to the correct component. The following agencies are DHS components:

Transportation Security Administration (TSA)
U.S. Customs and Border Protection (CBP)
U.S. Immigration and Customs Enforcement (ICE)
U. S. Secret Service (USSS)
Federal Emergency Management Agency (FEMA)
U.S. Coast Guard (USCG)

Referring the Case to another Agency or Unit (RF)

If you do not find an A-file or responsive receipt file for the subject, follow the referral guidelines set forth below. The list below includes examples of when to Refer (RF) to CBP and or ICE.

What is a "responsive" receipt file? If a Requestor checked "All of my records" and you find a receipt file, then it is responsive. If a Requestor said "A portion of my records" and specified "Incident July 25, 2014 at Blaine, Washington, all documents related to apprehension and questioning," and you find a receipt file, that receipt file is not responsive to the request.

If you find an A-file, you should create the case and staff for the file. Please refer to the flow charts at Appendix H. Before you refer the case, you must verify we have no record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. In your Discussion, you should also name the systems you searched and state that you have sent the documentation to OA for scanning as CSD.

Note: We may sometimes need to refer to CBP for Entry and Exit as an example, and include the ICE contact information on the Final action letter for Drug smuggling. It depends on how the Requestor worded the specific documents needed. For example, you could not find any A-file or receipt file and the Requestor specified one of the following:

- Entry exit / Departure information
- Copy of an I-877
- Any reports or incidents at the airport.
- Copy of I-94 card
- Arrests at the border

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- Voluntary departures
- Border stops

Note: If receiving a request for the entire records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you find no records, you will then refer to ICE or CBP as needed.

RF to ICE (Please note: refer to ICE if you found no other record and this is not a Records Indexing Staffing situation – see section 12.7.5)

- Information about SEVIS
- F, J, or M Visa requests

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Referring the Case

A. Create the case as normal
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit."
D. FIPS will automatically create two documents: a final action letter to the Requestor and a referral memorandum to the DHS component.
E. FIPS then generates the two Word documents
F. You will need to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for both documents, enter a case Discussion with your RF findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

The following screen shots provide views of steps B-G in FIPS:

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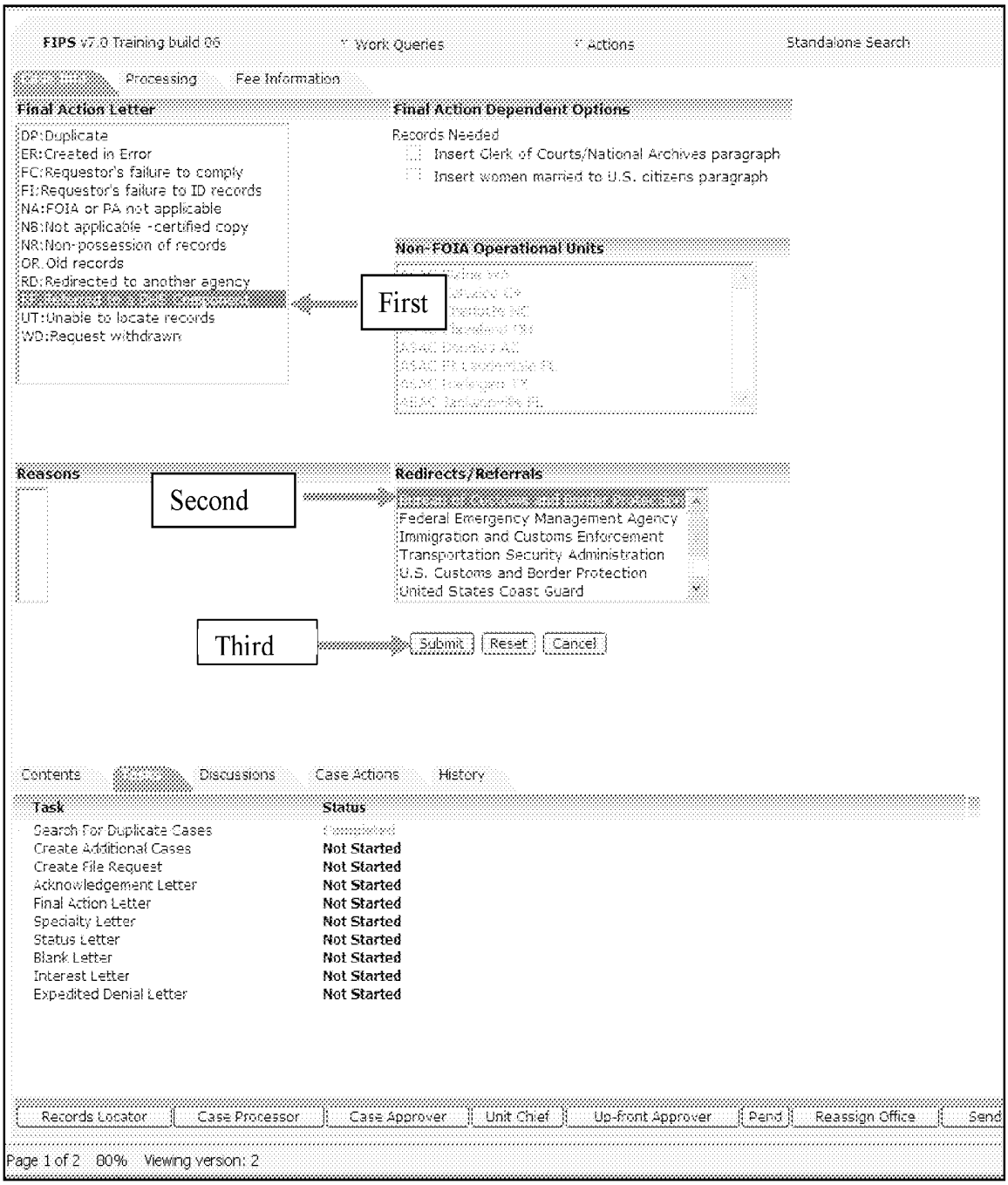

FIPS will automatically create two documents: A final action letter to the Requestor and a referral memorandum to the DHS component.

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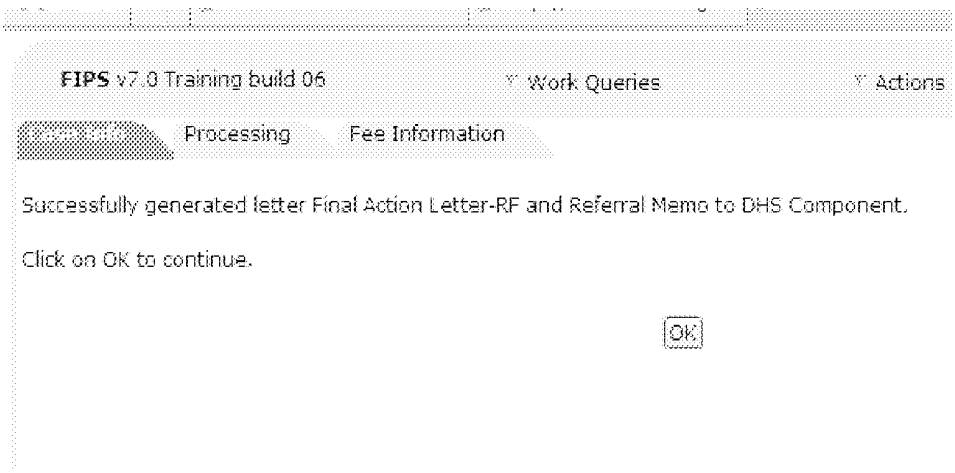
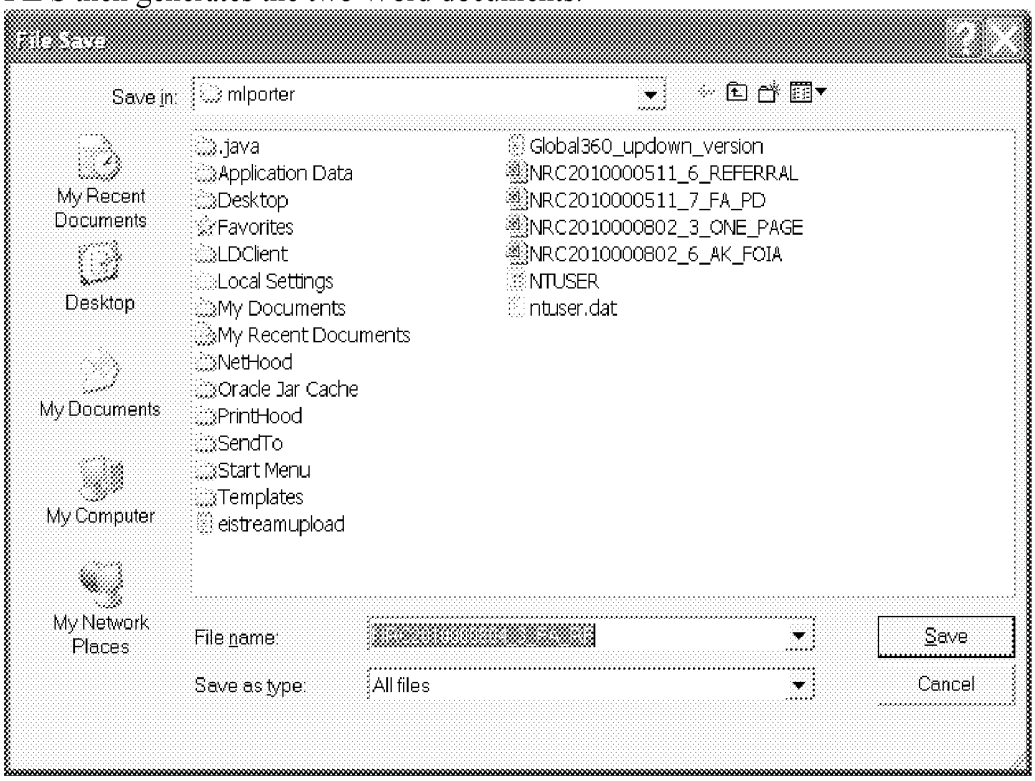


FIPS then generates the two Word documents.



You will have to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.

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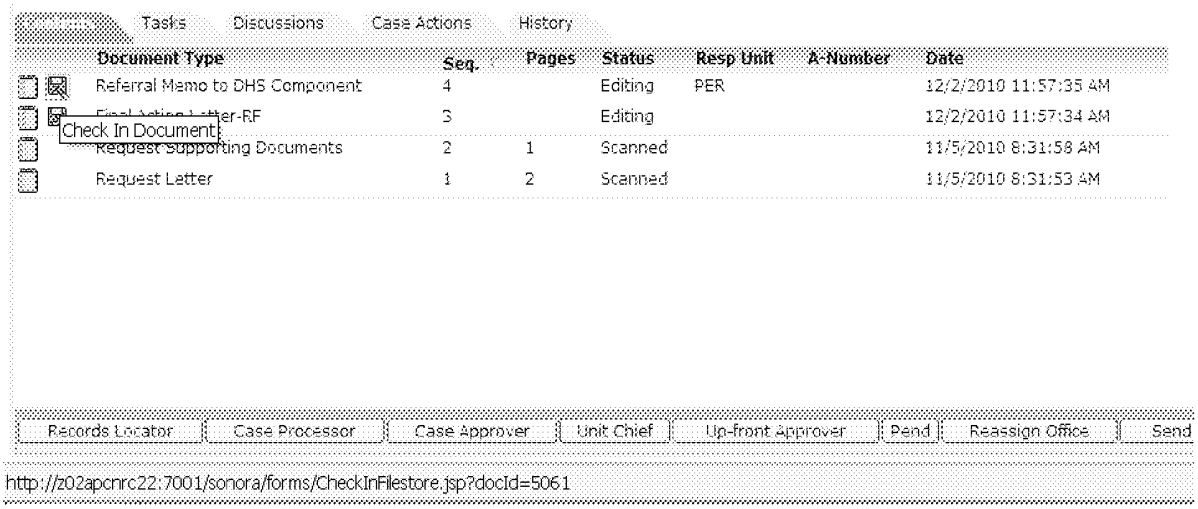
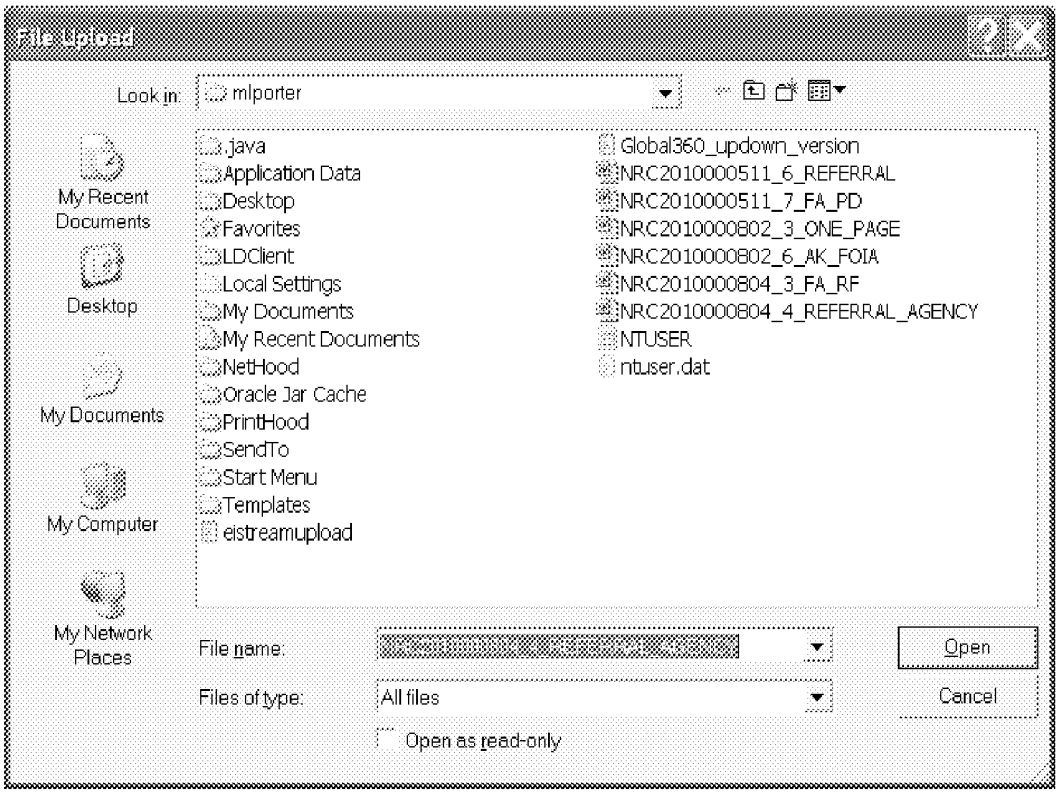


Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."



After you have done this for both documents, send the case to Up-front Approver.

9.2 Redirection (RD)

9.2.1 If we receive a request for specific records that belong to an agency outside of DHS (except NVC), we close it and write a "redirect letter." Always make sure we have no responsive records

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before redirecting to another agency. **For example, if someone requests a Visitor Visa, but we cannot find a record, we can redirect the request to the U.S. Department of State.** The redirect letter advises the requester to contact the different agency for the information they are seeking. The procedure for the Word document is the same as for referrals. You may have to edit the letter to add needed information.

9.2.2 If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

In your Discussion, you should also name the systems you searched.

9.2.3 If it is not a request for all records, but a request for a specific receipt, then you should research where that receipt is now, and if we have it, you should staff for that receipt. You do not have to provide the same print-outs as you would when you are conducting research for "All my records," but you should provide print-outs to show the receipt is with NVC, if available. The rest of this section has instructions concerning what to do if we do not have the receipt.

9.2.4 The following are examples of requests we would redirect to State Department if we find no matching records:

A. B1/B2 Visa information
B. Visitor Visa
C. U – Visa
D. US Citizens born abroad
E. 6 Million A-Numbers that are not in CIS

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Note: RD to DOS when they specifically ask for the above information. We do not RD to DOS just because you find a Visa control number in PCQS.

9.2.5 Deleted

9.2.6 Deleted

Redirecting the Case to another Agency or Unit

A. Create the case
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RD: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are redirecting the request and click "Submit."
D. FIPS will automatically create a document: a final action RD letter to the Requestor.
E. FIPS then generates the Word document.
F. You will need to edit the RD letter/document to add needed information. After you exit from the Word document, it will appear under the "Contents" tab.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for the document, enter a case Discussion with your RD findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

9.3 Entry/Exit Information and Border Apprehension referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982 but no earlier, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this type of information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection
FOIA Division
90 K Street, NE, 9th Floor
Washington, DC 20229-1181

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You will need to modify the referral letter; any information you can provide as to what the Requestor is asking for will be helpful to CBP. For instructions on Referrals (RF) see Section 9.1.

Border apprehension referrals are treated differently. If the Border apprehension date is 1998 or earlier, do a thorough search. If you cannot find a record, please close the case NR and add the following paragraph to your NR letter:

"You may wish to contact Customs and Border Protection, WWW.CBP.GOV. Their website offers information on filing your FOIA request electronically. Please be sure to include dates and locations of any encounters. Please note they do not have complete records for incidents prior to 2000."

Note 1: If the request is for entry/exit, the date was prior to 1982 and you cannot locate a record, do not refer the case to CBP. Do a thorough search and then close NR.

Note 2: If the request is for entry/exit information and the Requestor/subject provided an alien number, request the file.

Entry exit / Departure information
Copy of an I-877
Any reports or incidents at the airport.
Copy of I-94 card
Arrests at the border
Voluntary departures
Border stops

Note 3: If the request is for all records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you do not find any record, you will then refer to ICE or CBP as needed.

9.4 Border Patrol referral to CBP

If you encounter a Border Patrol Request in Case Create, refer the case to CBP. This includes Border Patrol records relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, or checkpoints. For instructions on Referrals (RF) see Section 9.1 and Section 9.3

Exception to this rule; if the Requestor provides an A-Number or you locate an A-Number through a search of the systems, please request the A-file.

9.5 Deleted

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9.6 Deleted

10. DETERMINING TO STAFF BASED ON BEST INFORMATION AVAILABLE:

If you determine that the Requestor has provided all the PII possible after performing the CIS 9102 or 9106 and 9103 screen searches shown above, and there is only one person in the CIS 9101 screen with the same information, please request the file. Create a Discussion explaining that you staffed based on best information available. The Discussion will alert the Case Processor.

11. SOCIAL SECURITY NUMBER

USCIS does not use Social Security numbers in the Freedom of Information/Privacy Act requests. Even if the alien disclosed his or her SSN in the request, do not enter that number on the FIPS worksheet. We will not request the Social Security number when requesting additional documentation.

12. REQUESTING THE RESPONSIVE RECORDS

12.1 Resources

If the Requestor provided adequate VOI, reasonable description of records, and certification of agreement if necessary, your next step is to request the records that are responsive to the request.

How do you determine what records are responsive to the request? First, you have to read the request. Typically, the Requestor will ask for a complete copy of an alien file and they will provide an alien number. If this is the situation, you must verify in CIS that this alien number belongs to the subject.

The Staffing Sheet Guide, the RPC Reference for Staffing and the FOIA FCO List are available on the FOIA Operations ECN intranet page to help you request the file. The web address is as follows:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

12.2 FOIA Support Team

If you are unsure about the proper way to create a file request, it is much better to ask a person in FST for guidance than to create a staffing based on a best guess.

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12.3 Request for Alien File

If the Requestor asked for Complete Alien File and provided an A-number, we will staff for that A-number only, unless

- The number they provided was wrong, or
- The A-number they gave us is for a file that has been lost for more than sixty days, or
- The number they provided was between 80 million and 86,999,999, or
- The number they provided was a 100 million series.

12.4 Specific Documents

If the Requestor is seeking specific documents, please make a Discussion in FIPS detailing what those documents are. You must also mention those specific documents in your acknowledgment letter to the Requestor, using language as close as practical to the Requestor's words. You should never leave the words "Specific Doc Information" in your acknowledgment letter.

12.5 Service Centers

The Service Centers scan the responsive records into FIPS when they are the FCO for that file. Please see the Staffing Sheet Guide for more instructions on requesting these types of Service Center files.

12.6 Best Available Information

If the Requestor did not provide an alien number or receipt number but did provide enough information to conduct a thorough search, you should search CIS, CLAIMS and possibly PCQS to determine the subject's alien number or receipt number. In this situation, add a Discussion stating how you found the record and that you staffed on best available information. If you are unable to find a record, please refer to section 7.3 of this guide.

12.7 S and W files

We do not request "S" (substitute) or "W" (working) files unless instructed to by a supervisor/lead. After the creator has staffed for the appropriate files, the next and final step to case creation is to pend the case for the responsive records.

12.8 RPC of RK

If the file is located at COW with the Responsible Party Code (RPC) of RK, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the

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Discussion should read "File is at RK," and there is no need to enter any further comment in that Discussion.

General Inquiry For A30000001				
File #	Seq	Office	Status/Last Action	Location
A30000001	000	COW	**Status:** In Use **Audit Date:** 05/09/2011 01:55:40 PM **Last Action:** 05/09/2011 01:55:40 PM Batch Audit	**Sect:** RK - Adjudications **Resp:** 0117 - Adjudication II - - 0117

12.9 RMOB Program

If the file is located at NRC with the Responsible Party Code (RPC) of MD 2100 through MD 2221, please create the case and refer it to ICE. Please insert a Discussion after you have created the case. The title of the Discussion should read "RMOB Program," and there is no need to enter any further comment in that discussion.

General Inquiry For A300000001				
File #	Seq	Office	Status/Last Action	Location
A300000001	000	NRC	**Status:** INTERNAL ACTIVE REQUESTED **Audit Date:** 12/21/2012 12:08:50 PM **Last Action:** 12/21/2012 12:08:50 PM Batch Audit	**Sect:** MD - ADMINISTRATION **Resp:** 2100 - MD2100-RMOB Program

12.10 FOIA Safe

If you see an RPC of **"ZW"** in NFTS; that indicates the file is classified. Staff the file to the current FCO. In the example below, you would create one staffing to MSC/NBC and one staffing to NOR. If you see an RPC code ZW and the Office is NRC, you should staff: FOIA Safe. Whenever you see a file location ZW, always check the Comments – see the examples below:

General Inquiry For A000000000				
File #	Seq	Office	Status/Last Action	Location
A000000000	000	NBC	**Status:** AVAILABLE IN RECORDS **Audit Date:** 07/25/2013 05:32:17 PM **Last Action:** 07/25/2013 05:32:17 PM Audit	**Sect:** AC - MAIN FILEROOM **Resp:** 0167 - AC167 MAIN FILEROOM
T000000000	000	NOR	**Status:** EXTERNAL ACTIVE REQUESTED **Audit Date:** 07/12/2013 02:19:46 PM	**Sect:** ZW - CLASSIFIED SAFE **Resp:** 0304 - CLASSIFIED SAFE

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General Inquiry For A000000000				
File #	Seq	Office	Status/Last Action	Location
			Last Action: 07/19/2013 06:08:59 AM File Request	

Comment Inquiry For A000000000					
File #	Seq	Date	Office	Name	Comment Text
A000000000	**000**	01/23/2012 11:05:18 AM	NOR	PADDY O'FURNITURE	A & T file can't be combined because Temp file is classified
A000000000	**000**	12/13/2011 08:35:47 AM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
A000000000	**000**	06/08/2011 03:27:29 PM	ESC	BEA O. PROBLEM	CANCELLED PER NOR REQUEST
T000000000	**000**	08/11/2011 02:15:05 PM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
T000000000	**000**	04/28/2011 02:52:11 PM	NBC	HELEN A. HANDBASKET	A positive Name Check Response exists on the Homeland Secure Data Network (HSDN). Be sure to retrieve and review this document prior to taking any adjudicative action. For assistance, e-mail 'NBC LHM'
T000000000	**001**	07/20/2012 11:14:05 AM	NOR	LONN MOORE	A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'.
T000000000	**001**	08/11/2011 02:15:05 PM	NOR	CIS INTERFACE	Request canceled after fourth pull ticket print.
T000000000	**001**	05/06/2011 10:13:21 AM	NOR	PADDY O'FURNITURE	mel has a carrp t-file in her office

Though you will create the case normally and still staff for the file at its location, you will also email the NRC, FOIA Safe mailbox (copy your supervisor), providing the case number and the name of the subject of the request, stating that the case shows the code ZW in NFTS. View the comments. If there is HSDN commentary (A positive Name Check Response (LHM) exists on the Homeland Secure Data Network (HSDN). The LHM should be reviewed prior to adjudication. To retrieve this LHM, contact NBC's FBI Name Check Team via e-mail address 'NBC LHM'), please paste that into the e-mail. Create a discussion stating that you did send the email to NRC, FOIA Safe mailbox.

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You may have an instance where NFTS shows an A and T-file at the same location, but only one of the files is classified.

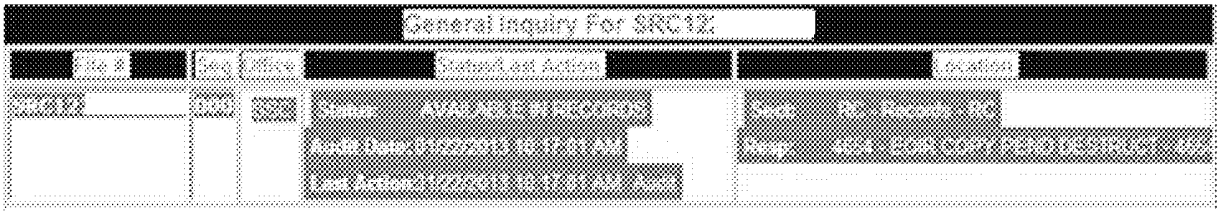
In a regular case, you would create one staffing for both files.
However, classified and regular A (or T) files are most often sent to us at separate time frames.
Therefore you'll need to create two separate staffings for the same location.
In the example below, you would create two staffings, both to KND.

General Inquiry For A02000000				
File #	Seq	Office	Status/Last Action	Location
A02000000	000	KND	**Status:** AVAILABLE IN RECORDS **Audit Date:** 10/20/2009 10:28:19 AM **Last Action:** 10/20/2011 10:28:19 AM Batch Audit	**Sect:** ZW - Classified Files **Resp:** 0 - Classified Files
T02000000	000	KND	**Status:** RECORD IN USE **Audit Date:** 10/09/2009 08:04:13 AM **Last Action:** 10/09/2010 08:04:13 AM Batch Audit	**Sect:** NC - Decisional **Resp:** 00 - N-400

If you pull a case that has a FOIA Safe staffing you should **NEVER** cancel the file request. If the staffing request is overdue you will need to review the due date and re-pend. See section 33, Re-pend Cases in Records Locator Queue.

12.11 Pend Destruct

Do not staff for a receipt if the responsible party is "PEND DESTRUCT." If you find a receipt file, but NFTS shows it is in "PEND DESTRUCT," depending on the type of request, you may simply be staffing for the A-file and disregarding the receipt or you may be printing the electronic record from PCQS and creating a RAFACS staffing for those pages. If you are unsure, please consult a supervisor.



12.12 Staffing by Alien Number

12.12.1 One A-Number provided on the request (with example staffing)

If an A-Number is provided on the request and CIS confirms that it belongs to the alien, ensure you have all the other required elements (DOB, place of birth, name, mailing address and

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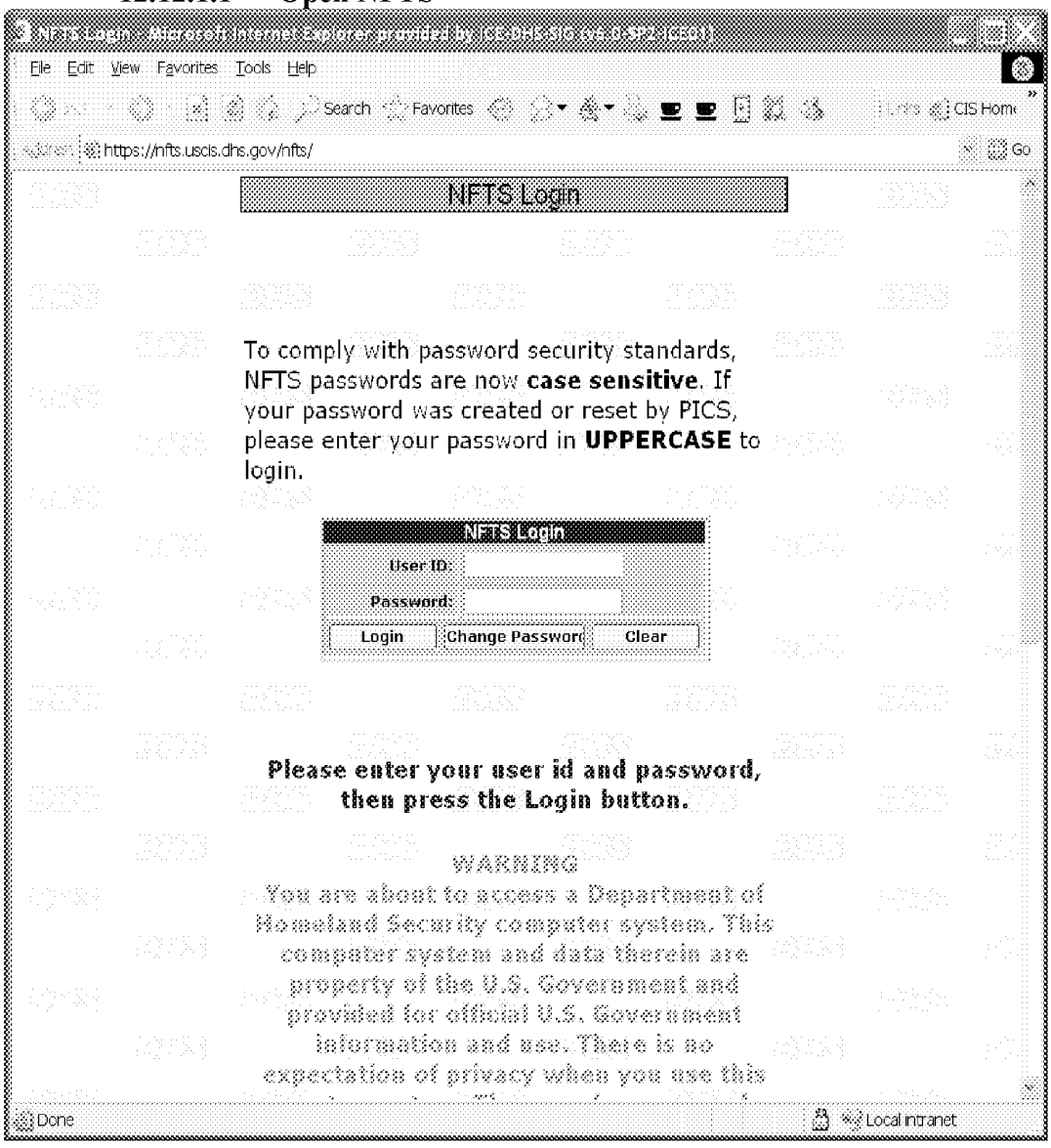
signature under perjury or notarized) to complete the case create. If any of the required elements are missing, we will close the case FC under normal circumstances. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide. The section that follows is a systematic example of staffing by A-Number when the Requestor has provided one.

12.12.1.1 Open NFTS



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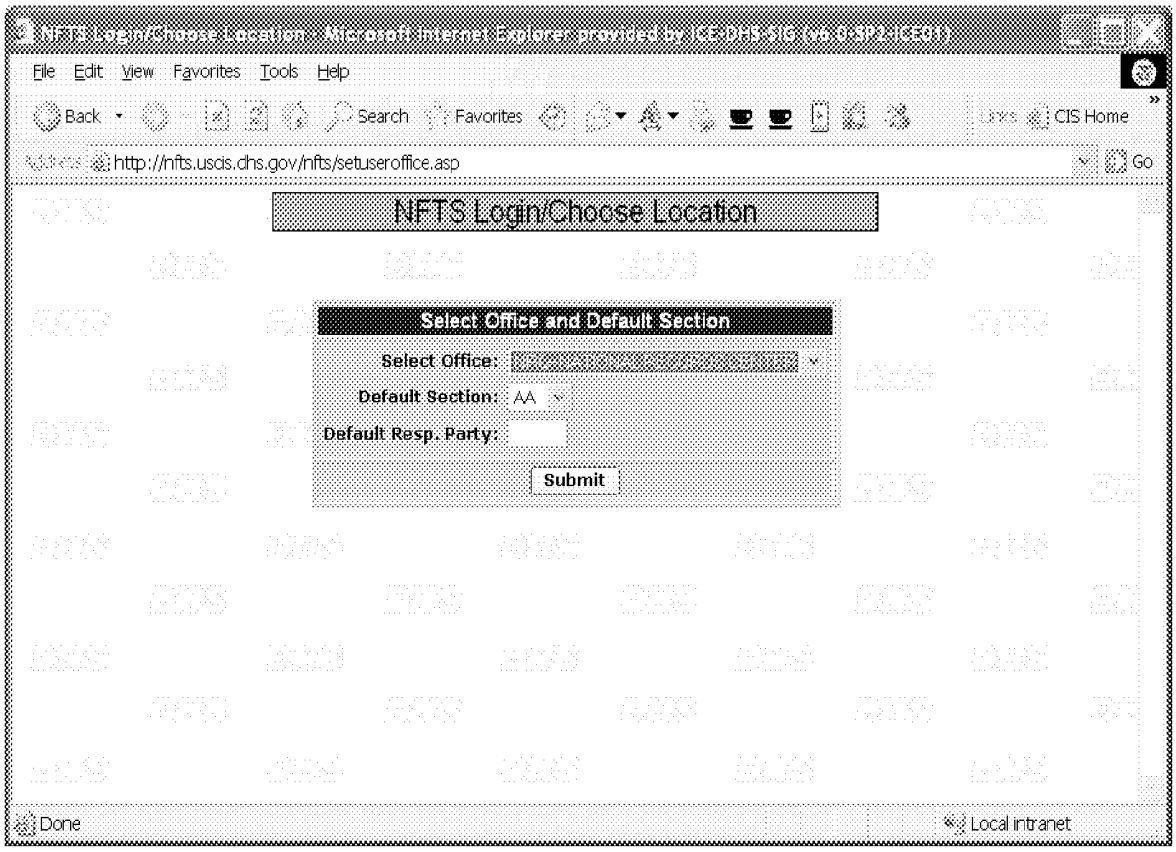
12.12.1.2 Submit your location



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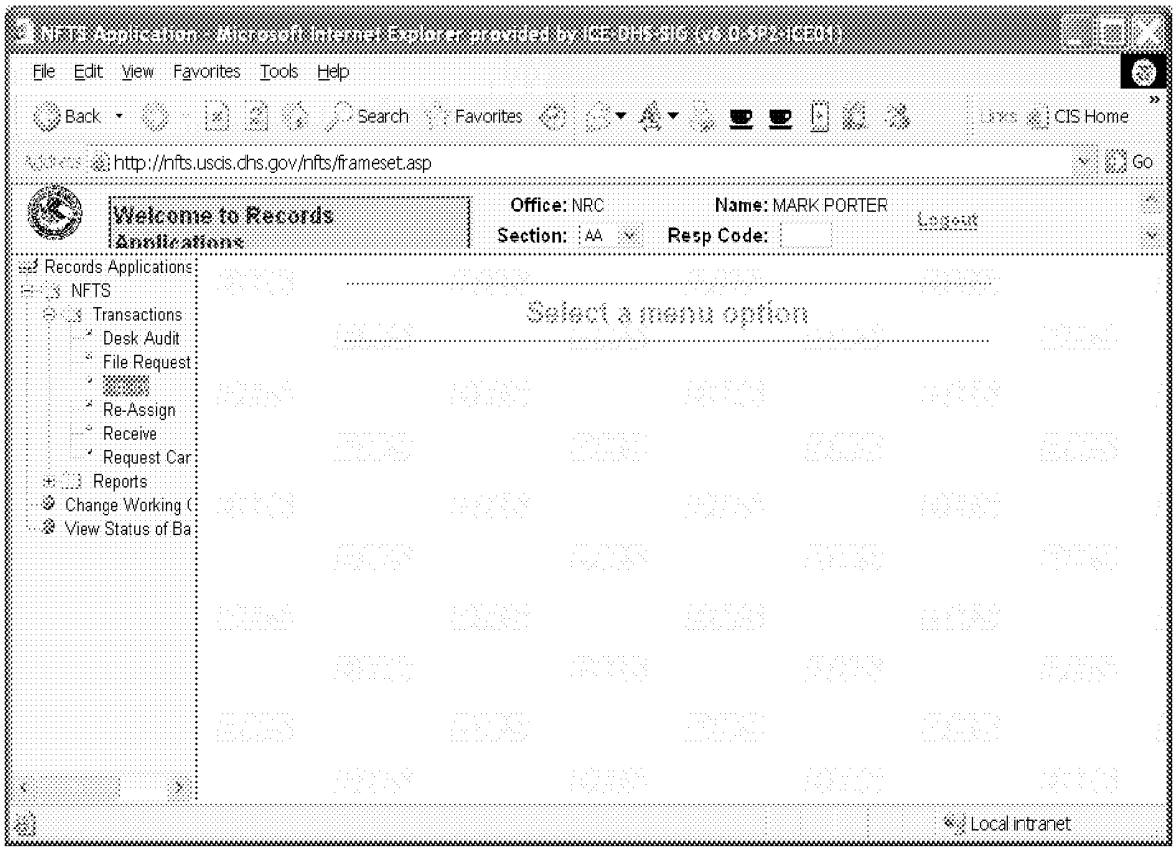
12.12.1.3 Select "Inquiry"



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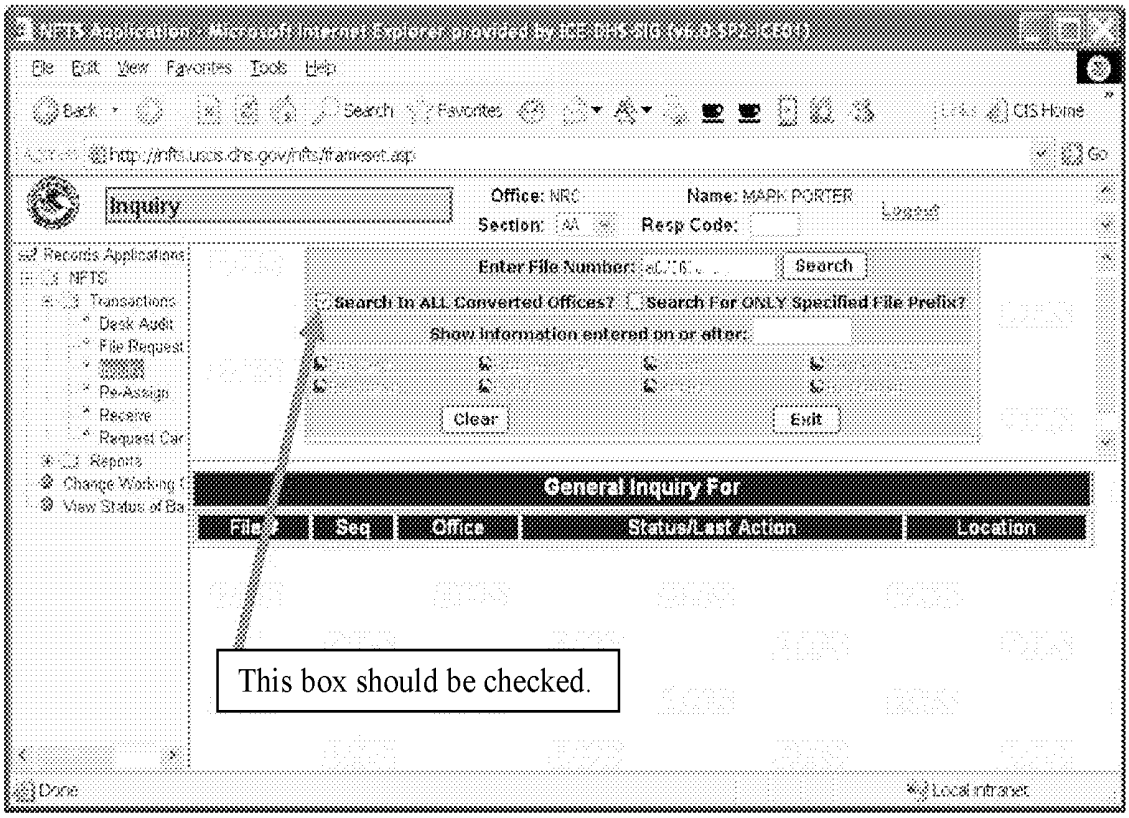
12.12.1.4 Select "ALL Converted Offices" and enter "A" or a "+" then enter the A-Number. Preferably, paste the copied number from CIS so you are sure you are asking for the correct file.



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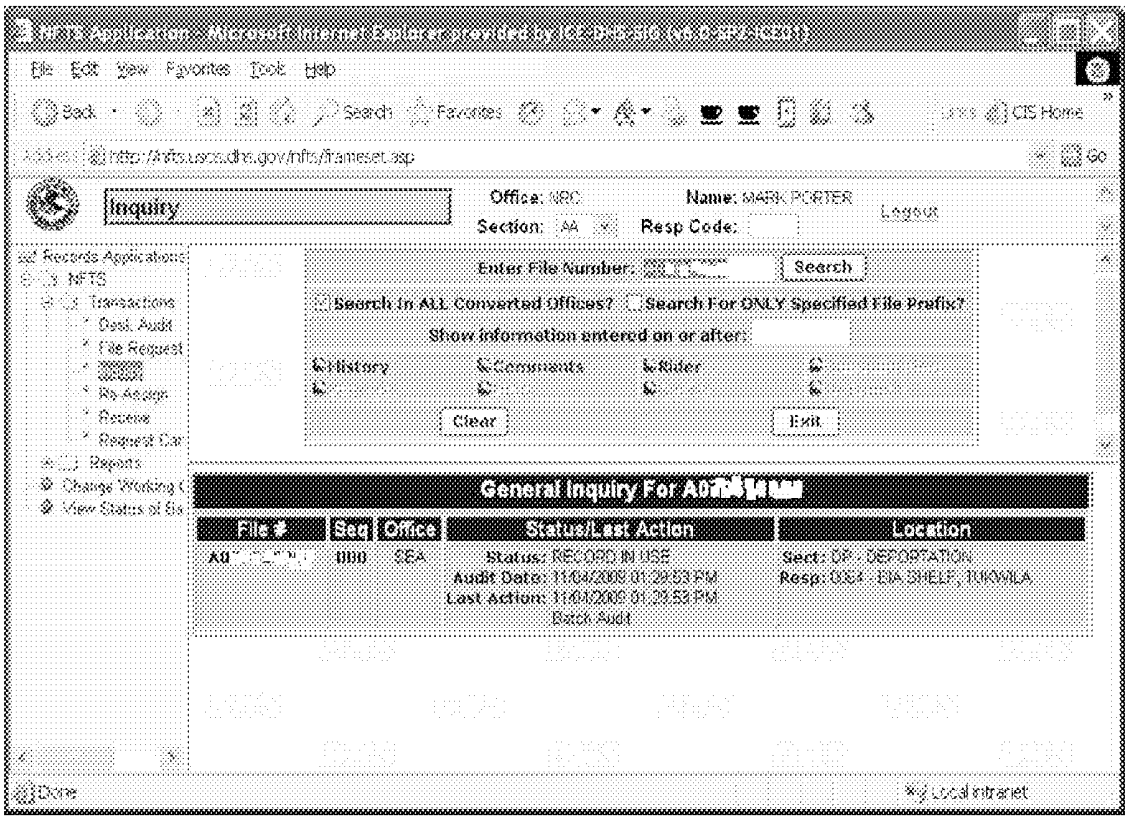
12.12.1.5 The search result provides several pieces of information. First, we can verify from CIS that the File Control Office (FCO) is Seattle. The Responsible Party Code (RPC) is DP0064, and it tells us that DP means Deportation. Do you see the four boxes above the "Exit" button? Those are "Rider," "Consolidation," "Retire," and "In Transit." If any one of those is "grayed out," it means there is no information there. If one is "blued in," it means there is information and we should look at it.



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12.12.1.6 "Blued in" information

A. If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than the Kansas City area, staff to Non-FOIA for the FCO. Release 6.1.1.0 of NFTS expanded the Kansas City FRC to three locations – Lee's Summit, Lenexa and North Kansas City. All three of those locations are FRC staffings unless the file is digitized.
B. For any FRC other than those three locations, you should create a Non-FOIA staffing to the FCO listed under "Office." It can be confusing. Please refer to the example at the bottom of this section, in which you would staff to Non-FOIA Office, BAL.
C. If "In Transit" had been blued in, it would have been important. We would have staffed to the receiving FCO.
D. If "Consolidation" had been blued in, it would have been important. We would have checked to make sure our file is the "survivor" and not the consolidated file.
E. "Rider" could be important to the case processor, but it has nothing to do with how we request this file.
F. If "Request" is blued in, it does not change how we staff for the file. In this situation, we have to create a staffing for where the file is.
G. Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

Example - the file below is retired to the Washington FRC, but you should not staff to WAS. The FCO is BAL, so you should staff to Non-FOIA Office, BAL. The same principle applies if a file is retired to the SFR FRC - if the FCO is LVG, then you should staff to Non-FOIA Office, LVG, and paste in the screen shot of the Retired Inquiry.

Staffed to:
REQUESTED FILE

Office Code: NRC Control Number: NRC30130 Date: February 12, 2013

Alien Number: 0 Subject:

Retired Inquiry For A0

File #	Seq	Office	Retired Date	Accession Information	FRC Location	Box #
A0	000	BAL	5/29/1992 12:00:00 AM	Accession: 91-0125 Center: W - WASHINGTON FRC Sub Group: BAL	18201144	0011

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12.12.1.7 The FOIA Operations Division Intranet Page

An RPC beginning with "DP" should be easy because NFTS usually shows right beside it that it means "Deportation." Sometimes an RPC prefix can be important and it's not obvious right away. A file could be available in records at NRC on shelf DP – and that is not an ICE staffing. Sometimes it is not clear. If that's the situation, we need to look at the FCO List, the Staffing Sheet Guide and the RPC Reference Guide. Those are available at the following address:

http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx

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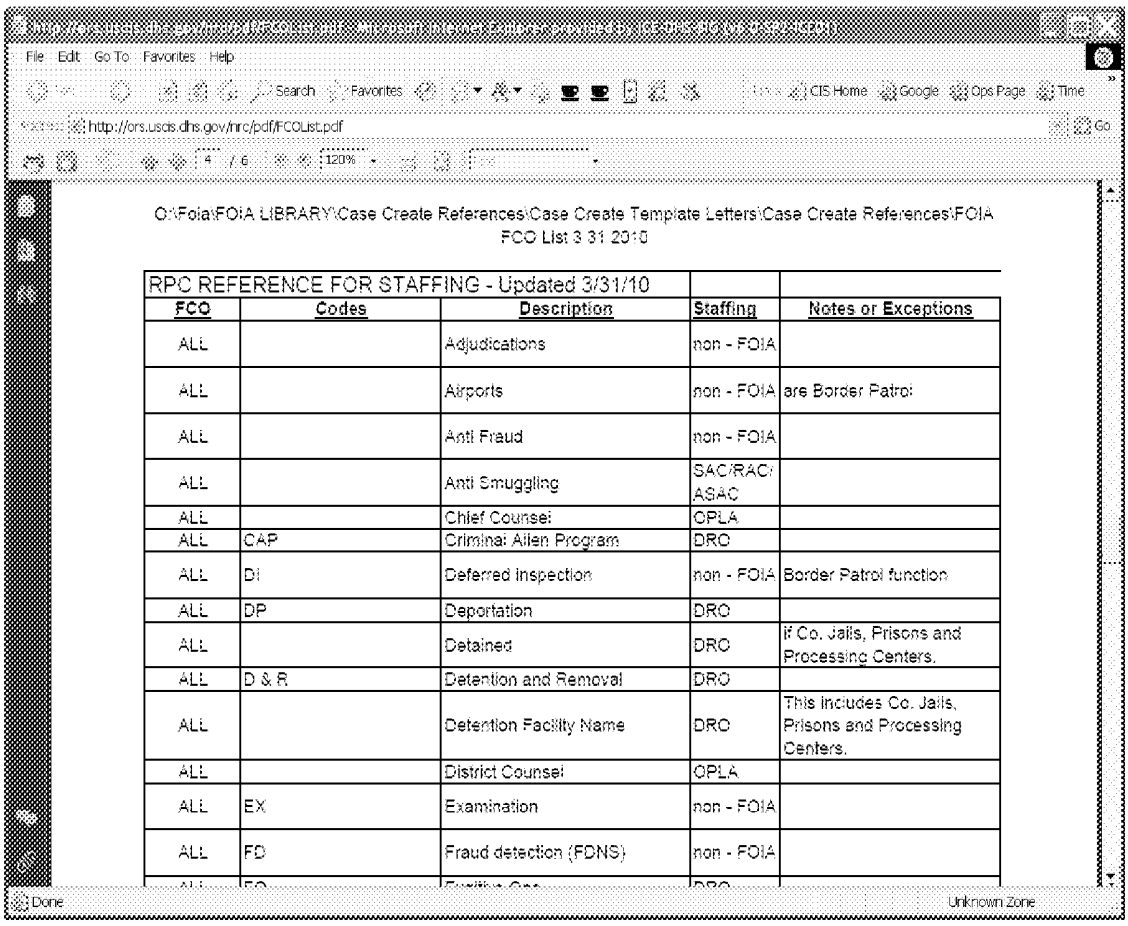
12.12.1.8 The RPC Reference Guide says that no matter what the FCO is, if the RPC starts with DP, we staff to DRO. That is ordinarily true, and NFTS will usually say DP-Deportation, so you will have no doubt. Ordinarily, DP means Deportation, and the Staffing column says to staff to DRO. SAC, RAC, ASAC, DRO and OPLA are all ICE functions. That's important for staffing. When you staff for any file that is for one of the ICE functions, be sure to change the Bureau to ICE and click Save.



O:\Foia\FOIA LIBRARY\Case Create References\Case Create Template Letters\Case Create References\FOIA FCO List 3 31 2010

RPC REFERENCE FOR STAFFING - Updated 3/31/10				
FCO	Codes	Description	Staffing	Notes or Exceptions
ALL		Adjudications	non - FOIA	
ALL		Airports	non - FOIA	are Border Patrol
ALL		Anti Fraud	non - FOIA	
ALL		Anti Smuggling	SAC/RAC/ ASAC	
ALL		Chief Counsel	OPLA	
ALL	CAP	Criminal Alien Program	DRO	
ALL	DI	Deferred Inspection	non - FOIA	Border Patrol function
ALL	DP	Deportation	DRO	
ALL		Detained	DRO	If Co. Jails, Prisons and Processing Centers.
ALL	D & R	Detention and Removal	DRO	
ALL		Detention Facility Name	DRO	This includes Co. Jails, Prisons and Processing Centers.
ALL		District Counsel	OPLA	
ALL	EX	Examination	non - FOIA	
ALL	FD	Fraud detection (FDNS)	non - FOIA	

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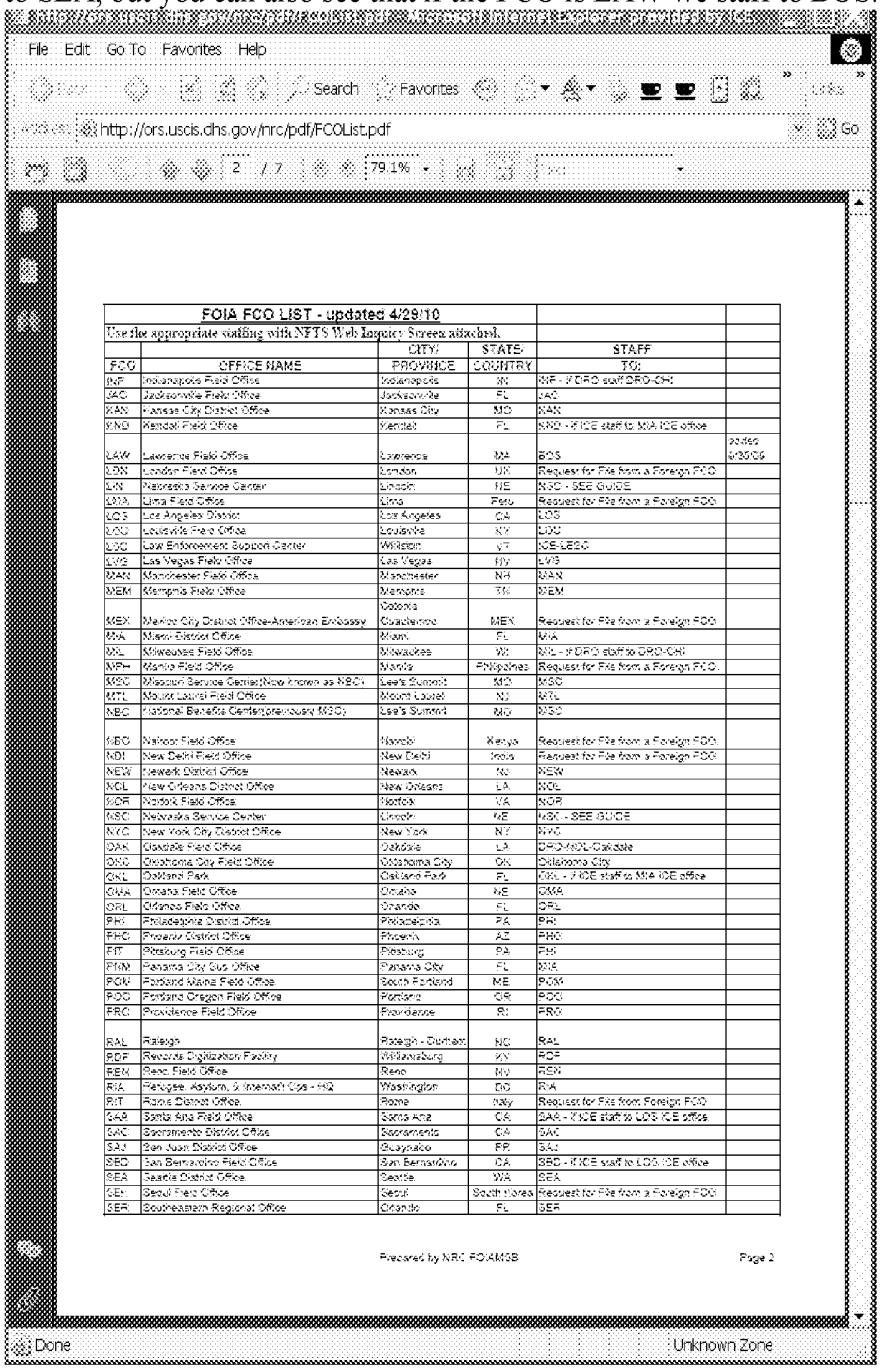
12.12.1.9 The FCO List

From NFTS we know that the FCO is Seattle. We should check to be sure that if the FCO is SEA that we staff to SEA. It's not always intuitive. For example, you can see that we staff SEA to SEA, but you can also see that if the FCO is LAW we staff to BOS.



File Edit Go To Favorites Help

Search Favorites

http://ors.uscis.dhs.gov/nrc/pdf/FCOList.pdf

2 / 7 79.1%

FOIA FCO LIST - updated 4/29/10

Use the appropriate staffing with NFTS Web Inquiry Screen attached.

FCO	OFFICE NAME	CITY/ PROVINCE	STATE/ COUNTRY	STAFF TO:	
INF	Indianapolis Field Office	Indianapolis	IN	INF - if DRO staff DRO-CHI	
JAC	Jacksonville Field Office	Jacksonville	FL	JAC	
KAN	Kansas City District Office	Kansas City	MO	KAN	
KND	Kendall Field Office	Kendall	FL	KND - if ICE staff to MIA ICE office	
LAW	Lawrence Field Office	Lawrence	MA	BOS	posted 6/30/05
LDN	London Field Office	London	UK	Request for File from a Foreign FCO	
LIN	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
LMA	Lima Field Office	Lima	Peru	Request for File from a Foreign FCO	
LOS	Los Angeles District	Los Angeles	CA	LOS	
LOU	Louisville Field Office	Louisville	KY	LOU	
LSC	Law Enforcement Support Center	Williston	VT	ICE-LESC	
LVG	Las Vegas Field Office	Las Vegas	NV	LVG	
MAN	Manchester Field Office	Manchester	NH	MAN	
MEM	Memphis Field Office	Memphis	TN	MEM	
MEX	Mexico City District Office-American Embassy	Colonia Cuauhtemoc	MEX	Request for File from a Foreign FCO	
MIA	Miami District Office	Miami	FL	MIA	
MKE	Milwaukee Field Office	Milwaukee	WI	MKE - if DRO staff to DRO-CHI	
MNP	Manila Field Office	Manila	Philippines	Request for File from a Foreign FCO	
MSC	Missouri Service Center(Now known as NBC)	Lee's Summit	MO	MSC	
MTL	Mount Laurel Field Office	Mount Laurel	NJ	MTL	
NBC	National Benefits Center(previously MSC)	Lee's Summit	MO	MSC	
NBO	Nairobi Field Office	Nairobi	Kenya	Request for File from a Foreign FCO	
NDI	New Delhi Field Office	New Delhi	India	Request for File from a Foreign FCO	
NEW	Newark District Office	Newark	NJ	NEW	
NOL	New Orleans District Office	New Orleans	LA	NOL	
NOR	Norfolk Field Office	Norfolk	VA	NOR	
NSC	Nebraska Service Center	Lincoln	NE	NSC - SEE GUIDE	
NYC	New York City District Office	New York	NY	NYC	
OAK	Glendale Field Office	Oakdale	LA	DRO-NOL-Oakdale	
OKC	Oklahoma City Field Office	Oklahoma City	OK	Oklahoma City	
OKL	Oakland Park	Oakland Park	FL	OKL - if ICE staff to MIA ICE office	
OMA	Omaha Field Office	Omaha	NE	OMA	
ORL	Orlando Field Office	Orlando	FL	ORL	
PHI	Philadelphia District Office	Philadelphia	PA	PHI	
PHO	Phoenix District Office	Phoenix	AZ	PHO	
PIT	Pittsburg Field Office	Pittsburg	PA	PIT	
PNM	Panama City Sub Office	Panama City	FL	MIA	
POM	Portland Maine Field Office	South Portland	ME	POM	
POO	Portland Oregon Field Office	Portland	OR	POO	
PRO	Providence Field Office	Providence	RI	PRO	
RAL	Raleigh	Raleigh - Durham	NC	RAL	
RDF	Records Digitization Facility	Williamsburg	KY	RDF	
REN	Reno Field Office	Reno	NV	REN	
RIA	Refugee, Asylum, & Internat'l Ops - HQ	Washington	DC	RIA	
RIT	Rome District Office	Rome	Italy	Request for File from Foreign FCO	
SAA	Santa Ana Field Office	Santa Ana	CA	SAA - if ICE staff to LOS ICE office	
SAC	Sacramento District Office	Sacramento	CA	SAC	
SAJ	San Juan District Office	Guaynabo	PR	SAJ	
SBD	San Bernardino Field Office	San Bernardino	CA	SBD - if ICE staff to LOS ICE office	
SEA	Seattle District Office	Seattle	WA	SEA	
SEO	Seoul Field Office	Seoul	South Korea	Request for File from a Foreign FCO	
SER	Southeastern Regional Office	Orlando	FL	SER	

Prepared by NRC FOIA/PA/SB Page 2

Done Unknown Zone

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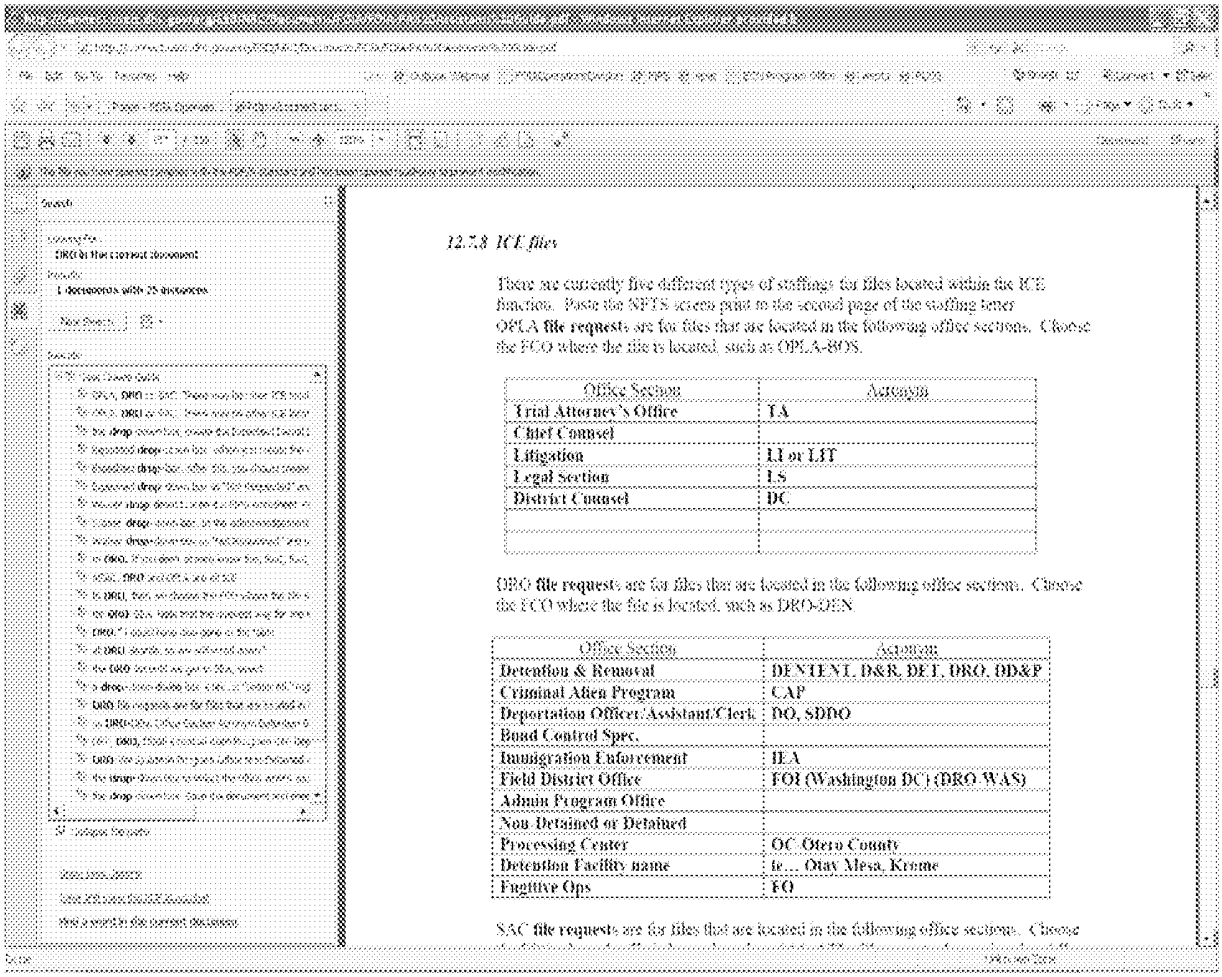
12.12.1.10 Figuring out a Staffing Scenario

The Guide confirms what we thought. If we staff to DRO, then we choose the FCO where the file is located. We're going to look for DRO-SEA. Note that the quickest way to find the information is by searching "DRO." I could have also gone to the table of contents and looked under Staffing Scenarios. If I *ever* have a doubt, I go talk with FST, because if I staff it correctly the first time, FST won't have to send it back to me and I won't have to do it over.



12.7.8 ICE files

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

OPLA **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.

Office Section	Acronym
Trial Attorney's Office	TA
Chief Counsel	
Litigation	LI or LIT
Legal Section	LS
District Counsel	DC

DRO **file requests** are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	DEN/ENL, D&R, DET, DRO, DD&P
Criminal Alien Program	CAP
Deportation Officer/Assistant/Clerk	DO, SDDO
Bond Control Spec.	
Immigration Enforcement	IEA
Field District Office	FOI (Washington DC) (DRO WAS)
Admin Program Office	
Non-Detained or Detained	
Processing Center	OC Otero County
Detention Facility name	ie.... Otay Mesa, Krome
Fugitive Ops	FO

SAC **file requests** are for files that are located in the following office sections. Choose

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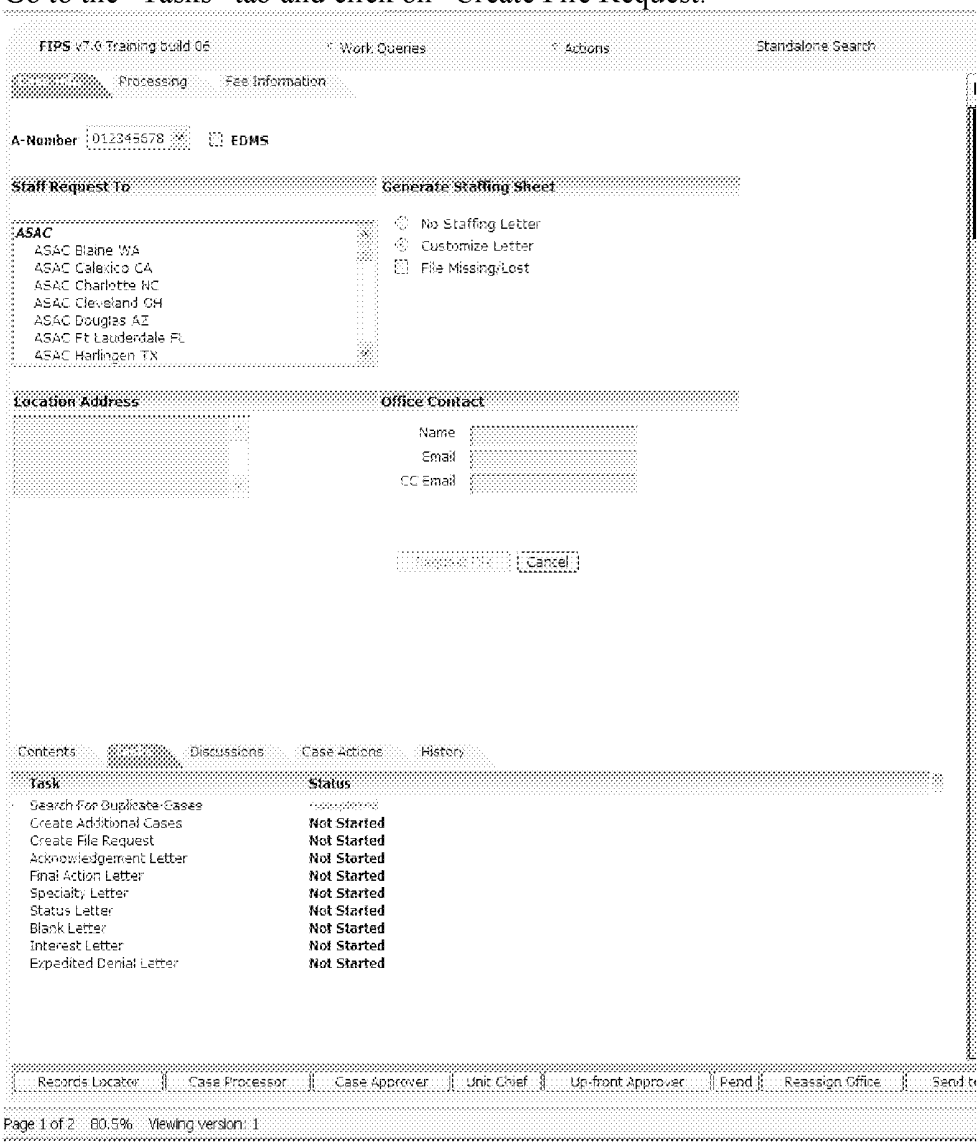
12.12.1.11 Generate the file request

Go to the "Tasks" tab and click on "Create File Request."



Make sure the button marked "Customize Letter" is selected. The file is not missing or lost, so we won't check that box. We know the file is at DRO Seattle, so we will scroll down "Staff Request To" until we find it. You may save time by knowing what to type. Typing "DRO" will take us to the DRO list. If you had typed "SEA," it would have taken you to Non-FOIA Office, Seattle. If you had typed "SEAT," it would have taken you to Seattle OPLA. The "Request File" button may stay "grayed out" after you click on the office you want (see the example above). If that ever happens, click on an office you do not want, then click back on the office you do want, and "Request File" will not be grayed out anymore (see the example below).

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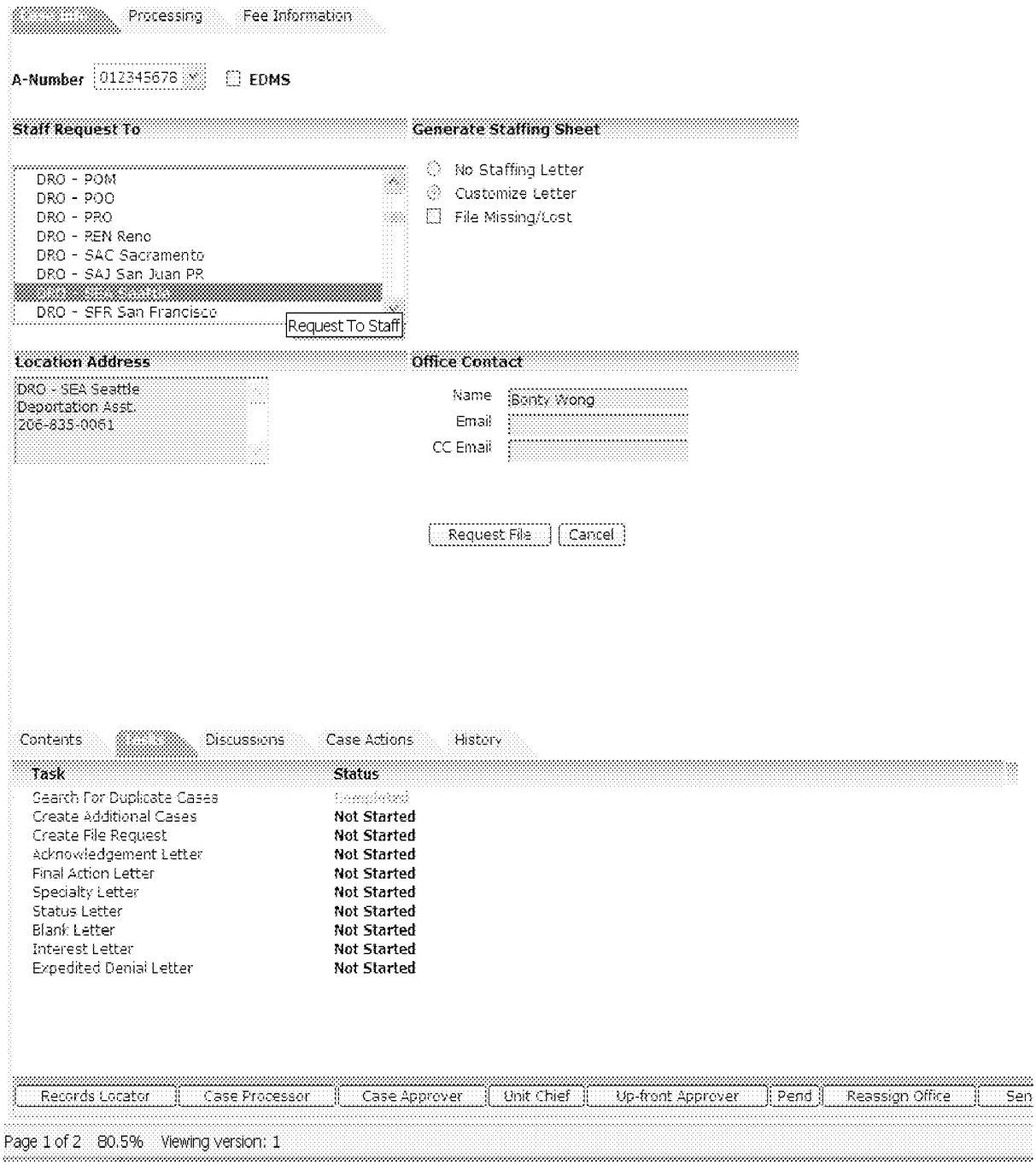
12.12.1.12 FIPS – Staffing Request dialog box

We will scroll down the DRO list until we get to SEA, select it and then click Request File:



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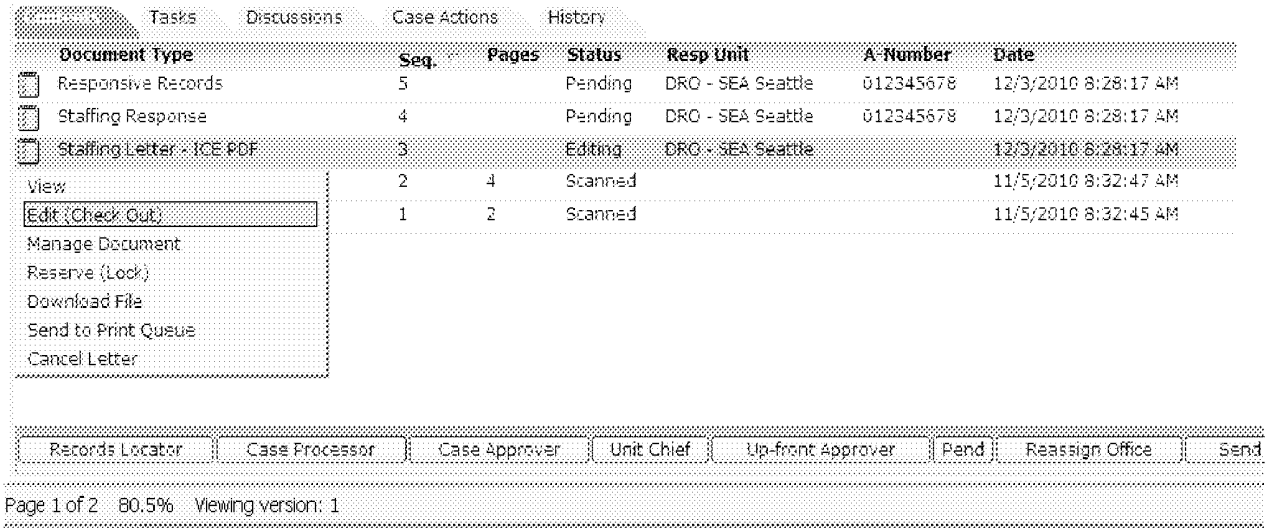
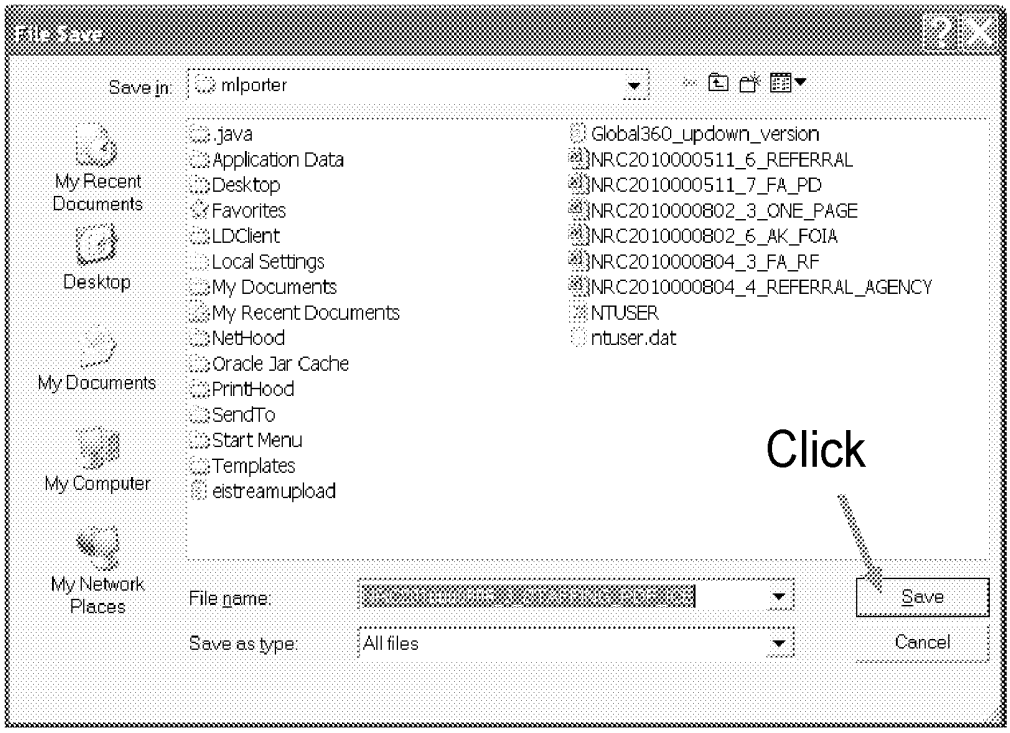
12.12.1.13 Create the customized staffing letter

After that, we get a message that says "Successfully generated letter Staffing Letter – ICE PDF." The File Save screen will appear and you click the Save button and then move to the "Contents" tab. Click on the Staffing Letter and select "Edit (Check Out)."





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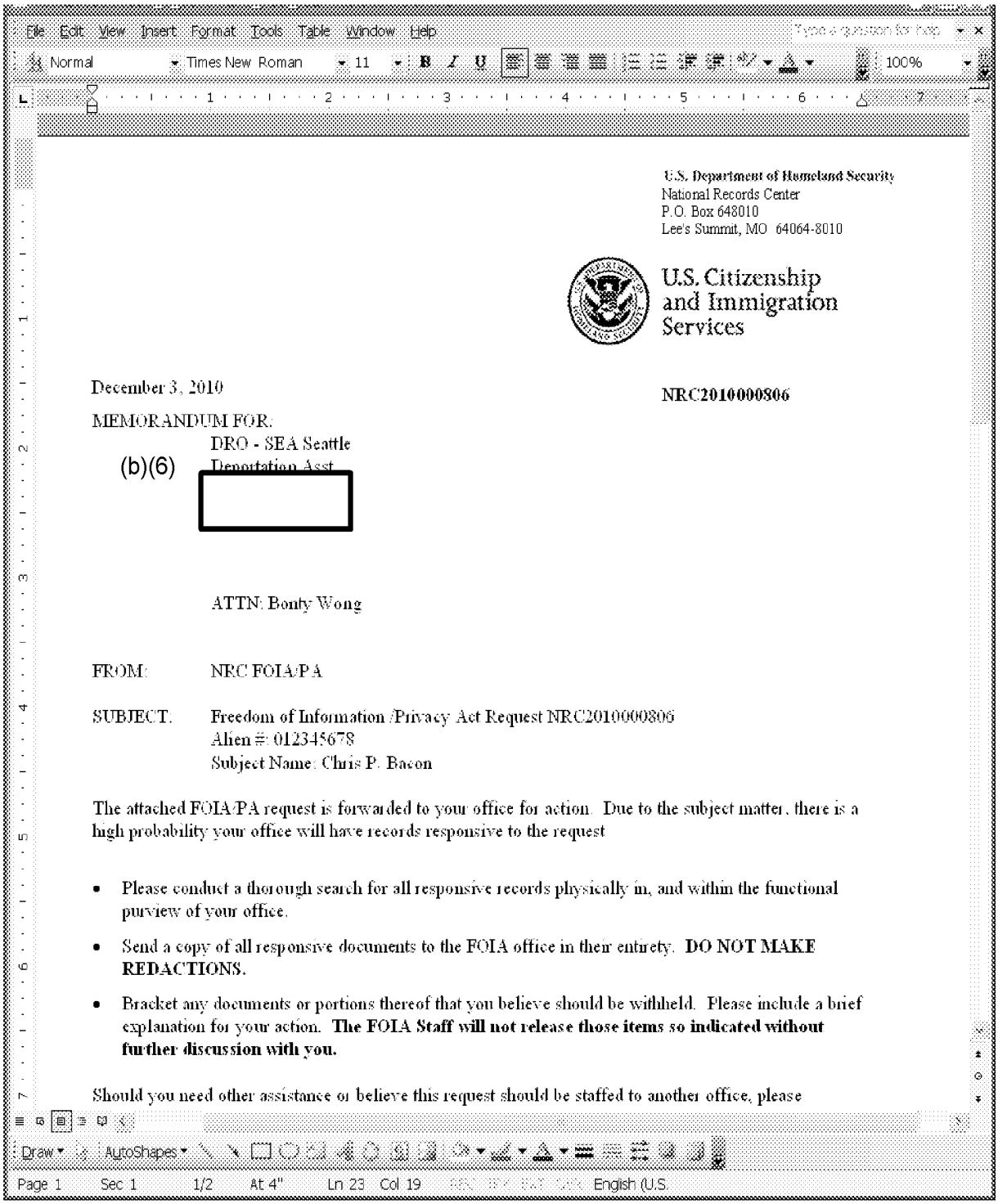
As soon as I clicked "SAVE," FIPS opened the staffing letter for me in Word.



U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

MEMORANDUM FOR:
DRO - SEA Seattle
(b)(6) Deportation Asst

ATTN: Bonty Wong

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2010000806
Alien #: 012345678
Subject Name: Chris P. Bacon

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release those items so indicated without further discussion with you.**

Should you need other assistance or believe this request should be staffed to another office, please

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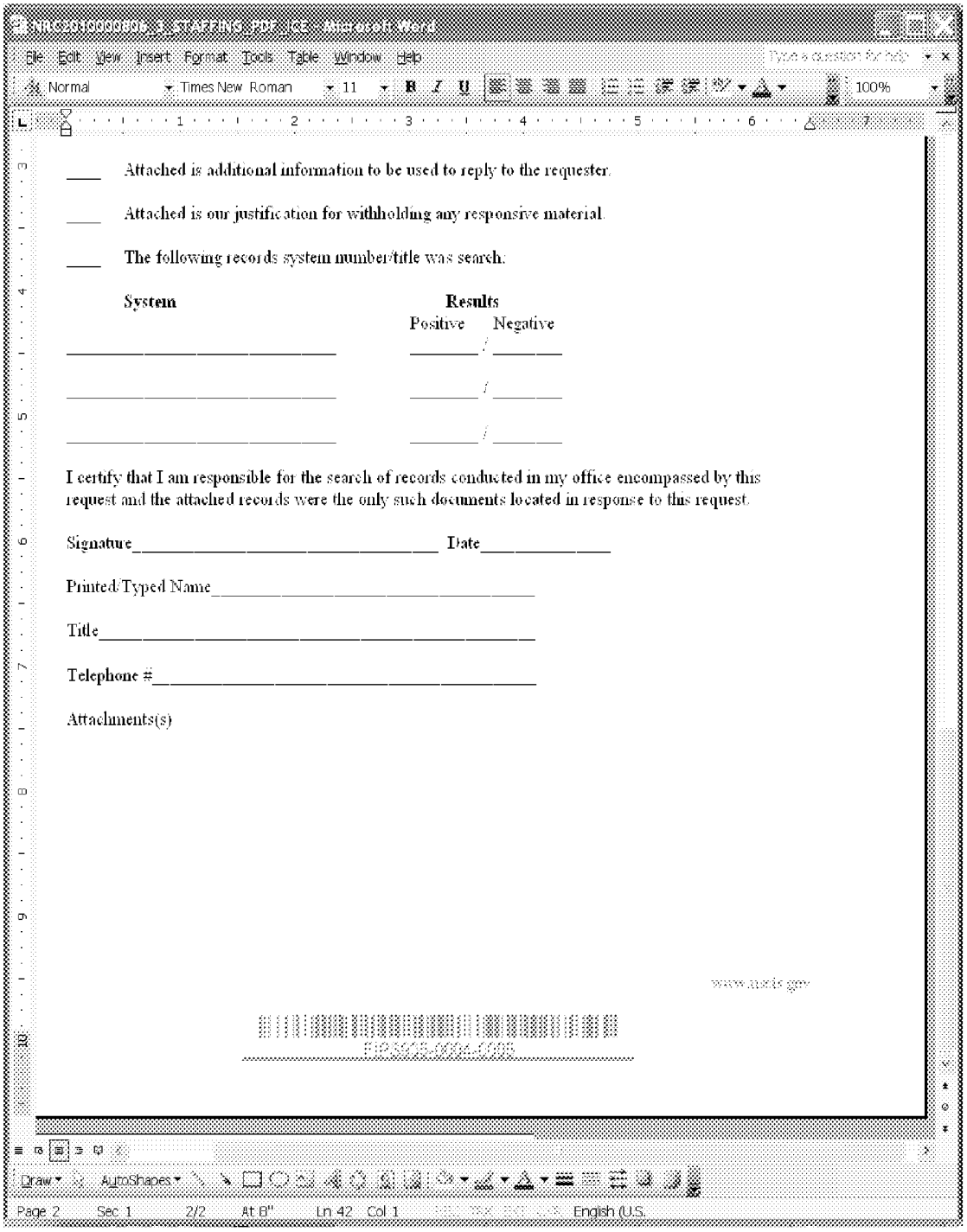
Go to the end of the letter and position your blinking cursor below the word "Attachments." Next, we go back to NFTS and copy the location information.



____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____ /	_____
_____	_____ /	_____
_____	_____ /	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

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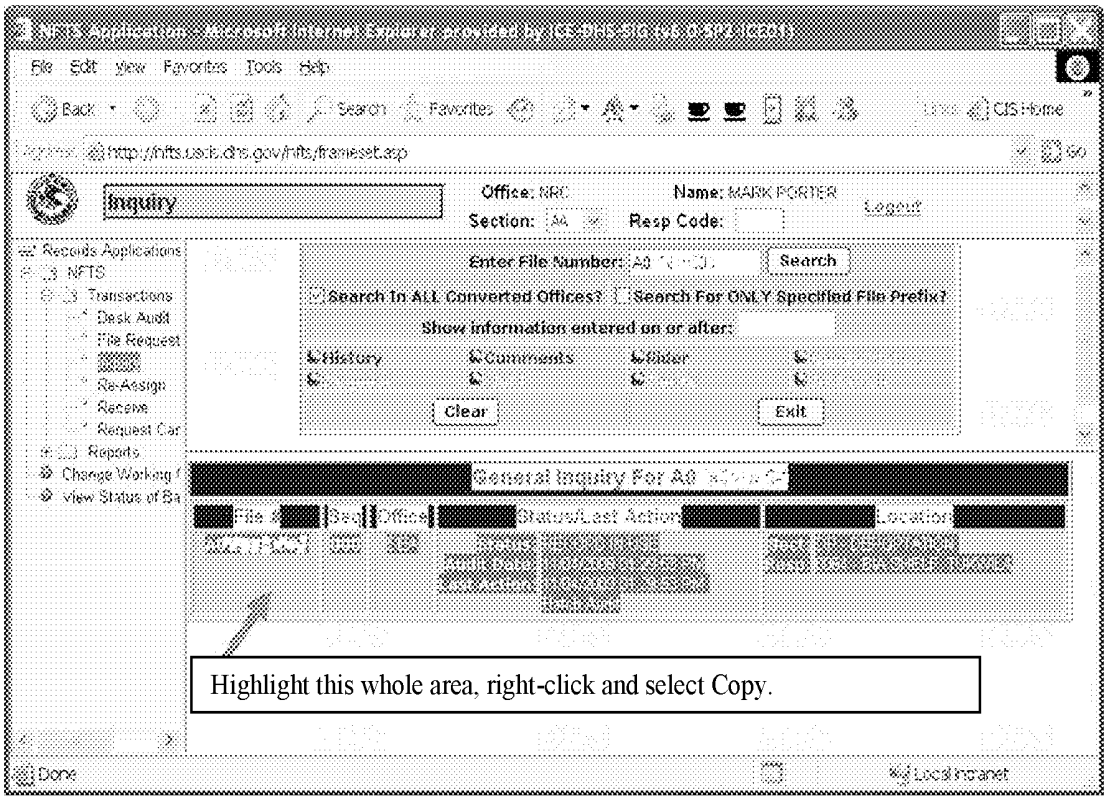
12.12.1.14 Put the staffing information in the staffing letter

Right-click somewhere in the gray area below "General Inquiry." You will get a drop-down dialog box. Highlight the whole area, then right-click and select "Copy." Now we will paste the information into the staffing letter.



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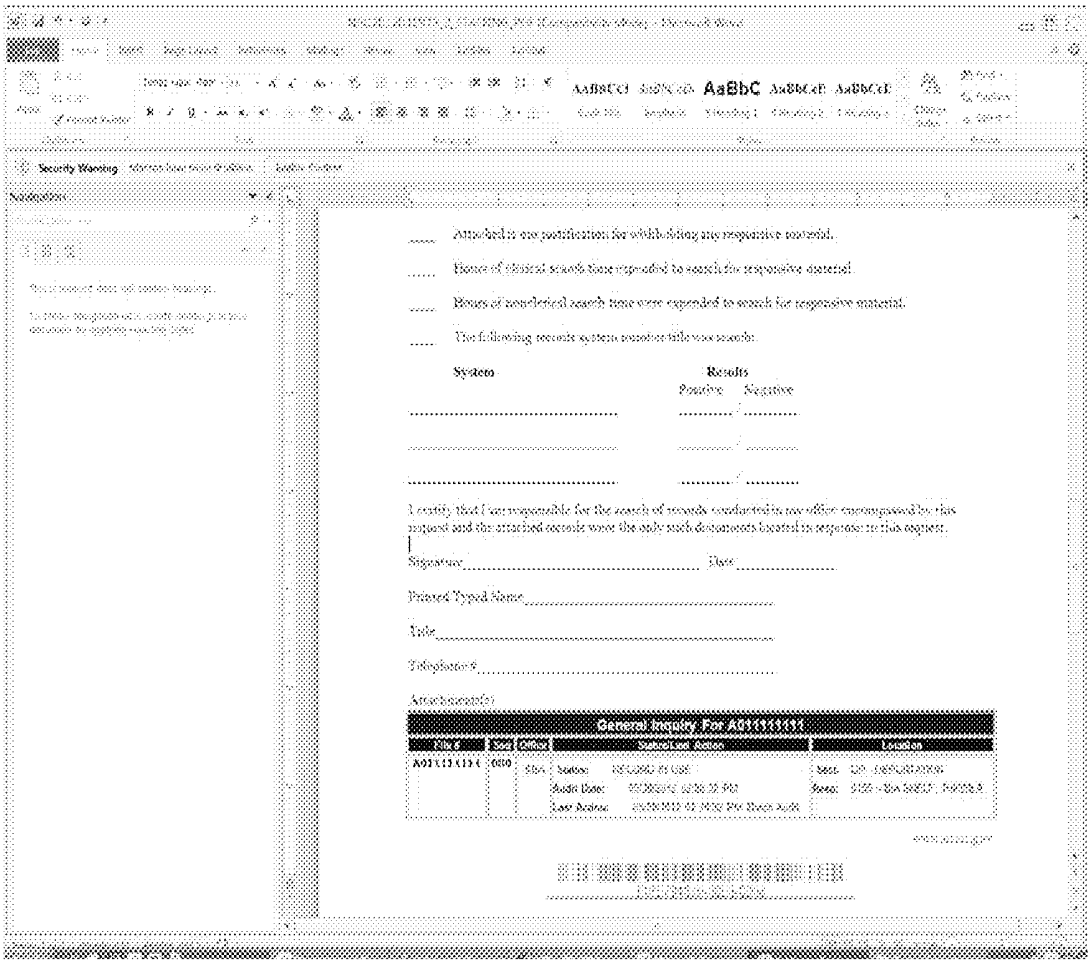
Immediately after pasting, we notice that the result is imperfect and we will have to repair it.



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Left-click and highlight everything in the center column, starting at Status/Last Action, then press Delete.

(b)(6)

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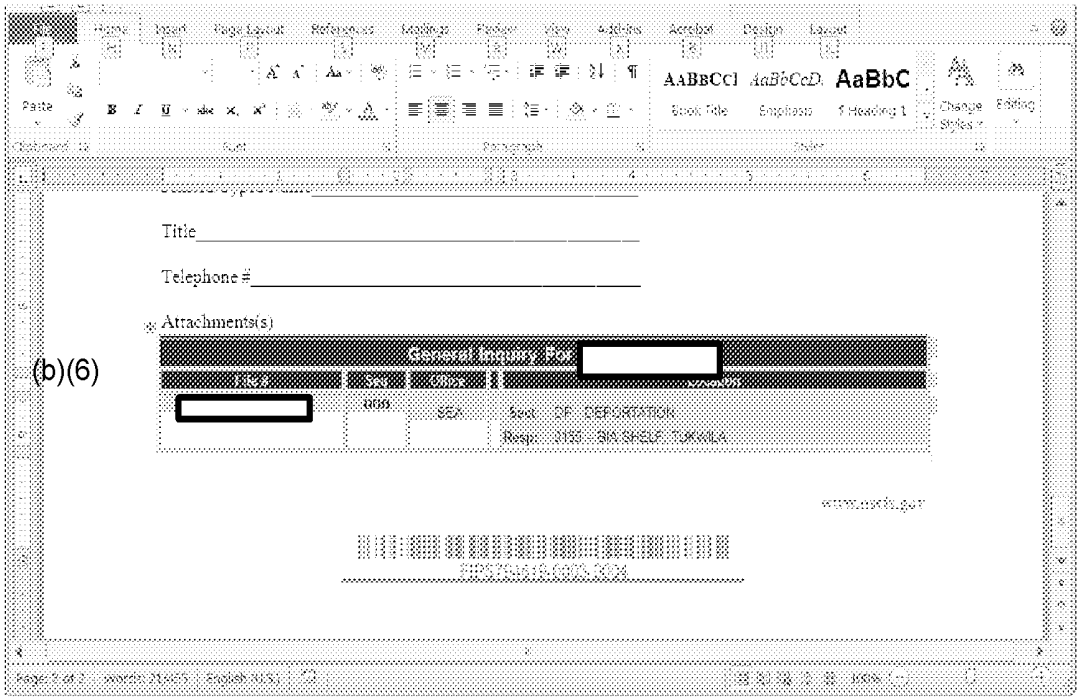
Next, highlight the whole area and change the font size to 12.



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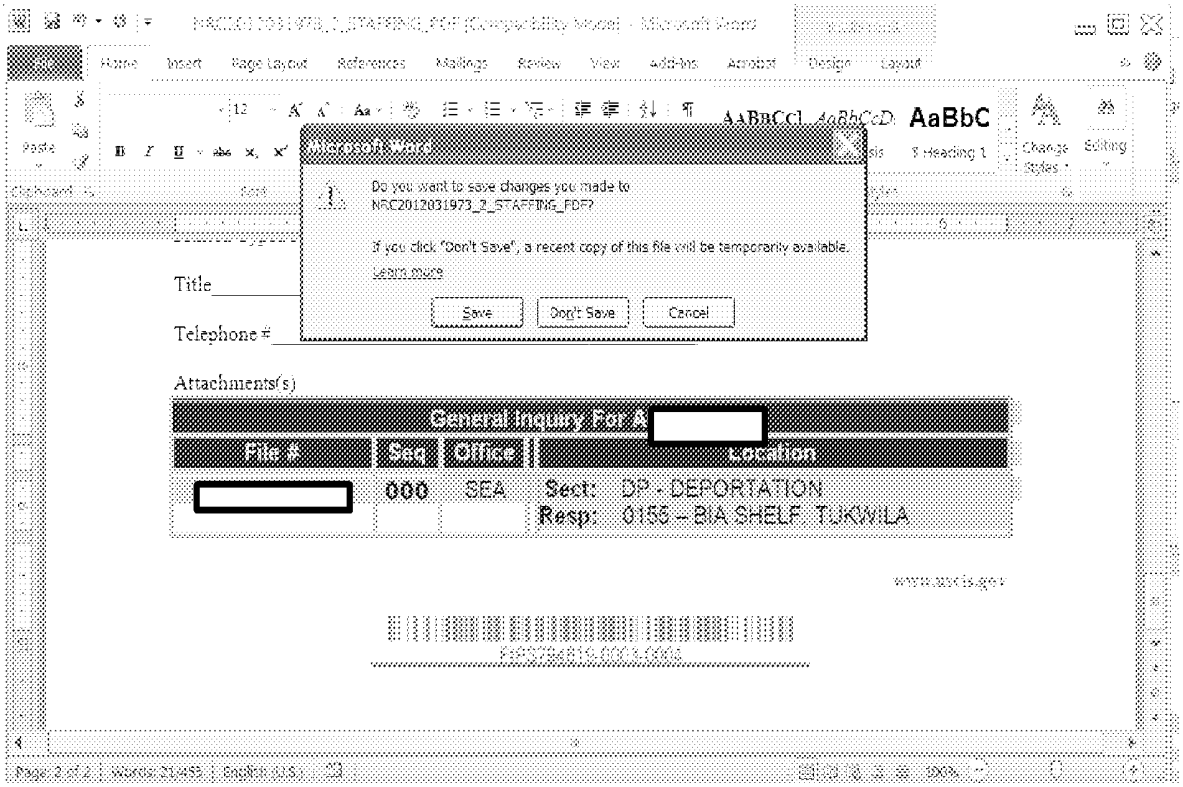
Finally, we exit and save our work. We have successfully staffed for the A-file. The next thing we have to do is check the staffing letter back in.

(b)(6)



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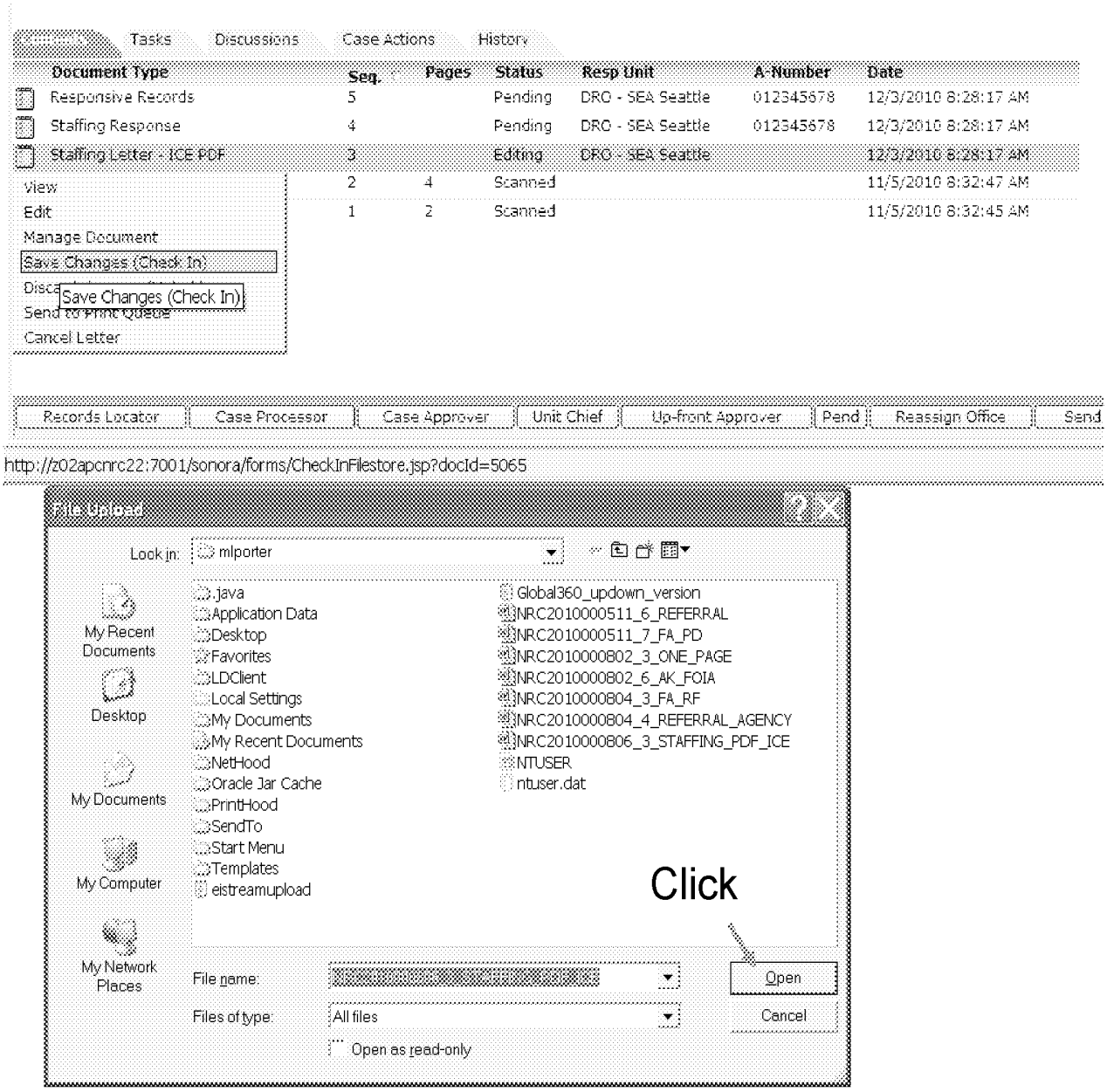
12.12.1.15 Save changes and check it back in

Click on the "Contents" tab and wait for it to refresh. You will then see a box icon that looks like a 3.5 inch disk to the right of the notepad icon. A single click on that will check your document in. If you do not see the box icon, click the contents tab again to refresh, and it will appear. Alternatively, you may click on the icon that looks like a notepad beside "Staffing Letter" and wait for the drop down box. You can then move to "Save Changes (Check In)." The screen shot below shows the person clicked on the notepad and waited for the drop-down box. In this example, when the drop-down box appeared, the creator clicked on Save Changes (Check In).



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After this, send the case to "Pend." If you are staffing for a file, you will always click "Pend."

12.12.1.16 Highlight the Correct File for Scanning

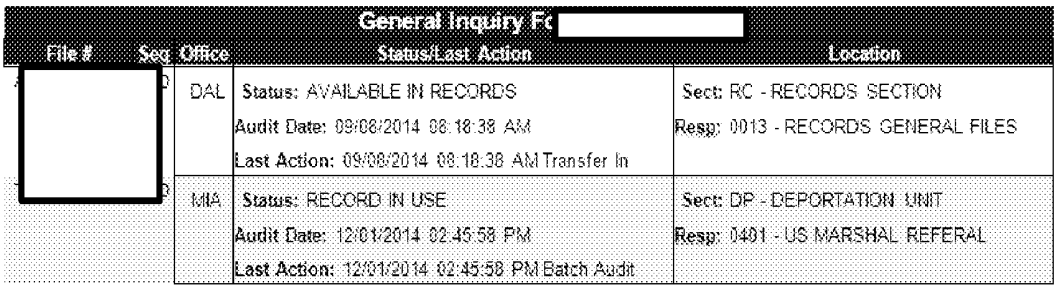
Section **12.18.11, T-files,** tells you never to crop the NFTS screen print.

However, if your screen print has more than one file, and you are requesting files from different locations, it can pose a problem for the contractor.

How will the contractor know which file(s) to scan? We have to make the correct file stand out to erase any doubt.

Consider the screen print example below. Here we have an A file and a T file at different locations. You will require two separate staffings, one to Dallas, the other to Miami – DRO (ICE).

(b)(6)



General Inquiry Fc [redacted]

File #	Seq	Office	Status/Last Action	Location
[redacted]		DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
		MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

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First, we will staff for Dallas. You find DAL under the Non FOIA section; click Request File, and the staffing sheet pops up. Next, highlight the DAL A-number, **bold** and increase the size to 10-font.

(b)(6)

General Inquiry For A0 [redacted]			
File #	Seq	Office	Status/Last Action	Location
A0 [redacted]		DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
[redacted]		MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

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The first of your two staffing letters should look like this:

Staffed to: DAL
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2015000000 **Date:** June 4, 2015

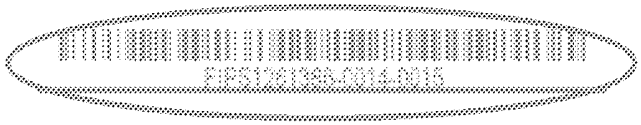
(b)(6) **Alien Number:** A[redacted] **Subject:** Happy G.

General Inquiry For [redacted]			
File #	Seq	Office	Status/Last Action	Location
A[redacted]		DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
		MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
____ is attached
____ could not be located.

_____ _____
Printed Name Phone

_____ _____
Signature Date



Make sure nothing interferes with the barcode at the bottom of the page. Click and drag the "This is to certify…" section up and away from the barcode if you need to.

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Now we will prepare the staffing sheet for Miami – DRO (ICE).

Since this is an ICE staffing, the staffing sheet will be in letter format. Place the entire screen print just below the word "Attachments" but above the barcode.

Highlight the MIA - DRO A-number, **bold** and increase the size to 10-font.

____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____Date_____

Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

(b)(6)

General Inquiry For A[redacted]

File #	Seq	Office	Status/Last Action	Location
A[redacted]		DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
T0[redacted]		MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

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If your screen print is too large to fit between "Attachments" and the barcode, place the cursor before the screen print and then click "Ctrl + Enter." This will move your screen print to the next page.

12.12.2 Two or more A-Numbers

Multiple unconsolidated A-Numbers - If the Requestor has provided more than one A-Number, you must research CIS for each A-Number to determine if they relate to the subject. If the subject has multiple A-Numbers, you will create one case and do multiple staffings. When you are required to request two or more unconsolidated A-files, the individual file request must include the words **"MULTIPLE STAFFINGS"** near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address. Do not confuse this with the subject of the file having an "A" file and a "T" file. The alien numbers must refer to different unconsolidated A-files and relate to the subject of the request if you are to mark it **"MULTIPLE STAFFINGS."**

Important note: If one of the files you are requesting is located at RAFACS/CIS, FRC or one of the Service Centers, request those alien numbers first. These locations produce the file faster than other offices. FST will not know to pull the staffing letters for follow-up unless you noted "Multiple Staffing" on the sheet.

If the alien has multiple unconsolidated A-Numbers and the files are both located at the NRC, please add them to the spreadsheet that Records Operations maintains at O:/Government_Contractor Shared Folder/files to consolidate.xls You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary. If both files are not at NRC, do not add the information to the spreadsheet.

12.12.3 Consolidated A-Numbers

If the alien has a consolidated A-Number, then please enter only the lead (or surviving) A-Number on the worksheet in FIPS and request that file. Consolidated A-Numbers are reflected in CIS on the 9101 screen, under the section titled "Consolidated A-Nos". The A-Number listed first is the primary A-Number; the other A-Numbers listed below the primary have been consolidated into the primary number.

Note: please do not add consolidated A-Numbers to the "files to consolidate" spreadsheet.

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12.12.4 Empty Jackets

General Inquiry For A300000000				
File #	Seq	Office	Status/Last Action	Location
A30000000	000	HAV	**Status:** EMPTY JACKET **Audit Date:** 05/09/2010 01:55:40 PM **Last Action:** 05/09/2010 01:55:40 PM Batch Audit	**Sect:** ADJ - Adjudications **Resp:** 0000 - Adjudication II - - 0000

If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.18.12.

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12.13 Border crossing card number

If the alien number provided by the Requestor is an 80,000,000 through 86,999,999 series number, it is a Border Crossing Card number. Even though you can research this number in CIS, there is no physical A-file associated with these types of numbers. Please research CIS, PCQS and CLAIMS to see if there are any other A-files/receipt files associated with this alien, because you will staff for those files, if you find any.

Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, then do the following:

a. Create the case.
b. If you have access to PCQS, search PCQS and print any data you find. It is better to provide PCQS screen prints, so if you do not have access to PCQS, please locate a person who has PCQS to print those screens. If that is not possible, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223.
c. Prepare the screen prints for scanning into this slot as responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned, and then take the responsive records to the designated person. (The current designated person will be posted by FOIA Operations on the ECN page.)
d. Open a RAFACS (not RAFACS/CIS) staffing slot. Make sure "Customize Letter" is selected. You do not have to modify the staffing letter.
e. Prepare a discussion explaining what you did, prepare any correspondence, and then pend the case.

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Note: Alien numbers from 87,000,000 through 87,999,999 are not Border Crossing Card Numbers; they are general alien numbers and have corresponding A-files.

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections 12.16 and 12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in 12.18.14.

12.15 New alien numbers (300,300,000 through 300,322,501)

As of June 2009, the range of numbers 300,300,000 through 300,322,501 are being used as general A-file numbers.

12.16 Receipt numbers

Receipt numbers are comprised of the three-letter office code, followed by a 10-digit number. Receipt numbers are assigned to applications and petitions filed with the Service, such as Form I-765, Employment Authorization applications and Form I-130, Petition for Alien Relative. If the Requestor provides a receipt number on their request, log into CLAIMS or PCQS and verify the information.

If the Requestor provides only a receipt number, and that receipt number is from a service center, then we need to request the receipt file. Enter the receipt information into the Topic field. Make the first part of the description the receipt file number. Use the complete receipt number with no spaces or dashes.

Example of the correct way: EAC0812345678
An example of how **NOT** to do it: EAC-08-123-45678

If every case creator enters receipt information the same way, it is easier for the next case creator to identify duplicate or similar cases. The next case creator may base the search on "EAC081234567%," and if the previous case creator entered dashes, the search will not identify the duplicate.

Do not request receipt files with a prefix from other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work authorizations, but we cannot request those. For instance, you cannot request receipt number

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[redacted], no matter where it is. However, if you find an unconsolidated receipt file and it is at LOS, you can request it.

A receipt could be either an application or a petition. For example, Form I-90 is an Application to Replace Permanent Resident Card. The applicant is requesting a benefit for himself or herself. Form I-360 is a Petition for Amerasian, Widow(er), or Special Immigrant. It is a "self-petition." With form I-360, the petitioner and the beneficiary are the same person and so VOI and consent requirements are the same as for an A-file.

With many other petitions, the "petitioner" and the "beneficiary" are not the same person. That petition will always belong to both parties – both the petitioner and the beneficiary, except that sometimes the petition has been consolidated into another Privacy Act record: the beneficiary's file. The Alien File is stored and retrieved by a unique identifier belonging to only one person: the subject of record (SOR). We need SOR consent to open the A-file, even though the A-file could contain information that belongs to another person.

The following is a list of petitions in which the petitioner and the beneficiary are not the same person:

I-129F	Petition for Alien Fiancé(e)
I-130	Petition for Alien Relative
I-140	Immigrant Petition for Alien Worker
I-600	Petition to Classify Orphan as an Immediate Relative
I-730	Refugee/Asylee Relative Petition
I-800	Petition to Classify Convention Adoptee as an Immediate Relative

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

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This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

- If the Requestor wants a copy of a petition or supporting document,
- and the petition has been consolidated into the beneficiary's A-file,
- and the Requestor did not provide certification of agreement from the beneficiary,
- close the case TD.

When the Requestor needs a copy of a petition or supporting documents:

Where is the PETITION?	Who is the Requestor?	
Unconsolidated	Petitioner	Staff for the petition.
Unconsolidated	Beneficiary	Staff for the petition.
Beneficiary's File	Petitioner	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. We need either certification of agreement from the Beneficiary or we close the case TD.
Beneficiary's File	Beneficiary	Staff for the A-file.
NVC	Petitioner or Beneficiary	If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the Track is TRACK 1. Create the request using RAFACS (not RAFACS/CIS).

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	Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints in OneNote and send an email to FOIAPROGRAM@uscis.dhs.gov On the subject line, put the control number and the SOR's name. Pend the case.

Special Cases:

NFTS shows petition has been destroyed in accordance with records retention schedule.	**Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it was destroyed.**
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does not provide certification of agreement from beneficiary.	Prepare RAFACS staffing. Provide screen prints from PCQS.
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does provide certification of agreement from beneficiary.	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. Staff for the beneficiary's A-file.
NFTS shows "Deleted."	First, check history in NFTS. If it shows transferred to NVC, do not redirect to the NVC. Have the screen prints scanned in as responsive records. Make sure the track is TRACK 1. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints in OneNote, and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov On the subject line, put the control number and the SOR's name. If they do not have it, prepare a RAFACS staffing. Provide screen prints from PCQS.

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NFTS shows "No record of the receipt"	Look to see if there is information in the history.
NFTS shows the petition is at HBG pending destruction.	Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it is pending destruction.
NFTS shows the petition is at HBG, but the RPC starts with XX, XY, ZG, ZY, or ZZ.	It's digitized. Refer to the Staffing Sheet Guide. If unsure, consult FST.

For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

12.17 Archives and Records Centers Information System (ARCIS)

ARCIS is a new system used by the Federal Records Center (FRC) to track the location of retired files. The accession data is now 27 digits long. NFTS will not accept the accession data because of the length. Instead, you will see the word "ARCIS" in the location field in NFTS.

When the case you are creating shows the file is located at FRC and you see the word "ARCIS" in the location field in NFTS, use the FRC file request and paste the retired screen from NFTS.

Not all files located at the FRC will have "ARCIS" in the location field. For those files, continue to staff using the FRC file request and paste the retired screen print.

12.18 Staffing Scenarios

12.18.1 Digitized files

If you are requesting an A-file that has been digitized please use the **RDF** file request. If the file has been digitized, the current FCO does not matter; you would still use the RDF file request.

How do I tell if it is a digitized file?

NFTS will show the "Location" of the file as either **RDF** or **NRC**. If the file location is NRC, you will see a red-letter banner stating "DIGITIZED ON …." The screen print below is a sample of the NFTS screen.

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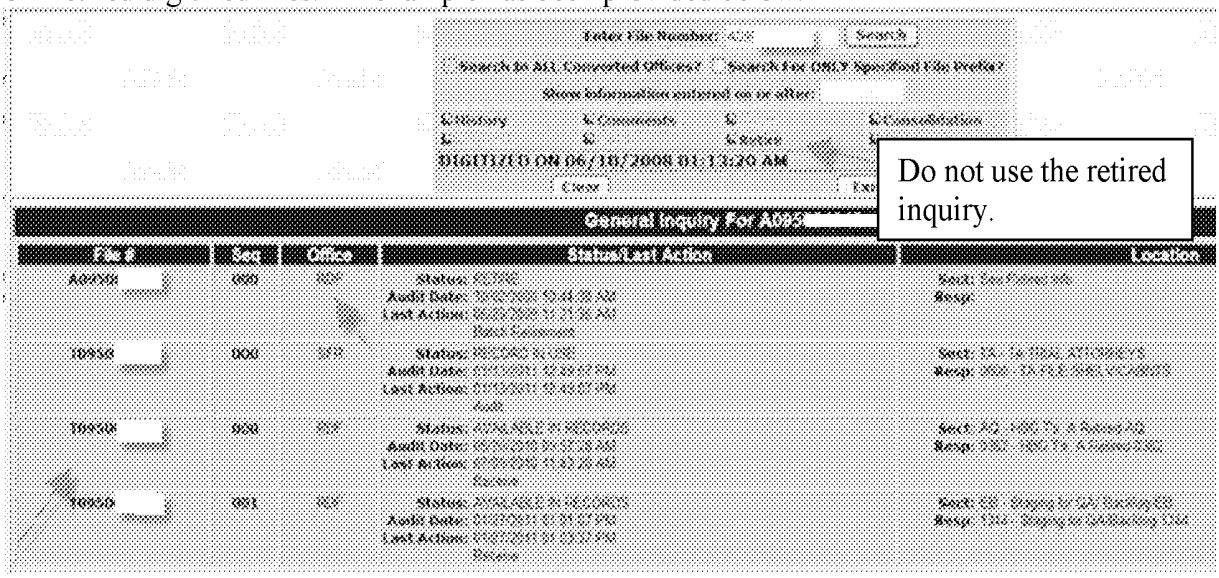
The temptation may be to staff RAFACS/CIS because the file shows available in records at NRC. Do not do that. If it shows "DIGITIZED," then staff to RDF. Also include any T files you find in the General Inquiry screen.

Paste in the "General Inquiry" information on the RDF staffing the same as you would on a RAFACS/CIS staffing. Delete the status/action item column, but DO NOT delete any T-files. FST will know the file is digitized because you have staffed using an RDF file request. This also applies to Retired files that have been digitized. Do not use the retired screen on Retired digitized files. An example has been provided below.



In the example above, you will have to make two staffings. Notice there is a T-file currently in use at OPLA San Francisco? That also changes the Category of the case to "SFR Cases at NRC."

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12.18.2 Files Lost or Not Found LESS THAN SIXTY DAYS (Flowchart at Appendix H)

12.18.2.1 Verify that the A-file is lost less than sixty days in NFTS and CIS-9504. A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "File located IND." Print the 9504 Screen print.

12.18.2.2 Search and staff for any additional non-consolidated T-files or receipt files. If you find no related T-files or receipt files, input the lost A-Number into PCQS. Open a RAFACS staffing slot and have the screen prints added as responsive records along with a CIS-9101 screen print.

12.18.2.3 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the lost A-file. Print the screen prints and attach as a CSD.

12.18.2.4 Complete the lost file worksheet. Fill out as much information as you can. Attach the lost file worksheet, the CIS 9101 screen prints, and the 9504 screen print as a CSD.

12.18.2.5 Click "In Circular Search" and click Save. Staff using the Lost File at FCO;_____ File request (include the FCO that shows the file is lost). Under "Create File Request" mark the box "File Missing/Lost". Select Lost file at FCO:____. Click request file. Modify the letter by attaching a copy of the 9504 screen.

12.18.2.6 To determine a numerical value for days the file shows Not Found, you may refer to the Julian calendar in Appendix H of this guide. From NFTS General Inquiry, use the date of "Last Action" or from CIS 9504 use the Date FTI. Calculate the number of days remaining until the case reaches lost for sixty days and manually repend the lost A-file. If the number of lost days is more than 60, go to paragraph 12.7.3. For example: A-file shows Not Found in CIS for 35 days, 60 days – 35 days = 25 days remaining. You would set the new number of days to pend to 25.

12.18.2.7 Generate the acknowledgment letter. Click add lost file paragraph. FIPS will insert the lost file paragraph right after the CD paragraph.

12.18.2.8 Verify "In Circular Search" is still clicked. Include Discussion to note all systems searched and date the file was lost. You are done.

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References

- Enterprise Collaboration, ECN Network /Case Create Library

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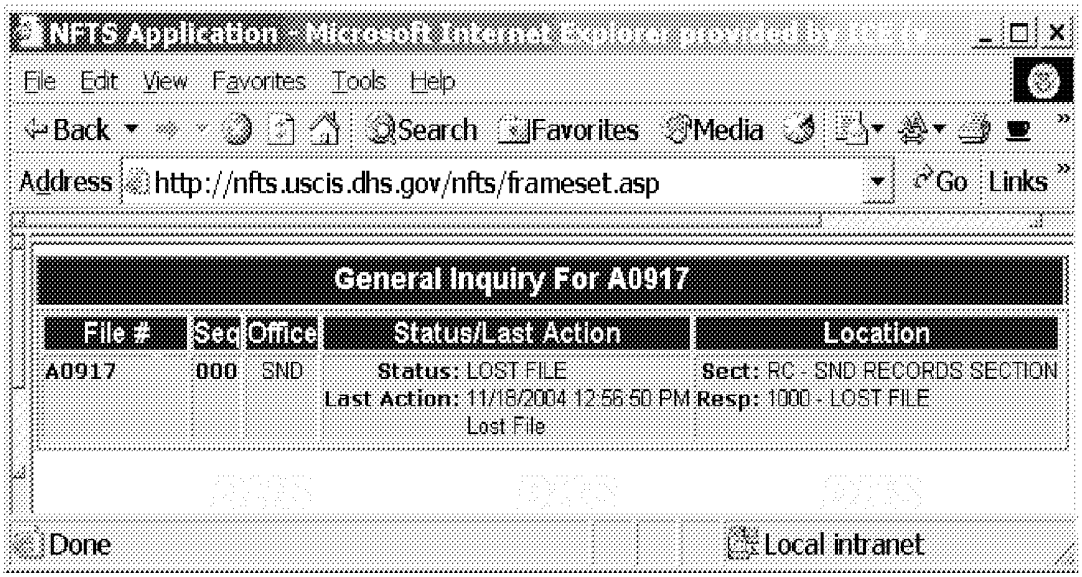
http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

When an A-file is lost, it will appear in NFTS as a "Lost File" in the Status/Last Action section of the General Inquiry screen.



A lost file in CIS will appear in the CIS-9504 screen as "N (Not Found)" in the section titled "FILE LOCATED IND:"

If the "Last Action" is more than sixty days ago, move to the next section of this guide, Files lost or not found MORE THAN SIXTY DAYS.

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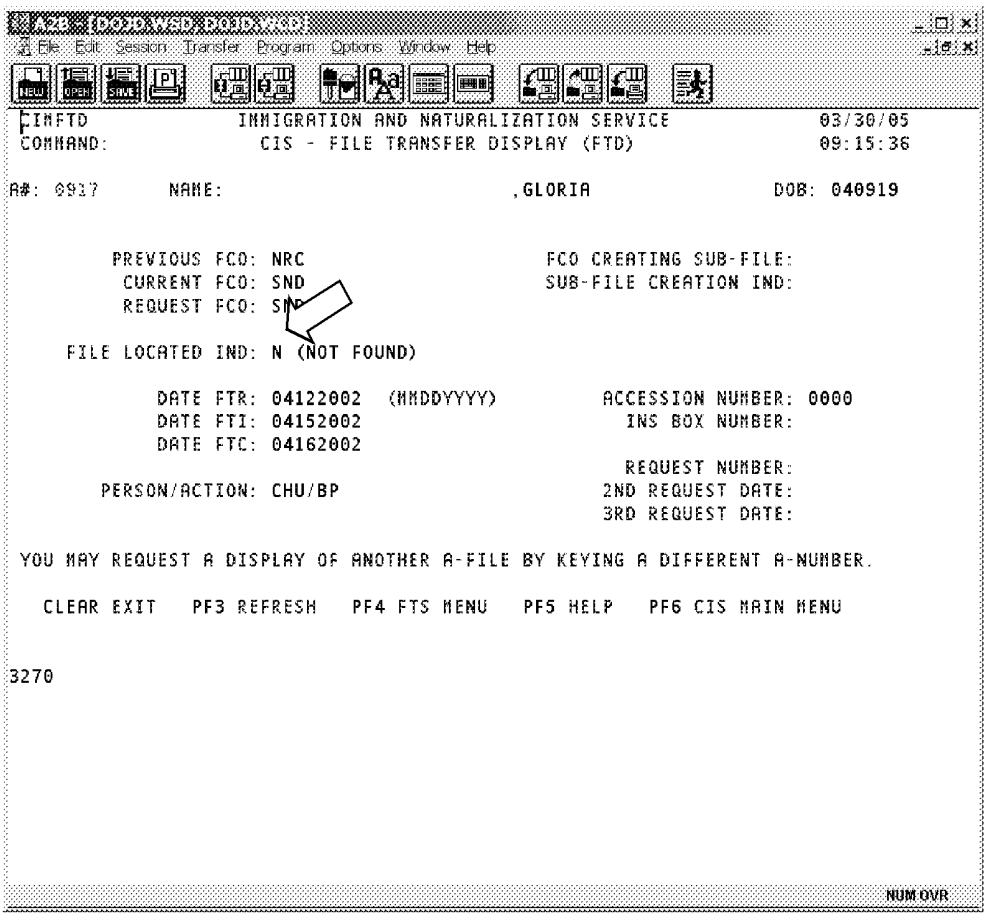

When the file appears lost in CIS 9504 and NFTS, Staff using the Lost File at FCO:_____ file request (include the FCO that shows the file is lost).

Exception: If the file shows lost in CIS-9504 and NFTS shows the file in use, request the file per the FCO in NFTS.

Under "Create File Request" mark the box "File Missing/Lost".

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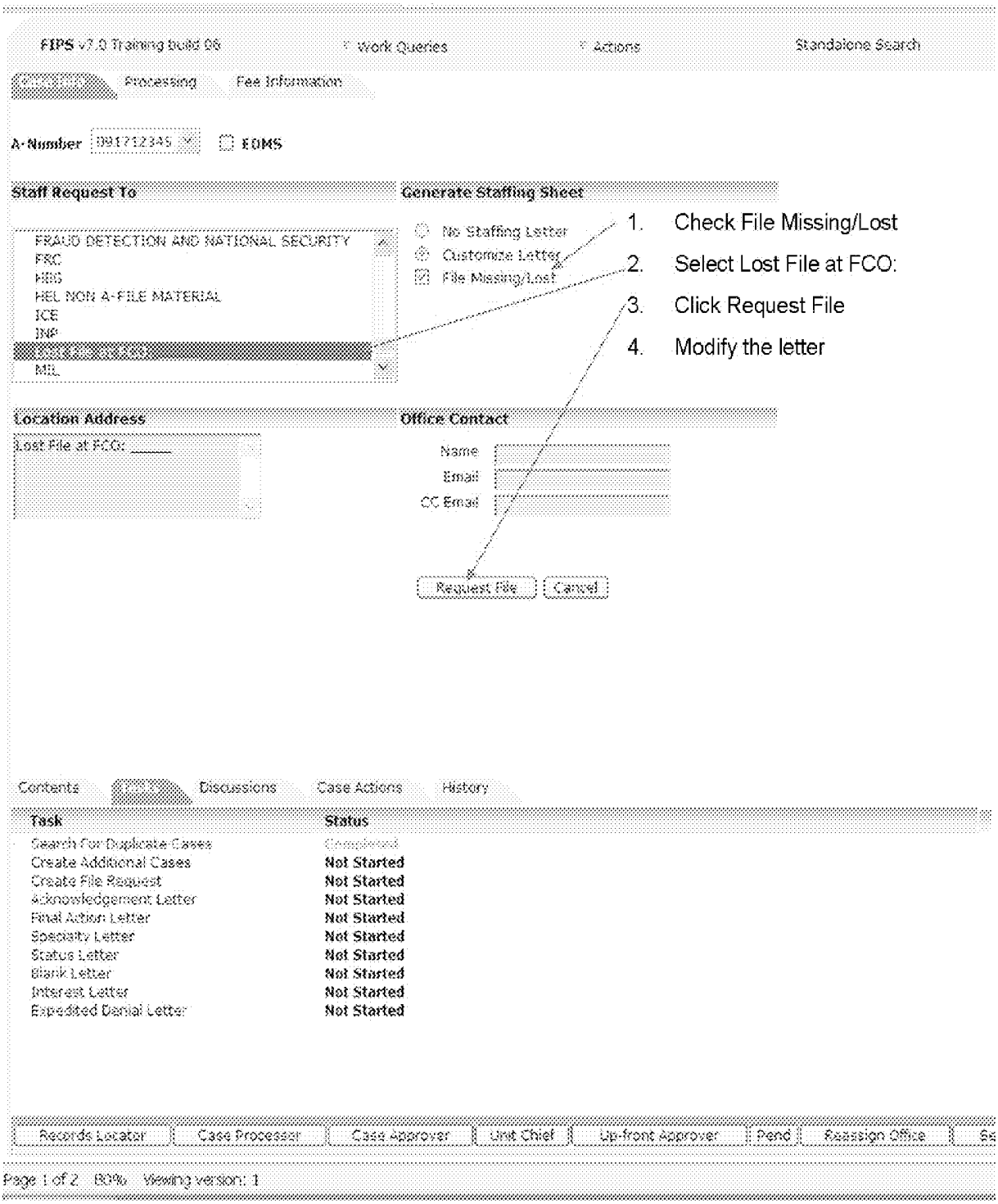

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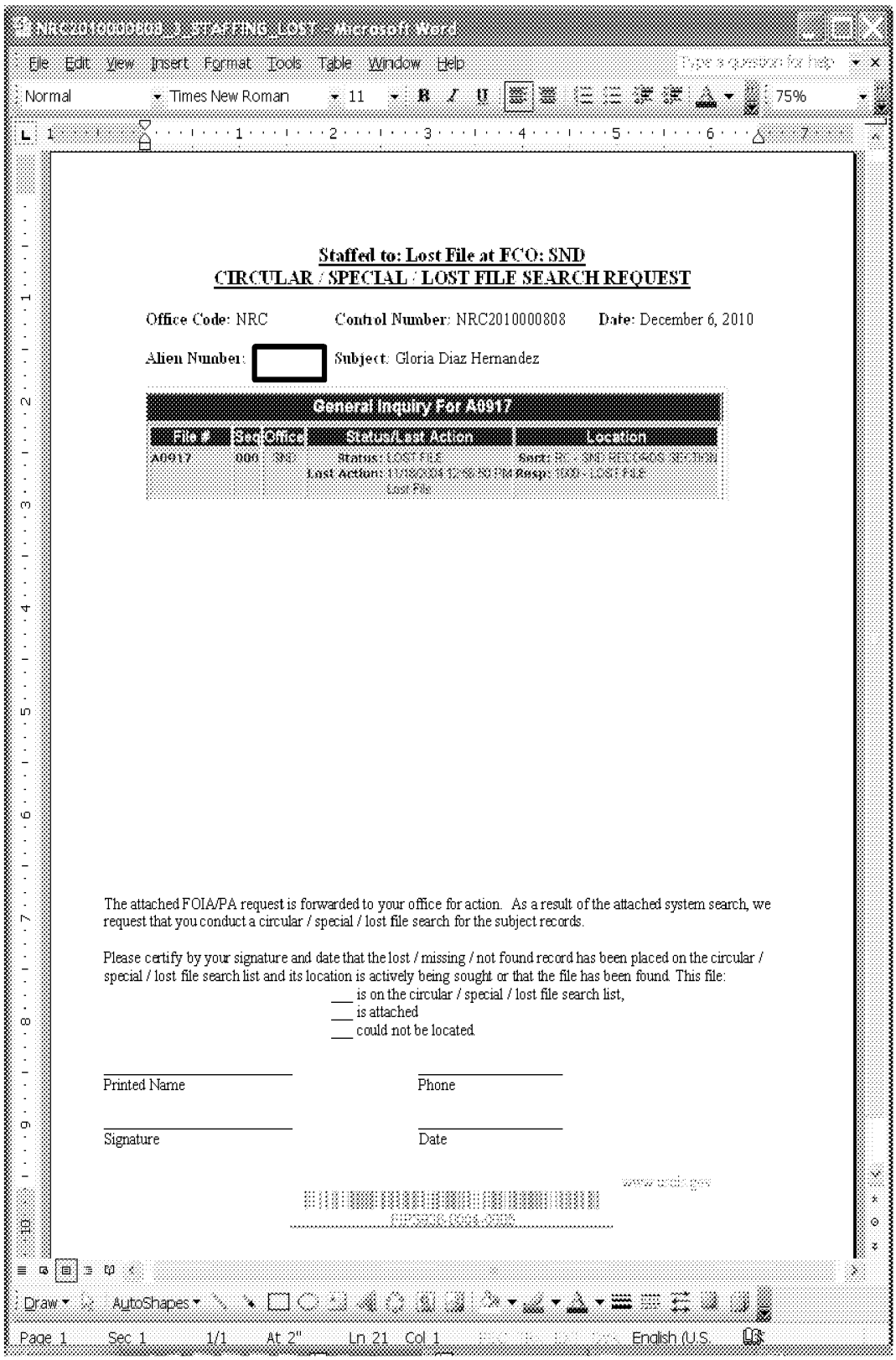
(b)(6)



Staffed to: Lost File at FCO: SND
CIRCULAR / SPECIAL / LOST FILE SEARCH REQUEST

Office Code: NRC **Control Number:** NRC2010000808 **Date:** December 6, 2010

Alien Number: [redacted] **Subject:** Gloria Diaz Hernandez

General Inquiry For A0917

File #	Seq	Office	Status/Last Action	Location
A0917	000	SND	Status: LOST FILE Last Action: 11/18/2004 12:00:00 PM Lost File	Sent: 09/ /2004 12:00:00 AM Resp: 0000 - LOST FILE

The attached FOIA/PA request is forwarded to your office for action. As a result of the attached system search, we request that you conduct a circular / special / lost file search for the subject records.

Please certify by your signature and date that the lost / missing / not found record has been placed on the circular / special / lost file search list and its location is actively being sought or that the file has been found. This file:

___ is on the circular / special / lost file search list,
___ is attached
___ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____

Generate the acknowledgement letter.

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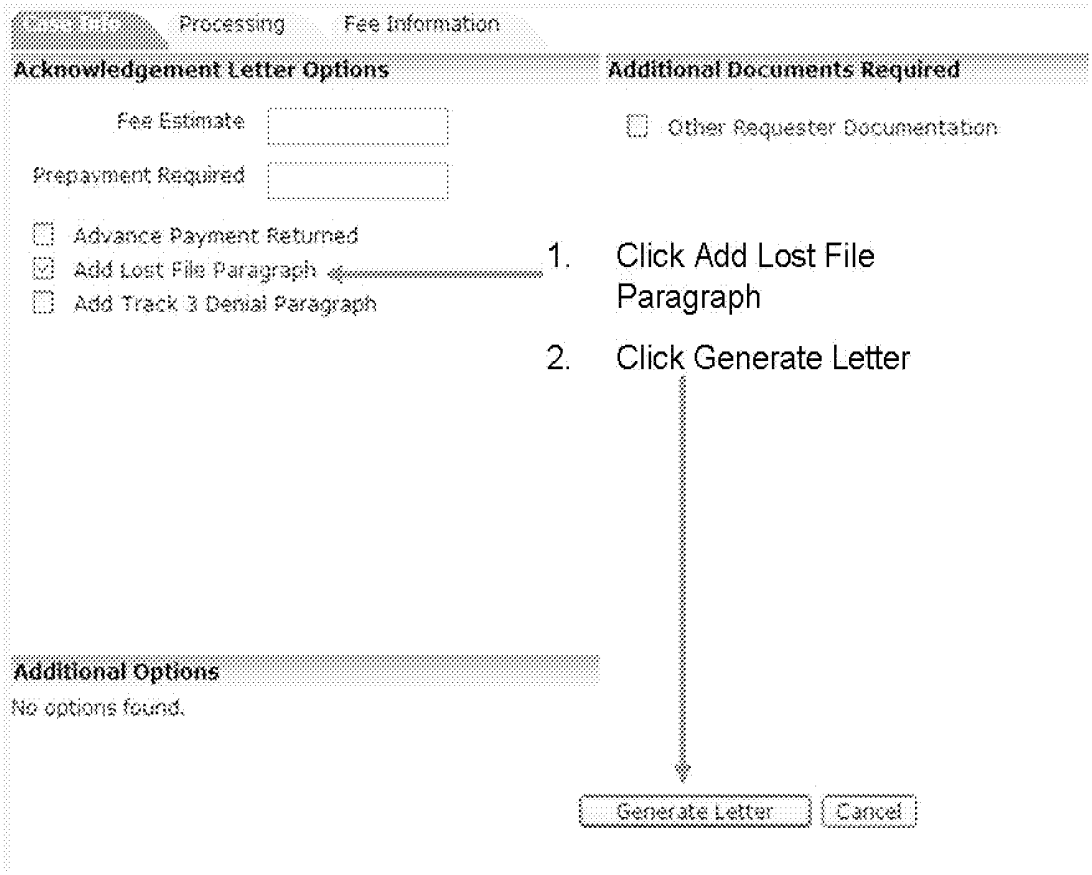

FIPS inserts the Lost File Paragraph right after the CD Paragraph:

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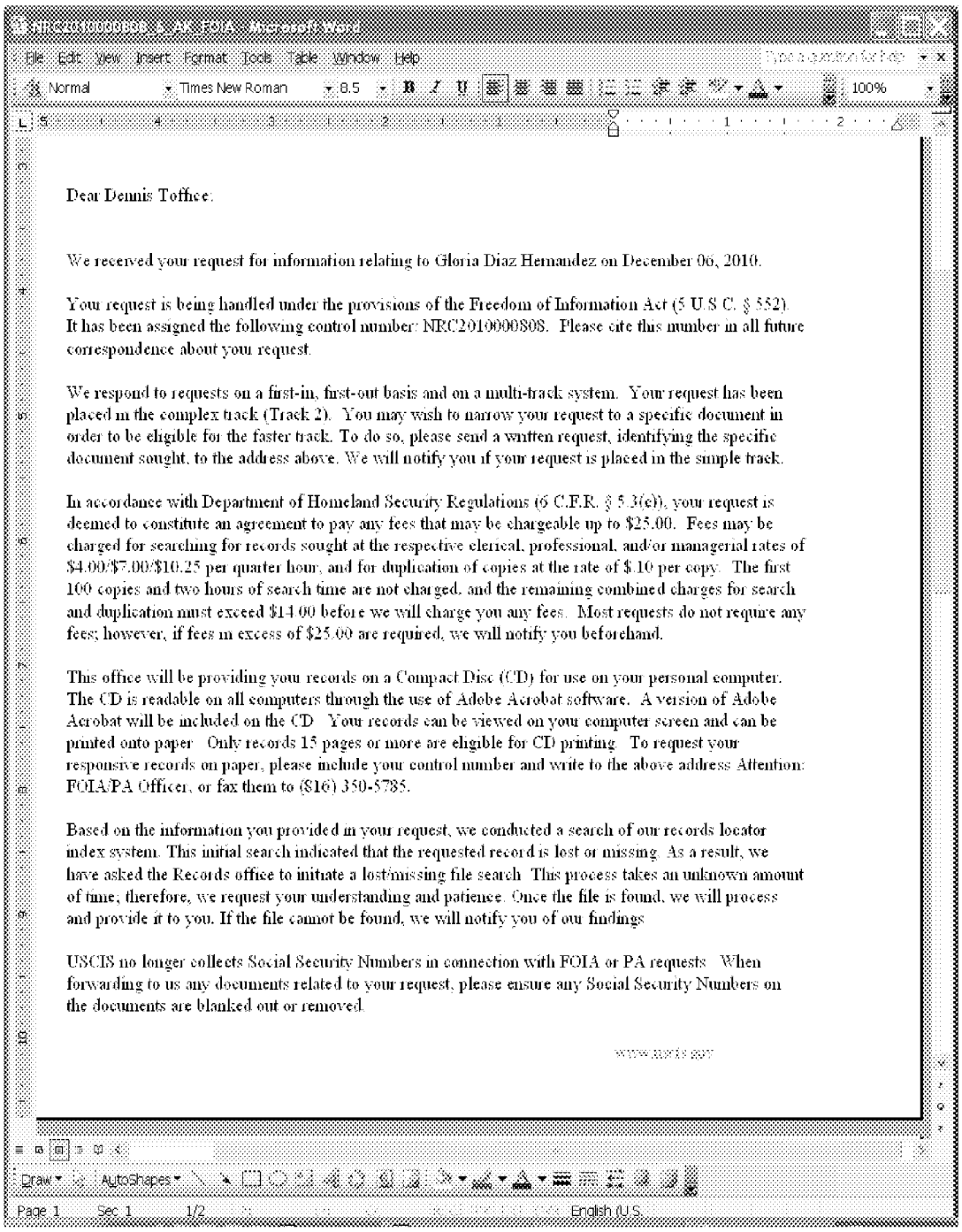

Dear Dennis Toffice:

We received your request for information relating to Gloria Diaz Hernandez on December 06, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000808. Please cite this number in all future correspondence about you request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing you records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Based on the information you provided in your request, we conducted a search of our records locator index system. This initial search indicated that the requested record is lost or missing. As a result, we have asked the Records office to initiate a lost/missing file search. This process takes an unknown amount of time; therefore, we request your understanding and patience. Once the file is found, we will process and provide it to you. If the file cannot be found, we will notify you of our findings.

USCIS no longer collects Social Security Numbers in connection with FOIA or PA requests. When forwarding to us any documents related to your request, please ensure any Social Security Numbers on the documents are blanked out or removed.

www.uscis.gov

When the case create process is complete and the creator is ready to exit the case, click the "Pend."

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12.18.3 Files Lost or Not Found MORE THAN SIXTY DAYS (Flowchart at Appendix H)

12.18.3.1 Verify that the A file is lost in both NFTS and CIS 9504. If either CIS 9504 or NFTS has a lost date less than 60 days, you must use the less than 60 day process. DO NOT staff for the A file.

12.18.3.2 Search for any non-consolidated T-files and receipt files. If you find something, insert the following case note. "A-file number XXXXX is currently showing as lost. Staffed for the following files: XXXXXX. Once received, please review. Please also verify that the original a-file is still lost. Please process as a PD and advise the Requestor that the original a-file is lost." Pend case for responsive records. You are done.

12.18.3.3 If you do not locate any additional A-files, T-files or receipt files, input the lost A-Number into PCQS, open a RAFACS slot, print all available screen prints and scan into case as responsive records.

12.18.3.4 Complete the lost file worksheet. Fill out as much information as you can. This along with the screen prints helps prove that we conducted a duly diligent search, which becomes important if the Requestor appeals.

12.18.3.5 Do a search for any possible related A-files such as mother, father, sister, brother. Input into CIS 9101, two A-Numbers above and below the Lost A-file. If you find any A-Files that may be related, insert the following case note and send to Unit Chief. "A-Number has the same last name as the subject. Possible related A-File. Sending to Unit Chief for further investigation." A supervisor will review the case and send back with further instructions.

12.18.3.6 If you do not find any related A-Files, print the CIS 9101 screen prints, CIS 9504 Screen print, the 2 up and 2 down screen prints and the lost file worksheet. Have them scanned as CSD.

12.18.3.7 Generate the Acknowledgement letter. Click "Add Lost File Paragraph" button so the lost file paragraph will be inserted into the ack letter.

12.18.3.8 Include note to Case Processor: "A-file has been lost for more than 60 days. Unable to locate any additional A-files, T-files or receipt files and provided a copy of their electronic record. Please advise the Requestor that the original a-file is lost, but we have provided them an electronic copy of their record."

12.18.3.9 Pend the case for responsive records.

12.18.3.10 Include in your Discussion all systems you checked and specify the date the file was lost in CIS and NFTS.

Please note: this is NOT the procedure for a request for alien number only or for petitions destroyed in accordance with federal paperwork retention guidelines.

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Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

Additional Address Links for the Lost File Flow Charts

- Case Create Template Letters folder of the FOIA Library
  O:\Foia\FOIA LIBRARY\Case Create References\Case Create References
- Enterprise Collaboration, ECN Network /Case Create Library
  http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/default.aspx

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LOST FILE WORKSHEET

NRC_____

A-Number _____

Name of Alien _____

Date shown as Not Found in CIS _____

Date shown as lost in NFTS _____

1. Search CIS for potential second A-Number and/or consolidation
    a. Second A-Number? _____
    b. Any T-files? Yes _____ No _____
        i. If yes, have they been staffed and scanned? If not, please do so now.

    c. Consolidated with? _____
    d. Does the EOIR screen show an upcoming hearing date?

        Yes___ No ____

2. Check CLAIMS for petition/applications
    a. Were any found? Yes _____ No _____
    b. If so, either provide screen prints with receipt number or list below

3. Check NFTS. Any current file movement. Yes _____ No _____

4. Check PCQS for any indication that file is with the naturalization unit.

NOTES:

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12.18.4 Staffing FAQ's

Q: What screen print do I attach?

A: The screen prints attached are typically an NFTS screen. If the receipt is archived in CLAIMS and not found elsewhere, there is no screen print attached at all. See the Staffing Sheet Guide for current information.

Q: Which file request do I use?

A: Each office has its own file request in FIPS. The Staffing Sheet Guide details which sheet to use in specific circumstances.

Q: What if they have two alien files with two different numbers?

A: In cases like this, we request each alien file on a separate file request and write MULTIPLE STAFFINGS near the center of the page on the FIPS staffing sheet, or if it is a letter format, on the first page, just under the address.

12.18.5 Records Indexing / Manual Requests

If you do not find a person in CIS, CLAIMS or PCQS, do not automatically print the screens and close the case NR. In some instances, the A-Number exists but it will not be found in any systems search. This is especially true of individuals who had no business with the Service after the date CIS was put in use. A general rule which applies most of the time is the subject had no business concerning any immigration matter since 1975 or earlier. Look at the information in the request. For instance, if an individual claims to have arrived in the United States in 1960 and naturalized in 1971, it is important not to close the case NR. In these instances, staff the request using a "Records Indexing" staffing so that a manual search can be conducted.

Sometimes the Requestor/subject will provide an A-Number and the file cannot be located in NFTS or CIS, but they claim to have done business with the service after 1975. Ensure Requestors provide the minimum information to allow a positive identification (i.e., full name, date and place of birth). If the requested records relate to:

- A-Files;
- Dates of birth;
- Dates of entry; or
- Naturalization dates

which are after 1975, do not create a Records Indexing file request, because no records will exist; check CIS, PCQS and/or CLAIMS for a record. If you find no record, please

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refer to section 12.18.6. It is important that you provide as much as possible on the Records Indexing file request. The name of the subject, year of birth and information as possible on the Records Indexing file request. The name of the subject, year of birth and country of birth are required information. You should use the latest version of records_indexer.doc, which you may find in O:\Foia\FOIA LIBRARY\Case Create References\Case Create References. A sample records_indexer.doc follows:

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FOIA/PA RECORDS SERVICES BRANCH

CO#:	DATE:
*Name:	*DOB:
Alias:	COB:
A#:	DOE:
C#:	POE:
Natz Date:	Visa File #:

Other Info:

* Required Fields

☒ FOIA personnel checked CIS, CLAIMS and PCQS and located no Records.

FOIA/PA RECORDS ACTION REQUESTED

☒ All Files	☐ C-File	☐ AR-Print
☐ Alien File	☐ Visa File	☐ Non-Existence of Record
☐ Certify True Copy	☐	

FOIA Remarks:

RECORDS

SYSTEMS CHECKED **Searcher:**

☐ FLEX	☐ MiDAS	☐ MI
☐ CIS	☐ EARMS	☐ NIIS
☐ CLAIMS	☐ NIDC	☐ Other

Search Section Receipt Date: _____

I certify that this office conducted a thorough search of Index Systems and no record of the subject was found.

_____

Signature Date

Alien Files/ Naturalization Files Section Receipt Date: _____

I certify that this office conducted a thorough search in the Alien Files/Naturalization Section and no record of the subject was found.

_____

Signature Date

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Records Remarks:

TO RECAP RECORDS INDEXING: If the subject has had no business with the service since 1975 or earlier, they may or may not have a CIS record. If they do not, then staff to records indexing. If the subject has had business from 1976 forward, do not staff to records indexing.

12.18.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.

When conducting "no record" research, do the queries of all CIS and PCQS or CLAIMS searches as directed. Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched. Send to Up-front Approver.

When conducting no record research, check the following screens in CIS (Central Index System):

9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name

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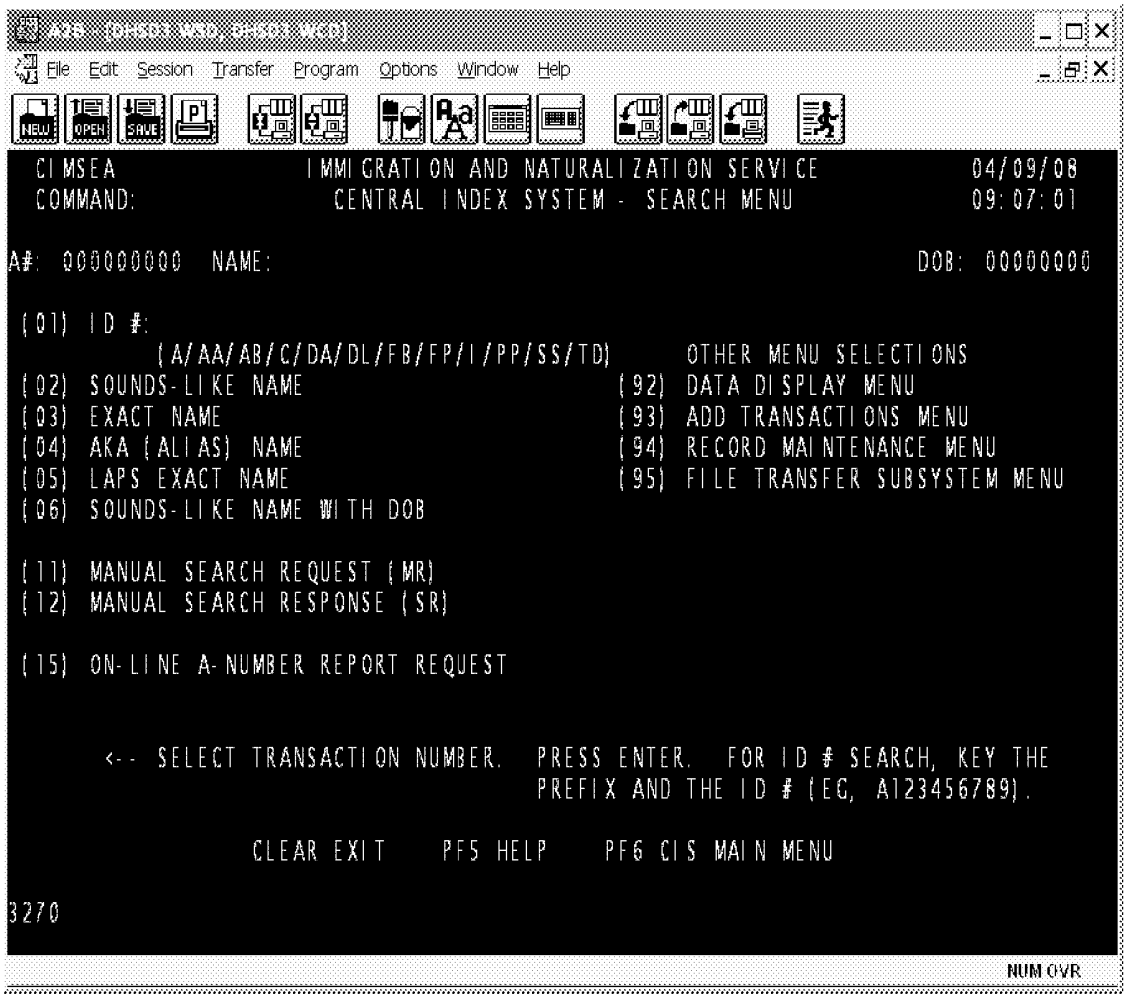

If you do not have PCQS, perform following searches in CLAIMS. Otherwise, go to PCQS and search using last name with an asterisk and first name with an asterisk. Select <> 90 days in relation to the DOB unless this provides too many responses. If you get too many responses select <> 30 days or exact date. If subject has two last names search each one with an asterisk.

> When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) **AND** as petitioner (6).

Genealogy is exempt from this process.

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12.18.7 A-Number in CIS but not in NFTS

If there is an A-Number in CIS but no information in NFTS, create a file request according to the Staffing Sheet Guide and FCO List, and paste in the 9504 screen of the CIS record rather than the NFTS information. Otherwise, the procedure is the same.

12.18.8 ICE files

When you staff for any file that is for one of the ICE functions, be sure to change the Bureau in your case to ICE.

There are currently five different types of staffings for files located within the ICE function. Paste the NFTS screen print to the second page of the staffing letter.

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OPLA **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as OPLA-BOS.
Refer to the latest versions of RPC Reference for Staffing and FOIA Staffing List in O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\FOIA FCO List and O:\FOIA\FOIA LIBRARY\Case Create References\Case Create References\RPC Reference for Staffing.

Office Section	Acronym
Trial Attorney's Office	**TA**
Chief Counsel	
Litigation	**LI or LIT**
Legal Section	**LS**
District Counsel	**DC**

DRO **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as DRO-DEN.

Office Section	Acronym
Detention & Removal	**DENTENT, D&R, DET, DRO, DD&P**
Criminal Alien Program	**CAP**
Deportation Officer/Assistant/Clerk	**DO, SDDO**
Bond Control Spec.	
Immigration Enforcement	**IEA**
Field District Office	**FOI (Washington DC) (DRO-WAS)**
Admin Program Office	
Non-Detained or Detained	
Processing Center	**OC-Otero County**
Detention Facility name	**i.e.… Otay Mesa, Krome**
Fugitive Ops	**FO**

SAC **file request**s are for files that are located in the following office sections. Choose the FCO where the file is located, such as SAC-ATL. Please note the section that follows concerning SAC locations.

Office Section	Acronym
Investigations	**INV, IV**
Special Agent in Charge	**SAC**
Internal Audit	**IA**
Resident Agent in Charge	**RAC**
Assistant Special Agent in Charge	**ASAC**

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12.18.9 SAC locations

Occasionally, you will see a requesting a SAC (Special Agent in Charge) case, and not be able to find the File Control Office under SAC in your FIPS staffing list (ex. POO/Portland, Oregon). How do you staff correctly for the file? Would you use the "ICE General" staffing?

Yes, you do, but only as a last resort. Before staffing under ICE General, please check under RAC (Resident Alien in Charge) and ASAC, in consecutive order to find the staffing location. Since you cannot find Portland under SAC, you would next check RAC, and then ASAC (Portland is found under ASAC). Finally, if you cannot find the location **after** searching SAC, RAC and ASAC, please staff under ICE General.

12.18.10 LESC (LSC) records

On all of these file requests, you must attach the NFTS screen print to page two.

12.18.11 T-files

Q. What if the subject has an A-file at one office other than NRC and a T-file at a different office other than NRC (for example, an A-file in Chicago and a T-file in Milwaukee)?

A: In this case, we will request both files, EXCEPT, do not request T-files at HBG with RPC codes XX, ZG, XY or ZY.

Q: What if they have an A-file at an outside office and a T-file here at the NRC?

A: Request the A-file only, but include the T-file portion on the file request. The T-file will get combined with the A-file when it arrives at the facility for scanning. **NEVER CROP THE T-FILE INFORMATION FROM THE NFTS SCREEN PRINT**.

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC, NBC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. This includes any digitized files. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

12.18.12 Receipt files

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12.18.12.1 Do not request receipt files with a prefix from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work auth[redacted]cannot request those. For instance, you cannot request receipt number [redacted] no matter where it is. However, if you find an unconsolidated receipt file [redacted] and it is at LOS, you can request it.

(b)(6)

12.18.12.2 If the Requestor does not specifically ask for a receipt file and provides an alien number, request the alien file only.

12.18.12.3 If the Requestor does not provide any receipt number or alien number, then you must research CIS, CLAIMS and PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt number you find is for an EAD card, and it is within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. You may also check the status of a petition or application on USCIS.gov, and you may use that information to justify referring the case to Department of State, or you may add that information to RAFACS responsive records (as described in this paragraph). Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section

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7 of this guide. If the receipt is not available in records, please refer to sections 12.18.6 or 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

If the receipt has been consolidated into an alien file, the situation is different. If you have VOI (and certification of agreement, if necessary) from the person whose alien file the receipt has been consolidated into, then you should verify the alien number belongs to the subject and staff for that alien file. If there is no certification of agreement from the person whose alien file the petition has been consolidated into, you will close the request as TD. Refer to section 16a, "TD (total denial) CASE CLOSINGS."

12.18.12.5 Forms I-526 and I-829 are petitions filed by an Alien Entrepreneur. If, while researching the receipt file, you discover in CLAIMS or PCQS that the receipt is either a Form I-526 or Form I-829, please take the following actions:

1. Send an e-mail to NRC, FOIASIG and CC your supervisor stating that NRC201XXXXXXX (your case number) is requesting copies of an I-526 or I-829 receipt file.
2. Copy the body of the e-mail and paste it into a discussion.
3. Send the case to Unit Chief.
4. SIG will then reassign the case to the COW queue for action.

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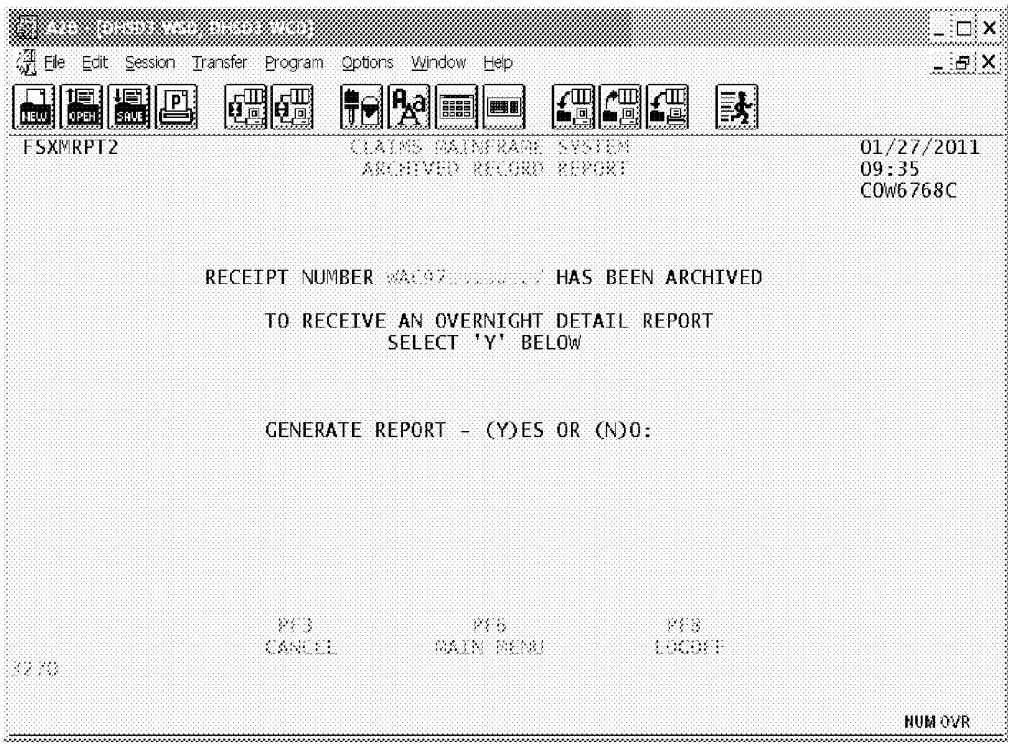
12.18.13 Archived receipts



This screenshot shows a receipt that has been archived.

If we receive a request for a receipt file and the receipt file has been archived per CLAIMS, create the case as usual. To determine whether we need to request the archived receipt file do one or all of the following as necessary:

A. Enter the receipt number in NFTS. There may be evidence that the receipt file has been consolidated into an A-file or there may be evidence that the receipt file has been forwarded to the NVC. Sometimes, you can discover that an archived receipt has been forwarded to NVC through PCQS. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov . On the subject line, put the control number and SOR's name. Pend the case.

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B. On the USCIS website (http://www.uscis.gov/portal/site/uscis) enter the receipt number in the "Check Case Status." Checking the receipt number on the website may provide evidence that the receipt file has been forwarded to the NVC.

C. If there is no evidence that the archived receipt file has been forwarded to NVC we will create a file request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints and take those to the person designated to scan RAFACS-only responsive records. Pend the case.

D. If there is no evidence in PCQS, add a note on the staffing sheet "Receipt is archived." A designated clerk will receive the staffing request, have the archived report created, and get it scanned in as Responsive Records.

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If a staffing response from one of the service centers (ESC, SSC, NSC or WSC) has been scanned and a screen print from CLAIMS is shown on the staffing response with any of the following language; "FILE CANNOT LOCATE", "FILE DESTROYED", or "LOST RECEIPT FILE" or if the receipt was rejected, create as Track 1, category OTHER.

Create a file request to RAFACS (*not RAFACS/CIS)*. The default selection for the letter is "Customize Letter." Be sure that option is selected. Print the appropriate CLAIMS or PCQS screen prints (should be a minimum of 3 pages if the receipt file is for an I-130). Attach a "Scan As" cover sheet to the screen prints and take to person designated to scan RAFACS-only responsive records. Pend the case.

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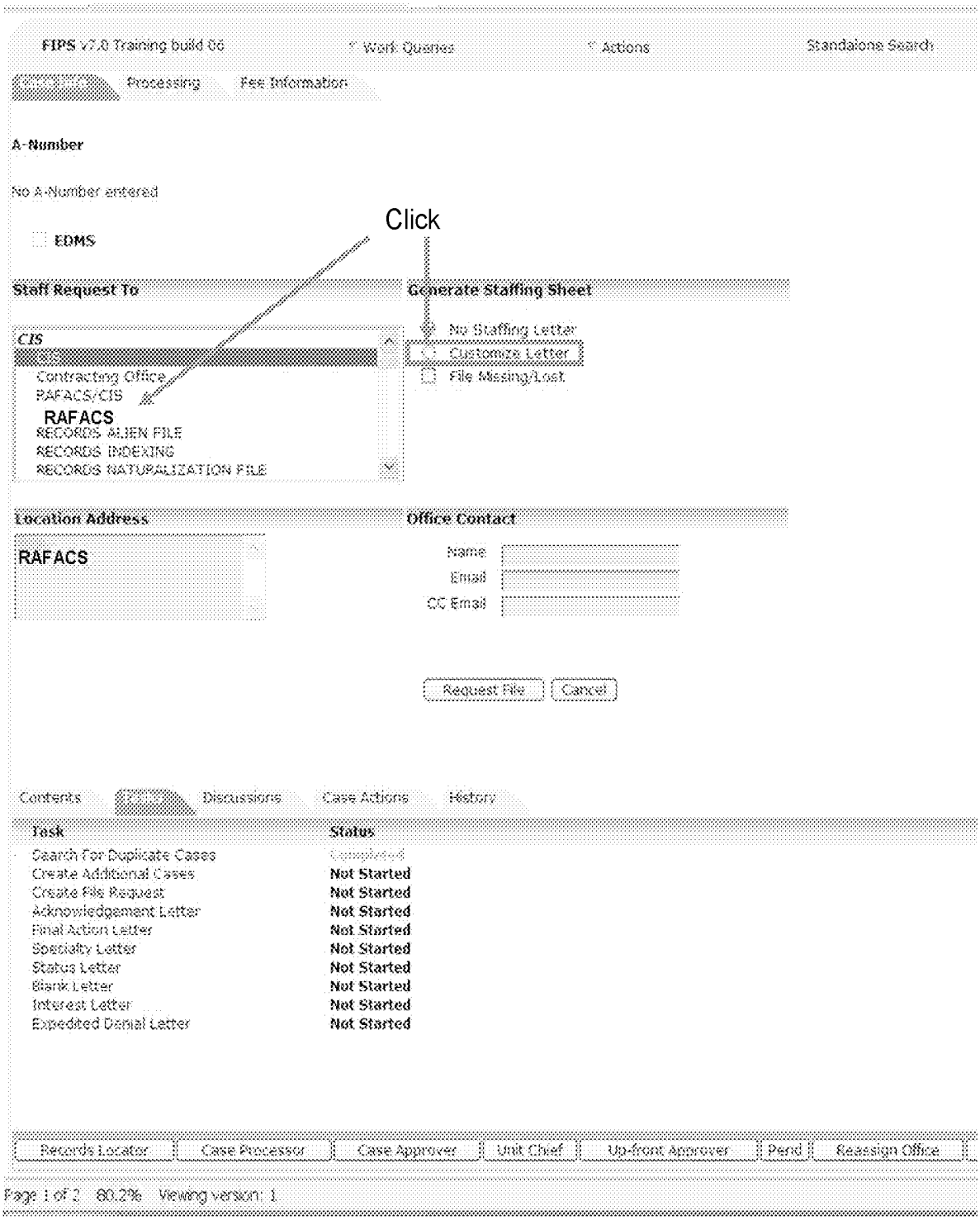

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate." This is what the response will look like:

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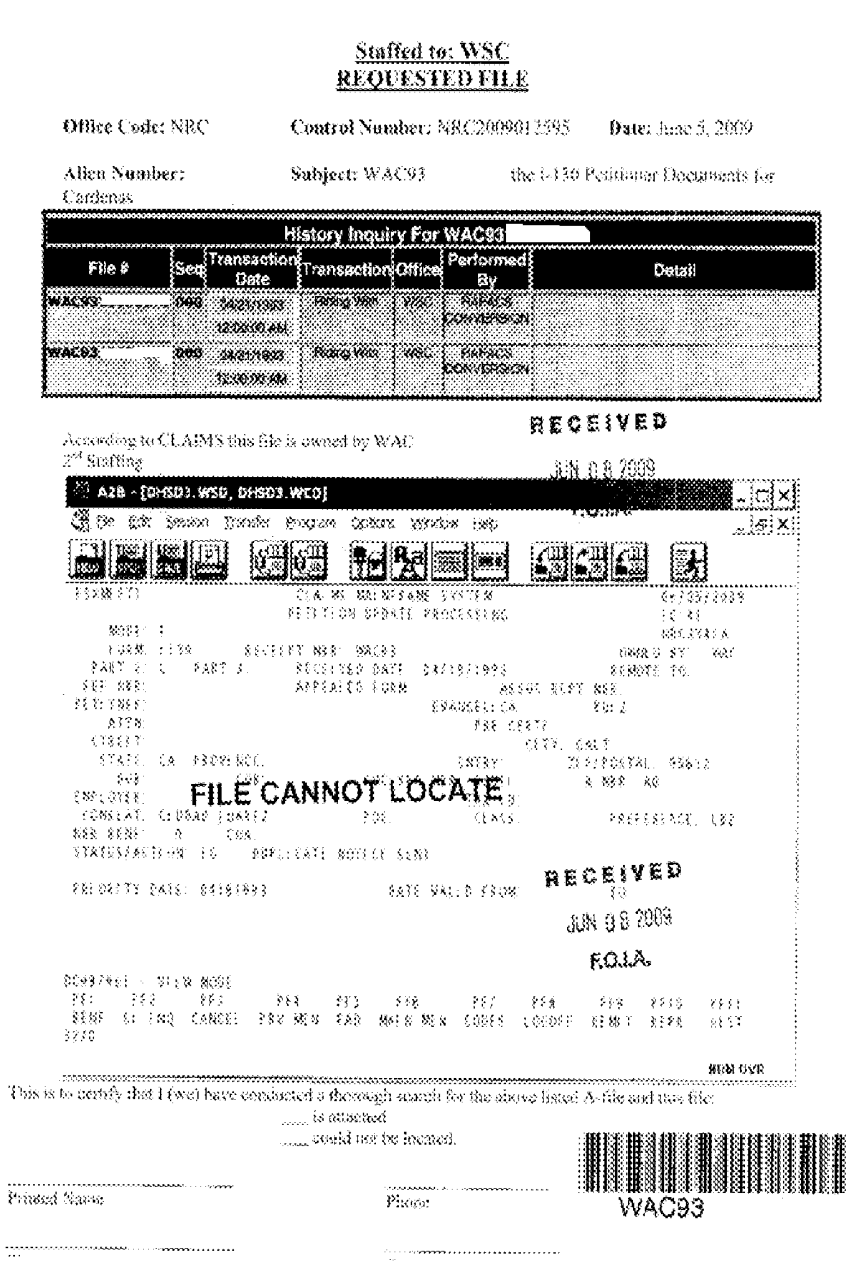

(b)(7)(e)

12.18.15 [redacted]nvestigation Case

When you enter your file number into NFTS and the result of the search shows the FCO location is WAS, the code is IX, and the description is 'Hidden Patriot', please do the following: Staff for the file at Non-FOIA Office: WAS and create the following discussion note: [redacted] **nvestigation case. Staffed for file at Non-FOIA Office WAS. Once file is scanned**

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into responsive records, please forward case to the current designated processor for processing." Refer to screen print below.

(b)(7)(e)

General Inquiry For A*********			
File #	**Seq**	**Office**	**Location**
A*********	**000**	WAS	**Sect:** IX [redacted] NV **Resp:** 0000 [redacted]

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

NOTE: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS.

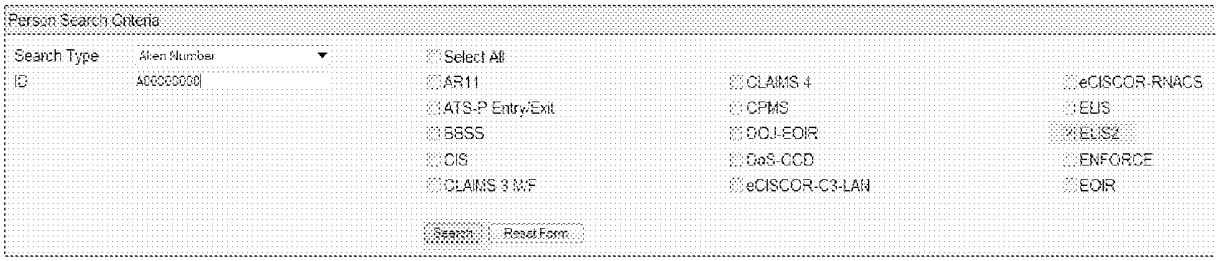
Any references from this point on refer to ELIS2.

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy Tracy Bellisime. The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

Whenever you create a case, please check the ELIS2 block in PCQS to search for the IOE Receipt number.



If you get a response of "Person Found In: ELIS2," please check the box and click "Search Selected Persons" to get your IOE Receipt number.

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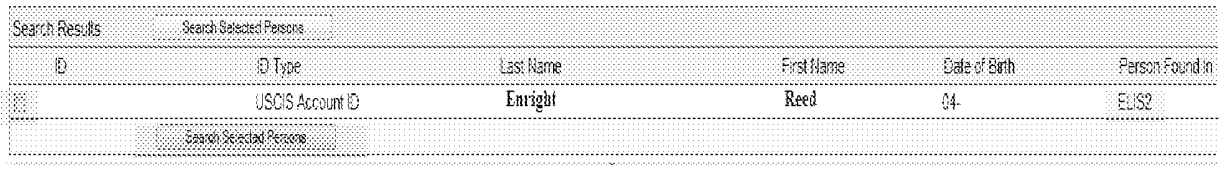
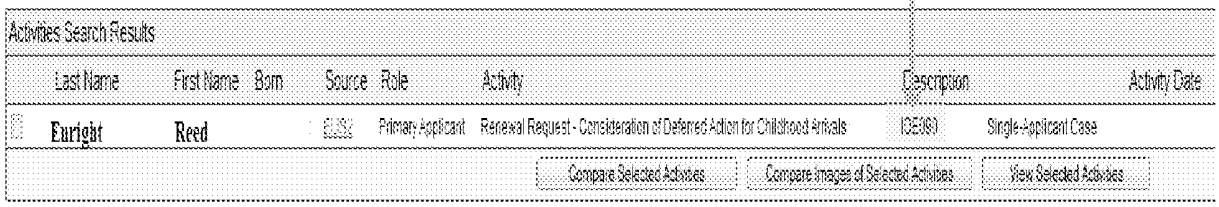


You will come to the page below. Please copy the IOE number.

You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

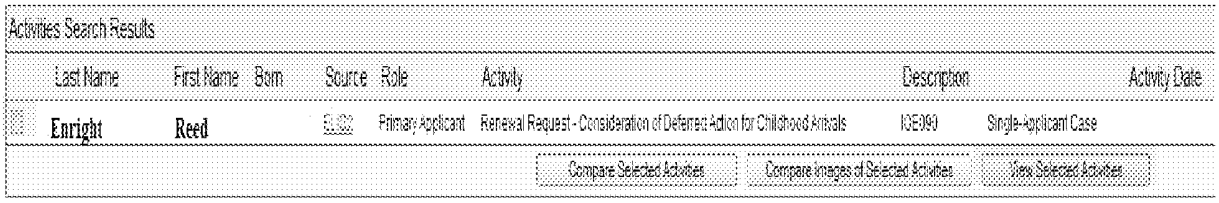
Copy IOE Receipt number



12.18.16.2 Deleted

Step 2: Is the case open or closed?

Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

If the case state is accepted, optimized or reopened, your case is open.

Account Header	
Name	Reed Enright
Alien Number	A2

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Account Header	
Account ID	0
Date of Birth	0
Country of Birth	
Place of Birth	
Gender	
Case ID	
Case State	Accepted
Case Status	
Case Sub Status	Pending Prior Case Card Expiration

NOTE: The Case State can also be found in the Case Details section of your screen print.

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Accepted
Case State Date	0

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

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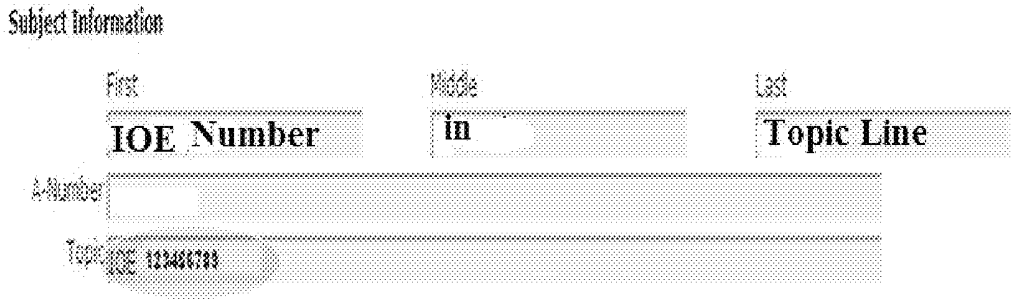

NOTE: Putting the IOE number in the Topic line is the only way we have to track ELIS2 cases.

Next, create a staffing to the correct File Control Office.

12.18.16.4 Deleted

Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Closed
Case State Date	0

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Step 5a(1): Staffing letter

Open cases from Attorney/Representatives or self-requests:

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS."** Leave it at the end of the second bullet.

Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

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After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- **Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5a(2): Acknowledgement letter

Open cases from Attorney/Representatives or self-requests:

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

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Example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Step 5b(1): Staffing letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

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SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC20160
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- There is no change to the Acknowledgement letter

ELIS FAQ's

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

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12.18.16.5 Deleted

12.18.16.b Deleted

12.18.16.b.1 Deleted

12.18.16.b.2 Deleted

12.18.16.b.3 Deleted

12.18.16.b.4 Deleted

12.18.16.b.5 Deleted

12.18.17 RAFACS Staffings

Occasionally when someone requests a file, we are unable to find it. Do we just close it "NR?" In certain cases, we can.

However, if we can find something that belongs to the Requestor, such as a Border Crossing Card, CLAIMS or PCQS screen prints, we cannot close the case "NR."

Staff to RAFACS all requests that you can't find what the Requestor is asking for, but you can find other documents that relate to the subject of record. After doing so, please change the case to Track 1.

13. REASSIGN OFFICE

A case creator may sometimes have to move a case that was scanned in the NRC queue to another queue for processing. Before you create a case, you can click the drop-down box and select a different office. You will be able to do this even if you do not have that queue assigned to you.

Accidentally reassigning the office: Before you create the case, make sure the Office is correct. When you click Save after you have filled in the case information, FIPS' focus will go to the Office drop-down box. If you have inadvertently touched the mouse wheel while it is saving, you may inadvertently "reassign the office." That is to say, when you create the case, it could have a BLR number, for example, instead of an NRC number. It is always a good idea to re-

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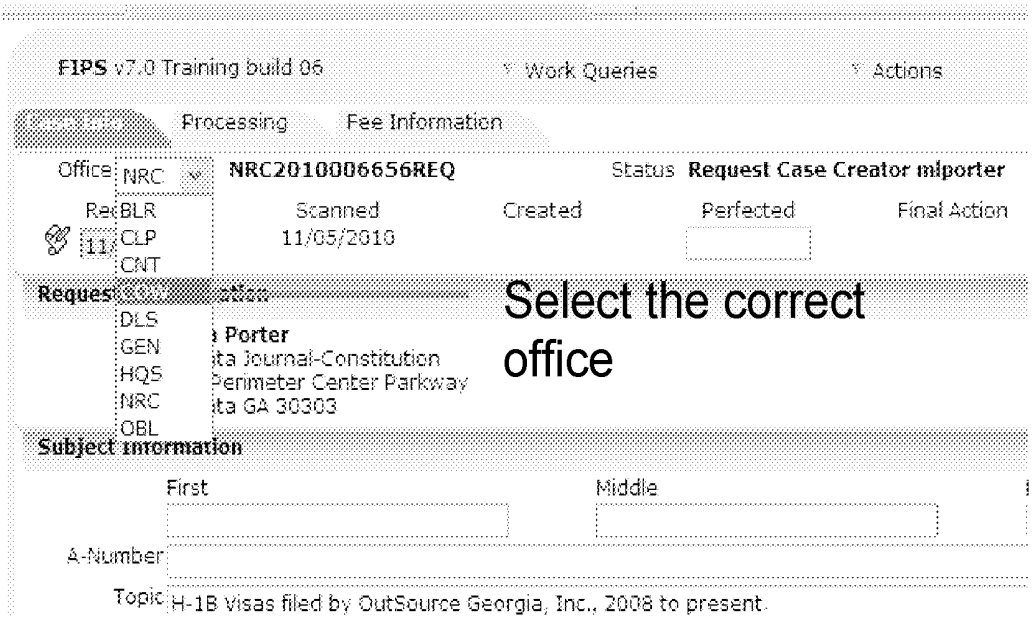
check that NRC is selected before you create the case. If you have accidentally reassigned the office, you must print out all pages of the request, attach a Scan As sheet, and take it to OA to be scanned in as a new case.

There are times you intentionally reassign the office prior to creating the case:
Reassign the office to CNT if the request is for a contract.
Reassign the office to HQS if the request is for CIS Personnel Information.
Reassign any SIG case to COW.

After you have reassigned an office, you must click "Save" again before you create the case. If you are not sure about reassigning an office, it is a good idea to discuss it with a supervisor first.

First you must select the correct office. In this example, we have a request from a newspaper, which makes it a SIG case, so we want to reassign the office to COW. Use the drop-down box to select the office where you want the case to go, click Save.



Next, search for duplicate cases and then create the case. The case will have a COW number. You will not be creating an acknowledgement letter or staffing. Before you click on "Reassign Office," prepare an e-mail addressed to NRC, FOIASIG with the case number and brief description of the topic, Requestor or reason you reassigned the office. If you spoke with somebody in SIG before reassigning the office, mention that in the discussion as well.

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As soon as you click on "Reassign Office," the case will go away and you will be ready for your next case:

14. CLOSING A CASE AS "NA:FOIA or PA not applicable:"

A. Create the case if you have not done so already.
B. Select the "Final Action Letter" from the Tasks tab. Select "NA" from the final action codes list. You will have to select a Non-FOIA Operational Unit. Choose "NRC-Director.
C. FIPS will generate two letters; you will need to blank out the NRC Director Referral letter and type "Do not send."
D. Make the appropriate edits in the Final Action Letter, depending upon the situation.
E. Create a Discussion explaining why you closed the case as final action NA.
F. Send the case to Up-front Approver. The supervisor will review and close the case.

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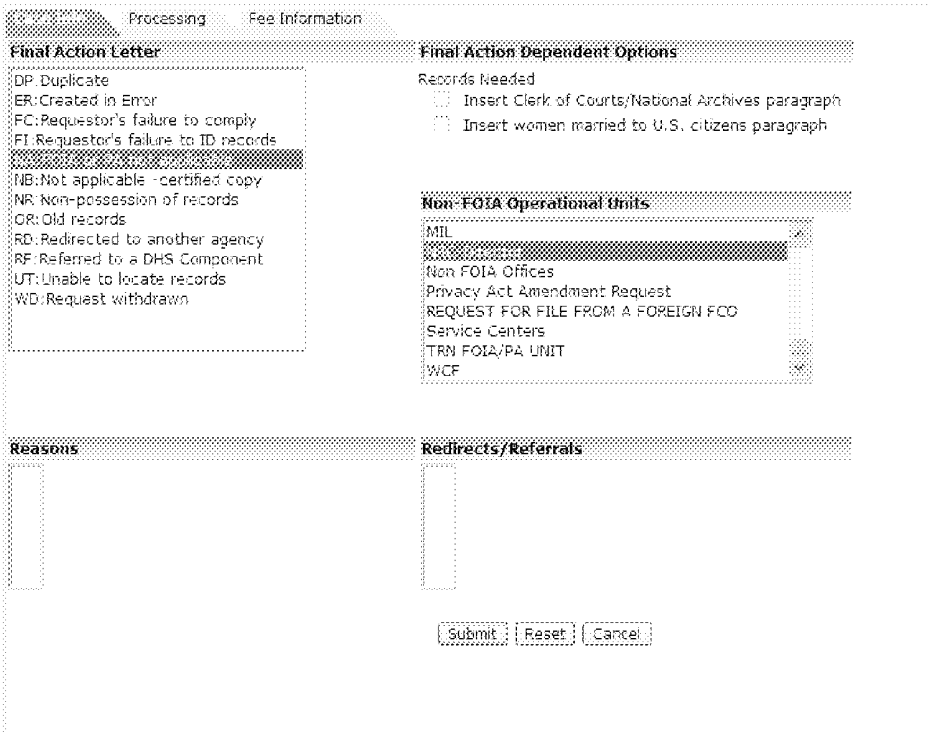

15. ER (created in error) CASE CLOSINGS

Prepare a Final Action Code using the "ER" option for cases when the following situations arise:

- When a G-884 Return of Original Documents is scanned in FIPS.
- When a routine use/child support request has been scanned in FIPS.
- When subpoenas/court orders have been scanned in FIPS.
- When a Bond Obligor request has been scanned in FIPS.
- Requests from Foreign Consulates (no letter required)

Procedure:

A. Create the case if you have not done so already.
B. Select "Final Action Letter" from the Tasks tab.
C. Select ER from the list of options click "Submit."
D. FIPS will not create a letter. Prepare a detailed Discussion.
E. Send the case to Up-front Approver. The supervisor will review and close the case.

16a. TD (total denial) CASE CLOSINGS

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- Create the case as Track 1.
- Change the case category to "Third Party No Consent" and save.
- Select the "Final Action Letter" from the Tasks tab. Select "TD" from the final action codes list.
- Paste in the body of the "TD No Agreement language" onto the FIPS TD final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
- Review the letter to ensure the pasted content is in the correct format, save it and check it in.
- Uncheck the Print to CD box.
- Create a Discussion: "Third Party, No Agreement."
- Send to Up-front Approver.

16b. FC (failure to comply) CASE CLOSINGS

A. Create the case if you have not done so already.

B. Select the "Final Action Letter" from the Tasks tab. Select "FC" from the final action codes list.

C. Paste in the body of the appropriate "Unperfected Request Letter" onto the FIPS FC final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.

D. Select the "Unperfected Letter for Older G-639 version" for all requests submitted on a G-639 date prior to the revision dated 01/29/12 or

E. Select the "Unperfected Letter" for all new requests and requests submitted on the newly revised G-639 revision date 01/29/2012 or

F. Select the Unperfected Letter for G-639 dated 3/31/2015.

G. Review the letter to ensure the pasted content is in the correct format

H. Create a Discussion to the Up-front Approver with your findings and reasons for closing as a FC case.

Replace the contents of the letter using
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter_for_G-639_dated_3_-_31_-_15

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Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter
Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter for Older G_639 version if an older version of the G-639 was submitted.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe with the case number, A-number and name of subject of record. The classified document control point of contact maintains the files in the FOIA Safe until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

17. MARKING A DOCUMENT "DO NOT SEND"

From time to time, there will be an instance when we should not mail a system-generated letter. Examples include instances where a status letter is created in error, or a referral memo is erroneously created. To ensure that the letter or memorandum is not inadvertently mailed, please take the following steps:

1. Type "DO NOT SEND" at the top of the page,
2. Delete all the information in the letter/memorandum, and
3. Create a Discussion which explains why the letter/memo should not be mailed.

Accomplishing the steps above will make it easier for the O/A room to identify letters created in error.

18. ACKNOWLEDGEMENT LETTERS

We prepare acknowledgement letters in all cases **except** for routine use and Red Cross last known address request and any cases going to FOIASIG. The example in this guide shows how to do a standard acknowledgment letter if we have verified certification of agreement and identity, the Requestor has not asked for expedited treatment or a fee waiver, and we have found a responsive record. As you go through this example, please keep in mind that there are many factors which would require you to prepare the acknowledgment letter differently.

Go to the "Tasks" tab and select "Acknowledgement Letter"

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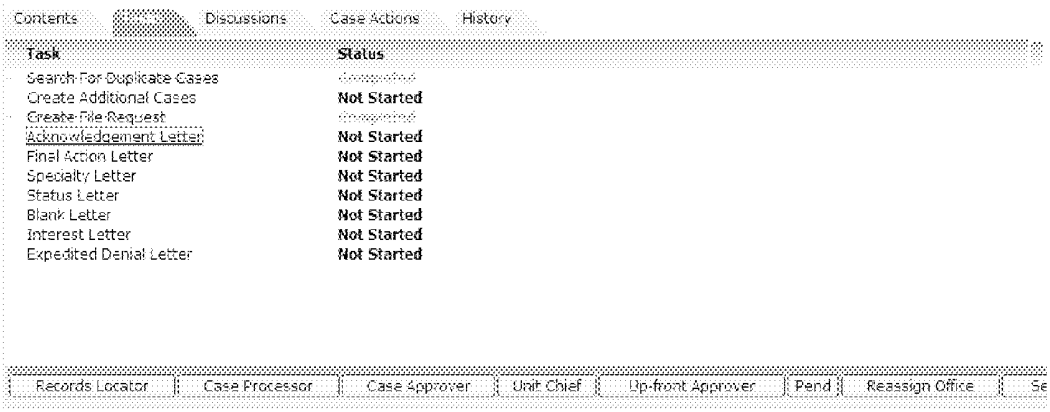
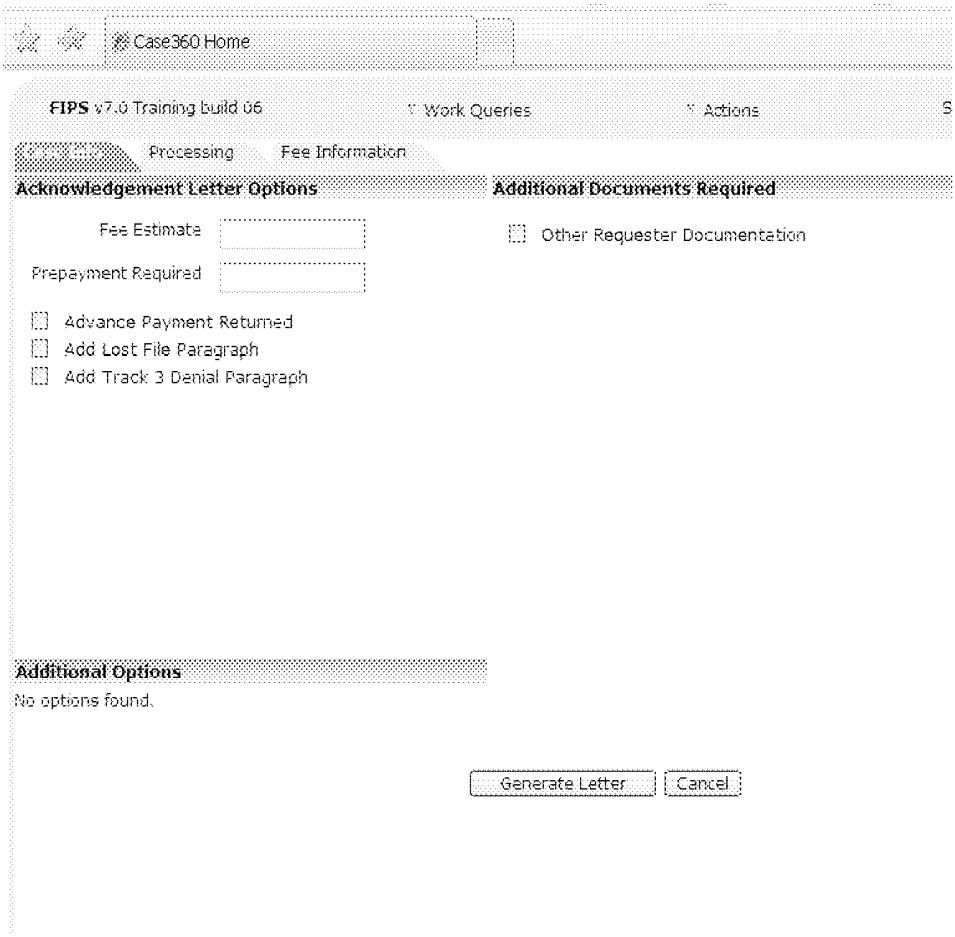


After selecting "Acknowledgement Letter," the Acknowledgment Letter Options screen will open. Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph:



Since our example case does not require us to select any options, we will click on "Generate Letter." Our only option at that point is to click OK:

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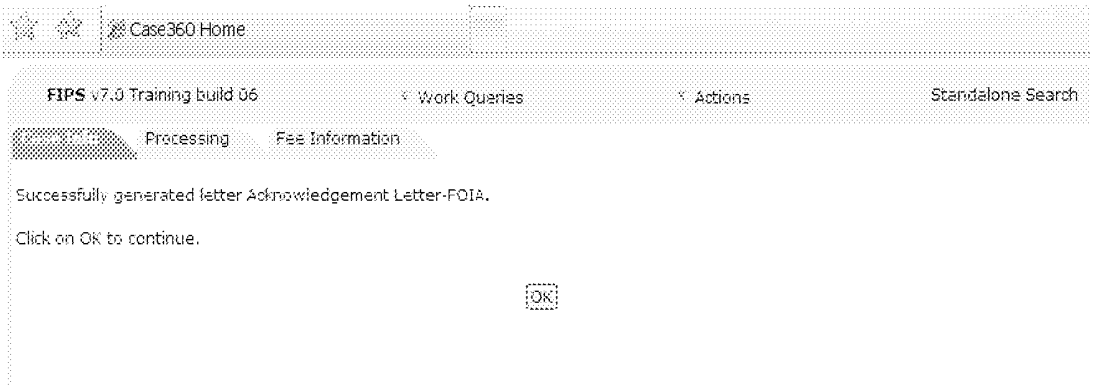
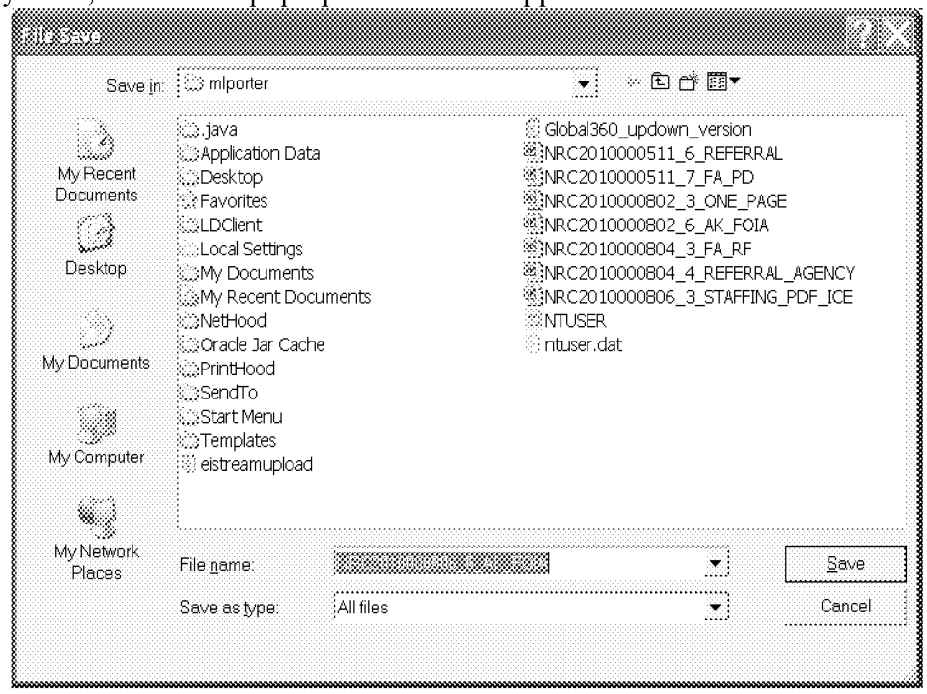


As soon as you do, a File Save pop-up window will appear. Click "Save."



The acknowledgment letter will pop up:

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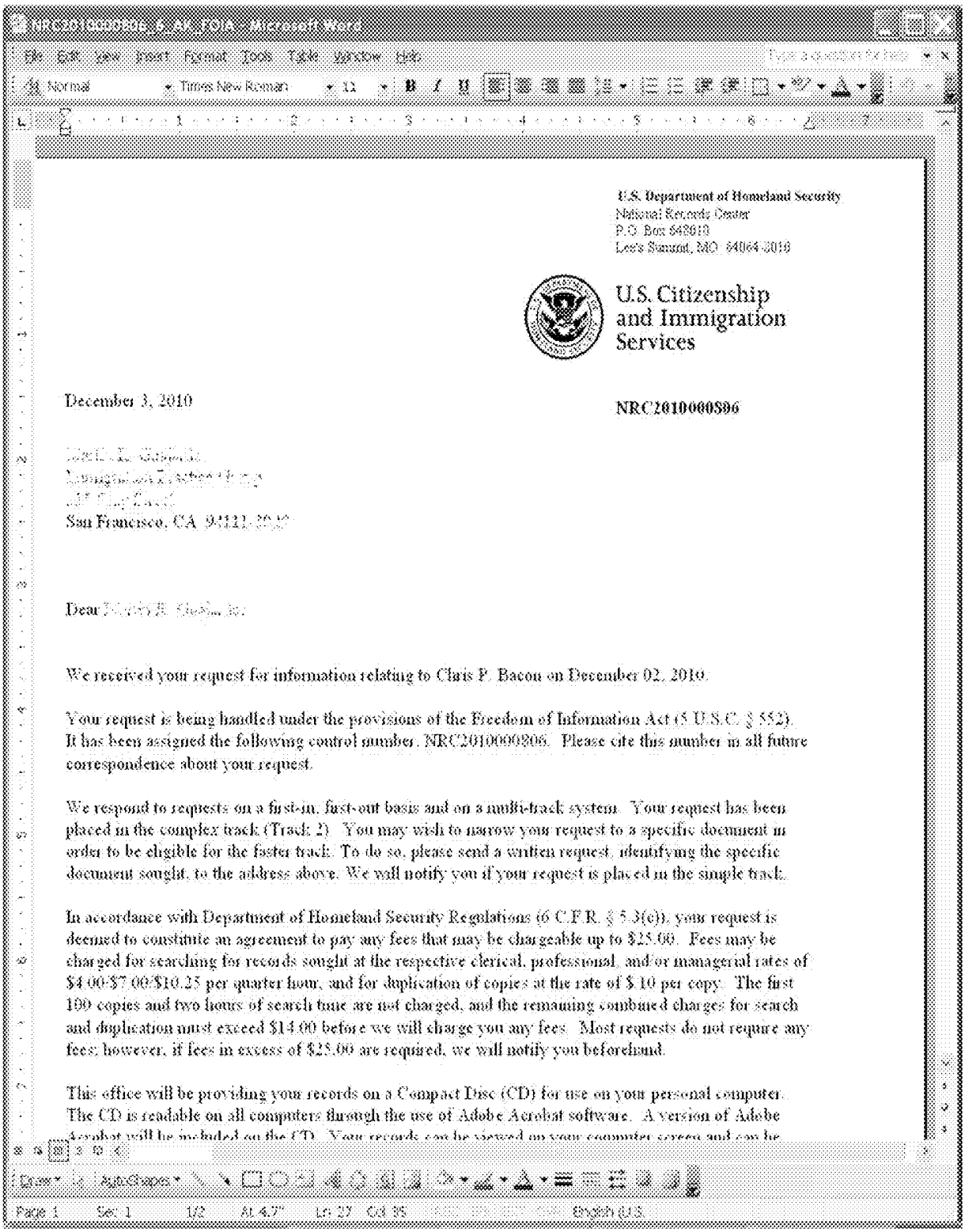

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

December 3, 2010

NRC2010000806

San Francisco, CA

Dear

We received your request for information relating to Chris P. Bacon on December 02, 2010.

Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: NRC2010000806. Please cite this number in all future correspondence about your request.

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be

You may have some modifications to make to the letter. If it is a request for Specific Documents, please delete the words "Specific Doc Information" and specify what they are

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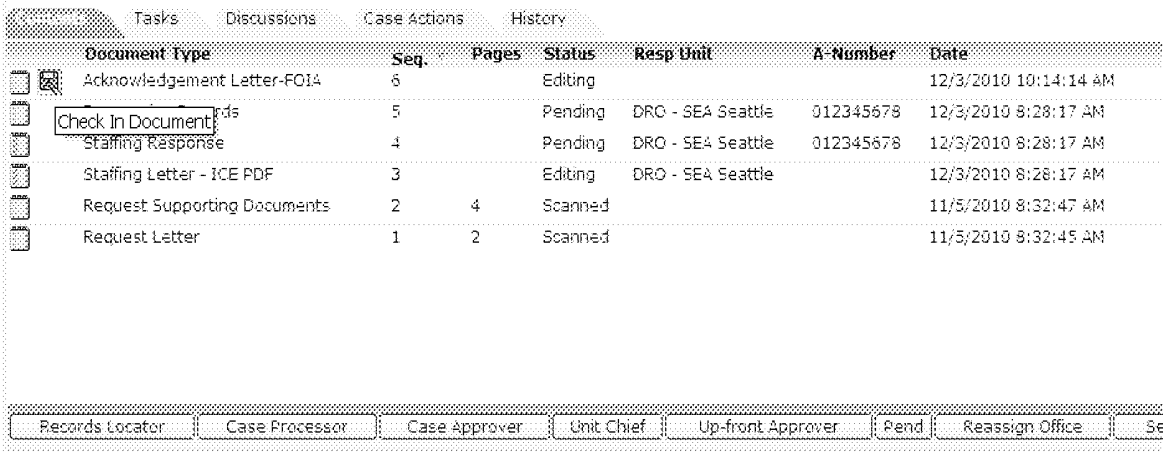
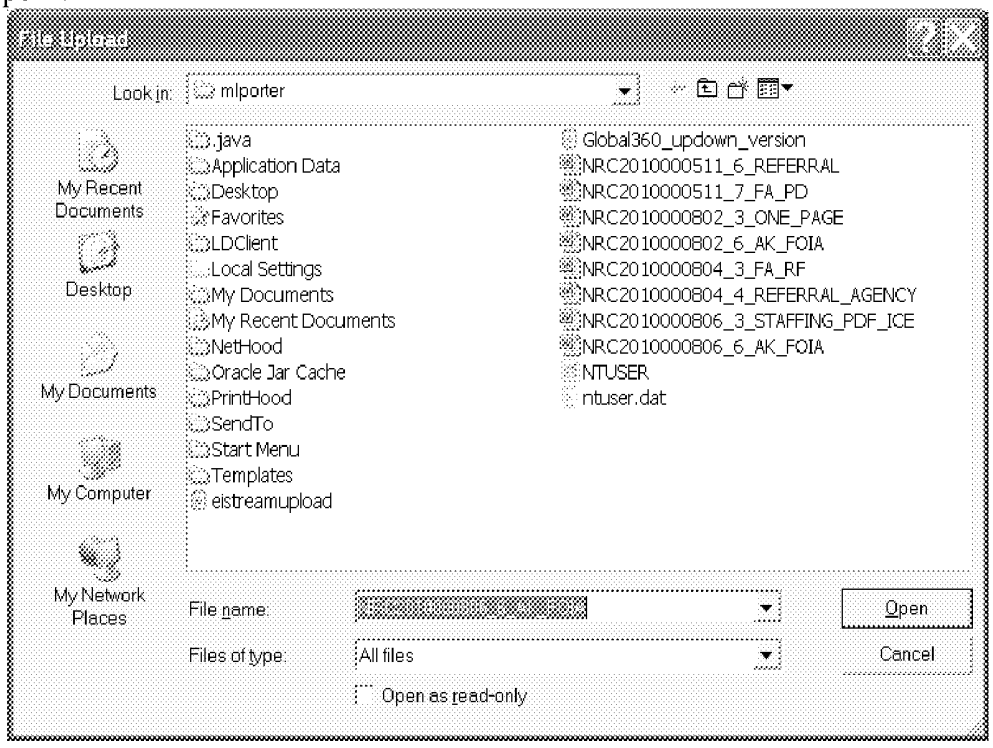
requesting. Word it as closely to their description as possible while maintaining proper grammar and punctuation.

After you finish, save the Word document and exit Word. Next, go to the "Contents" tab and click on the "Check in Document" icon.



Click "Open":



In this example, we are now ready to send this document to "Pend."

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19. DISCUSSIONS

Discussion notes are crucial to creating and processing a case. When creators are establishing the case in FIPS, they should note any unusual circumstances or details in a Discussion for later reference. FIPS creates entries in the Case Actions tab for all activities and creates a display on the Case Info screen when a duplicate is attached, but does not explain why.

FOIA/PA Assistants or Government Information Specialists *must* create Discussions:

- for any Up-front Approver case,
- anytime they are moving a case to Unit Chief,
- anytime they are reassigning the office,
- anytime they are staffing based on best available information, and
- any time there is a need to explain something unusual.

Because Discussions become a permanent part of the case in FIPS, you should not use Discussions to record personal feelings or to debate, question, or even to seek clarification. A FOIA/PA Assistant or Government Information Specialist should discuss issues needing clarification via e-mail, a telephone call or a personal visit to his or her supervisor.

20. CHANGING A REQ TO A CSD

(Note: this article pertains to people who work in the Research Queue)

Occasionally Requestor documents, certificates of identity, status requests and other correspondence will inadvertently get scanned into FIPS as a new request. If you encounter these types of documents in FIPS as REQ's, please attempt to locate the case to which the documents belong. After you locate the case in FIPS, make a note of the control number. Create a Discussion asking Research to add the request as CSD to the appropriate case. Next, go back to the worksheet in FIPS and Send to Research.

A person working the Research queue will assign the request to CSD as follows:

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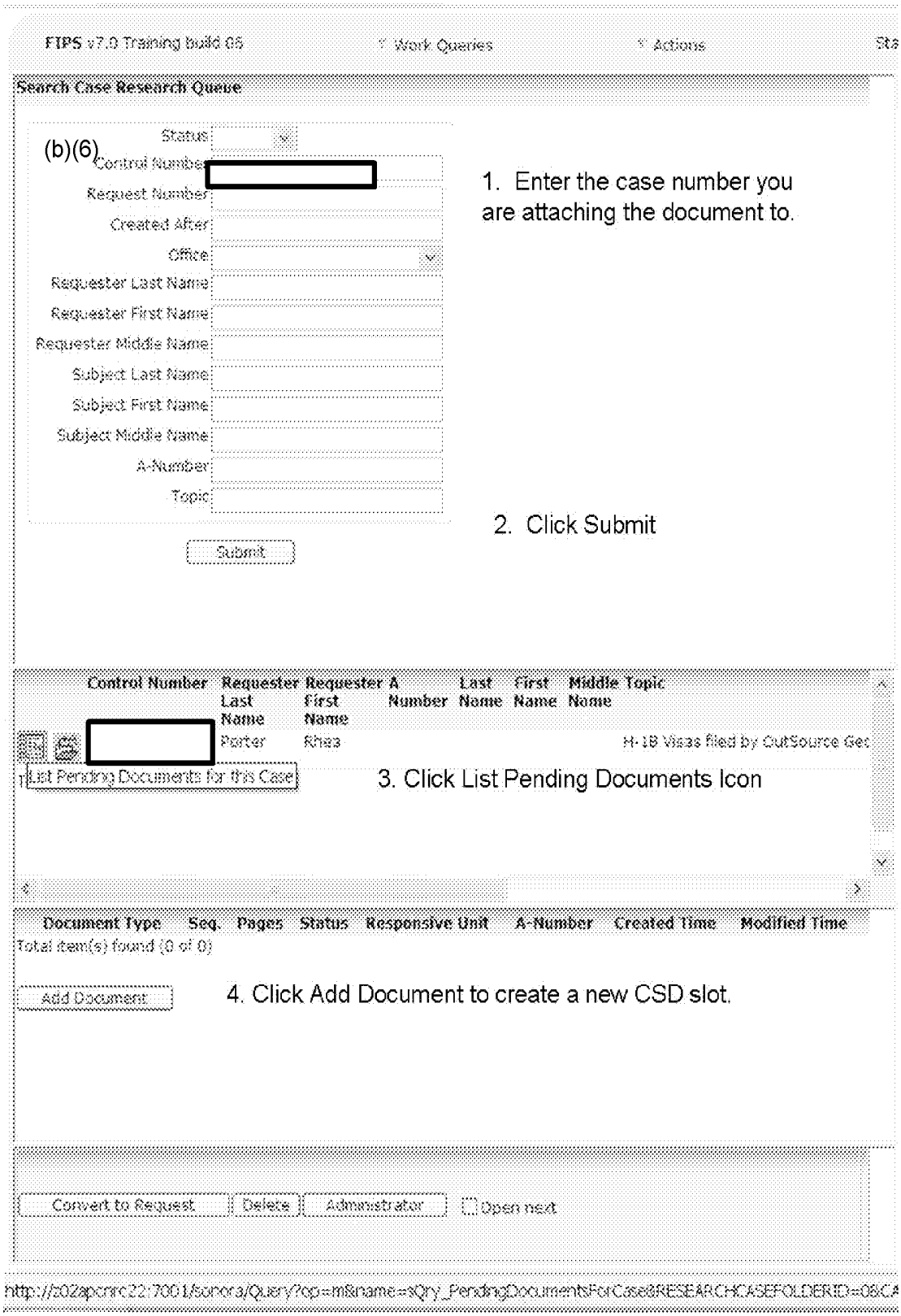

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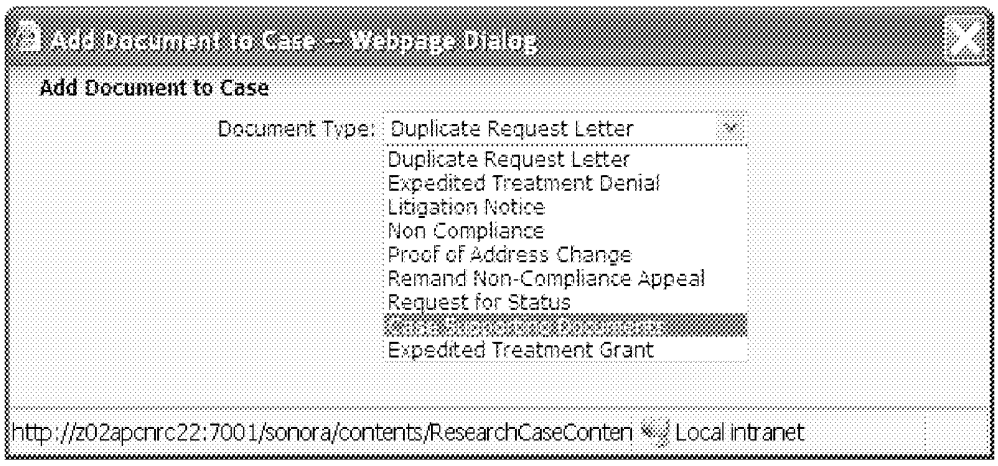

21. TROUBLESHOOTING WORK *FROM* THE OA ROOM

The FOIA/PA Assistants assigned to the mail are responsible for picking up faxes and mail (in the black bins marked Troubleshooter) from the OA room and in the basket located next to the copier in shared workroom each day and are responsible for sorting and working the mail. Individual team members expecting a fax should notify his or her supervisor or retrieve the fax. If the case has been created, insert a Discussion (Scan in fax and notify [me] when the fax has been scanned If the fax needs to be scanned in before reviewing, the OA Room clerks can scan it in and notify you. They may also deliver the fax or mail if needed.

22. TROUBLESHOOTING WORK *TO* THE OA ROOM

When new requests are taken to the OA room, place them in the "New Request" bin on the counter.

When taking Requestor documentation, CSD's, responsive records or certifications of identity to the OA room, write "Requestor Docs" or "CSD" on the first page, along with the date and your initials.

23. FOIA MAILBOXES:

FOIA has access to various e-mail mailboxes that serve different purposes. The paragraphs below describe these mailboxes and their purposes. E-mails to any of the FOIA mailboxes must contain specific instructions.

23.1 THE OA ROOM **(NRC, FOIAOA)**

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When you review all the scanned in CSDs and request documents which have been scanned into the case, you may find issues needing attention. Send e-mails to the OA Room when:

A. The original Final Action Letter and responsive records were mailed but the Requestor never received them. The OA room will reprint the records to CD or paper and re-mail per instructions provided in the e-mail. The instructions must include the control number and whether to print CD or paper, as well as how the case was closed "G1 or PD." Include a Discussion in the original case.

B. The responsive records need to be re-printed to CD due to the Requestor receiving a broken CD.

C. The Requestor has either has a changed or new address; therefore, the records need to be re-printed and re-mailed to the Requestor. You need to state in your instructions to the OA room that you've made the changes to the address in the final action letter. Correct the address on the final action letter and the FIPS database. State that you've changed the address in a Discussion.

D. The first or second page of the new request is missing. Ask them if they can check to see if the page was missed by the scanning department. Include the REQ#, and the data handwritten on the first page of the request. If the first page is missing, include the REQ# and the date the case was scanned. Send the case to Unit Chief until the OA Room sends a response. Then have the case returned to you and create as usual.

Note: sometimes we find documents that do not belong in the case we are working on and belong in another case or need to be created as a new case. Attach a coversheet and deliver it to the CSD bin in the OA Room when the request letter and supporting docs need to be printed and scanned into another case. Include instructions to the OA Room or the case creator, if necessary. You will need to attach a coversheet as a CSD when documents need scanned into create a new request attaché a NEW REQ (new request) coversheet and deliver to the New Requests bin in the OA Room. Do not send an email.

Don't forget to add a Discussion to the original case.

23.2 FST **(NRC, NRCFOIAMSB)**

Send e-mails to the FST mailbox when you encounter an appeal in case create that was not previously addressed. See section 8.16

All e-mails to the FST mailbox should contain the control number, the A-Number or subject of the case, and specific instructions relating to the case.

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23.3FIPS PROBLEM (b)(6)

Send e-mails to **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM [redacted] and your supervisor**:

A. If you are receiving FIPS errors, including if FIPS spontaneously closes
B. If responsive records need to be copied from one case to another
C. If records are incorrectly scanned in a case and need to be removed
D. If FIPS is running unusually slow. (b)(6)

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, [redacted] and your supervisor.**
Include the following in the subject line of your e-mail:

- If you are at a Work Stoppage and cannot do any work in FIPS, please title your subject line: **WORK STOPPAGE**, control number and issue.
- If the case you are working on has a problem that is preventing you from completing it, please title your subject line, **CASE NEEDS CORRECTION**, control number and issue
- If the message deals with a problem you can work around, please title your subject line: **FYI ONLY**, control number and issue. (b)(6)

In all cases, in the body of your message, please follow the same format listed below. Attach sanitized screen prints if applicable.

All e-mails to **FIPSPROBLEM, NRC, FOIA PROGRAM, [redacted] nd your supervisor** must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

- Are you teleworking or at the office?
- Temporarily: What operating system are you using? XP or Win7?
- What is your cube number?
- What is you work extension number?
- If there are errors in FIPS or FIPS is running slowly, include the following information in the e-mail:
  - What were you doing when the problem began?
  - Did you get an error message? If so, include the message or a screenshot of the message.
  - Is it slow or not responding at all?
  - What other Internet sites do you have open?

- If you are viewing or editing Responsive Records:
  - How many pages of responsive records are there?
  - Do you have thumbnails on?
  - Were you checking in a document, image file or letter?

- If you were doing a search:

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- If you were using a wild card, which field(s) and what criteria?
- If you were searching on one field or more, which fields (e.g. first and last name)?

24. E-MAIL TO CUSTOMERS

If necessary, send a message to the NRC, NRCFOIAMSB outlining what we need to say. The FST supervisor will generate the e-mail to the Requestor and transmit. Include all information in the e-mail that the FST supervisor will need in order to be able to send the e-mail. Put a Discussion in FIPS outlining your request to FST. If you are asking for more information from the Requestor, create a slot in the case in FIPS to ensure that the case will close out automatically if no response is received from the Requestor.

25. MAIL

The FOIA Division receives two types of mail: Returned Mail and Direct Mail.

25.1 RETURNED MAIL:

25.1.1 Interim Interest Letters

Returned Interim Interest Letters are scanned as Requestor Docs.

Except for Interim Interest Letters, all returned envelopes and letters are scanned as CSD's.

Do not use forwarding addresses provided by US Postal Service.

OA's will note each case with action taken for each piece of returned mail. Notes are to be complete and concise. They should include the reason the letter was returned, action taken, and the OA's name.

> **Note:** Not all letters are acknowledgment letters. The returned correspondence could be a status letter or request for additional information. Before letters are updated with the correct address, confirm the correct letter is being updated. The Discussion should include the type of letter being corrected and resent.

25.1.2 Acknowledgement letters

Compare address on acknowledgement letter to address on the G-639, G-28 and returned address on the original envelope.

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A. If there is a transcription error in the address:

1. Correct the address in the address section of the FIPS worksheet and click "Save" to update FIPS.
2. Correct the acknowledgement letter and resend letter.
3. Write the ID of the case creator on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.
4. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no such number**
   Body of Discussion: Address on letter did not match G639. Street address should be 1003 Market Street, not 103 Market Street. Updated FIPS and ack letter and resent letter. Name.

5. Returned acknowledgement letters with a Requestor document need to be repended for additional time. **Give the letter to the OA supervisor to repend.**

B. If the address on the acknowledgement letter matches the address on the G-639, G-28 and/or return address on original envelope:

1. Note the case. Example of the Discussion:

   Title of Discussion: **Returned Mail – no forwarding address**
   Body of Discussion: Address matches G-639. No other address found. Did not resend ack letter.

2. Give acknowledgement letter to OA Supervisor to Close.

25.1.3 Final Action Letters

Compare address on final action letter to address on the G-639, G-28 and returned address on original envelope. Check all CSDs for a new address.

A. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the letter and responsive records were returned. Discussion should include "no other address found; did not resend final action letter" and OA's name. **Scan envelope and front page of letter as CSD.**

   Shred the letter and responsive records.

B. If another address is found in the CSDs:

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1. Update FIPS and final action letter, reprint letter, and label and resend. **Scan original letter and envelope as CSD.**
2. Write the ID of the **case processor** on the returned letter and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.1.4 CDs

A. CDs Returned for postage.

Make a copy of the CD and re-mail. Attach the copy of the CD to the original CD mailer and give to the OA Supervisor. Note the case with the following Discussion.

Title of Discussion: CD Returned for Additional Postage
Body of Discussion: Re-mailed CD, date and name

B. CDs Returned due to Incorrect Address.

Compare address on final action letter to address on the G-639, G-28 and return address on original envelope. Check all CSD's for a new address.

1. If address matches G-639 and/or G-28 and no other address is found, note case with the reason the CD was returned. Discussion should include "no other address found; did not resend CD" and OA's name.

   Shred the CD.

2. If another address is found in the CSD's:

   a. Make a copy of the CD and returned envelope.

   b. Update FIPS and reprint a new label. (Do not update letter in FIPS). Put the new label on the outside of the CD Mailer (not directly on the CD).

   c. Write the ID of the **case processor** on the copy of the returned CD and give to OA Supervisor. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

25.2 DIRECT MAIL:

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This is mail sent directly to NRC from Requestors, subjects, attorneys, etc. The content of direct mail is varied and usually requires some type of action. Direct mail could consist of, but not limited to, any of the following:

- Change of Address (see section 25.2.3).
- Status Request (see section 25.2.4).
- Withdrawal of Request (see section 25.2.5).
- A request to change the scope of a FOIA request. The action required to change the scope of a request could involve changing the track of the case; depending upon the type of information/documents requested (see section 34).
- Correspondence about delinquent payments, including checks (see section 25.2.2)
- Responses to Track 3 denial or Expedited Treatment denial (see section 25.2.1)
- Responses to requests for additional information (see section 25.2.2)
- Requestor asks for their record on paper: scan in as a case supporting document (CSD)

We may respond to direct mail in writing or by phone, and some mail requires no response.

Please create a Discussion describing the problem and how it was corrected. The OA Room Clerk assigned to handle mail should initial, date, and write what kind of document (such as CSD or REQ DOCS) on the top page and staple the pages together after scanning. Case creators may deliver the fax or mail with CSD's to the OA room for scanning.

Mail or faxes regarding delinquent payments, payments made or checks received is pulled prior to distributing to the Team. If any of these types of documents are inadvertently left in with the mail, please give them to the Team supervisor.

25.2.1 Mail concerning Track 3 or expedited treatment

If we receive additional correspondence via e-mail, mail or fax relating to an existing case, asking for expedited processing or processing as Track 3; forward the correspondence to the FOIA/PA supervisor. A supervisor must review the correspondence and make a determination. We must address within 10 days in writing our response to the expedited or Track 3 processing request, whether we grant or deny.

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FOIA/PA Assistants assigned to mail will place the mail in the Track 3 or Expedited Review bin.

Insert a Discussion titled "Expedited Treatment Request" or "Track 3 Request." In the text of the Discussion type whether it was denied or approved and the sequence number of the status letter. Scan the additional correspondence in as a CSD.

If the Requestor responds to our denial of expedited treatment or Track 3 processing, the procedure is essentially the same: forward it to the FOIA-PA supervisor, who will make the determination.

If a FOIA/PA Assistant or Government Information Specialist working in Records Locator queue discovers correspondence relating to expedited processing or Track 3 scanned in but has not been addressed by a supervisor; that person should insert a Discussion. If it is regarding a Track 3 request, approve or deny the request. If it is regarding an expedited request, send the case to Admin or Unit Chief and send an e-mail to the supervisor handling the expedited requests and include the control number of the case. See section 6.3.1 for Track 3 and 6.3.6 for and Expedited processes.

25.2.2 Requestor documentation / additional information

This consists of documents or more information that we have asked the Requestor/subject to provide. When the information is received it is scanned into the Requestor documentation slot. Use the additional information provided to continue creating the case. If the Requestor/subject did not provide the alien number, use the information provided to search CIS 9103 and PCQS or CLAIMS to locate any responsive records, or receipt files. If the subject of record entered before 1975 and may possibly have had no business with INS or USCIS after 1975, you may have to staff to Records Indexing (see section 12.7.5, *Records Indexing/Manual Requests*). If you cannot locate any records relating to your person, you may have to close the case as NR (see section 12.18.6, *No Record*). Copy screen-prints of your searches for scanning in as CSD. (FYI CSD's can be scanned in after a case is closed).

We do not re-open cases that close as FC because the Requestor failed to reply within the time allotted - unless it is our fault. An example of our fault would be they sent back the Requestor docs and the envelope was postmarked before the deadline. It doesn't matter if they are one day late returning the requested information. The Team will send the Requestor a letter advising them that their case has been closed as a FC. If the Requestor still has an interest in receiving the information, he or she will need to submit a new FOIA request. This includes cases closed within the same month. We are handling these FC requests the same for everyone so nobody is getting unfair treatment. However, if you receive a call asking for more time to return the Requestor docs, and before the case closes, you may repend.

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See section 7.3, Reasonable Description of Records being Sought, and follow the steps in section 7.3.4, Requesting Additional Information with the Acknowledgement Letter
See Section 16b, FC (Failure to Comply) Case Closings and if needed NR, No Record section 12.18.6

25.2.3 Request for change of address

If you receive a Form AR-11 or other correspondence from an alien wanting to submit a change of address, forward the original letter and enclosures to the following address:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
PO Box 7134
London, KY 40742-7134

For commercial overnight or fast freight services only:

U.S. Department of Homeland Security
Bureau of Citizenship and Immigration
Change of Address
1084-I South Laurel Road
London, KY 40744

25.2.4 Status letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, click on the "Check your Case Status" icon.

Clicking the icon mentioned above will take you to the "My Case Status" page. Enter the Control or Receipt number, and click "Check Status."

The online status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

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If the request was processed or closed within the last six months the Requestor will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the Requestor will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the Requestor accurate information. In order to better serve our customers Teams should paste in the online status check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online status check. Do not provide status to the Requestor using the Calculate Queue Position button. Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from the Tasks tab in FIPS.

Note: The Status Letter will always state the track as "Track One." If you are not processing a Track one case, please make sure you change the track.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

25.2.5 Withdrawal of a FOIA/PA request

A Requestor must send us a document to withdraw a pending request. Upon receipt of a written request to withdraw a FOIA, please have the request scanned into the case as CSD. Make sure that the WD letter has been scanned in before you close the case. Ask your supervisor to send the case to you in Records Locator queue. Add a Discussion indicating that the request was withdrawn per the documents found in CSD.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe. The classified files POC will keep the files in the FOIA Safe until the case is closed. Once notified the file is no longer needed, he or she will return the file to the original FCO.

25.2.6 Mail received in a foreign language

If we receive mail written in a foreign language and you cannot determine whether it is a FOIA request, forward the mail to a supervisor. The supervisor will forward the documentation to FST, who will then return the translated mail.

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26. BLANK TAPES/CD's

If you receive a blank VHS tape, cassette or CD with a FOIA/PA Request, return it to the Requestor.

27. VIDEO REPRODUCTION

As responsive records are scanned into FIPS; when the scanner encounters any type of media, they forward the alien file to FST when their scanning is complete. The FST staff assigned to audio/video reproduction will copy the media and insert a Discussion that it is complete. Once the case is processed, the processor will send an e-mail to the FST mailbox with the case number and the page(s) number where the media can be located. FST will pull the media and process/make any necessary redactions. The media will be mailed to the Requestor separately.

28. CONGRESSIONAL REQUESTS AND APPEALS

Most FOIA/PA requests with congressional correspondence are written on behalf of a constituent and are actually a FOIA/PA request for an individual's records. These cases should also have an instruction sheet from Congressional, NRC. Simply create the case according to the directions. If you open a case with congressional correspondence, but there is no instruction sheet, please create the case as you normally create any other case, including staffing for the file and creating the acknowledgment letter or final action letter. After you have created the acknowledgment letter and staffing, or the final action letter, as appropriate, please send an e-mail to Congressional, NRC. The subject of the e-mail should be "Congressional Correspondence and the body of the e-mail should be the control number. Please CC your supervisor. Next, create a discussion entitled "Congressional Inquiry" and state in the comment field that you have sent an e-mail to Congressional, NRC. Finally, pend the case. However, true congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. The case should have an instruction sheet from Congressional, NRC. SIG processes true congressional requests. Simply create the case according to the directions and pend the case.

29. INCORRECT PAGE COUNTS:

The OA room will give final action letters with responsive records to the team supervisors if the page count in the letter differs from the amount of pages printed. The supervisors will distribute to team members to correct the page counts.

1. Using FIPS Standalone, go into the case that corresponds to the final action letter (NRC2010_ _ _ _ _). After the case is opened, determine the corrective action

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needed by comparing the responsive records in the case to the printed responsive records.

2. Correct the final action letter and reprint the letter.

3. Attach the reprinted final action letter to the responsive records.

4. Take the reprinted final action letter with the responsive records to the OA room to be mailed out.

5. Write the User ID Number of the person who created the final action letter in the upper right corner of the incorrect letter, and notate on the letter the corrections that you made. Do this in a controlled manner so that you and the supervisor are the only ones who see this paperwork.

6. Stack the incorrect final action letters in a separate pile. Write "ERRORS" on a post-it note and stick the post-it note to the top page to identify these as the incorrect letters.

7. Give the incorrect letters to the Team supervisors. The supervisors will give the incorrect final action letters to a FOIA supervisor daily for distribution and review.

30. ALIEN'S STATUS VERIFICATION LETTERS:

The National Records Center no longer issues certified Status Verification Letters to aliens. These letters were usually issued to individuals who had lost their Naturalization Certificates and needed verification of their status to apply for a passport or old age pension benefits in another country. If you get a request for certified Status Verification Letters, refer these individuals to USCIS.GOV to make an INFOPASS appointment.

31. INQUIRY FOR FILE REVIEW:

If you receive an e-mail regarding an inquiry for a file review, and the request is not in regard to a FOIA request, do not call the person or forward the e-mail to another NRC Division. Forward the e-mail to a Supervisor.

32. RECORDS LOCATOR QUEUE

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Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:

- The staffing has to be re-pended (please refer to section 33)
- Additional PII needed to verify the correct file (please refer to section 32.7)
- Requestor docs have been received (please refer to section 32.8)
- The wrong records were scanned into the case (please refer to section 32.9)
- We need to send an interim interest letter to an incarcerated individual (please refer to section 32.10)
- The file is lost or we got a response of not found or consolidated from a service center (please refer to section 32.11)
- Requestor writes to request the record on paper (please refer to section 32.12)
- Requestor wants to change the track of their case (please refer to section 34).

32.1 Start by reading Discussions. It is important to read all Discussions as well as insert Discussions as necessary. Listed below are points/actions that you should consider while working cases assigned to Records Locator queue.

32.2 Always check the alien number(s) in CIS to verify its accuracy before proceeding.

32.3 Always check cases in FIPS for duplicates searching all offices using the Alien number and name of the subject of record. If the subject of the request is a petition, it may help to search by the Requestor to see if that petition has already been addressed.

32.4 Read and follow directions in any Discussion found in the case regardless of the age of the case or who put them in. If there is a question, see your supervisor before proceeding with any action on the case.

32.5 Any time you create a new staffing for the same A-file or receipt, you must cancel the one it replaces.

32.6 If the A file has been scanned in and we are waiting on a T-file, review T-file staffings in NFTS History. If the T-file has been deleted or combined with an A-file or is from a RAFACS conversion, then cancel the pending T-file staffing, because the T-files no longer exist. Send the case to the processor.

32.7 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII is needed from the requestor/subject. You will have to create another Acknowledgement Letter and check the other documentation box. The Requestor Documentation Attachment will automatically be added to the Acknowledgement Letter. Check the boxes required and pend the case for Requestor Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them

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to the slot where the information is currently contained. Send the case to Unit Chief with a Discussion.

If the request was for specific documents, please remember to add the specific documents sentence to the new acknowledgement letter the same as in the original acknowledgement letter. If the specific document information sentence was done incorrectly in the original acknowledgment letter, please add an appropriate specific document information sentence to the new acknowledgment letter. That sentence gives us our legal basis for providing only the specific document requested. It also gives the Requestor an opportunity to clarify if the request was poorly worded or if we misunderstood. If we do not add the specific document information sentence to the new acknowledgment letter, the processor must process the entire file.

32.8 If we have received pending Requestor Documentation: Review the information provided. If the Requestor/subject adequately provided the requested PII and/or certification of agreement, request the file.

32.8.1 The Requestor/subject may respond negatively to the request for PII. For instance, we might have asked for A-Number and/or Petition/Receipt number, and they responded "none" or "unknown" to both. If we receive a negative response, please attempt to locate an alien file and staff, matching as much of the PII as possible. If you find a file, pend the case for responsive records based on best available information and create a Discussion saying you did so. If you are unable to find a file, close as FC. For the procedure, please see section 16b, Failure to Comply Case Closings.

32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_ Unperfected Letter for Older G-639 version

32.8.3 If a request for certification of agreement is returned but the Requestor says he or she is a third party Requestor (they have no relationship to the subject of the record and cannot or will not get certification of agreement), do not request the file.

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Create a Discussion with your findings and close as TD. Please refer to section 16a, TD (total denial) CASE CLOSINGS.

32.9 Wrong Records. Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.9.1 Did the Case Creator use the wrong alien number? If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and Tracy Bellisime and ask that the wrong records be removed.

32.9.2 Did the Requestor ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the Requestor. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff only if you have the beneficiary's PII and VOI. If not, close as FC. For Procedure, please see section 16.

32.9.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.9.3.1 Look for a pending case for the records that were scanned into your case.

32.9.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.9.3.3 If the responsive records are not scanned into the case, send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and Tracy Bellisime and ask them to move the responsive records from your case over to the correct case. Also ask them to remove the responsive records from your case and staffing response to "pending."

32.9.3.4 If the pending case already has records scanned in, review those records.

32.9.3.4.1 Are they the correct records for that case? If so, then you will need to verify that they are a duplicate of the ones in your case.

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32.9.3.4.2 If they are duplicates, then you do not have to do anything with that case.

32.9.3.4.3 Send an e-mail to NRC, FIPS Problem asking them to remove the wrong records from the staffing response and responsive records slots and re-set their status to "pending."

32.10 Mailing address is a detention facility. If you open a case in Records Locator queue and there is a Discussion instructing you to create an interim response letter because the individual is incarcerated:

32.10.1 The request must be over six months old before we send out the interim letter. If your case meets this criterion, create an Interim Interest Letter.

32.10.2 If the interim interest letter is returned saying the subject is no longer in custody and we do not have another address for the subject, you can close the case FC. For the procedure, please refer to section 16. **Do not close out the case FC without the returned mail.**

32.10.3 If the individual is still incarcerated and still interested in receiving the record, send the case to the processing queue.

32.11 If you open a case in Records Locator queue and there is a document scanned into the Staffing Response and the Responsive Records slot which has been changed to Inactive, look at the document scanned in to the Staffing Response.

32.11.1 If you are creating a case and the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scanned in as responsive records. Make sure the track is TRACK I.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*.

32.12 Paper. If a Requestor in the United States asks for his or her records on paper, uncheck "Print to CD" box create a Discussion citing the reason. Next, go to the Tasks tab and create a Status letter. In the Status letter, write, "This letter serves to notify you that we will be providing your records on paper."

33. REPENDING IN RECORDS LOCATOR QUEUE

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33.1 Do not create a Discussion that you repended the case; the system automatically creates a record of case action.

33.2 If you open a case in Records Locator queue and the file has not been scanned in nor is there any staffing response, you will probably have to repend the responsive records slot. However, before you repend the responsive records, verify the location of the A-file in NFTS and on the 9504 screen in CIS.

33.2.1 If the file has moved to another FCO, you should cancel the current file request and create a new one to reflect the new FCO.

33.2.2 If that file has moved from the original staffing location and is now in-transit to the NRC or has been received at the NRC, repend. Do NOT cancel the original file request or re-staff to RAFACS/CIS.

33.2.3 Do not cancel file requests and re-staff just because the request is old and has been pending for an extended period. Canceling file requests and re-staffing due to age affects the aging reports and makes it impossible to track these pending cases properly. Please continue to repend these cases as necessary. FIPS automatically sets a new due date at 60 days. If it is an RDF staffing, please change the new due date to 365 days.

33.3 If the file has been received by NRC and NFTS shows scanning, image processing, image problem files, streamliners (anything except a shelf location) repend.

33.4 If a SIG case comes up for repending in Records Locator queue, please repend and notify NRC, FOIASIG of this. Insert the case number on the subject line.

33.5 If NFTS shows the file is at the NRC and the location is SEIT Admin "FOIA files awaiting partner" do further research. If there is an A-file and a T-file that will be scanned in together when the other arrives, then repend. If there are two separate staffings for files, then e-mail NRC, FOIAFILEREQ to research and to have the file scanned in if necessary.

33.6 Not used.

33.7 When repending a case in Records Locator, please follow these steps:

33.7.1 Search for any duplicates

33.7.1.1 If you find a duplicate, refer to section 6.4, Search for Duplicate Cases.

33.7.2 If you do not find a duplicate:

A. Under the Contents tab, on the Staffing Letter to which you want to repend.

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B. Left-click on either the Staffing Response or Responsive Records and do not move the mouse to another location on the page until the drop-down menu appears.
C. Click on Manage Document from the drop-down menu.
D. On the right side of the pop up screen, you will see Days to Pend with a box showing 60. Leave the number of days 60 unless it is an RDF or a Lost File Staffing-please refer to sections 12.7.2 and 12.7.3 for Lost File Instructions.
E. If repending an overdue RDF staffing, type 365 in the Days to Pend box before you click on Update Due Date.

34. CHANGING THE TRACK OF A CASE

We do not change the track of a case except in the following instances:

34.1 The Requestor is narrowing the scope of their request from a Track 2 case to a Track 1 case. Prepare a status letter and advise the Requestor that their case is now on the simple track.

34.2 The Requestor has responded to our acknowledgment letter stating that he or she did not mean specific documents only, and this would cause us to move a case from Track 1 to Track 2. Prepare a status letter and advise the Requestor that their case is now in the complex track.

34.3 The Requestor has a Track 1 or 2 case and provides the required documentation to change their request to a Track 3. Prepare a status letter and advise the Requestor that their case is now in Track 3.

When you change the track of a case, ensure you click the "SAVE" button prior to exiting the case. After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

35. RESPONSIVE RECORDS SCANNED IN WITH STAFFING RESPONSE

Occasionally the responsive records are scanned in behind the staffing response, instead of into the responsive records slot. These cases then appear in the processing queue, but cannot be processed. If this occurs, send an email to NRC, FIPSPROBLEM, copy NRC, FOIA Program, [redacted] and your supervisor. Please insert a Discussion explaining the problem and send the case to Unit Chief.

(b)(6)

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Sometimes the case has not come up for processing yet and you encounter this situation in Records Locator queue. If that happens, create a Discussion indicating the problem (Responsive Records scanned into Staffing Response slot), and send a message to NRC, FIPSPROBLEM with the following information:

A. The NRC control number of the case,

B. The A number or Receipt Number of the records,

C. The staffing sequence they are scanned into, and

D. The number of pages scanned in.

Finally, send the case to Unit Chief so that the problem can be resolved.

36. Deleted

37. RE-STAFFING

There should be a discussion directing you to re-staff. If you are unsure about what to do, please contact a member of FST. The two most common re-staffing scenarios are:

- The file moved to another office – and we have to cancel pending slot and staff to the correct FCO. ***Do not confuse this with files that are now in-transit to NRC.**

- The current staffing is not correct (for example - an Atlanta general staffing instead of an Atlanta ICE staffing). In that scenario, we must cancel the pending slot and re-staff properly. If you are unsure, consult a member of FST.

38. FOIA SAFE

Cases staffed to the FOIA Safe are processed in the NRC queue.

While working Records Locator queue, if you pull a case that has been staffed to the FOIA Safe, **NEVER** cancel the staffing. Pend it for responsive records.

The RPC for the FOIA Safe is ZW0004.

If you see an RPC of "**ZW**" anywhere, it is a classified file.

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39. IN TRANSIT FILES

If NFTS shows a file is now in transit to the NRC, repend. ***Do not cancel the staffing and re-staff to NRC.**

40. MODIFICATION OF RECEIPT DATES

Modification of receipt dates is a serious matter. Final approval authority to modify a receipt date is ACD or higher. Any decision to modify a receipt date must take into consideration the negative effect such an action will have on the integrity and accuracy of the data in FIPS, as well as possible legal consequences.

41. FST DIRECTED PROJECTS

Occasionally, FST may have special projects that require your assistance.

FST paralegals must receive prior approval from a supervisor before approaching any member of the team member for assistance on such projects.

Supervisors will select the person(s) to assist with the projects as needed.

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APPENDIX A: PHONE NUMBERS

NRC/FOIA Fax:	816-350-5785, 5786, 5787
ILD Incoming Call Line:	816-350-5560
Human Resource Office:	816-350-5661
CIS Forms:	
By Phone:	1-800-870-3676
Website:	www.uscis.gov
National Customer Service:	1-800-375-5283
EOIR	800-898-7180

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APPENDIX B: ADDRESSES

MAILING ADDRESS OF NRC:

PO Box 648010
Lee's Summit, MO 64064-8010

PHYSICAL LOCATION OF NRC:

150 Space Center Loop
Lee's Summit, MO 64064

MAILING ADDRESS OF NBC:

National Benefits Center
PO Box 648005
Lee's Summit, MO 64064

MAILING ADDRESS OF CBP:
U.S. Customs and Border Protection
FOIA Division
90 K Street, NE, 9th Floor
Washington, DC 20229-1181
MAILING ADDRESS OF ICE:

Immigration and Customs Enforcement
Freedom of Information Act Office
800 North Capitol Street, 5th Floor, Suite 585
Washington, DC 20536

MAILING ADDRESS OF NATIONAL VISA CENTER:

U.S. Department of State
Attn: Sheryl Walter
Office of Information Programs & Services, SA-2
A/GIS/IPS/RL/RC
515 22nd Street, NW
Washington, DC 20522-8001

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MAILING ADDRESS FOR APPEALS

DHS, USCIS, NRC
FOIA Appeals Office
150 Space Center Loop, Suite 500
Lee's Summit, MO 64064-2139

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APPENDIX C: NATIONAL VISA CENTER VALID CONSULATE PREFIX CODES

ABD- Abu Dhabi (United Arab Emirates)

ABJ – Abidjan (Ivory Coast)

ACC- Accra (Ghana)

ACK- Auckland (New Zealand)

ADD- Addis Ababa (Ethiopia)

ALG – Algiers (Algeria)

AMN – Amman (Jordan)

AMS – Amsterdam (Holland)

ANK – Ankara (Turkey)

ANT – Antananarivo (Madagascar)

ASM – Asmara (Eritrea)

ASN – Asunción (Paraguay)

ATA – Almaty (Kazakhstan)

ATH – Athens (Greece)

BCH – Bucharest (Romania)

BDP – Budapest (Hungary)

BEN – Bern (Switzerland)

BGH – Post not Assigned

BGN – Bridgetown (Barbados)

BGT – Bogota (Colombia)

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BLZ – Belize City (Belize)

BMB – Bombay (aka Mumbai, India)

BNK – Bangkok (Thailand)

BNS – Buenos Aires (Argentina)

BRS – Brussels (Belgium)

BRT – Beirut (Lebanon)

BUJ – Bujumbura (Burundi)

CDJ – Ciudad Juarez (Mexico)

CLM – Colombo (Sri Lanka)

COT – Cotonou (Benin)

CPN – Copenhagen (Denmark)

CRO – Cairo (Egypt)

CRS – Caracas (Venezuela)

CSB – Casablanca (Morocco)

DBL – Dublin (Ireland)

DHK – Dhaka (Bangladesh)

DJI – Djibouti (Djibouti)

DKR – Dakar (Senegal)

DMS – Damascus (Syria)

DOH – Doha (Qatar)

DRS – Dar Es Salaam (Tanzania)

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FRN – Frankfurt (Germany)

FTN – Freetown (Sierra Leone)

GEO – Georgetown (Guyana)

GTM – Guatemala City (Guatemala)

GUZ – Guangzhou (Canton)

GYQ – Guayaquil (Ecuador)

HAV- Havana (Cuba)

HCM – Ho Chi Minh City (Saigon)

HLS – Helsinki (Finland)

HML – Hamilton

HNK – Hong Kong

HRE – Harare (Zimbabwe)

ISL – Islamabad (Pakistan)

JAK – Jakarta (Indonesia)

JHN – Johannesburg (South Africa)

JRS – Jerusalem (Israel)

KDU – Kathmandu (Nepal)

KEV – Kyiv (Ukraine)

KHF – Khartoum (Sudan)

KIN – Kinshasa (Congo)

KLL – Kuala Lumpur (Malaysia)

KNG – Kingston (Jamaica)

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KWT – Al Kuwait aka Kuwait City (Kuwait)

LGS – Lagos (Nigeria)

LIB – Libreville (Gabon)

LIL – Lilongwe (Malawi)

LMA – Lima (Peru)

LND – London (United Kingdom)

LOM – Lome (Togo)

LPZ – La Paz (Bolivia)

LSB – Lisbon (Portugal)

LUA – Luanda (Angola)

LUS – Lusaka (Zambia)

MDD – Madrid (Spain)

MDR – Madras aka Chennai (India)

MNA – Manama (Bahrain)

MNG – Managua (Nicaragua)

MNL – Manila (Philippines)

MOS – Moscow (Russia)

MRV – Monrovia (Liberia)

MST – Muscat (Oman)

MTL – Montreal (Canada)

MTV – Montevideo (Uruguay)

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NHA – Naha

NMY – Niamey (Niger)

NPL – Naples (Italy)

NRB – Nairobi (Kenya)

NSS – Nassau (Bahamas)

NWD – New Delhi (India)

OSL – Oslo (Norway)

OUG – Ouagadougou (Burkina Faso)

PHP – Phnom Penh (Cambodia)

PIA – Praia (Cape Verde)

PNM – Panama City (Panama)

PRG – Prague (Czech Republic)

PRM – Paramaribo (Suriname)

PRS – Paris (France)

PTD – Ponta Delgada (Azores)

PTM – Port Moresby (Papua New Guinea)

PTP – Port-au-Prince (Haïti)

PTS – Port of Spain (Trinidad & Tobago)

RDJ – Río de Janeiro (Brasil)

RID – Riyadh (Saudí Arabia)

RKJ – Reykjavik (Iceland)

RNG – Rangoon (Burma)

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SAA – Sana'a (Yemen)

SAR – Sarajevo (Bosnia & Herzegovina)

SDO – Santo Domingo (Dominican Republic)

SEO – Seoul (Korea)

SGP – Singapore

SKO – Skopje (Macedonia)

SNJ – San José (Costa Rica)

SNS – San Salvador (El Salvador)

SNT – Santiago (Chile)

SOF – Sofia (Bulgaria)

STK – Stockholm (Sweden)

SUV – Suva (Fiji)

SYD – Sydney (Australia)

TAI – Taipei

TAL – Tallinn (Estonia)

TBL – Tbilisi (Georgia)

TGG – Tegucigalpa (Honduras)

THT – Tashkent (Uzbekistan)

TIA – Tirana (Albania)

TKY – Tokyo (Japan)

TLV – Tel Aviv (Israel)

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TNS – Tunis (Tunisia)

VAC – Vancouver (Canada)

VNN – Vienna (Austria)

VNT – Vientiane (Laos)

WRW – Warsaw (Poland)

YDE – Yaounde (Cameroon)

YRV – Yerevan (Armenia)

ZGB – Zagreb (Croatia)

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APPENDIX D: CASE CLOSING CODES

PD – The case has been processed, responsive records were released in part.

G1 – The case has been processed, responsive records were released in full.

DP – The case was closed as a duplicate of another case.

ER – Created in error (see section 15).

WD – Case was closed as a withdrawal.

NA – FOIA/PA not applicable (see section 14).

NR – The case was closed as no record. We have conducted a thorough search of all databases for any files relating to the subject and found no results. All (non-responsive) screen prints are scanned in as CSD.

UT – Unable to locate alien file. We know there is a record, but it is lost. We may close cases if the alien file is marked as lost and it has been more than one year, but we must be able to prove we conducted a thorough search of all systems.

FC – Case closed for failure to comply (see section 16b).

FP – Cases close failure to pay when Requestors fail to submit payment.

RD – Advise Requestor to contact another government agency to acquire records. We tell the Requestor whom they should contact to obtain records responsive to their request.

RF – Cases forwarded to DHS components. We tell the Requestor the name of the agency we referred their request to.

TD – Total Denial (see section 16a).

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APPENDIX E: FORMS

www.uscis.gov

Title	Form Number
Change of Address	AR-11
Alien's Change of Address Card	AR-11SR
Genealogy Index Search Request	G-1041
Genealogy Records Request	G-1041A
Notice of Entry of Appearance as Attorney or Representative	G-28
Biographic Information	G-325
Biographic Information	G-325A
Biographic Information	G-325B
Biographic Information	G-325C
Freedom of Information Act/Privacy Act Request	G-639
Verification Request (Non-SAVE agencies)	G-845
Document Verification Request Supplement	G-845 Supplement
Document Verification Request (SAVE Agencies)	G-845S
Return of Original Documents	G-884
Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	I-102
Petition for a Nonimmigrant Worker	I-129
Petition for Alien Fiance(e)	I-129F

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Title	Form Number
Nonimmigrant Petition Based on Blanket L Petition	I-129S
Petition for Alien Relative	I-130
Application for Travel Document	I-131
Affidavit of Support	I-134
Immigrant Petition for Alien Worker	I-140
Application for Advance Permission to Return to Unrelinquished Domicile	I-191
Application for Advance Permission to Enter as a Non-Immigrant	I-192
Application for Waiver for Passport and/or Visa	I-193
Application for Permission to Reapply for Admission into the United States After Deportation or Removal	I-212
Application for Removal	I-243
Notice of Appeal or Motion	I-290B
Petition for Amerasian, Widow(er), or Special Immigrant	I-360
Affidavit of Financial Support and Intent to Petition for Legal Custody for Public Law 97-359 Amerasian	I-361
Request to Enforce Affidavit of Financial Support and Intent to Petition for Legal Custody for P.L. 97-359 Amerasian	I-363
Application to Register Permanent Residence or Adjust Status	I-485
Supplement A to Form I-485	I-485 Supplement A
Instructions for I-485, Supplement C, HRIFA	I-485 Supplement C
Instructions for I-485, Supplement E	I-485 Supplement E

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Title	Form Number
Waiver of Rights, Privileges, Exemptions and Immunities (Under Section 247(b) of the INA)	I-508
Waiver of Rights, Privileges, Exemptions, and Immunities	I-508F
Immigrant Petition by Alien Entrepreneur	I-526
Application To Extend/Change Nonimmigrant Status	I-539
For persons seeking V nonimmigrant status while in the United States or extension of V status.	I-539, Supplement A
Interagency Record of Request – A, G or NATO Dependent Employment Authorization or Change/Adjustment to/from A, G or NATO Status	I-566
Application for Asylum and Withholding of Removal	I-589
Petition to Classify Orphan as an Immediate Relative	I-600
Application for Advance Processing of Orphan Petition	I-600A
Application for Waiver of Ground of Inadmissibility	I-601
Application By Refugee For Waiver of Grounds of Excludability	I-602
Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	I-612
Health and Human Services Statistical Data for Refugee/Asylee Adjusting Status	I-643
Application for Status as a Temporary Resident Under Section 245A of the Immigration and Nationality Act	I-687
Application for Waiver of Grounds of Inadmissibility Under Sections 245A or 210 of the Immigration and Nationality Act	I-690
Report of Medical Examination and Vaccination Record	I-693
Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	I-694

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Title	Form Number
Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of Public Law 99-603)	I-698
Refugee/Asylee Relative Petition	I-730
Petition to Remove the Conditions of Residence	I-751
Application for Employment Authorization	I-765
Application for Replacement of Northern Mariana Card	I-777
Petition to Classify Convention Adoptee as an Immediate Relative	I-800
Application for Determination of Suitability to Adopt a Child from a Convention Country	I-800A
Application for Family Unity Benefits	I-817
Application for Temporary Protected Status	I-821
Application for Action on an Approved Application or Petition	I-824
Petition by Entrepreneur to Remove Conditions	I-829
Inter-Agency Alien Witness and Informant Record	I-854
Affidavit of Support Under Section 213A of the Act	I-864
Contract Between Sponsor and Household Member	I-864A
Affidavit of Support Under Section 213A of the Act	I-864EZ
Poverty Guidelines	I-864P
Intending Immigrant's Affidavit of Support Exemption	I-864W
Sponsor's Notice of Change of Address	I-865
Application for Suspension of Deportation or Special Rule Cancellation of Removal (Pursuant to Section 203 of Public Law 105-100 (NACARA))	I-881

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Title	Form Number
Employment Eligibility Verification	I-9
Application to Replace Permanent Resident Card	I-90
Application for Authorization to Issue Certification for Health Care Workers	I-905
Request for Premium Processing Service	I-907
Application for T Nonimmigrant Status	I-914
Petition for U Nonimmigrant Status	I-918
Petition for Qualifying Family Member of a U-1 Nonimmigrant	I-929
Application to File Declaration of Intention	N-300
Request for a Hearing on a Decision in Naturalization Proceedings (Under Section 336 of the INA)	N-336
Monthly Report Naturalization Papers	N-4
Application for Naturalization	N-400
Request for Certification of Military or Naval Service	N-426
Application to Preserve Residence for Naturalization Purposes	N-470
Application for Replacement Naturalization/Citizenship Document	N-565
Application for Certificate of Citizenship	N-600
Application for Citizenship and Issuance of Certificate under Section 322	N-600K
Application for Posthumous Citizenship	N-644
Medical Certification for Disability Exceptions	N-648

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APPENDIX F: USEFUL ACRONYMS

AAPM	Affirmative Asylum Procedures Manual
ABC	American Baptist Churches
ACLU	American Civil Liberties Union
ACPA	Assistant Chief Patrol Agent
ADDE	Assistant District Director for Examinations
ADDD	Assistant District Director for Deportation
ADDI	Assistant District Director for Investigations
ADIS	Arrival Departure Information System
AFM	Adjudicators Field Manual
A-File	Alien Registration File (basic Alien File)
AILA	American Immigration Lawyers Association
AO	Asylum Officer
AOBTC	Asylum Officer's Basic Training Course
AOIC	Assistant Officer in Charge
ARB	Administrative Review Board
ARC	Alien Registration Card
ASC	Application Support Center
ASIS	Anti-Smuggling Information System
AUSA	Assistant United States Attorney
ATF	(Bureau) Alcohol, Tobacco and Firearms

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AVL	Asylum Virtual Library
BBAT	Bond Backlog Action Team
BCAA	Background Check and Adjudicative Assessment
BCIC	Border Crossing Identification Card
BCC	Border Crossing Card
BCIS	Bureau of Citizenship and Immigration Services
Bene	Beneficiary
BEP	Backlog Elimination Plan
BIA	Board of Immigration Appeals; or Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOP	Bureau of Prisons
BORTAC	Border Patrol Tactical Unit
BORSTAR	Border Patrol Search, Trauma and Rescue team
BP	Border Patrol
BRP	Backlog Reduction Plan
BSS	Biometric Storage System
CAA	Cuban Adjustment Act
CAP	Criminal Alien Program
CAPES	Classification and Placement Evaluation System
CARRP	Controlled Application Review and Resolution Program
CBO	Congressional Budget Office / Community Based Organization
CBP	Customs and Border Protection

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CCB	Child Care Bureau
CCD	Consular Consolidated Database
CDC	Center for Disease Control
CDSO	Collateral Duty Security/Safety Officer
CFR	Code of Federal Regulations
CIA	Central Intelligence Agency
CIO	Chief Information Officer
CIS	Central Index System
CLAIMS	Computer Linked Application Information Management Systems
CMHS	Center for Mental Health Services
COA	Class of Admission or Change of Address
COMSEC	Communications Security
CONUS	Continental United States
COOP	Continuity of Operations Plan
COTR	Contracting Officer Technical Representative
COW	Central Office Washington
CP	Case Processor
CPA	Chief Patrol Agent
CPO	Chief Privacy Officer
CSAT	Computer Security Awareness Training
CSD	Case Supporting Documents

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CSPA	Child Status Protection Act
CSRS	Civil Service Retirement System
CSWP	Customer Service Web Portal
CUI	Controlled Unclassified Information
CUSA	Citizenship USA
DACS	Deportable Alien Control System
DAO	District Adjudication Officer
DD	District Director
D&D	Detention & Deportation
DDD	Deputy District Director
DDP	Detention and Deportation Program
DEA	Drug Enforcement Agency
DEO	Detention Enforcement Officer
DFS	Designated Fingerprint Service
DHS	Dept. of Homeland Security
DLEA	Designated Law Enforcement Agency
DOC	Dept. of Commerce
DOD	Dept. of Defense
DOE	Date of Entry; or Dept. of Energy
DOJ	Dept. of Justice
DORA	District Office Rapid Adjudication
DOS	Dept. of State

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DP	Duplicate
DRO	Detention and Removal Office
EABM	Enforce Apprehension Booking Module
EAC	Eastern Adjudications Center
EAD	Employment Authorization Document
EAP	Employee Assistance Program
EARM	Enforce Alien Removal Module
ECN	Enterprise Collaborative Network
EDMS	Enterprise Document Management System
EEOC	Equal Employment Opportunity Commission
EEV	Employment Eligibility Verification
EFF	Electronic Frontier Foundation
EFOIA	Electronic Freedom of Information Act (initiative)
EIR	Entrepreneur in Residence
ELIS	Electronic Immigration System
ENFORCE	Enforcement Case Tracking System
EOIR	Executive Office of Immigration Review
eOPF	Electronic Official Personnel Folder (eOPF)
EPA	Environmental Protection Agency
ER	Created in Error
ERO	Eastern Regional Office

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ESC	Eastern Service Center
ETC	Eastern Telephone Center
EVD	Extended Voluntary Departure
EWI	Entry Without Inspection
FAA	Federal Aviation Administration
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FC	Failure to Comply
FCC	Federal Communications Commission
FCO	File Control Office
FD-258	Fingerprint Card
FDL	Forensic Document Laboratory
FDNS	Fraud Detection National Security
FDNS-DS	Fraud Detection National Security – Data System
FDU	Fraud Detection Units
FEDVIP	Federal Employees Dental and Vision Insurance Program
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FEMA	Federal Emergency Management Agency
FHA	Federal Housing Administration
FIPS	Freedom of Information & Privacy Act Processing System
FISMA	Federal Information Security Management Act

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FLETC	Federal Law Enforcement Training Center
FMLA	Family Medical Leave Act
FOD	Field Office Director
FOH	Federal Occupational Health
FOIA	Freedom of Information Act
FOSC	Fugitive Operations Support Center
FOUO	For Official Use Only
FPS	Federal Protective Service
FRC	Federal Records Center
FSM	Field Security Manager
FST	FOIA Support Team
G-28	Notice of Entry of Appearance as Attorney or Representative
G-325	Biographic Information
G-325A	Biographic Information
G-639	Freedom of Information/Privacy Act Request
GAO	Government Accountability Office
GIS	Government Information Specialist
GILS	Government Information Locator Service
GPO	Government Printing Office
GSA	General Services Administration
HCFSA	Health Care Flexible Spending Account

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HHS	Dept. of Health and Human Services
HQASM	Headquarters Asylum Division
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
HRSA	Health Resources and Services Administration
HSA	Health Savings Account
HSPC	Houston Service Processing Center
HUD	Dept. of Housing and Urban Development
I-90	Application to Replace Permanent Resident Card (Green Card)
I-129	Petition for Nonimmigrant Worker
I-129F	Petition for Alien Fiancée
I-130	Petition for Alien Relative
I-131	Application for Travel Document
I-134	Affidavit of Support
I-140	Immigrant Petition for Alien Worker
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal
I-360	Petition for Amerasian, Widow(er) or Special Immigrant
I-485	Application to Register Permanent Residence or to Adjust Status
I-485A	Supplement to Form I-485
I-485B	NACARA Supplement to Form I-485 Instructions
I-539	Application to Extend/Change Nonimmigrant Status
I-551	Alien Registration Card (Green Card)

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I-589	Application for Asylum and Withholding of Removal
I-600	Petition to Classify Orphan as an Immediate Relative
I-751	Petition to Remove Conditions of Residence
I-765	Application for Employment Authorization
I-821	Application for Temporary Protected Status
I-864	Affidavit of Support under Section 213A of the Act
IA	Immigration Agent; or Investigative Assistant
IBF	Identity and Benefit Fraud (program)
IBIS	Interagency Border Inspection System
ICE	Immigration and Customs Enforcement
ICE-BFU	ICE Benefit Fraud Unit
ICEPIC	ICE Pattern Analysis and Information Collection.
ICF	Immigration Card Facility
ICS	Information and Customer Service
IDDMS	Integrated Digitization Document Management Program
IDENT	Automated Biometric Identification System
IDMS	Identity Management System
IDP	Individual Development Plan
IE	Immigration Examiner
II	Immigration Inspector
IIRIRA	Illegal Immigration Reform and Immigrant Responsibility Act of 1996
IJ	Immigration Judge

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IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act
INS	Immigration and Naturalization Service (legacy)
INTCA	Immigration and Naturalization Technical Corrections Act of 1994
INTERPOL	International Criminal Police Organization
IO	Information Officer
IRCA	Immigration Reform and Control Act
IRS	Internal Revenue Service
ISAP	Intensive Supervision Appearance Program
ISCPM	Identity and Security Checks Procedures Manual
ISO	Immigration Services Officer (USCIS)
ISRS	Image Storage and Retrieval System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
IT	Information Technology
ITSR	Information Technology Service Request
JABS	Joint Automated Booking Stations
JPATS	Justice Prisoner and Alien Transportation Service
JTTF	Joint Terrorism Task Force
KST	Known or Suspected Terrorist
LAPR	Lawfully Admitted Permanent Resident

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LAPS	Legalization Application Processing System
LEAD	Leadership Education and Development
LES	Law Enforcement Sensitive
LESC	Law Enforcement Support Center
LIFE	Legal Immigration Family Equity (Act)
LIN	Northern Service Center (Lincoln, NE)
LOU	Limited Official Use
LPR	Lawful Permanent Resident
LULAC	League of United Latin American Citizens
MFAS	Marriage Fraud Amendment System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N-300	Application to File Declaration of Intention
N-400	Application for Naturalization
N-565	Application for Replacement of Naturalization/Citizenship Document
N-600	Application for Certification of Citizenship
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NACS	Naturalization Application Casework System
NAILS	National Automated Immigration Lookout System
NARA	National Archives and Records Administration
NBC	National Benefits Center
NCIC	National Crime Information Center

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NCJRS	National Criminal Justice Reference Service
NFTS	National File Tracking System
NIIS	Non-immigrant Information System
NLETS	National Law Enforcement Telecommunications System
NLRB	National Labor Relations Board
NOID	Notice of Intent to Deny
NQP	Naturalization Quality Procedures
NR	No Record (we are not able to find any record)
NRC	National Records Center / Nuclear Regulatory Commission
NSA	National Security Agency
NSC	Northern Service Center / National Security Council
NSI	National Security Information
NSRV	National Security Records and Verification
NTA	Notice to Appear
NVC	National Visa Center
NWIRP	Northwest Immigrant Rights Project
OA	Office Automation
OCC	Office of Chief Counsel
OCDETF	Organized Crime Drug Enforcement Task Force
OCIO	Office of the Chief Information Officer
OCSE	Office of Child Support Enforcement

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OEM&S	Office of Emergency Management & Safety
OEP	Occupant Emergency Plan
OEPC	Office of Emergency Preparedness and Coordination
OFR	Office of the Federal Register
OIC	Officer in Charge
OIG	Office of the Inspector General
OIS	Office of Immigration Statistics
OIT	Office of Information Technology
OMB	Office of Management and Budget
OPF	Official Personnel File
OPLA	Office of the Principal Legal Advisor
OPM	Office of Personnel Management
OPSEC	Operational Security
ORR	Office of Refugee Resettlement
ORS	Office of Records Services
OSC	Order to Show Cause / Office of Special Council
OSCE	Office of Child Support Enforcement
OSI	Office of Security and Integrity
OTD	Office of Training and Development
OUO	Official Use Only
OVC	Office for Victims of Crime
OWCP	Office of Workers' Compensation Programs

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PA	Privacy Act
PAIC	Patrol Agent in Charge
PC	Peace Corps
PCII	Protected Critical Infrastructure Information
PCQS	Person-Centric Query System
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PLAIN	Plain Language Action and Information Network
POC	Point of Contact
POE	Port of Entry
PTA	Privacy Threshold Assessment
PTIG	Privacy Technology Implementation Guide
RAC	Resident Agent in Charge
RAFACS	Receipt and Alien File Accountability and Control System
RAIO	Refugee Asylum and International Operations
RAPS	Refugee, Asylum and Parole System
RAVU	Refugee Access Verification Unit
RD	Redirected to another agency outside DHS
RDF	Records Digitization Facility
RF	Referred to a DHS component other than USCIS
RL	Records Locator

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RNACS	Redesigned Naturalization Application Casework System
ROH	Record Operations Handbook
RPC	Responsible Party Code
RTD	Refugee Travel Document
SA	Special Agent
SAC	Special Agent in Charge
SAMS	Sunflower Asset Management System
SAO	Supervisor Adjudications Officer
SAVE	Systematic Alien Verification for Entitlement
SAW	Special Agricultural Worker
SBU	Sensitive But Unclassified
SCCLAIMS	Service Center CLAIMS
SDAO	Supervisory District Adjudications Officer
SDEO	Supervisory Detention Enforcement Officer
SDO	Supervisory Detention Officer
SES	Senior Executive Service
SEVIS	Student and Exchange Visitor Information System
SHSI	Sensitive Homeland Security Information
SIG	Significant or Special Interest Group
SII	Supervisory Immigration Inspector
SIO	Supervisory Information Officer
SLOB	Service Lookout Book (old way)

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SORN	System of Records Notices
SPBP	Special Public Benefit Parole
SPOT	Screening Passengers by Observation Techniques
SOR	Subject of Record
SRC	Southern Regional Center (Southern Service Center)
SSA	Supervisory Special Agent; or Social Security Administration
SSC	Southern Service Center
SSI	Sensitive Security Information
SSO	Special Security Officer
STAR	System for Time and Attendance Reporting
TAC	Third Agency Checks
TAP	Tuition Assistance Program
TCDD	Training and Career Development Division
TECS	Treasury Enforcement Communication System
TPO	Transformation Program Offices
TPS	Temporary Protective Status
TSA	Transportation Security Administration
TSC	Texas Service Center
TSP	Thrift Savings Plan
TVA	Tennessee Valley Authority
UC	Unit Chief

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UFA	Up-front Approver
UK	United Kingdom
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USA	United States Army
USACE	U.S. Army Corps of Engineers
USAF	United States Air Force
USC	United States Citizen
U.S.C.	United States Code
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
USCS	United States Customs Service
USMC	United States Marine Corps
USMS	United States Marshals Service
USN	United States Navy
USNCB	United States National Central Bureau of INTERPOL
USPS	United States Postal Service
USRAP	U.S. Refugee Admissions Program
USSS	United States Secret Service
US-VISIT	United States Visitor and Immigrant Status Indicator Technology
UT	Unable to locate (we know a record exists, but it is lost)
VA	Department of Veterans Affairs

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VAWA	Violence Against Women Act
VAWO	Violence Against Women Office
VD	Voluntary Departure
VIS	Verification Information System
VOI	Verification of Identity
VTVPA	Victims of Trafficking and Violence Protection Act of 2000
VWPP	Visa Pilot Waiver Program
WAC	Western Adjudications Center
WA/NTA	Warrant for Arrest/Notice to Appear
WHO	World Health Organization
WHTI	Western Hemisphere Travel Initiative
WSC	Western Service Center (same as California Service Center)
WTC	Western Telephone Center

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APPENDIX G: DEFINITIONS

The definitions listed below are words and phrases that frequently appear in FOIA and PA requests. The list is arranged in alphabetical order. Additional definitions can be located at http://www.uscis.gov/portal/site/uscis/menuitem. Select the tab titled "Education and Resource."

Access - Includes any form of disclosure, to include oral, visual, or reproduced copy. A reproduced copy, whether in paper or electronic format, always satisfies FOIA/PA access requirements.

Agency - Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. This does not include the legislative (Congress) or judicial (Courts) branches of the Government, nor does it apply to state, local, or foreign government agencies. The Department of Homeland Security (DHS) is an agency as defined above. The following are components or bureaus of the Department of Homeland Security; United States Immigration and Customs Enforcement (ICE), United States Customs and Border Protection (CBP), United States Secret Service (USSS), etc.

Agency Record - Any tangible recording of information and/or any item, collection, or grouping of information, including electronic that is maintained and controlled by an agency.

Notes or documents which are made by an employee, kept purely voluntarily, not circulated to nor used by anyone other than the author, and discarded or retained at the author's sole discretion for his/her own individual purposes are personal records. These are not generally agency records because they are not subject to the rules and controls of the agency for records management and disposition. These may, however, become agency records for purposes of the FOIA or PA if used to carry out an agency function (e.g., as the basis for a performance rating).

Component - Each separate bureau, office, board, division, commission, service, or administration, or agency of a Federal Executive Branch Department. For example: Border and Transportation Security (BTS), Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), Immigration and Customs Enforcement (ICE) are components of the Department of Homeland Security.

Conditions of Disclosure - Specific provisions in the Privacy Act (5 U.S.C. § 552a(b)(1) through (12)) allows the agency to disseminate information from a PA system of records without the prior written certification of agreement of the record subject.

Congressional Committee Request - A request from either House of Congress, to the extent of matters within its jurisdiction; a subcommittee thereof; any joint committee of Congress; any

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subcommittee of any such joint committee. Agencies may not use FOIA or PA exemptions to deny records that are the subject of such a request.

Congressional Request - A request from a Member of Congress on his or her own behalf, or on behalf of a constituent. After acknowledgment under congressional correspondence procedures, congressional requests are to be processed in the same manner as any other FOIA or PA request.

Consolidation – Combination of paperwork into a main file. After the service completes work on a petition or application, we combine it into the person's A-file. If the service discovers two "unconsolidated" A-Numbers for a person, we combine the two files. One of the A-Numbers becomes the "survivor" and the other becomes the "consolidated A-Number."

Consultation - Obtaining the views of another DHS component or Federal agency concerning the release of information that has been incorporated into immigration documents or a reciprocal request. The National Records Center, FOIA/PA Division, makes the final overall determination on release.

Freedom of Information Act Request - A request **in writing** by any person for access to any record maintained by any Federal agency. Federal agencies are not persons for purposes of FOIA.

Included are requests for access to Privacy Act records of another person without the written certification of agreement of the record subject, as well as requests from nonimmigrant aliens for access to their own records.

FOIA/PA Information Processing System (FIPS) - Through the use of imaging, workflow, and graphical user interface technologies, FIPS allows USCIS to electronically manage and process FOIA and PA requests.

First Party Requestor - A subject or designated representative asking for access to his/her record. A notarized signature or a sworn declaration under penalty of perjury from the record subject is required for access to records.

Forms – Various government forms available from www.uscis.gov/portal/site/uscis that are provided for the use of Requestors and their representatives when submitting a FOIA or PA request with USCIS. The more common forms include:

- G-28 – Notice of Entry of Appearance as Attorney or Representative - This form is used for information purposes only. It should be signed by the attorney or representative and by the subject of the record. Does not qualify for certification of agreement unless the attorney or representative has inserted the penalty of perjury statement and the subject of the file has signed the document.

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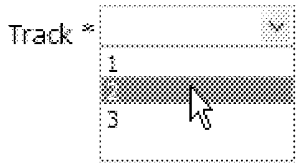
- G-639 Freedom of Information/Privacy Act Request – This form can be used to make a FOIA/PA request. When completed it provides enough information to complete an extensive search for records.

Individual - The PA describes an individual as follows: a U.S. Citizen (U.S.C.) or alien lawfully admitted for permanent residence (LPR). Conditional residents are considered LPRs. Corporations and organizations are not individuals.

Multi-track System - USCIS utilizes a three-track system to process all FOIA requests.

Track Drop-Down List



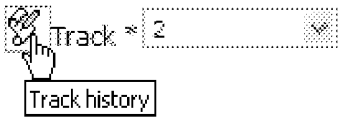
- Track 1 is used for the less complex cases. These are cases where only one Two or three. specific documents are being requested from the file.

- Track 2 is used for the more complex cases. A complete copy of a file, requests from the news media or special interest groups are considered Track 2 cases.

- Track 3 is used for cases that specifically involve individuals who have been scheduled to appear before an immigration judge.

To view the track history of the active case, click the **Track history** icon next to the Track drop-down list.

Track History Icon



The track history appears in a separate pop-up window.

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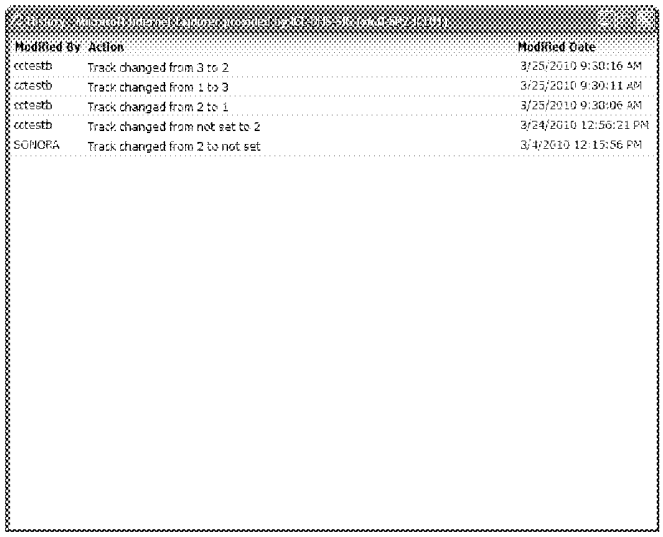
Track History Displayed



Modified By	Action	Modified Date
cctestb	Track changed from 3 to 2	3/25/2010 9:30:16 AM
cctestb	Track changed from 1 to 3	3/25/2010 9:30:11 AM
cctestb	Track changed from 2 to 1	3/25/2010 9:30:06 AM
cctestb	Track changed from not set to 2	3/24/2010 12:56:21 PM
SONORA	Track changed from 2 to not set	3/4/2010 12:15:56 PM

Privacy Act Amendment Request - A request from a U.S.C. or LPR to amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete.

Privacy Act Record - Any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual. This information includes, but is not limited to, a person's education, financial, medical, criminal or employment history.

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Privacy Act Request - A request in writing submitted either in person or by mail, for records that are contained in a Privacy Act system of records. The records must be under the control of DHS and be retrieved by the name of the Requestor or other personal identifier. Requests are received from:

- A USC or LPR for access to his/her own records, or
- A third-party with a signed privacy waiver from the record subject acting on the subject's behalf, or
- The parent of an LPR or USC minor child or the legal guardian of a person declared incompetent by a court of competent jurisdiction.

Records Custodian - The official responsible for the maintenance, security, control, and final disposition of official records that are required by law, regulation, or other directive to be kept by the Agency.

Referral - Information found in immigration records – the forwarding of a record that originated with another component of DHS or another Federal agency for direct response to the FOIA/PA Requestor. Also includes transferring responsibility for responding to a request regarding the release of records to the DHS component best able to determine whether to disclose, or to the Federal agency that originated the record.

Retire – The service sends the A-file to the Federal Records Center (FRC) after a number of years have passed with no activity. This is called "retiring" the file. Occasionally, we have to request a retired file from the FRC.

Rider – A person who is also listed on a petition or application that will also benefit if that petition or application is approved. For example, a woman applying for asylum lists her husband and two children on her asylum application. They are riders.

Routine Use - An established use and authority for disclosure of records from a Privacy Act System of Records, other than an intra-agency disclosure. Disclosure or use must be for a purpose that is compatible with the purpose for it was collected, that would be otherwise prohibited by the PA. Such disclosures do not require the written certification of agreement of the record subject, but require Federal Register publication prior to such use.

System of Records - A group of any records under the control of an agency from which information is retrieved by the name of the individual or by some other identifying number, symbol, or identifying particular assigned to the individual.

Third Agency - Other administrative agencies of the Executive Branch of the Federal government, including other components of DHS.

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Third Party Request - A request from any person for access to another individual's record without that individual's written certification of agreement. The identity of a third party Requestor and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records.

White House Inquiries - An official request from any member of the White House staff, or letters of the President forwarded to the agency for response.

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APPENDIX H: CASE CREATE FLOW CHARTS

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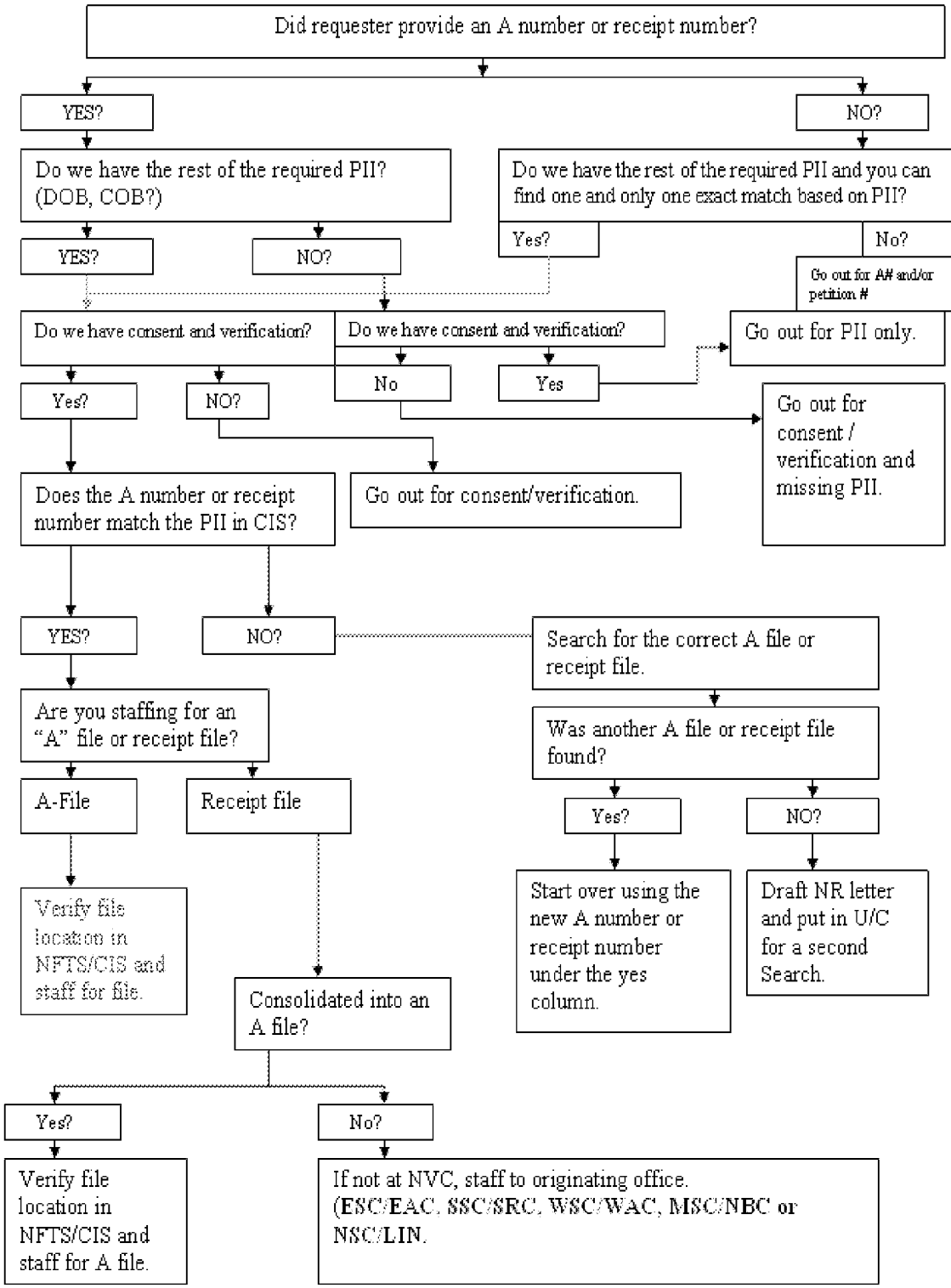
Case Create Flow Chart for All my records.



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Case Create Flow Chart for Specific Docs

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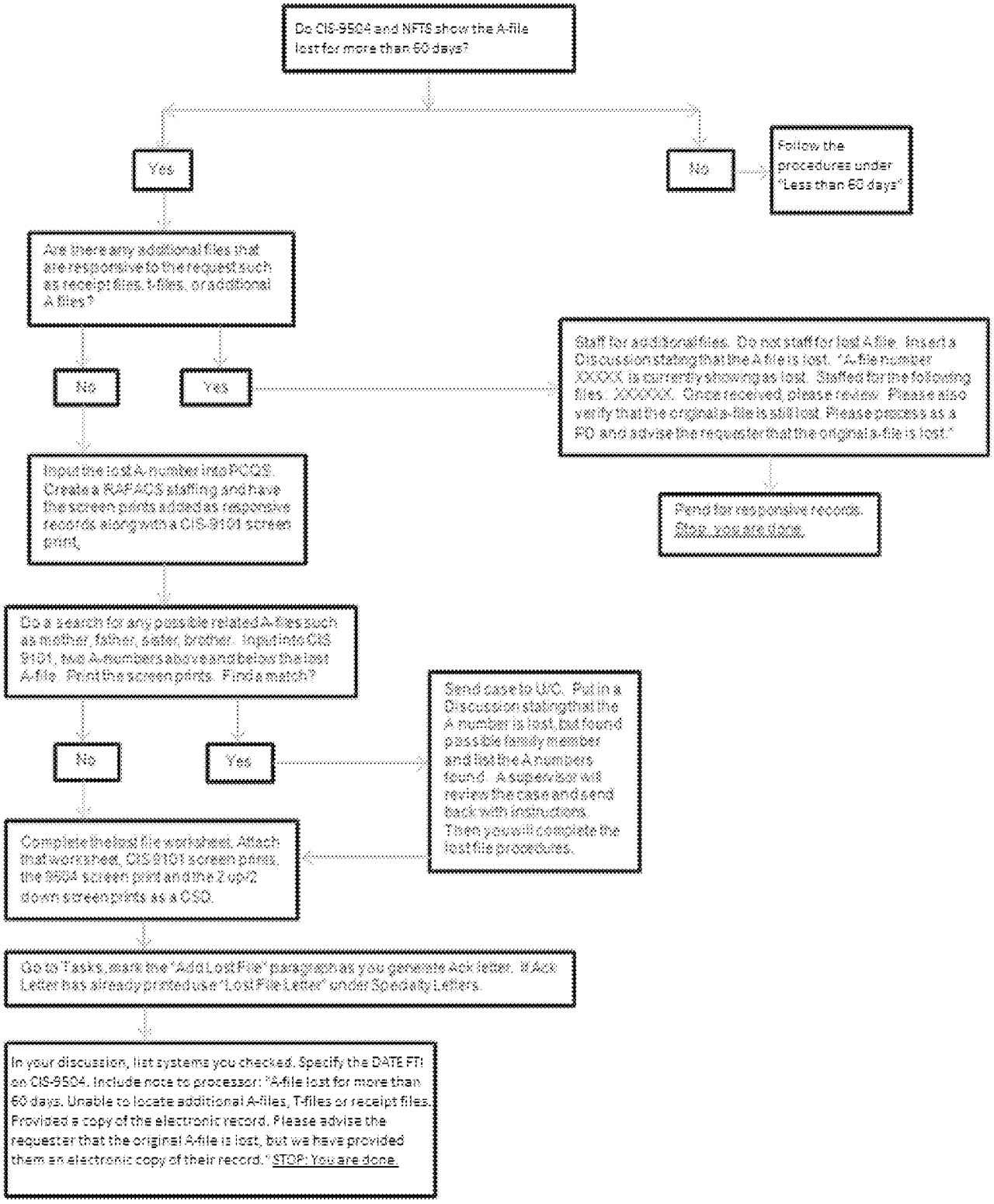
Updated on March 28, 2016

LOST FILE FLOWCHART - MORE THAN 60 DAYS



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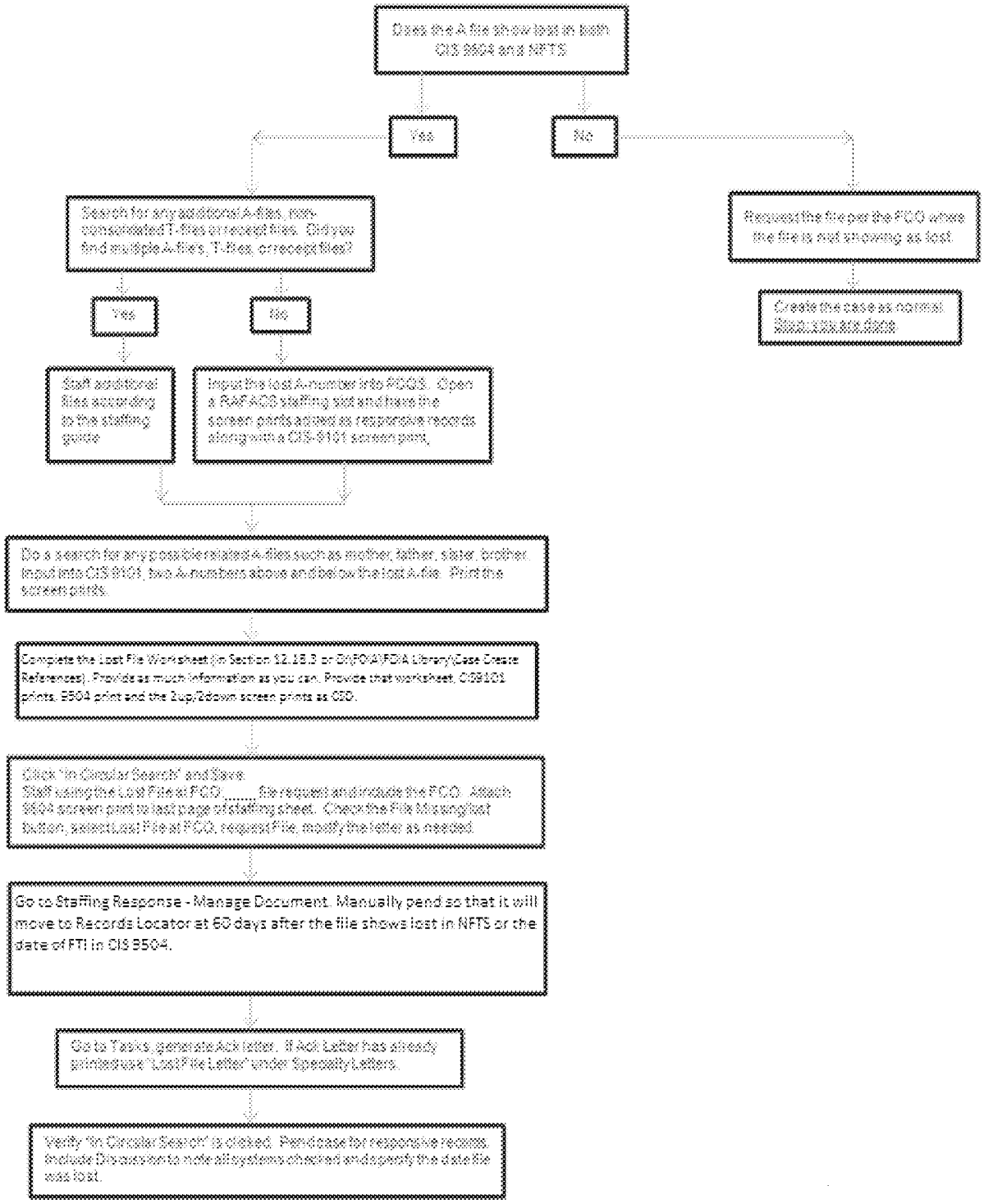
LOST FILE FLOWCHART - LESS THAN 60 DAYS



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JULIAN DATE CALENDAR

PERPETUAL

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	060	091	121	152	182	213	244	274	305	335	1
2	002	033	061	092	122	153	183	214	245	275	306	336	2
3	003	034	062	093	123	154	184	215	246	276	307	337	3
4	004	035	063	094	124	155	185	216	247	277	308	338	4
5	005	036	064	095	125	156	186	217	248	278	309	339	5
6	006	037	065	096	126	157	187	218	249	279	310	340	6
7	007	038	066	097	127	158	188	219	250	280	311	341	7
8	008	039	067	098	128	159	189	220	251	281	312	342	8
9	009	040	068	099	129	160	190	221	252	282	313	343	9
10	010	041	069	100	130	161	191	222	253	283	314	344	10
11	011	042	070	101	131	162	192	223	254	284	315	345	11
12	012	043	071	102	132	163	193	224	255	285	316	346	12
13	013	044	072	103	133	164	194	225	256	286	317	347	13
14	014	045	073	104	134	165	195	226	257	287	318	348	14
15	015	046	074	105	135	166	196	227	258	288	319	349	15
16	016	047	075	106	136	167	197	228	259	289	320	350	16
17	017	048	076	107	137	168	198	229	260	290	321	351	17
18	018	049	077	108	138	169	199	230	261	291	322	352	18
19	019	050	078	109	139	170	200	231	262	292	323	353	19
20	020	051	079	110	140	171	201	232	263	293	324	354	20
21	021	052	080	111	141	172	202	233	264	294	325	355	21
22	022	053	081	112	142	173	203	234	265	295	326	356	22
23	023	054	082	113	143	174	204	235	266	296	327	357	23
24	024	055	083	114	144	175	205	236	267	297	328	358	24
25	025	056	084	115	145	176	206	237	268	298	329	359	25
26	026	057	085	116	146	177	207	238	269	299	330	360	26
27	027	058	086	117	147	178	208	239	270	300	331	361	27
28	028	059	087	118	148	179	209	240	271	301	332	362	28
29	029		088	119	149	180	210	241	272	302	333	363	29
30	030		089	120	150	181	211	242	273	303	334	364	30
31	031		090		151		212	243		304		365	31

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Updated on March 28, 2016

JULIAN DATE CALENDAR

FOR LEAP YEARS ONLY

Day	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Day
1	001	032	061	092	122	153	183	214	245	275	306	336	1
2	002	033	062	093	123	154	184	215	246	276	307	337	2
3	003	034	063	094	124	155	185	216	247	277	308	338	3
4	004	035	064	095	125	156	186	217	248	278	309	339	4
5	005	036	065	096	126	157	187	218	249	279	310	340	5
6	006	037	066	097	127	158	188	219	250	280	311	341	6
7	007	038	067	098	128	159	189	220	251	281	312	342	7
8	008	039	068	099	129	160	190	221	252	282	313	343	8
9	009	040	069	100	130	161	191	222	253	283	314	344	9
10	010	041	070	101	131	162	192	223	254	284	315	345	10
11	011	042	071	102	132	163	193	224	255	285	316	346	11
12	012	043	072	103	133	164	194	225	256	286	317	347	12
13	013	044	073	104	134	165	195	226	257	287	318	348	13
14	014	045	074	105	135	166	196	227	258	288	319	349	14
15	015	046	075	106	136	167	197	228	259	289	320	350	15
16	016	047	076	107	137	168	198	229	260	290	321	351	16
17	017	048	077	108	138	169	199	230	261	291	322	352	17
18	018	049	078	109	139	170	200	231	262	292	323	353	18
19	019	050	079	110	140	171	201	232	263	293	324	354	19
20	020	051	080	111	141	172	202	233	264	294	325	355	20
21	021	052	081	112	142	173	203	234	265	295	326	356	21
22	022	053	082	113	143	174	204	235	266	296	327	357	22
23	023	054	083	114	144	175	205	236	267	297	328	358	23
24	024	055	084	115	145	176	206	237	268	298	329	359	24
25	025	056	085	116	146	177	207	238	269	299	330	360	25
26	026	057	086	117	147	178	208	239	270	300	331	361	26
27	027	058	087	118	148	179	209	240	271	301	332	362	27
28	028	059	088	119	149	180	210	241	272	302	333	363	28
29	029	060	089	120	150	181	211	242	273	303	334	364	29
30	030		090	121	151	182	212	243	274	304	335	365	30
31	031		091		152		213	244		305		366	31

USE IN 2004, 2008, 2012, 2016, 2020, 2024, ETC.

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APPENDIX I: ALIEN NUMBER ASSIGNMENT

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-328-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-638-000

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CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program.

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

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APPENDIX J: 16 RULES OF CASE CREATE

1. Read the entire request, including all Requestor documents and case supporting documents. Look for specific language on the bottom of the G-639. What are they requesting? This will give you direction before you start filling in the worksheet.

2. Search for duplicate cases before you fill out the worksheet. Search by A number, if provided, and the subject's first and last name. Send any duplicate cases and/or documents that belong to a previous case (such as CSD's, Requestor documents, or track changes) to the Research queue.

3. Make sure we have valid certification of agreement, and VOI (DOB and COB). If not, close as TD or FC, including a Discussion of your reason for closing it. If you have a question, consult a supervisor.

4. If we have everything in rule 3, we do not send for Requestor documentation except in cases that do not meet Reasonable Description of Records Being Sought (section 7.3 of the guide). If you feel there are extenuating circumstances that require you to go out for additional information, you must get supervisor approval and case note the reason.

5. If you do not immediately find a person, search PCQS every time. Use the "*" symbol to search for double last names. Example, Juan Rodriguez Martinez would be searched under last name as "rodriguez*" This will catch every last name that ends with Rodriguez plus all other last names, including names that are hyphenated. If you do not find Juan Rodriguez Martinez, try reversing the last name to Juan Martinez Rodriguez. Also set the parameters in PCQS so that it searches at least +/- 3 months on both sides of the birthday.

6. Cross-reference everything you find in PCQS with CIS. If there is a discrepancy between PCQS and CIS, seek out a supervisor for advice.

7. If you do not immediately find a person, always check the date of entry on the request. Always do a Records Indexing staffing on subjects who entered prior to 1975.

8. Always Staff, Redirect, or Refer cases based on what is responsive to the request, meaning what they ask for, and not necessarily what they provide. For example, if they ask for voluntary departure information in 1999, don't staff for a receipt file just because they listed it on the back of the G-639. It is not responsive to the request. Always refer to the track 1 and 2 flow charts if you are unsure how to proceed. Make sure you are addressing the whole request. If they ask for a copy of their I-94 and deportation records, you will need to RF them to CBP and include ICE information or vice versa.

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9. Use the address listed on the G-639. If you cannot read the address listed on the G-639, or the address is from a consular office, or a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you find no other address, insert a Discussion and send the case to Unit Chief. Don't forget to look for apartment or suite numbers, which are to the far right of Form G-639, and always double check the address.

10. Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases, except in asylum or refugee cases. You must add the specific language on the request (or as close as possible to their language) to the acknowledgment letter if it is a request for Specific Documents.

11. Make sure you address any Track 3, expedited or fee waiver requests. FOIA/PA assistants may approve or deny Track 3 requests. If there is no cover sheet, you must send expedited and fee waiver requests to Unit Chief for approval, or denial, and a supervisor will return it to you to create the letter. If the case is being closed as a NR, RD, RF, DP, or NA, you do not mark it as expedited, or fee waiver request. If there was an expedited or fee waiver request that was approved or denied, change it back to "Not Requested" and save it before you send the case to Up-Front Approver.

12. Do not staff for A-Files that have been lost for more than 9 months. Follow the instructions on the lost file flow chart at Appendix H of the guide. A-Files lost for less than 9 months should be staffed and pended per the instructions on the lost file flow chart, along with any other responsive files such as T-Files and unconsolidated receipt files. Always unmark the circular search field when you cancel a lost file staffing. Also, when you staff for additional files such as a receipt file or lost file, you must first uncheck circular search and hit save, then staff for the additional files, and then recheck the circular search field and hit save again. If you do not do this, the additional staffings will be marked as a lost file and the staffings will not get processed.

13. You must e-mail a supervisor when you change tracks on a case. Just changing the track and hitting save will not move the case to the appropriate queue.

14. Proofread your final action letters. Make sure what you are telling them makes sense. There are some final action letters such as FC letters and NA letters that you must change. Specifically, you will need to change the dates or you may need to remove certain paragraphs. You should not bold, highlight, or underline anything on any of the letters generated by FIPS.

15. The only time you do not have to create a Discussion is when you have all VOI and certification of agreement, it's a straightforward request, an ordinary staffing, there are no unusual circumstances, and you pend for responsive records. Any other time, you should create a Discussion. The Discussion should describe what actions you took. The Discussion should be short and to the point, but adequately describe any important facts or issues such as "closing as NR, searched CLAIMS, CIS, PCQS, sending screen prints to be scanned as CSD", or "Sending case to Unit Chief, NFTS is currently down", or "Switched tracks from track 1 to track 2, e-

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mailed supervisor to move to proper queue". Discussions are the first thing a supervisor reads and they should immediately be able to tell what actions have been taken in the case and what issue needs to be addressed.

16. Unit Chief is not an outlet for questions and should primarily be used after hours when no supervisor is available, or when there are system problems such as NFTS or PCQS outages. If you are stuck on a case, please leave your cube and seek out a supervisor. Please call by phone only as a last resort, because it is harder to give the correct advice without being able to see all the facts. You must include a Discussion in any case you send to Unit Chief. The Discussion must adequately describe the nature of the problem, or the supervisor will send the case back to you for clarification.

I have read these rules and understand them. I agree to seek clarification with my supervisor if it becomes necessary to deviate from these rules:

Signature: _____ Date: _____

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APPENDIX K: RECORD OF REVISIONS

(showing revisions after September 28, 2015)

October 23, 2015

We have updated section 8.13 REQUESTS: Inmate in Federal Custody of the FOIA/PA Assistants Guide as follows (new information in red):

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

We have updated section 12.16 Receipt Numbers of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in ~~strikethrough~~):

Section 12.16 Receipt Numbers

~~If the petitioner is the Requestor, and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is always the subject of record. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." For~~

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~~that reason, even though the Requestor may have listed the petitioner as the subject of record, if you discover that the petition is consolidated into the beneficiary's file, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639.~~

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

December 14, 2015

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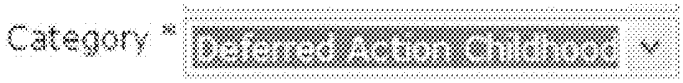
We have updated section 6.3.4.3, Deferred Action for Childhood Arrival of the FOIA/PA Assistant's Guide as follows (new information in red):

6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.

We have updated various sections that referred to 12.7.12, 12.7.13 and 12.7.14, none of which exists. Changed all to the correct references in the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections ~~**12.7.12**~~ 12.16 and ~~**12.7.13**~~12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in ~~12.7.14~~ 12.18.14.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section 7 of this guide. If the receipt is not available in records, please refer to sections ~~12.7.13~~ 12.18.6 ~~and~~ or ~~12.7.14~~ 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section ~~12.7.14~~ 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

12.12.4 Empty Jackets

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If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact FST. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section 12.7.12. 12.18.12

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate."

February 10, 2016

We have updated section **7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these. as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

We have updated section **7.2 Verification of Identity (VOI)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI)

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these. as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~ A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

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We have updated paragraph **9.2.2**, under section **9.2 Redirection** of the FOIA/PA Assistant's Guide as follows (new information in red):

9.2.2 If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scan in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

We have updated section **32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The ~~two~~ three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_ Unperfected Letter for Older G-639 version

We have updated all unperfected letters by deleting the following sentence as follows (deleted information in strikethrough):

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~~Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.~~

February 29, 2016

We have updated section 6.1.1.10. RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information*."

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

~~If the request is on Form G-639, please do not use the address on the envelope, or Form G-28 or letterhead as the Requestor address without first speaking with a supervisor about it, and after you do, create a Discussion saying you did so. If there is, a cover letter or other document specifying that the records should be sent to a different address than the one specified on the request, use the one the Requestor specifies. Please create a Discussion explaining why you are not mailing it to the address in *Requestor Information*.~~

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the Requestor Information block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

March 28, 2016

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We have updated and changed the name of section 12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases to Creating Staffing and Acknowledgement letters for ELIS2 cases of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

NOTE: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS. Any references from this point on refer to ELIS2.

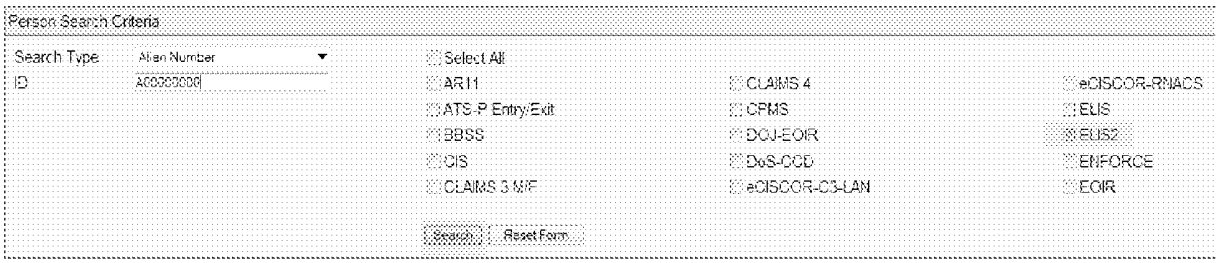
~~(The updated slideshows; ELIS Research Staff Redact - ELIS, and ELIS Research Staff Redact - PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).~~

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

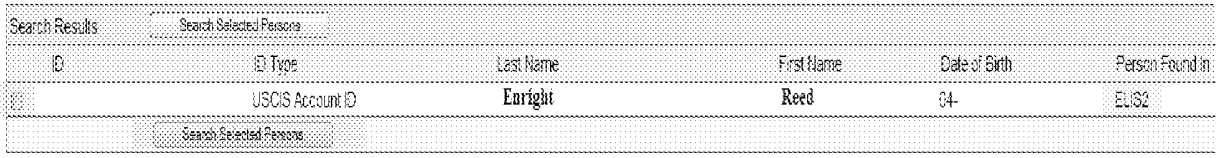
12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

Whenever you create a case, please check ~~both~~ the ~~ELIS and~~ ELIS2 block~~s~~ in PCQS to search for ~~ELIS~~ ~~information~~ the IOE Receipt number.



If you get a response of "Person Found In: ELIS2," please ~~click twice~~ check the box and click "Search Selected Persons" to get your IOE Receipt number.



You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.

r

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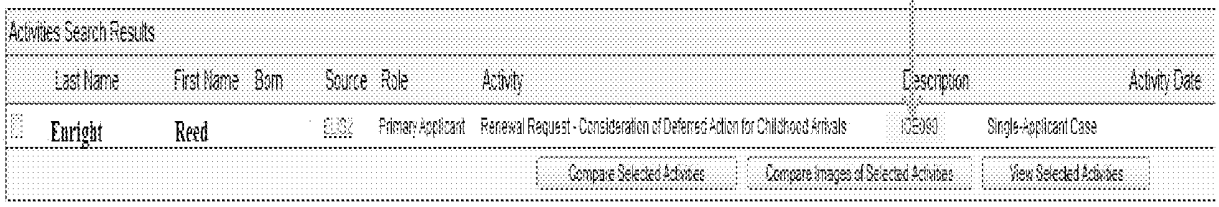
Copy IOE Receipt number



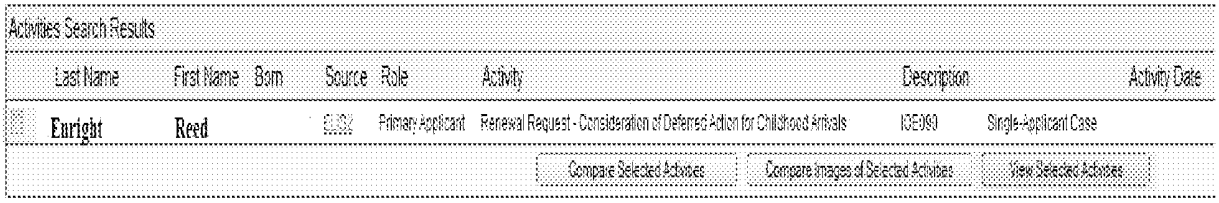
12.18.16.2 Deleted

Step 2: Is the case open or closed?

~~To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:~~

~~1. Is this a self-request or a request from Attorney/Representative/Others?~~
~~2. Is the case open or closed?~~

~~You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS (same place where you copied the IOE number above), the "Primary Applicant Summary" default screen will display.~~
Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



~~Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:~~

~~A. Accepted~~
~~B. Optimized~~
~~C. Reopened~~
~~D. Closed~~

On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

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If the case state is accepted, optimized or reopened, your case is open. ~~Closed means closed~~.

Account Header	
Name	Reed Enright
Alien Number	A2
Account ID	0
Date of Birth	0
Country of Birth	
Place of Birth	
Gender	
Case ID	
Case State	Accepted
Case Status	
Case Sub Status	Pending Prior Case Card Expiration

NOTE: The Case State can also be found in the Case Details section of your screen print.

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Accepted
Case State Date	0

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

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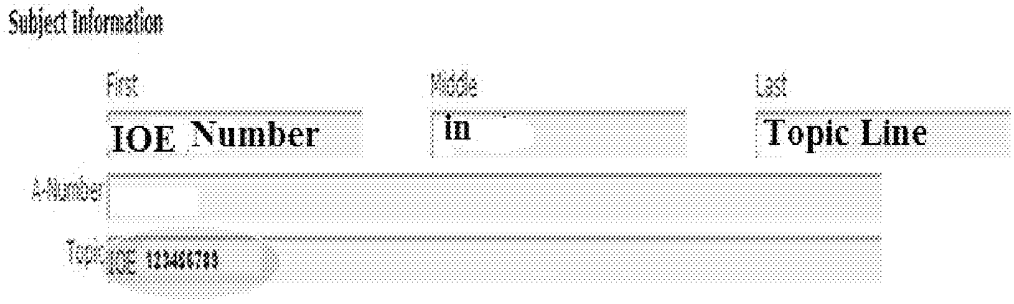

NOTE: Putting the IOE Receipt number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, ~~either~~ create a~~n SSC or ESC~~ staffing to the correct File Control Office.

Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Closed
Case State Date	0

Step 5a(1): Staffing letter

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Open cases from Attorney/Representatives or self-requests:

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS.**" Leave it at the end of the second bullet.

Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

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After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- **Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5a(2): Acknowledgement letter

Open cases from Attorney/Representatives or self-requests:

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

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Example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Step 5b(1): Staffing letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

WARNING: This guide is FOR OFFICIAL USE ONLY (FOUO) and is intended for internal National Records Center use only. It contains information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). This document is to be controlled, handled, transmitted, distributed, and disposed of in accordance with Department of Homeland Security policy relating to Sensitive But Unclassified (SBU) information and is not to be released to the public or other personnel who do not have a valid need to know without prior approval from the FOIA Officer

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC20160
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- **There is no change to the Acknowledgement letter**

ELIS FAQ's

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

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SIGNIFICANT INTEREST GROUP
(SIG)

U.S. Citizenship and Immigration Services

STANDARD OPERATING PROCEDURE
(SOP)

SIG...*fulfilling the promise of openness*

1/23/2014

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Introduction

The United States Citizenship and Immigration Services (USCIS) uses an automated system, Freedom of Information Act/Privacy Act Information Processing System (FIPS) to create, control and process all Freedom of Information Act/Privacy Act (FOIA/PA) requests. SIG utilizes ECN to request and receive responsive records from agency components.

NRC FOIA Operations consists of two sides. One side, the "A-File" side, is responsible for creating, controlling and processing FOIA/PA requests for Alien or receipt file records. The other, the Significant Interest Group (SIG), is responsible for all other FOIA/PA requests, to include certain Alien or receipt file requests deemed to be of a significant interest to USCIS.

This *SIG Standard Operating Procedure* (SOP) is designed to assist in processing SIG FOIA and PA requests. It is to augment and be used in conjunction with the existing *Processing Guide* currently in use by the A-file side. This SOP contains procedures and information that specifically concern SIG requests.

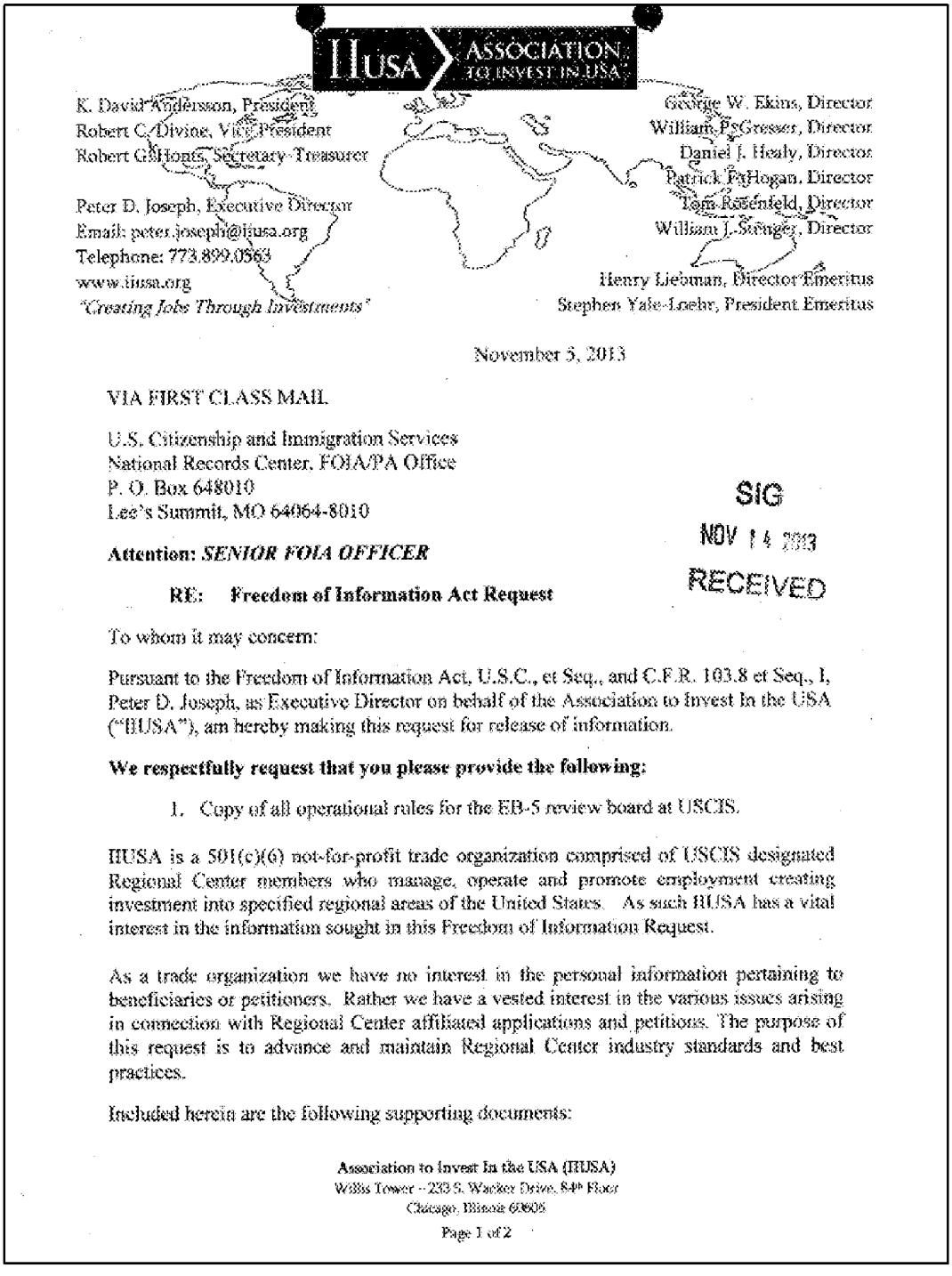
1. Correspondence

1.1. SIG receives correspondence the following ways:

- Regular mail (OA Room mail box)
- Fax (OA Room)
- Email
  - I. USCIS FOIA email box
  - II. SIG email box
  - III. Personal email box

1.2. Correspondence can be:

- FOIA/PA requests



IIUSA ASSOCIATION TO INVEST IN USA

K. David Anderssson, President
Robert C. Divine, Vice President
Robert G. Hoots, Secretary-Treasurer

George W. Ekins, Director
William P. Gresser, Director
Daniel J. Healy, Director
Patrick P. Hogan, Director
Tom Rosenfeld, Director
William J. Stenger, Director

Henry Liebman, Director Emeritus
Stephen Yale-Loehr, President Emeritus

Peter D. Joseph, Executive Director
Email: peter.joseph@iiusa.org
Telephone: 773.899.0563
www.iiusa.org
"Creating Jobs Through Investments"

November 5, 2013

VIA FIRST CLASS MAIL

U.S. Citizenship and Immigration Services
National Records Center, FOIA/PA Office
P. O. Box 648010
Lee's Summit, MO 64064-8010

SIG
NOV 14 2013
RECEIVED

Attention: *SENIOR FOIA OFFICER*

RE: Freedom of Information Act Request

To whom it may concern:

Pursuant to the Freedom of Information Act, U.S.C., et Seq., and C.F.R. 103.8 et Seq., I, Peter D. Joseph, as Executive Director on behalf of the Association to Invest In the USA ("IIUSA"), am hereby making this request for release of information.

We respectfully request that you please provide the following:

1. Copy of all operational rules for the EB-5 review board at USCIS.

IIUSA is a 501(c)(6) not-for-profit trade organization comprised of USCIS designated Regional Center members who manage, operate and promote employment creating investment into specified regional areas of the United States. As such IIUSA has a vital interest in the information sought in this Freedom of Information Request.

As a trade organization we have no interest in the personal information pertaining to beneficiaries or petitioners. Rather we have a vested interest in the various issues arising in connection with Regional Center affiliated applications and petitions. The purpose of this request is to advance and maintain Regional Center industry standards and best practices.

Included herein are the following supporting documents:

- PA Amendment Requests

SIG

JUN 03 2013

RECEIVED

Via USPS Express Mail

Privacy Act Amendment
U.S. Citizenship and Immigration Services
National Records Center
FOIA/PA Office
P.O. Box 648010
Lee's Summit, MO 64064-8010

Re: Request to Correct USCIS Record on behalf of-

DOB:
POB:
U.S. Address:

To Whom it May Concern:

Please be advised that our client, entered the United States in L-1A status on October 19, 2012 pursuant to his employer's blanket L petition. The L-1A visa was issued in Monterrey, Mexico (visa # valid 10OCT2012 to 08OCT2013. See attached copy of Form I-94, Visa Stamp and Passport Biographic page.

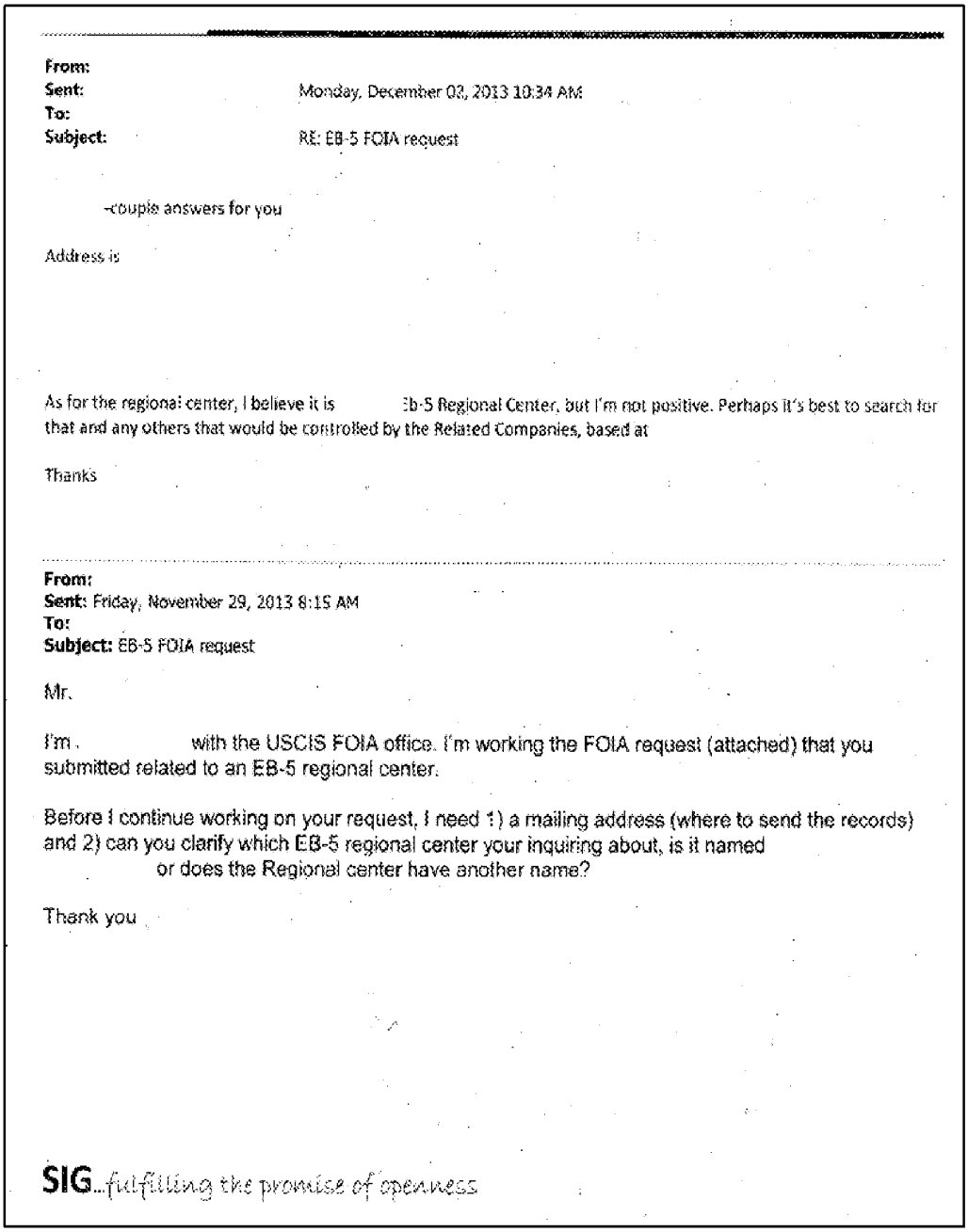
In December 2012, applied for a social security number at the Muskogee, Oklahoma Social Security Administration office. Eventually, a social security number was issued; however, was informed that the USCIS SAVE database includes the following typographical error concerning his middle name:

INACCURATE Information in USCIS records:

CORRECT:

The following enclosed documents demonstrate the correct spelling of full name: 1.) Passport biographic Page; 2.) Form I-94; 3.) L-1 Visa stamp; Stamped passport page endorsed on October 19, 2012 (initial admission to the U.S. on the L-1 work visa), valid through September 30, 2015; and 4.) Form I-129S Nonimmigrant Petition Based on Blanket L Petition endorsed by the U.S. Consulate in Monterrey, Mexico.

- Related to an existing FOIA request (CSD)



From:
Sent: Monday, December 02, 2013 10:34 AM
To:
Subject: RE: EB-5 FOIA request

-couple answers for you

Address is

As for the regional center, I believe it is Eb-5 Regional Center, but I'm not positive. Perhaps it's best to search for that and any others that would be controlled by the Related Companies, based at

Thanks

From:
Sent: Friday, November 29, 2013 8:15 AM
To:
Subject: EB-5 FOIA request

Mr.

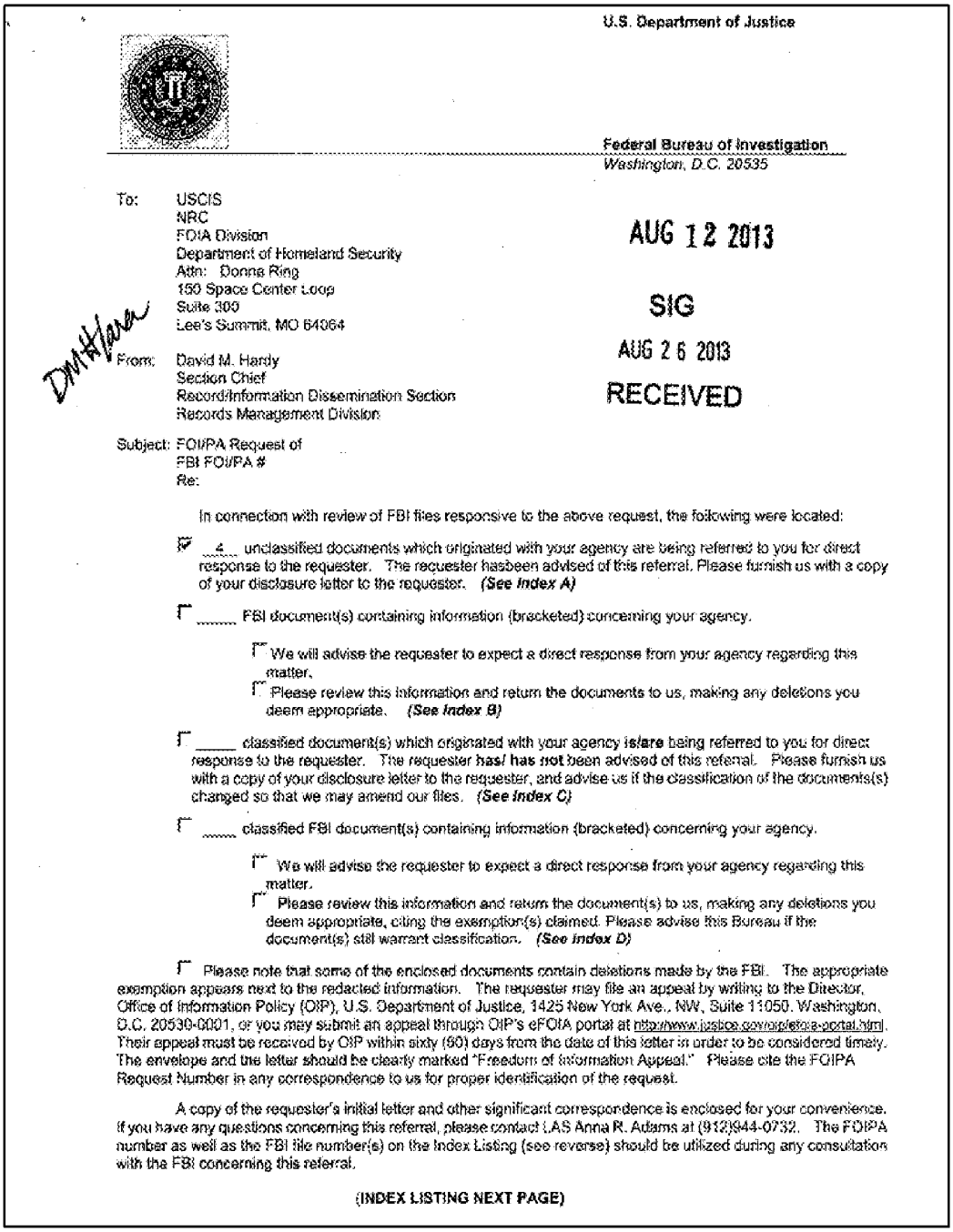
I'm . with the USCIS FOIA office. I'm working the FOIA request (attached) that you submitted related to an EB-5 regional center.

Before I continue working on your request, I need 1) a mailing address (where to send the records) and 2) can you clarify which EB-5 regional center your inquiring about, is it named or does the Regional center have another name?

Thank you

SIG...fulfilling the promise of openness

- Referral



U.S. Department of Justice

Federal Bureau of Investigation
Washington, D.C. 20535

To: USCIS
NRC
FOIA Division
Department of Homeland Security
Attn: Donna Ring
150 Space Center Loop
Suite 300
Lee's Summit, MO 64064

AUG 12 2013

SIG

AUG 26 2013

RECEIVED

From: David M. Hardy
Section Chief
Record/Information Dissemination Section
Records Management Division

Subject: FOIPA Request of
FBI FOIPA #
Re:

In connection with review of FBI files responsive to the above request, the following were located:

☑ 4 unclassified documents which originated with your agency are being referred to you for direct response to the requester. The requester hasbeen advised of this referral. Please furnish us with a copy of your disclosure letter to the requester. ***(See Index A)***

☐ _____ FBI document(s) containing information (bracketed) concerning your agency.

☐ We will advise the requester to expect a direct response from your agency regarding this matter.
☐ Please review this information and return the documents to us, making any deletions you deem appropriate. ***(See Index B)***

☐ _____ classified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester **has/ has not** been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester, and advise us if the classification of the documents(s) changed so that we may amend our files. ***(See Index C)***

☐ _____ classified FBI document(s) containing information (bracketed) concerning your agency.

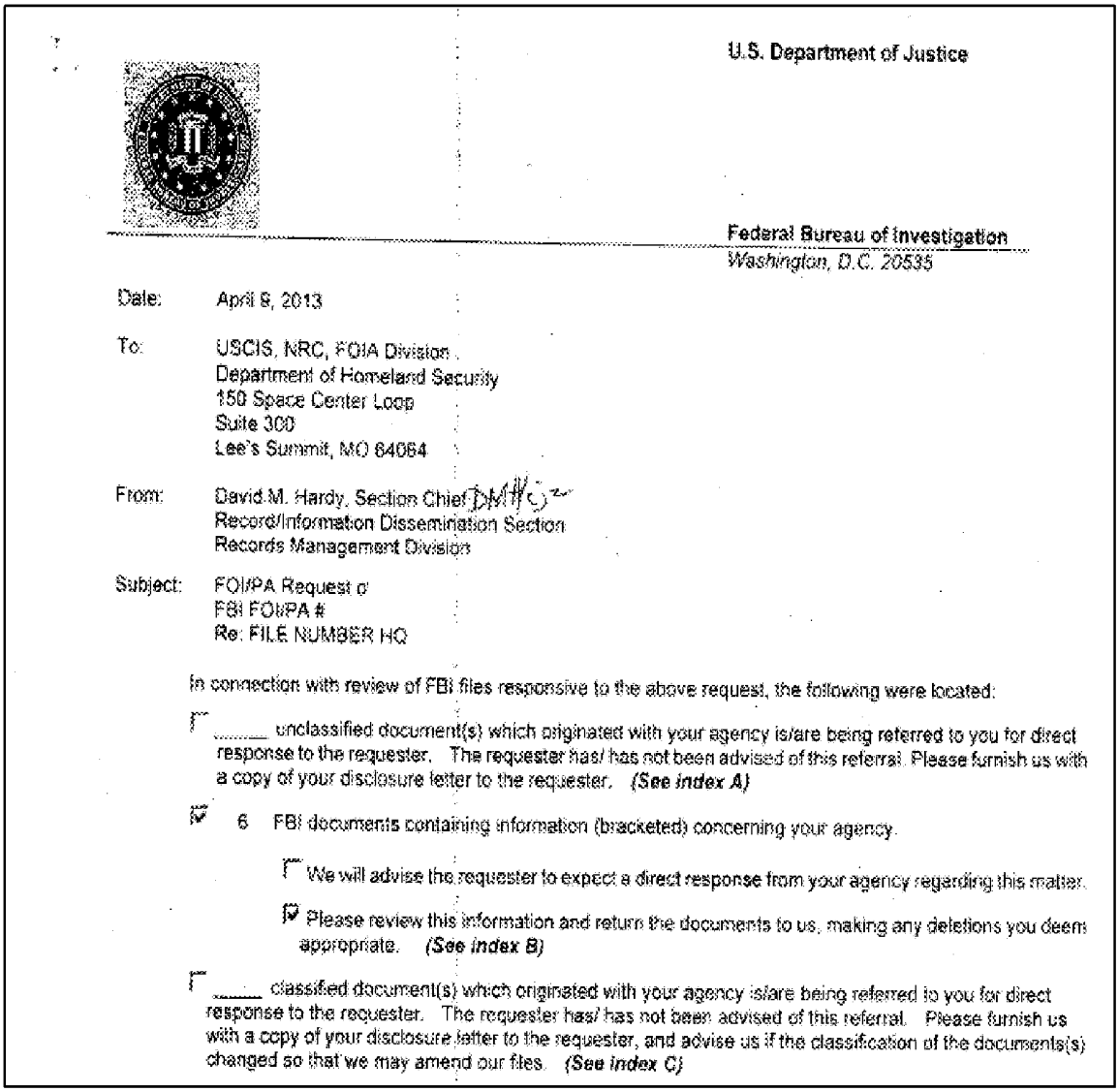
☐ We will advise the requester to expect a direct response from your agency regarding this matter.
☐ Please review this information and return the document(s) to us, making any deletions you deem appropriate, citing the exemption(s) claimed. Please advise this Bureau if the document(s) still warrant classification. ***(See Index D)***

☐ Please note that some of the enclosed documents contain deletions made by the FBI. The appropriate exemption appears next to the redacted information. The requester may file an appeal by writing to the Director, Office of Information Policy (OIP), U.S. Department of Justice, 1425 New York Ave., NW, Suite 11050, Washington, D.C. 20530-0001, or you may submit an appeal through OIP's eFOIA portal at http://www.justice.gov/oip/efoia-portal.html. Their appeal must be received by OIP within sixty (60) days from the date of this letter in order to be considered timely. The envelope and the letter should be clearly marked "Freedom of Information Appeal." Please cite the FOIPA Request Number in any correspondence to us for proper identification of the request.

A copy of the requester's initial letter and other significant correspondence is enclosed for your convenience. If you have any questions concerning this referral, please contact LAS Anna R. Adams at (912)944-0732. The FOIPA number as well as the FBI file number(s) on the Index Listing (see reverse) should be utilized during any consultation with the FBI concerning this referral.

(INDEX LISTING NEXT PAGE)

- Consultation



U.S. Department of Justice

Federal Bureau of Investigation
Washington, D.C. 20535

Date: April 8, 2013

To: USCIS, NRC, FOIA Division
Department of Homeland Security
150 Space Center Loop
Suite 300
Lee's Summit, MO 64064

From: David M. Hardy, Section Chief
Record/Information Dissemination Section
Records Management Division

Subject: FOI/PA Request o
FBI FOI/PA #
Re: FILE NUMBER HQ

In connection with review of FBI files responsive to the above request, the following were located:

☐ _____ unclassified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester has/ has not been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester. ***(See index A)***

☑ 6 FBI documents containing information (bracketed) concerning your agency.

☐ We will advise the requester to expect a direct response from your agency regarding this matter.

☑ Please review this information and return the documents to us, making any deletions you deem appropriate. ***(See index B)***

☐ _____ classified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester has/ has not been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester, and advise us if the classification of the documents(s) changed so that we may amend our files. ***(See index C)***

- Other (material misdirected to SIG)

2. Initial Intake

2.1. When SIG receives correspondence it must first be reviewed to determine whether or not it is SIG correspondence

- Is it:
  - I. a request for government records *i.e* a SIG request
  - II. a referral
  - III. a consultation

IV. Responsive Records
V. a remanded request
VI. Requester documents (that SIG requested)
VII. or CSD for an existing SIG case?

- If it is the above then it is SIG correspondence that SIG will intake.

- If it is one of the following then SIG will forward it to another NRC office:

I. Routine use request (Quality Control Office)
II. An appeal of a FOIA/PA request determination (Appeals Office)
III. A-File or Receipt-File material (A-File side)
IV. Interfiling-material to be placed in an A-File (A-File side)
V. Fee payment (A-file side MSB)

2.2. Date Stamp

- SIG correspondence that comes in hardcopy in the mailbox or by fax must be date stamped with the SIG stamp to show when it was received

- Requests that come in via email are electronically date stamped when it was received

3. Scanning

3.1. All SIG correspondence should be scanned as one of the below:

- New request (FOIA/PA, PA Amendment, Referral, or Consultation)
  I. Scanned in by SIG Mission Support

- CSD
  I. Scanned in by SIG Mission Support

- Responsive Records
  I. Scanned in by OA Room

- OR, Requester Documents (requested by SIG)
  I. Scanned in by OA Room

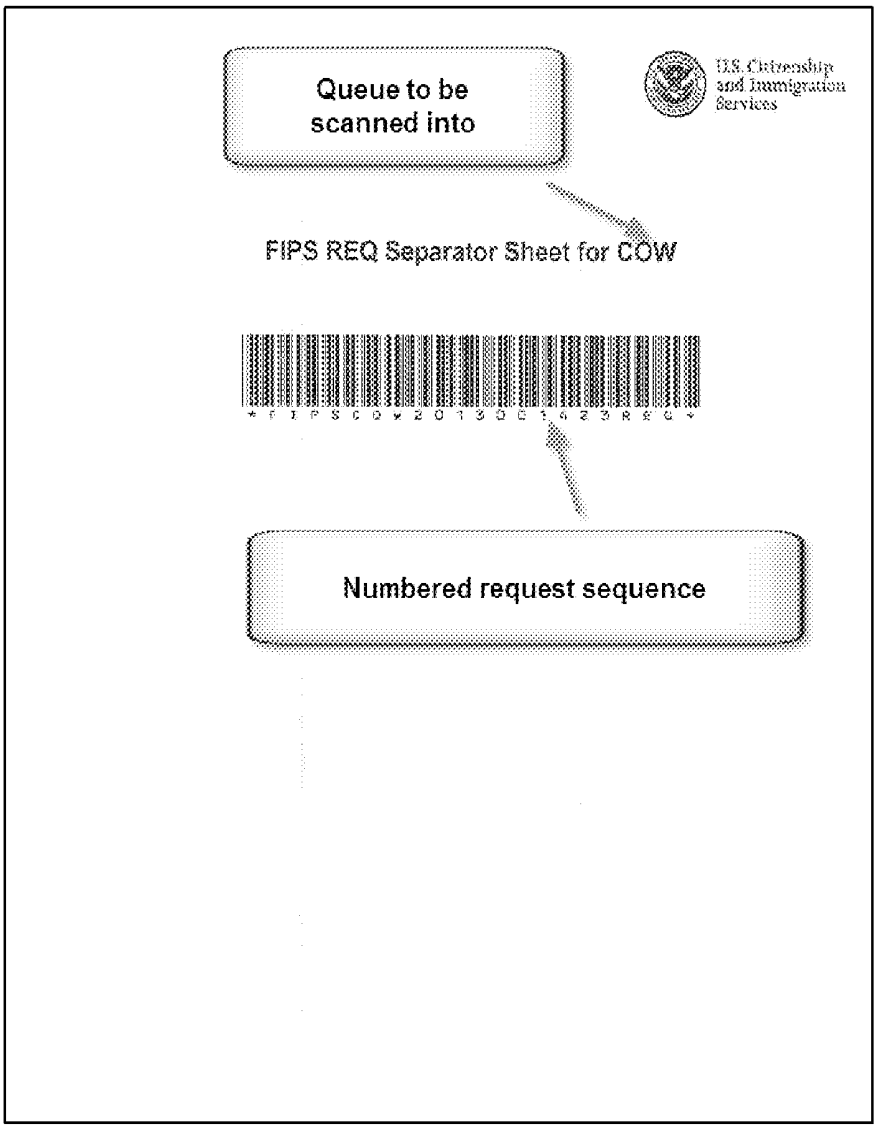
3.2. SIG utilizes the four scan queues below – the nature of the document/correspondence will dictate which queue to use

- REM – remanded FOIA requests from the Appeals office and processing litigation and settlement records
- CNT – requests for records related to a USCIS contract
- HQS – OPM referrals consisting solely of SAVE documents belonging to the subject
- COW – All other FOIA/PA requests

3.3. How to scan in new requests or remands that DO NOT contain responsive records

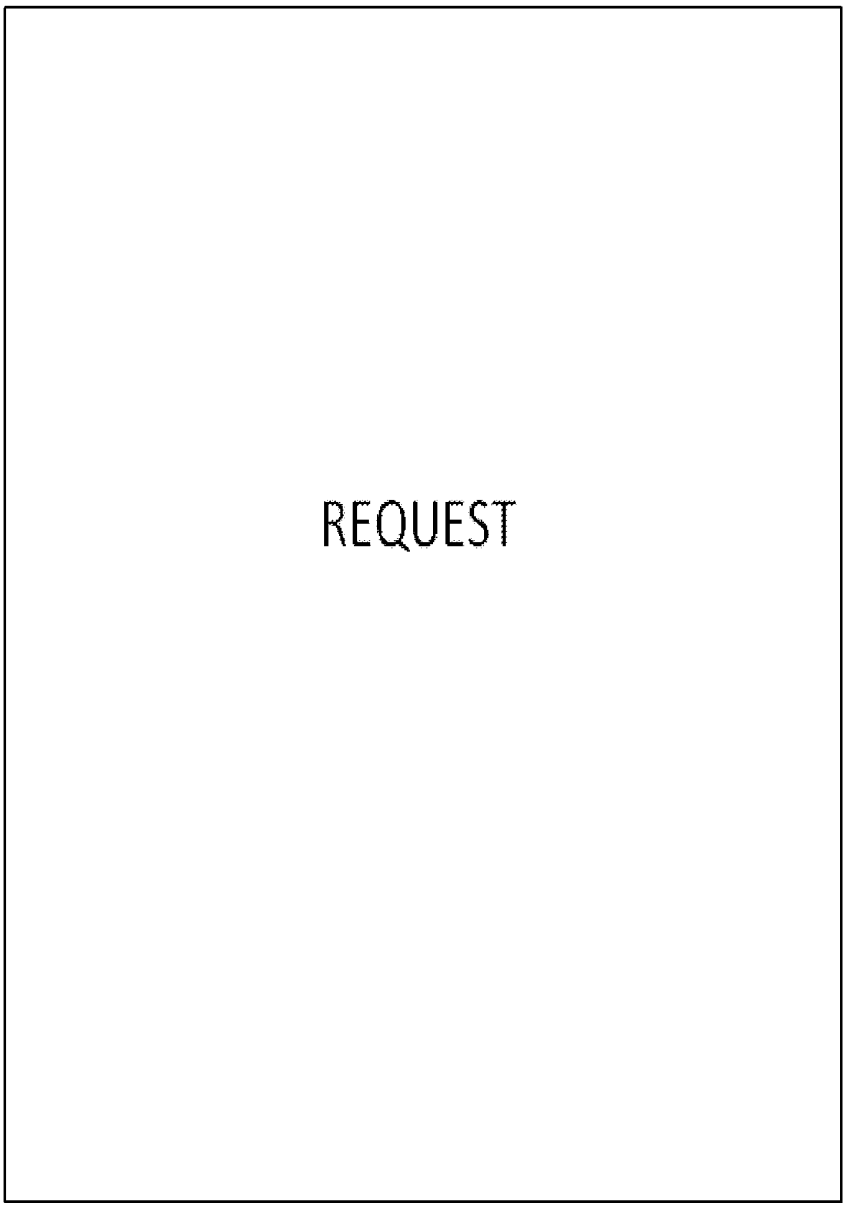
- Attach the appropriate queue's scan-in cover sheet on top of the request and place the combined document in the SIG outbox. The order is:

I. Scan in cover sheet on top



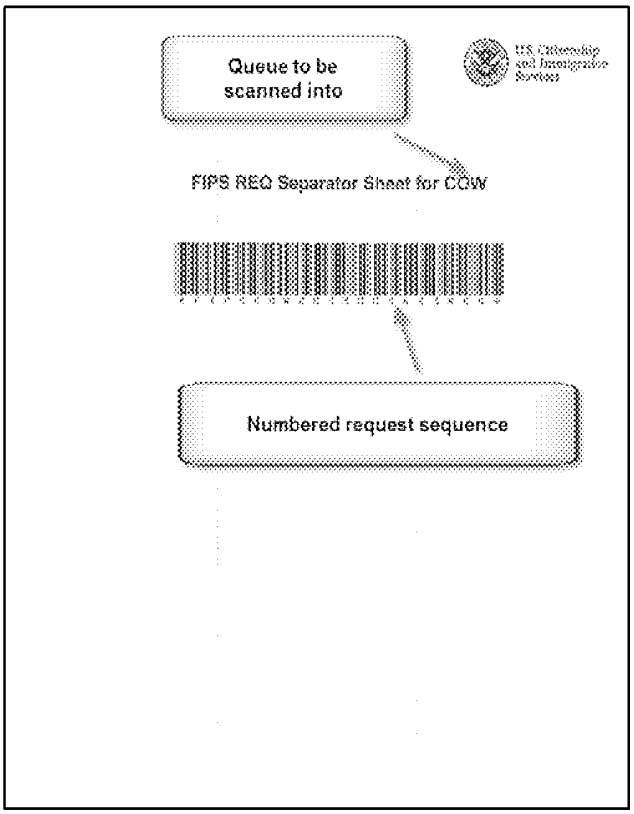
- Please note, the cover sheet has the Queue name and a numbered sequence

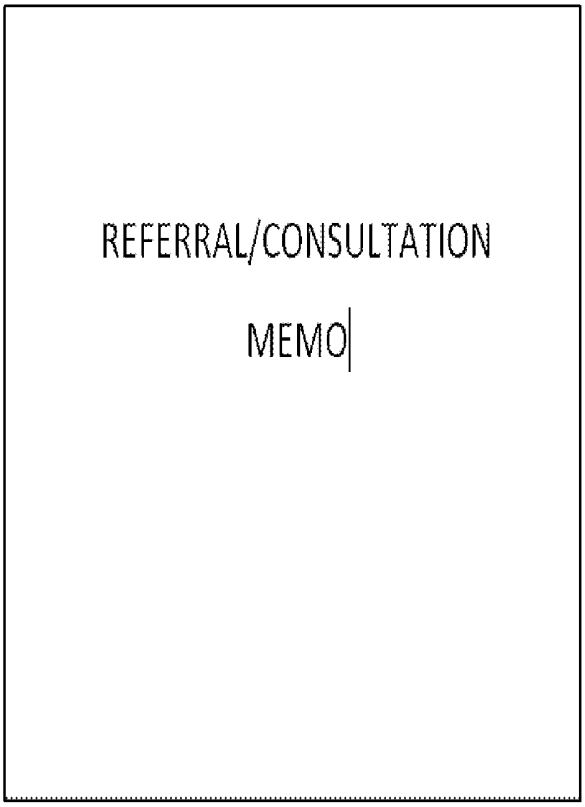
II. Request on bottom



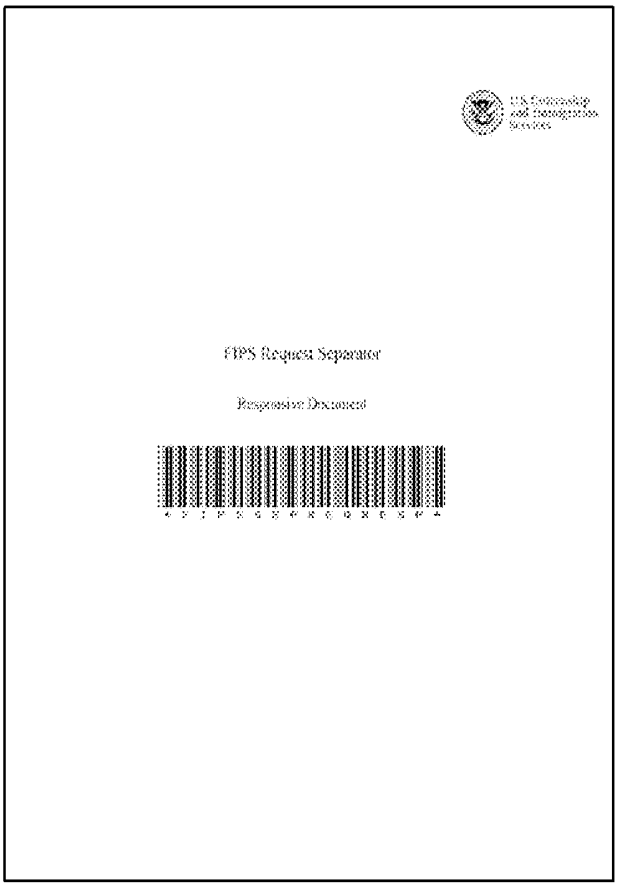
3.4. How to scan in new requests that DO contain responsive records – these will be referrals and consultations

- Attach the appropriate queue's scan-in cover sheet on top of the referral/consultation memo package

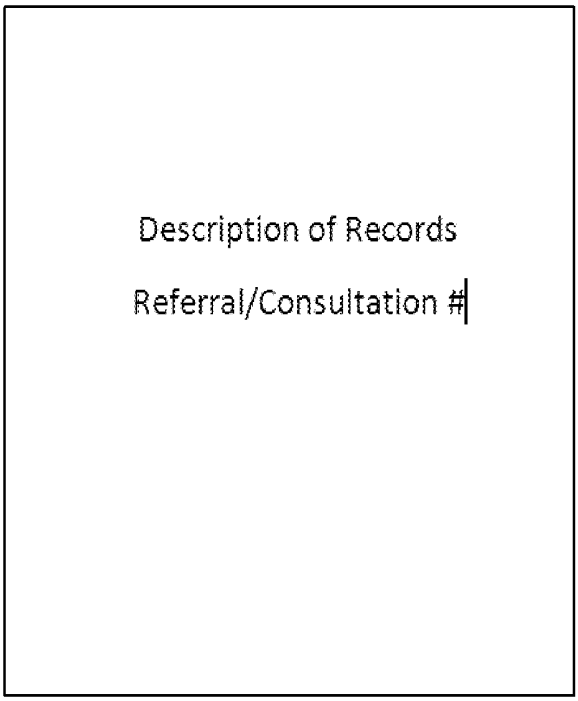




- Insert the FIPS Request Separator sheet underneath the memo package



- Insert a records description cover page under the FIPS Request Separator



- Attach the records underneath the cover page

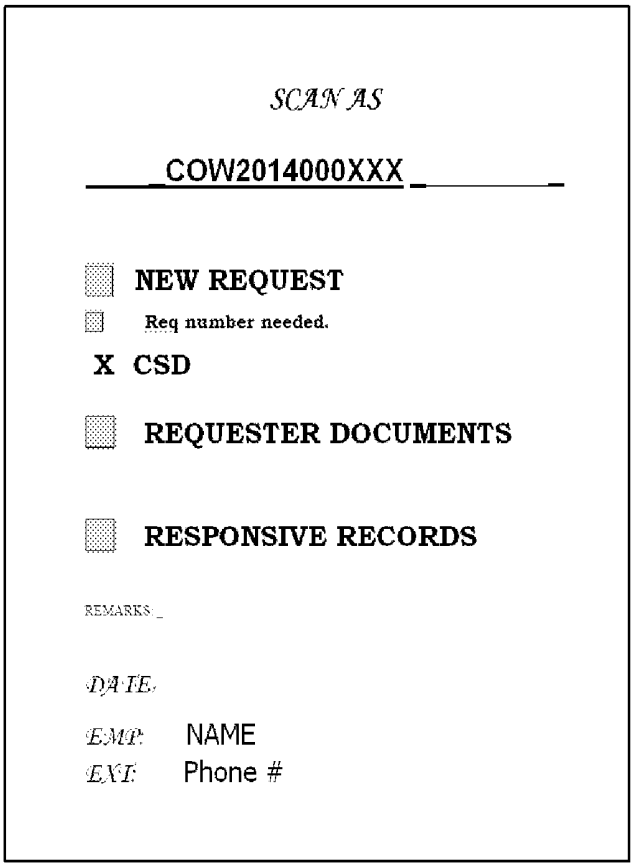
- Place the combined document in the SIG outbox.
- The order again is as follows

I. Scan in sheet on top
II. Memo package
III. Separator sheet
IV. Records description cover sheet
V. Records on bottom

3.5. How to scan in CSDs

- The CSD cover sheet is an individually personalized document that should contain:
  I. Case number (which case the documents belong to)
  II. Indicator that it is a CSD
  III. Who sent it to be scanned

Example:


SCAN AS

COW2014000XXX

NEW REQUEST

Req number needed.

X CSD

REQUESTER DOCUMENTS

RESPONSIVE RECORDS

REMARKS:

DATE:

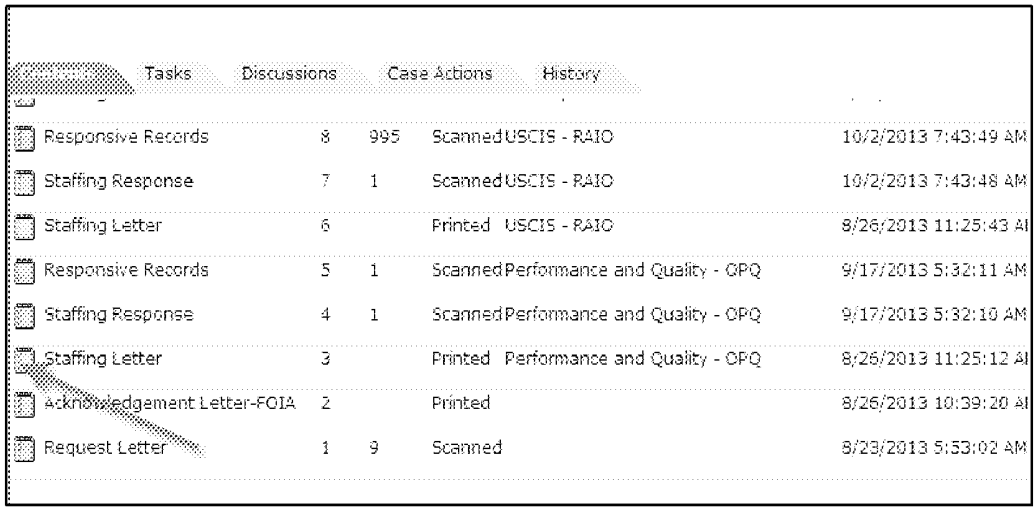
EMP: NAME

EXT: Phone #

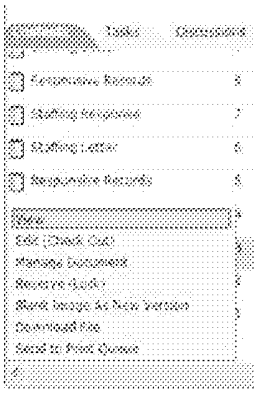
- Attach a CSD cover sheet on top of the document and place the combined package in the SIG outbox. The order again is
  I. Cover sheet on top
  II. Document on bottom

3.6. How to scan in responsive records

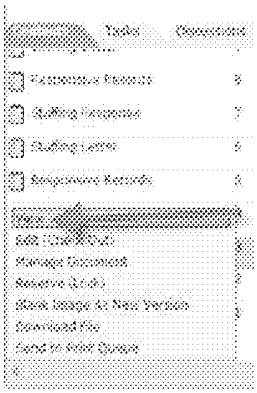
- Log into FIPS
- Bring the case up in standalone
- Left click the icon for the "Staffing Letter" sequence for the corresponding staffing office the records came from



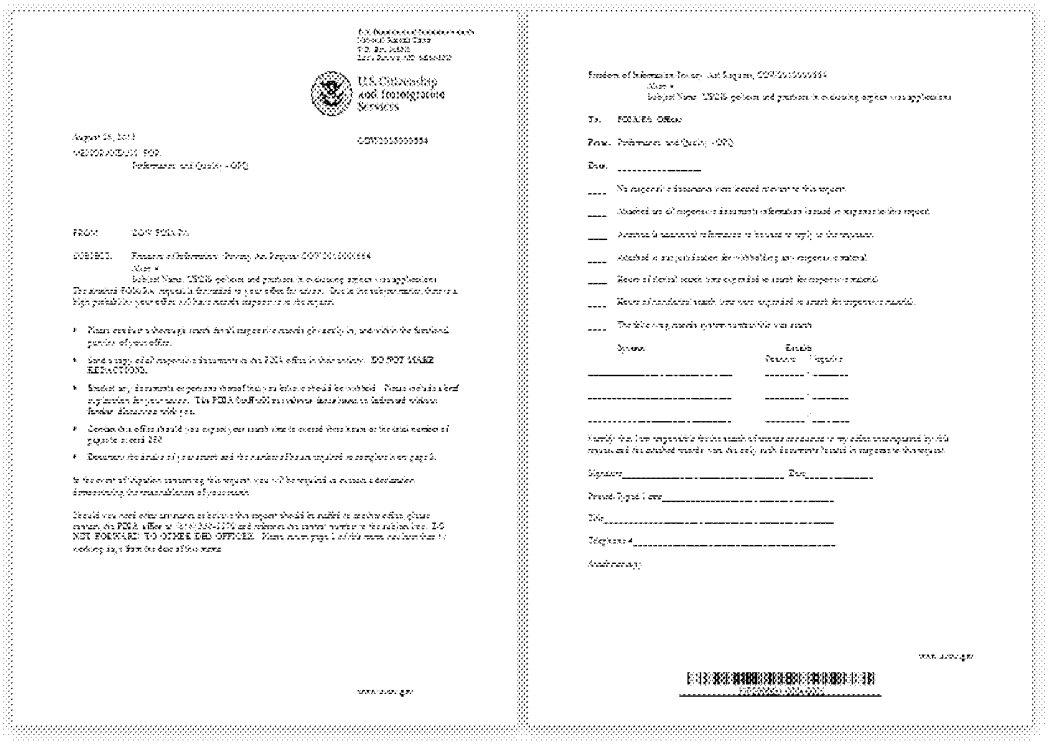
- A box will appear with 7 possible selections



- Click "View"

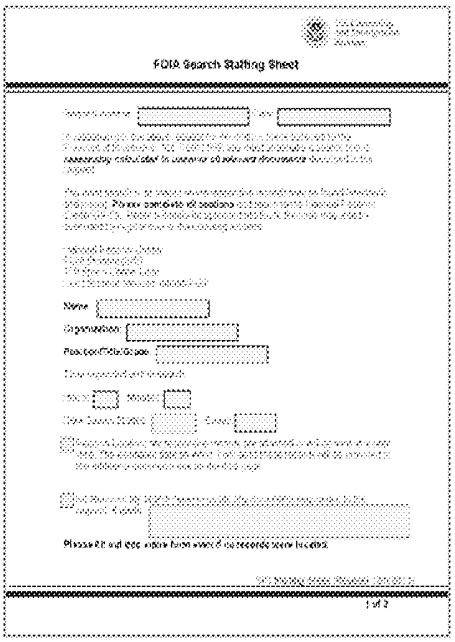


- The staffing letter will come up as a two-page word document



- Print the document
- Place the second page (containing the barcode) on top, first page underneath
- Then attach the 3-page SIG Staffing Sheet underneath the barcoded page

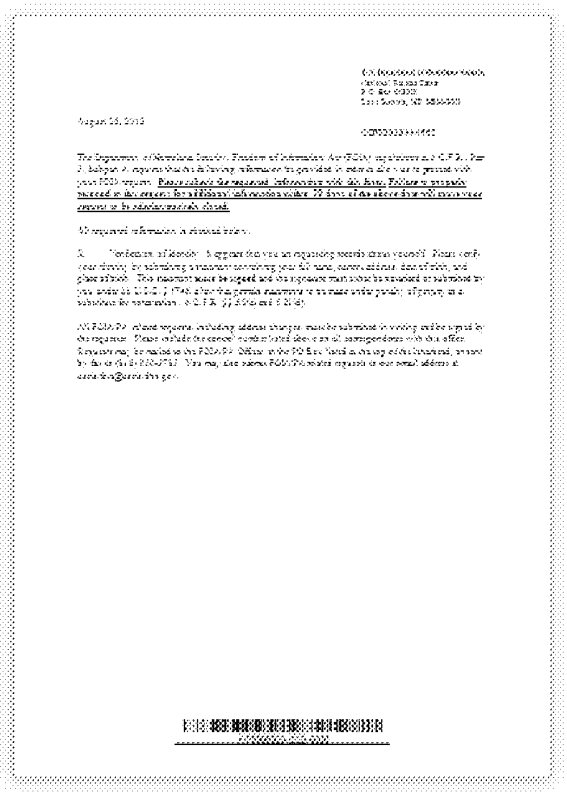
I. A completed SIG Staffing Sheet should accompany the records


FOIA Search Staffing Sheet

- Then attach records underneath the staffing sheet
- Place in the outbox to be sent to the OA room to be scanned
- Case note FIPS and ECN that records were received and from which office

3.7. How to scan in requester documents – When a Requester Doc sequence is created and the submitted documentation is accompanied by the barcode sheet

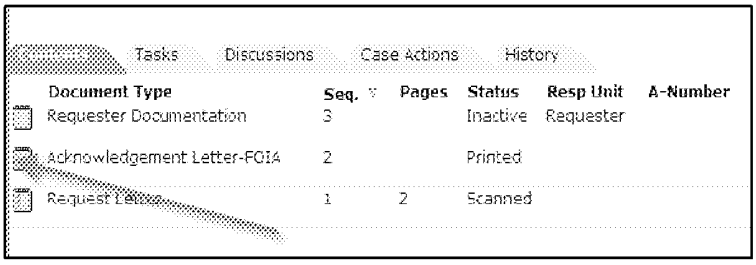
- Attach the documents underneath the barcode sheet



- Place in the outbox to be sent to the OA room to be scanned

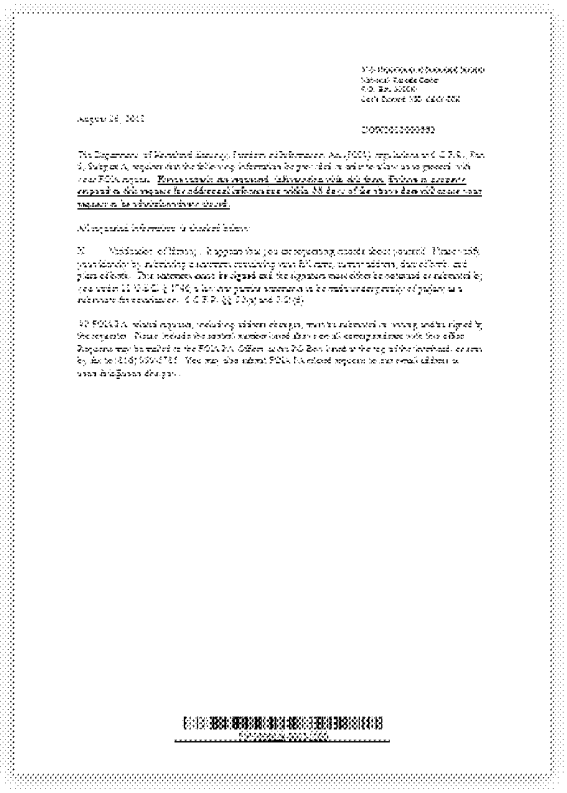
3.8. How to scan in requester documents – When a Requester Doc sequence is created and the submitted documentation is NOT accompanied by the barcode sheet

- Log into FIPS
- Bring up the case in standalone
- Left click the icon for the "Acknowledgement Letter" sequence



- A box will appear

- Click "View"
- The acknowledgement letter will come up as a word document. The last page of the letter is the barcode sheet

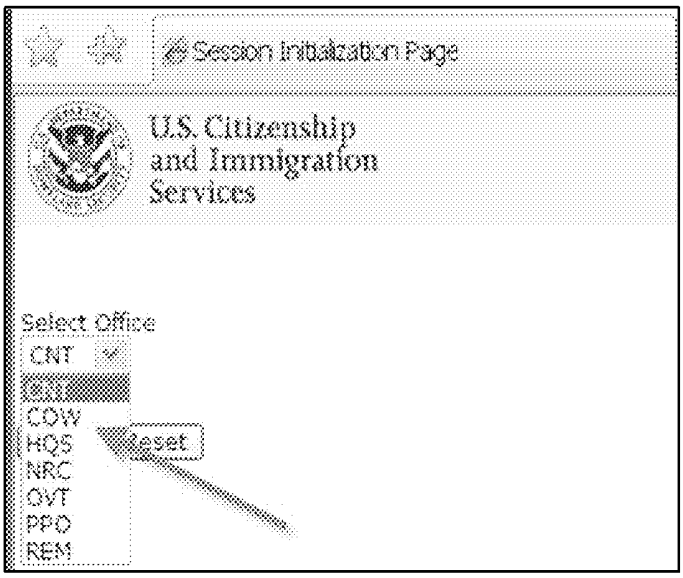


- Print the barcode sheet
- Attach the requester documents underneath the barcode sheet
- Place in the outbox to be sent to the OA room to be scanned

4. Case Creation

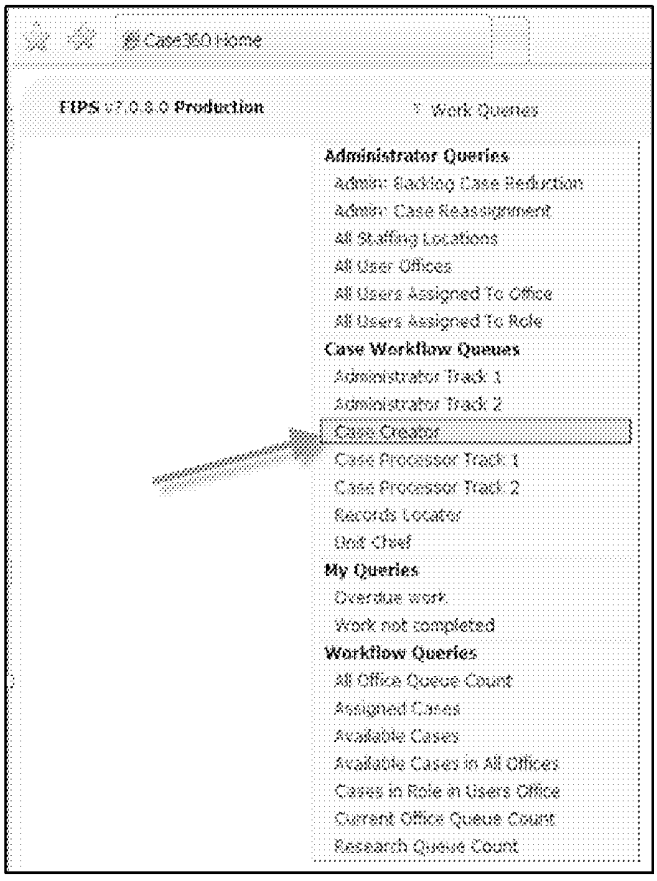
Case Creation is the process in which SIG enters new cases into FIPS. New FOIA/PA and PA Amendments requests, referrals and consultations are the only types of correspondences that

4.1. In FIPS select which queue to work out of



- CNT
- COW
- HQS
- REM

4.2. From the Work Queue Dropdown Box select "Case Creator"



4.3. The page will populate with one of the below:

- New FOIA/PA Request
- PA Amendment Request
- Referral
- Consultation
- Remand

4.4. Examine the document to determine what has been scanned in, the following are examples of documents that will populate in the FIPS right window.

- A FOIA request: a request for federal government records

- A PA request: a request for personal records kept by the federal government

- A PA Amendment: a request to change personal information in a record (e.g. Immigration status of the requester)

- A Referral: comes from another federal government agency. A referral can be of the entire request as a whole, which should be treated as a new request. More often the referral is of documents that another agency's FOIA office found in records and identified them as USCIS records. They were referred to USCIS to process and provide directly to the requester.

- A consultation: is for documents that another agency's FOIA office found in records and identified them as containing USCIS equities records. They were sent to USCIS to process the USCIS portions and to return back to that other agency. It is a consultation because the other agency is consulting with USCIS on how USCIS want's its information held or disclosed.

- A remand: is a FOIA determination that the requester has appealed and the appeals office has determined that it should be remanded, that is, sent back to SIG to do additional work, *e.g.* perform another search for records.

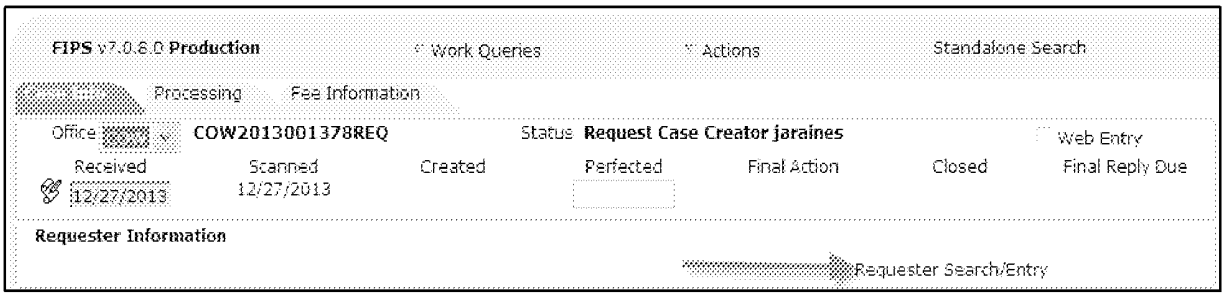
- What if something else was scanned in? If something other than the above populates the screen then it was scanned in error. A case should not be created and it should be deleted. The hardcopy of the correspondence should be located and forwarded to the appropriate office.

I. Examples of this would be
- Routine use request (Quality Control Office)
- An appeal of a FOIA request determination (Appeals Office)
- A-File or Receipt-File material (A-File side of the office)
- Interfiling-material

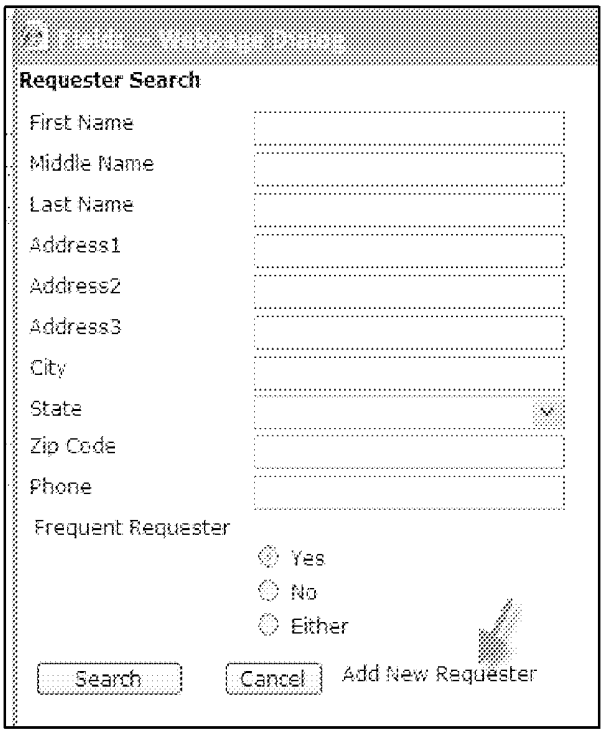
II. What if it's something else than the above? Review the correspondence, if it resembles a request then continue creating the case and close it as an NA or NR.

4.5. Enter Requester Information (name and return address)

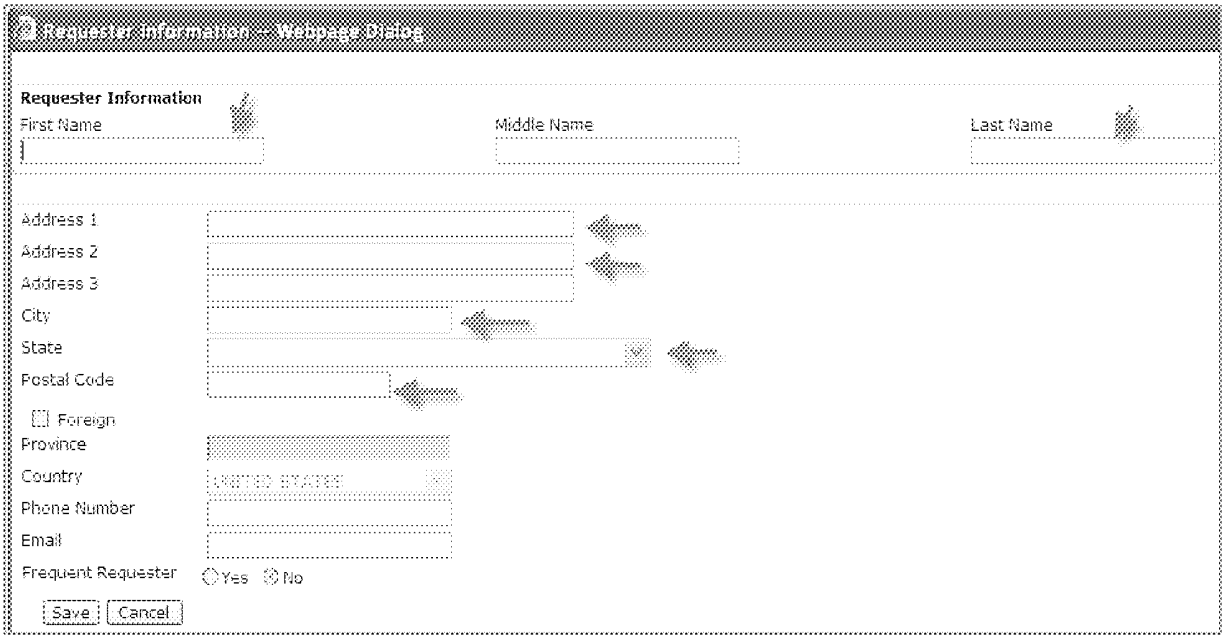
- Click Requester Search/Entry



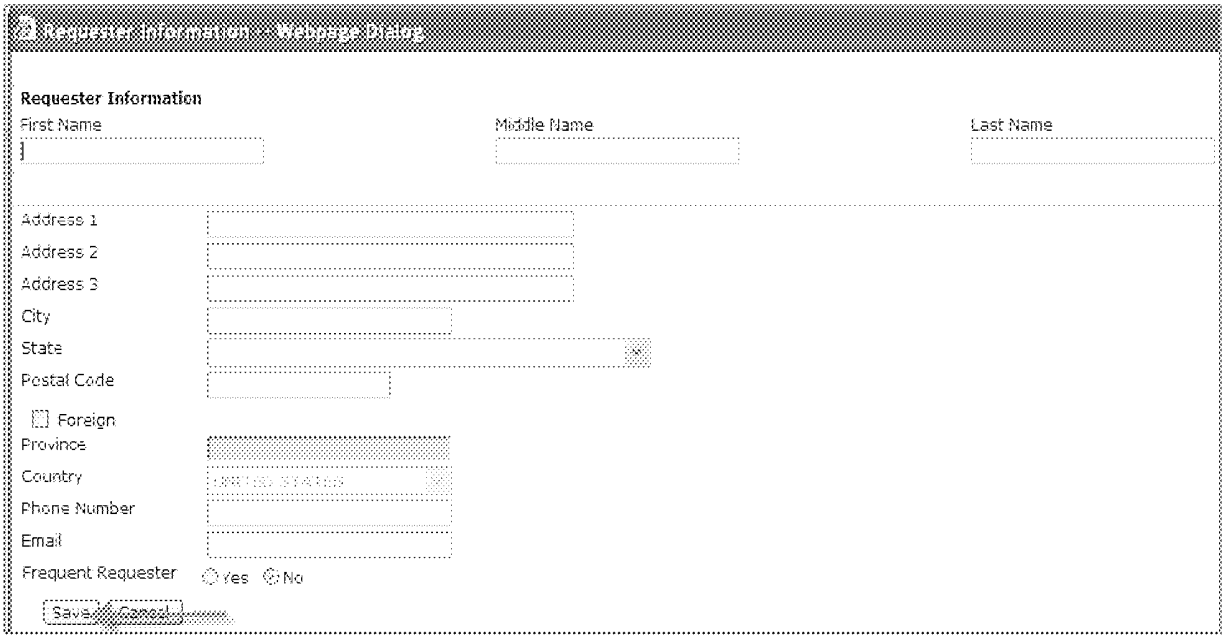
- **Click "Add New Requester"**



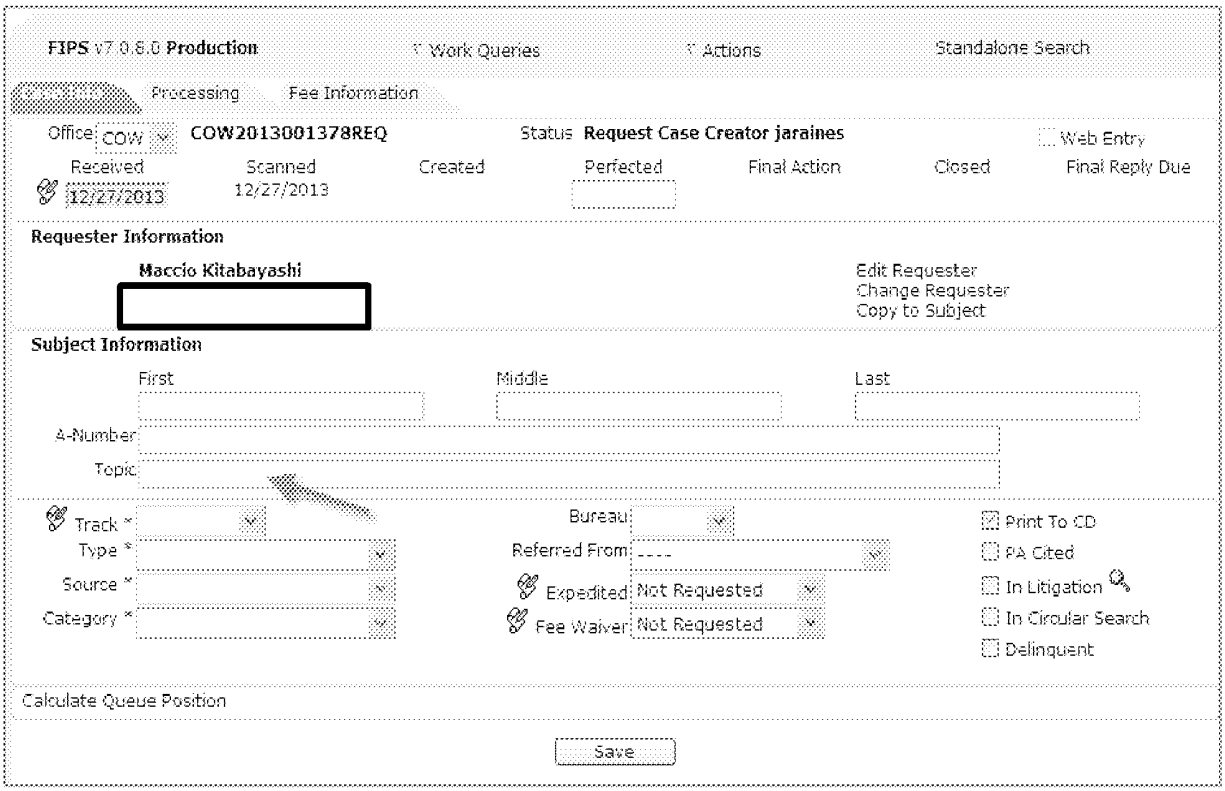
- Enter the requester's name and mailing address as it was provided to us in the request. If it is a consultation enter the consulting agency's return address. DO NOT ENTER THE REQUESTER'S ADDRESS FOR CONSULTATIONS



- Click "Save"

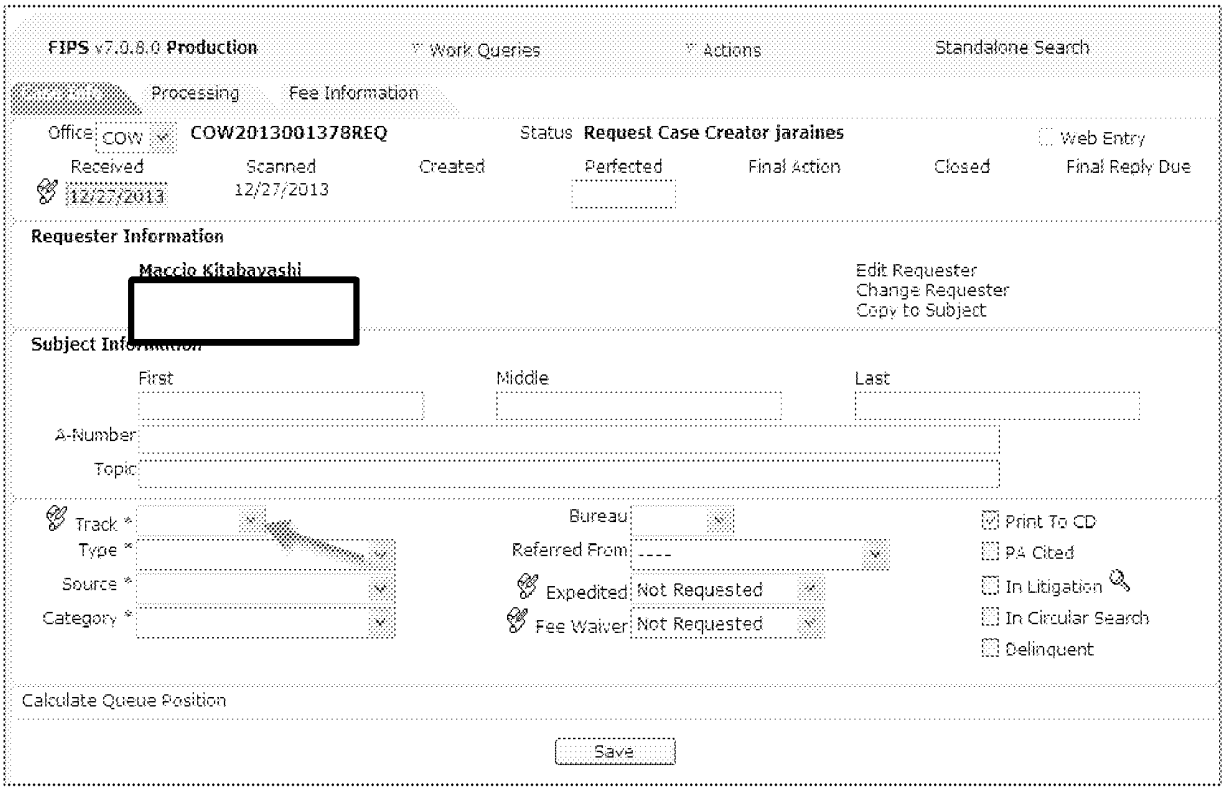


4.6. Enter description of request in the Topic line



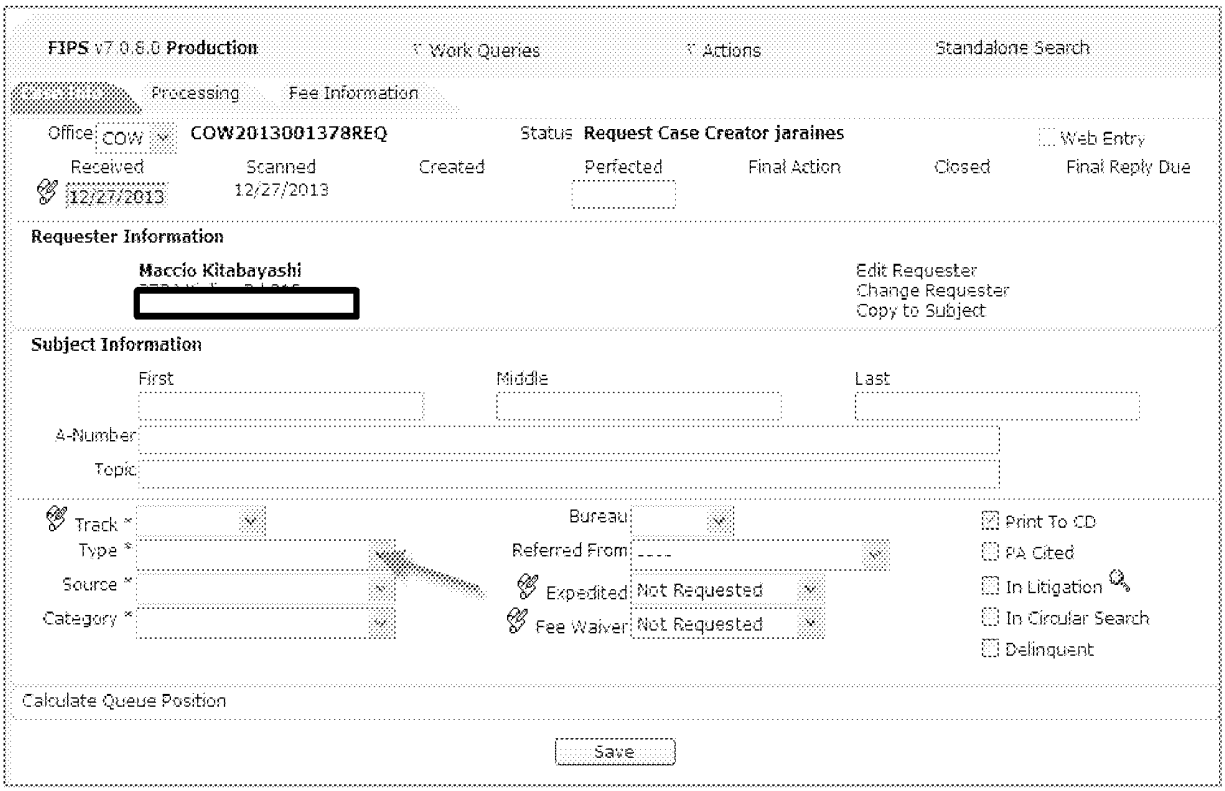
4.7. Select Track

(b)(6)



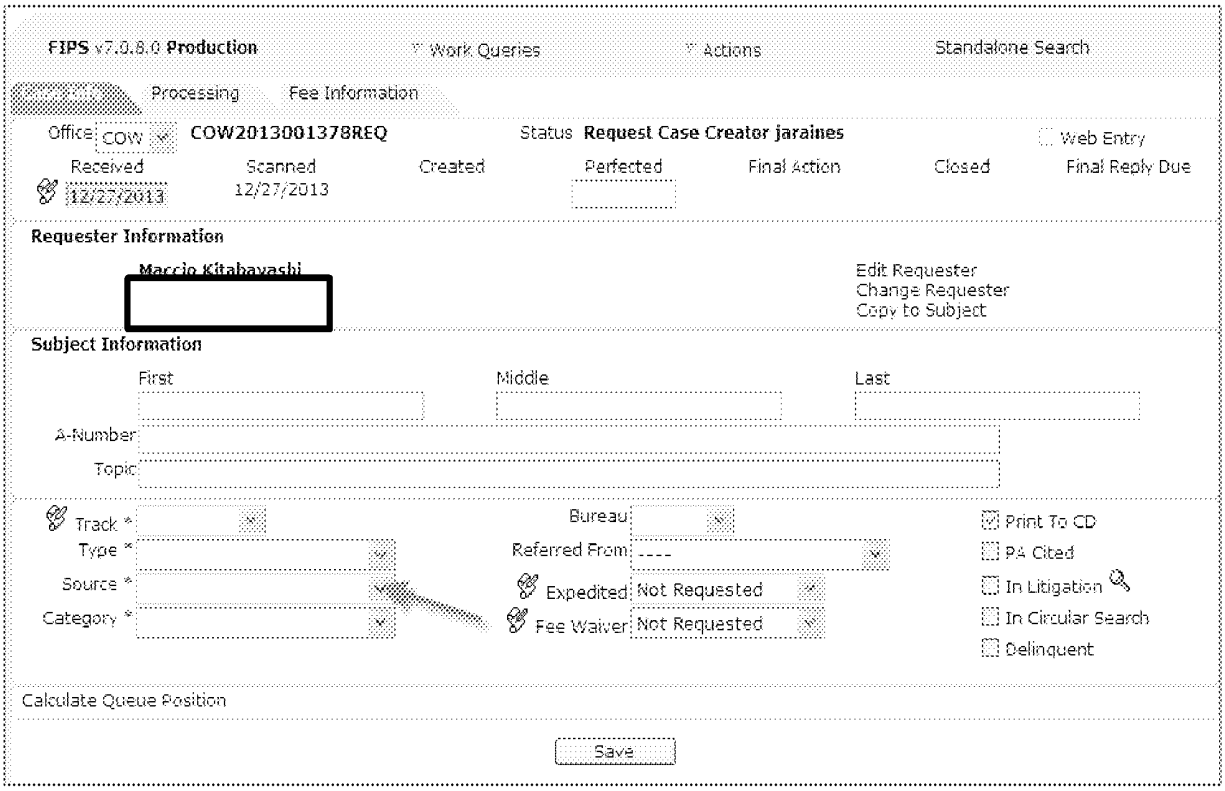
4.8. Select Type

(b)(6)



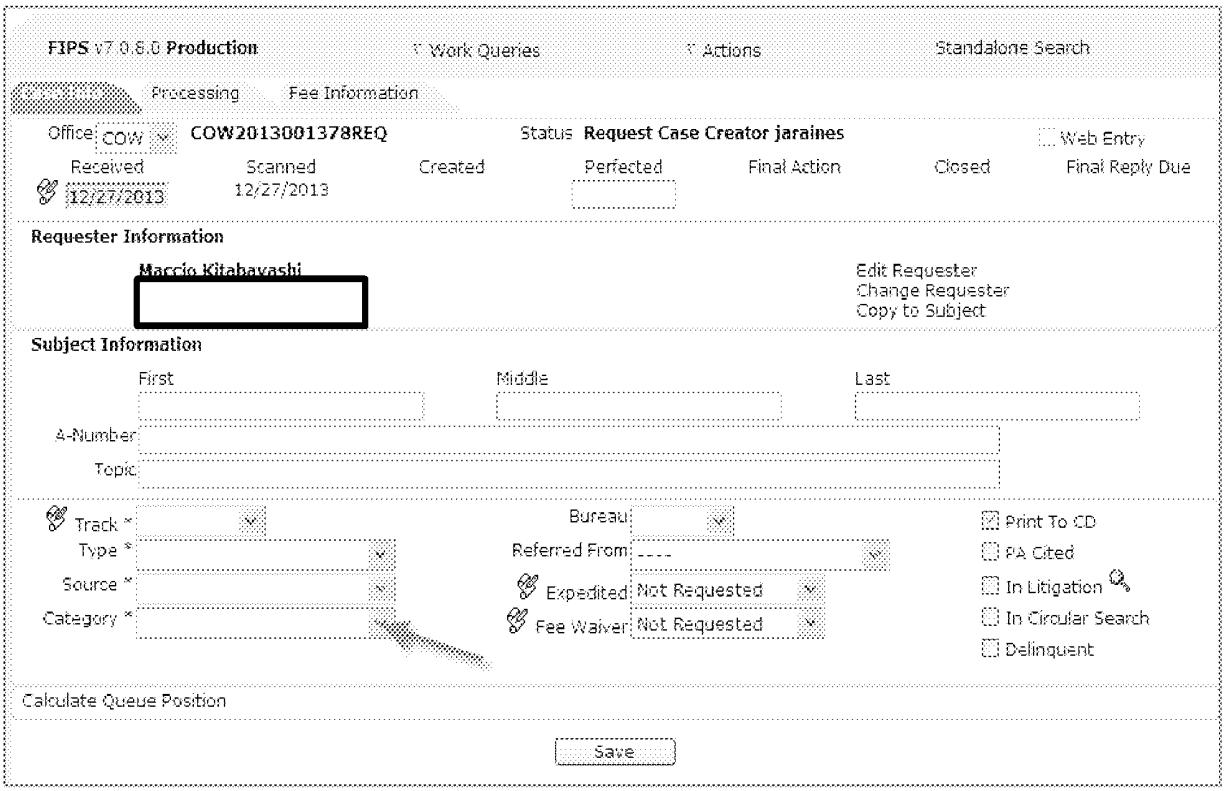
4.9. Select Source

(b)(6)



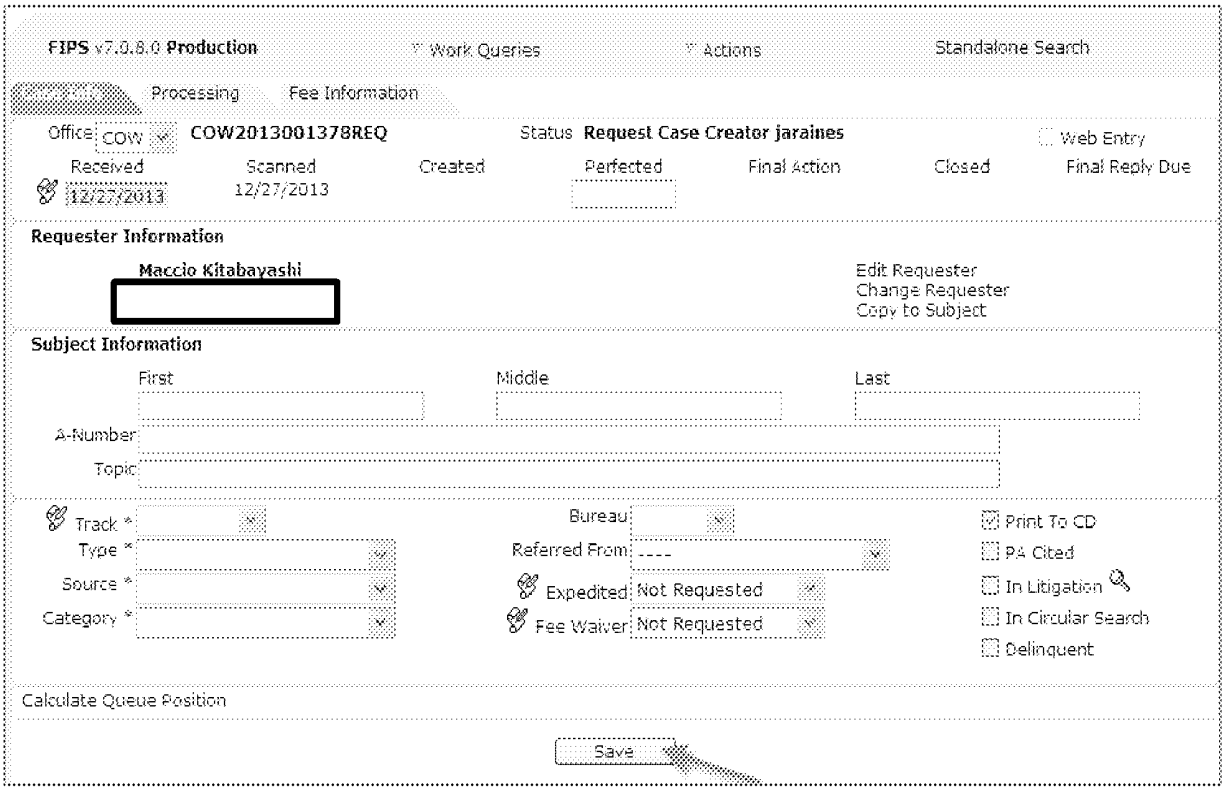
4.10. Select Category (DHS Pre-review, Personnel, Other, etc.)

(b)(6)

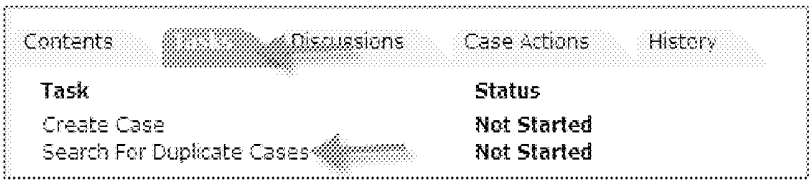


4.11. Click "Save"

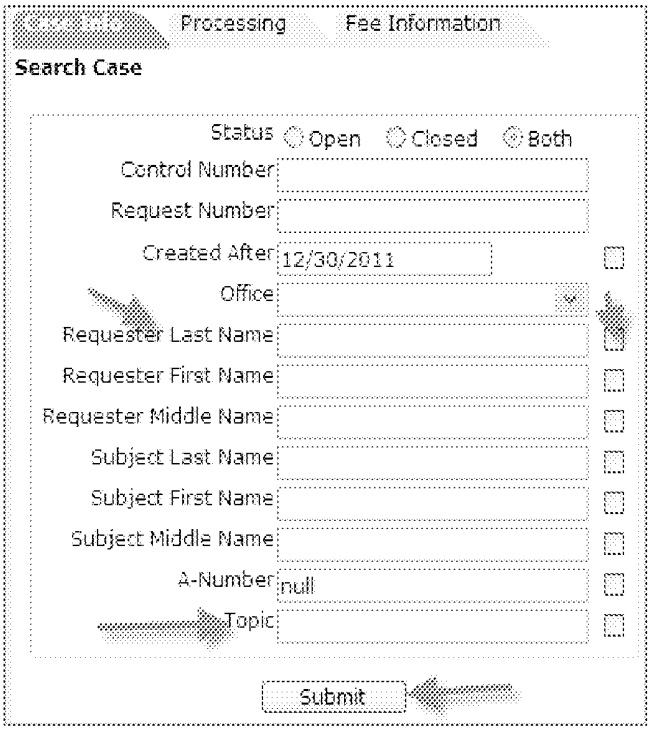
(b)(6)



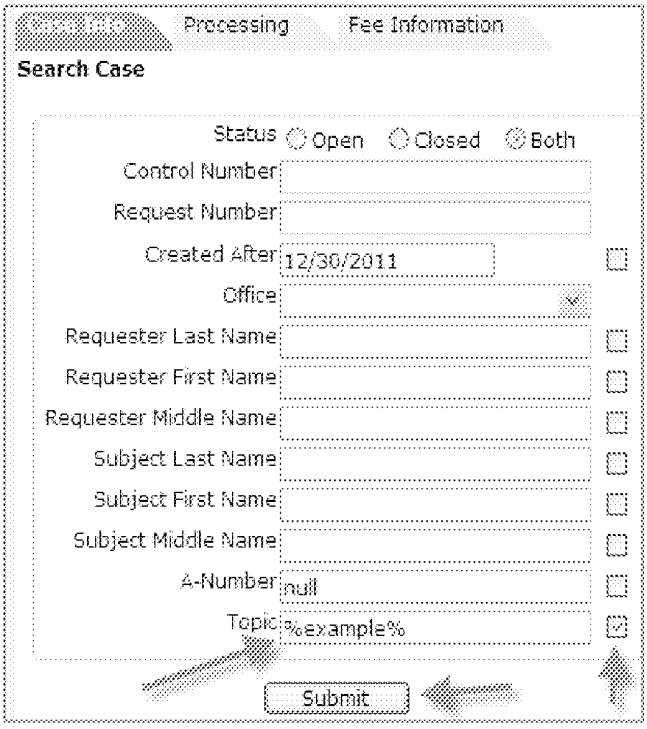
4.12. Under the Tasks tab click "Search for Duplicate Cases"



- Most searches are done by requester name or topic. Be sure to click the box next to the field you wish to search by. Click "Submit"



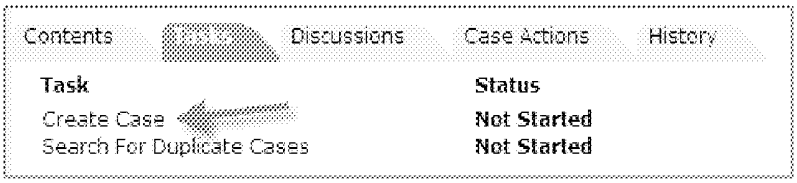
- Use the % symbol on both sides of a word when searching by keyword in the topic line.



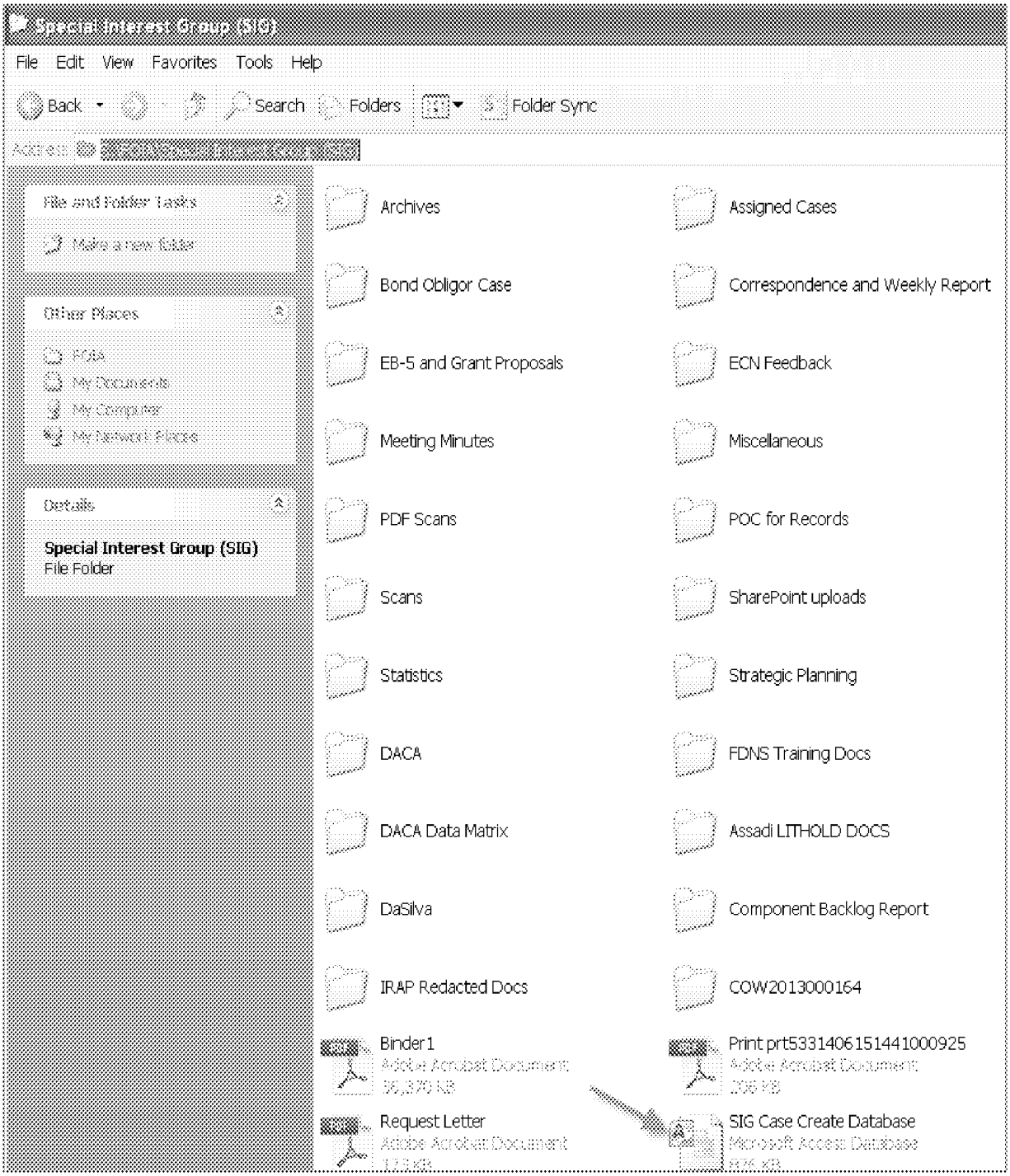
- IF A DUPLICATE CASE IS FOUND PLEASE SEE THE DUPLICATE SECTION

4.13. Create case

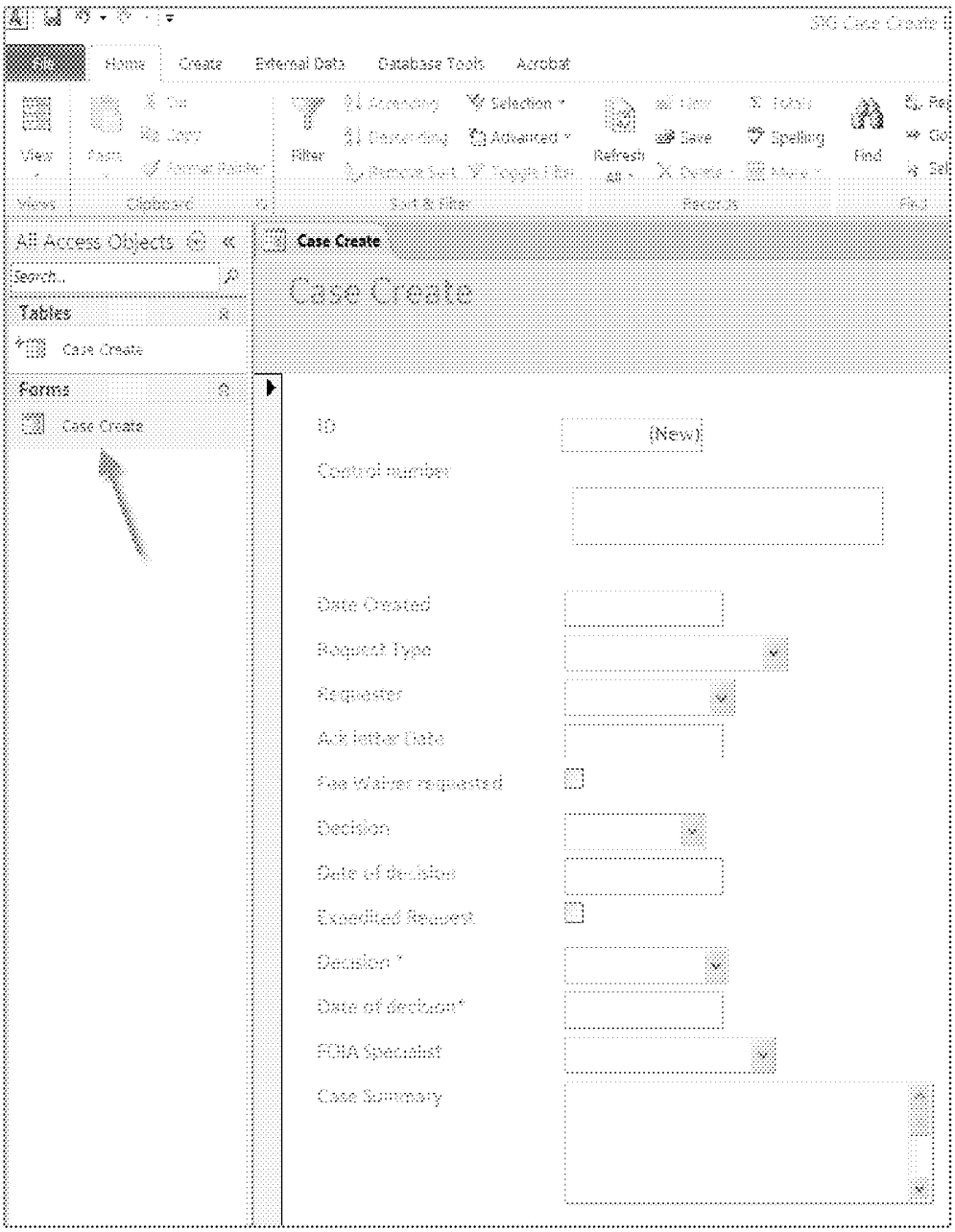
- Click "Create Case"
  I. A control number will be automatically assigned to the case
  II. Locate the hardcopy of the request and write the control number on it



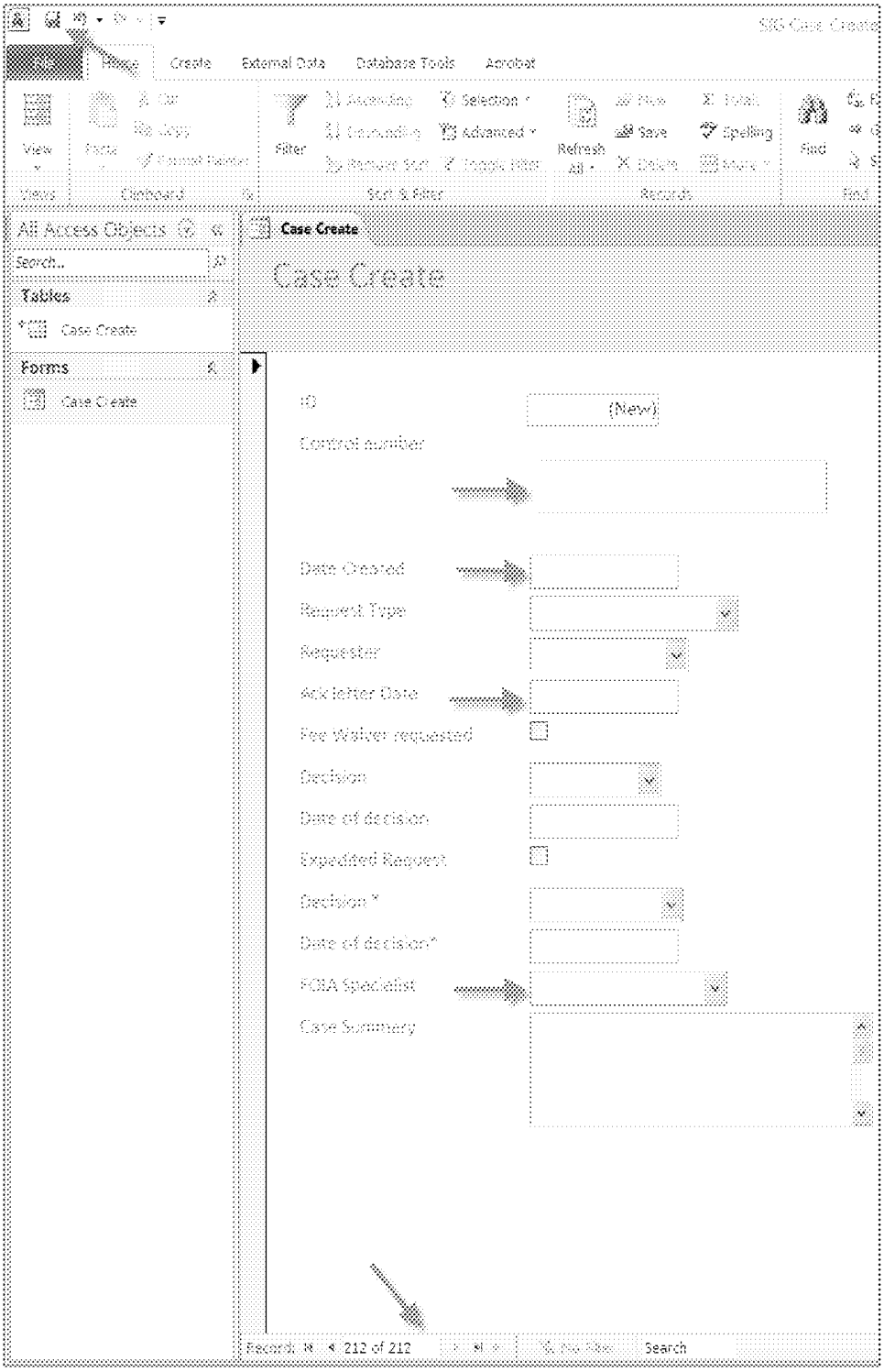
4.14. Enter the case into the SIG Case Create Database found at: S:\FOIA\Special Interest Group (SIG)



- Click “Case Create”



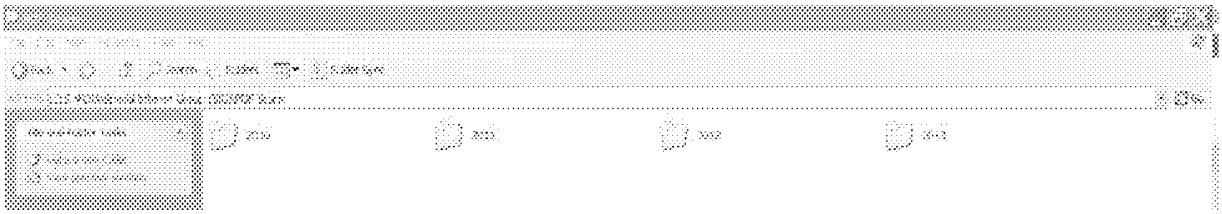
- Go to the last entry (at the bottom) to input a new case. Enter information into all applicable fields. The minimum entries are the: control number, date created, ack letter date, and FOIA specialist. And then click "save"



4.15. Put copy of the request in the S:

- Create folder in S:\FOIA\Special Interest Group (SIG)\PDF Scans

I. The above S: folder contains separate folders organized by year



II. Insert a copy of the request into the appropriate year folder

5. SIG Requests

After the case has been created the next step is to determine whether or not it's a SIG Request. SIG Requests are FOIA/PA and PA Amendment Requests, referrals and consultations.

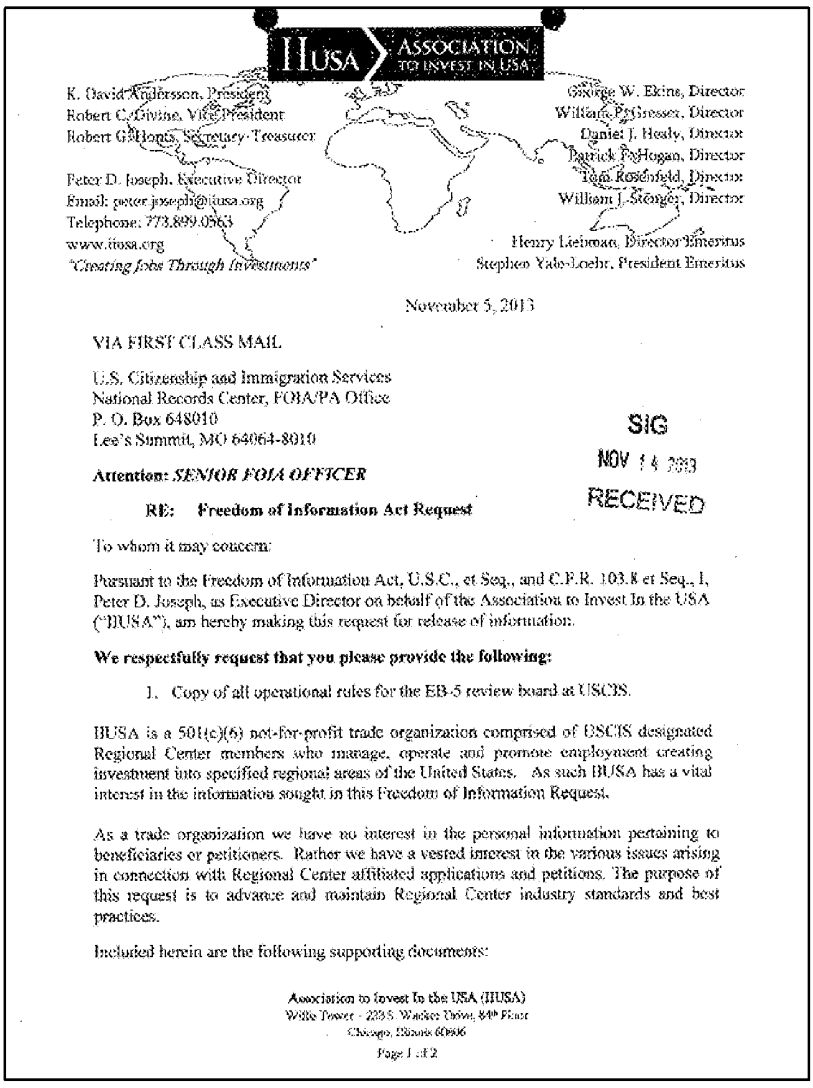
5.1. SIG FOIA/PA Requests

- It is a SIG request if:
  - I. The FOIA request is for congressional correspondence;
  - II. The FOIA request is from a member of the media;
  - III. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;
    - Such organizations include: AILA, ACLU, CAIR, CREW, EFF
  - IV. The FOIA request is for a vacancy announcement
  - V. The FOIA request is for personnel records
  - VI. The FOIA request is for records related to an investigation. It may mention:
    - Report of Investigation
    - OSI Investigation
    - Background Investigation

      These are not USCIS requests – they are redirected to OPM, however, SIG will handle the redirect

VII. The FOIA request relates to a USCIS contract
VIII. The FOIA request relates to a USCIS grant program
IX. The FOIA request mentions "EB-5" or "Regional Center" records
X. The FOIA request is for data/statistics
XI. The FOIA request is a PA Amendment
XII. The requester wants to correct information in their records
XIII. The requester mentions "SAVE"
XIV. The FOIA request is a hybrid, the requester is seeking both A-File material AND non-A-File material

Example:



IIUSA ASSOCIATION TO INVEST IN USA

K. David Andersson, President
Robert C. Divine, Vice President
Robert G. Hoyts, Secretary-Treasurer

Peter D. Joseph, Executive Director
Email: peter.joseph@iiusa.org
Telephone: 773.899.0563
www.iiusa.org
"Creating Jobs Through Investments"

George W. Ekins, Director
William P. Gresser, Director
Daniel J. Healy, Director
Patrick F. Hogan, Director
Tom Rosenfeld, Director
William J. Stenger, Director

Henry Liebman, Director Emeritus
Stephen Yale-Loehr, President Emeritus

November 5, 2013

VIA FIRST CLASS MAIL

U.S. Citizenship and Immigration Services
National Records Center, FOIA/PA Office
P. O. Box 648010
Lee's Summit, MO 64064-8010

SIG
NOV 14 2013
RECEIVED

Attention: *SENIOR FOIA OFFICER*

RE: Freedom of Information Act Request

To whom it may concern:

Pursuant to the Freedom of Information Act, U.S.C., et Seq., and C.F.R. 103.8 et Seq., I, Peter D. Joseph, as Executive Director on behalf of the Association to Invest In the USA ("IIUSA"), am hereby making this request for release of information.

We respectfully request that you please provide the following:

1. Copy of all operational rules for the EB-5 review board at USCIS.

IIUSA is a 501(c)(6) not-for-profit trade organization comprised of USCIS designated Regional Center members who manage, operate and promote employment creating investment into specified regional areas of the United States. As such IIUSA has a vital interest in the information sought in this Freedom of Information Request.

As a trade organization we have no interest in the personal information pertaining to beneficiaries or petitioners. Rather we have a vested interest in the various issues arising in connection with Regional Center affiliated applications and petitions. The purpose of this request is to advance and maintain Regional Center industry standards and best practices.

Included herein are the following supporting documents:

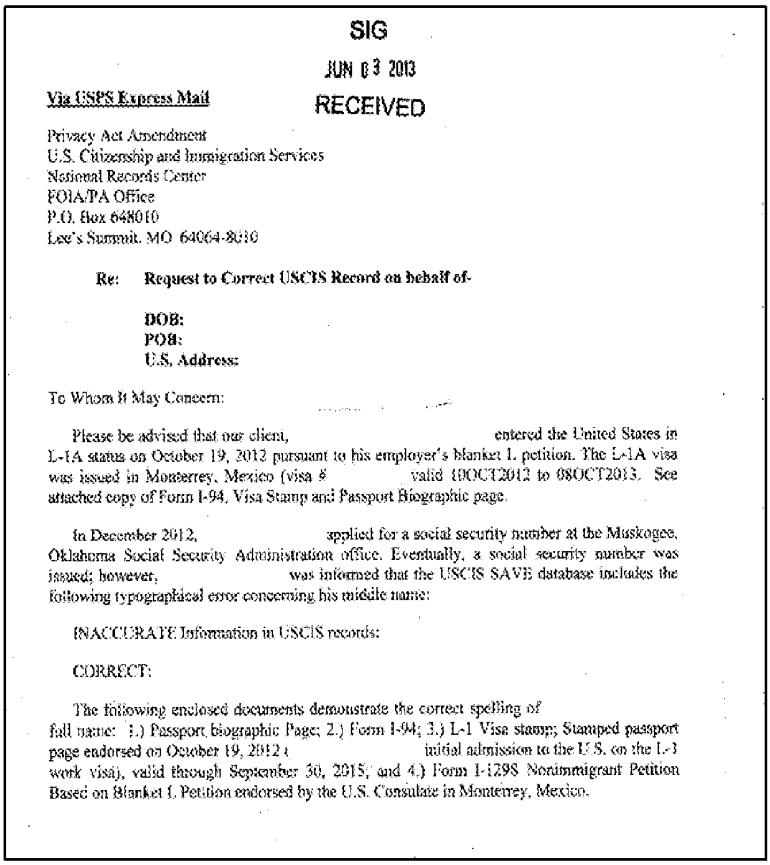
Association to Invest In the USA (IIUSA)
Willis Tower - 233 S. Wacker Drive, 84th Floor
Chicago, Illinois 60606
Page 1 of 2

5.2. PA Amendment Requests

- Under 6 C.F.R. §5.26 an individual can submit a request to correct, update or change personal information in their file. Often times this is a request to

change/update/correct information in an A-File such as a name. Other times it is to change an immigration status for SAVE purposes.

Example:



SIG

JUN 03 2013

RECEIVED

Via USPS Express Mail

Privacy Act Amendment
U.S. Citizenship and Immigration Services
National Records Center
FOIA/PA Office
P.O. Box 648010
Lee's Summit, MO 64064-8010

Re: Request to Correct USCIS Record on behalf of-

DOB:
POB:
U.S. Address:

To Whom It May Concern:

Please be advised that our client, entered the United States in L-1A status on October 19, 2012 pursuant to his employer's blanket L petition. The L-1A visa was issued in Monterrey, Mexico (visa # valid 08OCT2012 to 08OCT2013. See attached copy of Form I-94, Visa Stamp and Passport Biographic page.

In December 2012, applied for a social security number at the Muskogee, Oklahoma Social Security Administration office. Eventually, a social security number was issued; however, was informed that the USCIS SAVE database includes the following typographical error concerning his middle name:

INACCURATE Information in USCIS records:

CORRECT:

The following enclosed documents demonstrate the correct spelling of full name: 1.) Passport biographic Page; 2.) Form I-94; 3.) L-1 Visa stamp; Stamped passport page endorsed on October 19, 2012 (initial admission to the U.S. on the L-1 work visa), valid through September 30, 2015; and 4.) Form I-129S Nonimmigrant Petition Based on Blanket L Petition endorsed by the U.S. Consulate in Monterrey, Mexico.

5.3. Referrals and Consultations Received From Other Agencies

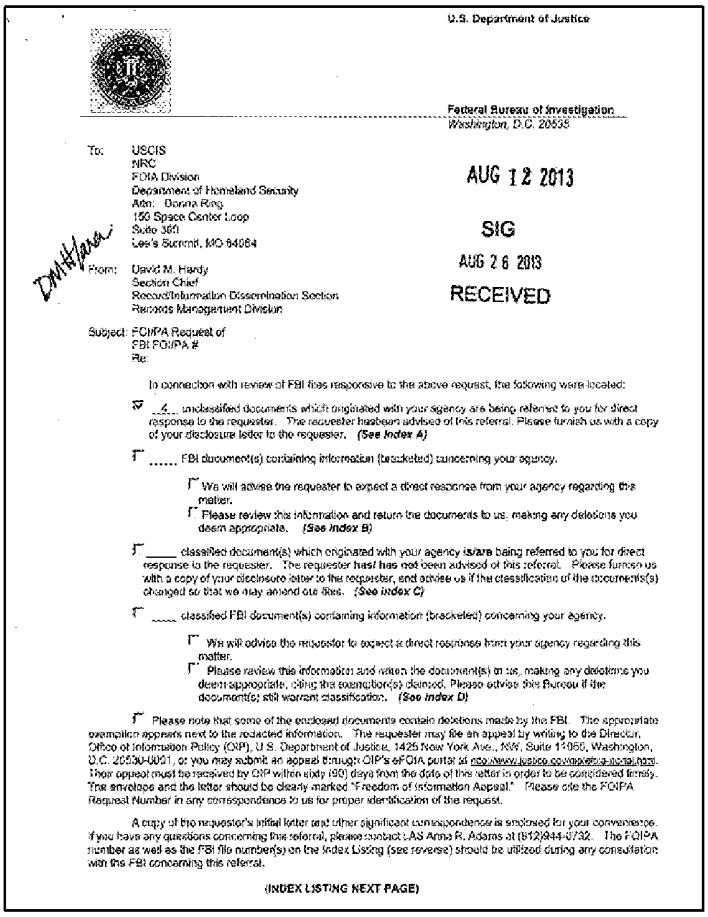
- Referrals
  I. Other government agencies' and DHS components' FOIA/PA offices will make the determination to refer a FOIA request to the USCIS FOIA office at the NRC for a direct response to the requester. The referral can be complete or partial.
    - Complete Referrals:

      A complete referral comes from another government agency or DHS component in which either the entirety or a segregable portion of the request falls under the purview of USCIS. Treat these as a new request
    - Partial Referrals:

      As other agencies process FOIA/PA requests, they will sometimes find USCIS documents within their files. These documents will be referred to us for processing. The majority of partial referrals come

from the Office of Personnel Management (OPM), Department of State, and the Federal Bureau of Investigation (FBI).

Example:



U.S. Department of Justice

Federal Bureau of Investigation
Washington, D.C. 20535

To: USCIS
NRC
FOIA Division
Department of Homeland Security
Attn: Donna Ring
150 Space Center Loop
Suite 360
Lee's Summit, MO 64064

AUG 12 2013

SIG

AUG 26 2013

RECEIVED

From: David M. Hardy
Section Chief
Record/Information Dissemination Section
Records Management Division

Subject: FOIPA Request of
FBI FOIPA #
Re:

In connection with review of FBI files responsive to the above request, the following were located:

☑ 4 unclassified documents which originated with your agency are being referred to you for direct response to the requester. The requester has been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester. *(See Index A)*

☐ ..... FBI document(s) containing information (bracketed) concerning your agency.

☐ We will advise the requester to expect a direct response from your agency regarding this matter.

☐ Please review this information and return the documents to us, making any deletions you deem appropriate. *(See Index B)*

☐ ____ classified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester has/ has not been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester, and advise us if the classification of the document(s) changed so that we may amend our files. *(See Index C)*

☐ ____ classified FBI document(s) containing information (bracketed) concerning your agency.

☐ We will advise the requester to expect a direct response from your agency regarding this matter.

☐ Please review this information and return the document(s) to us, making any deletions you deem appropriate, citing the exemption(s) claimed. Please advise this Bureau if the document(s) still warrant classification. *(See Index D)*

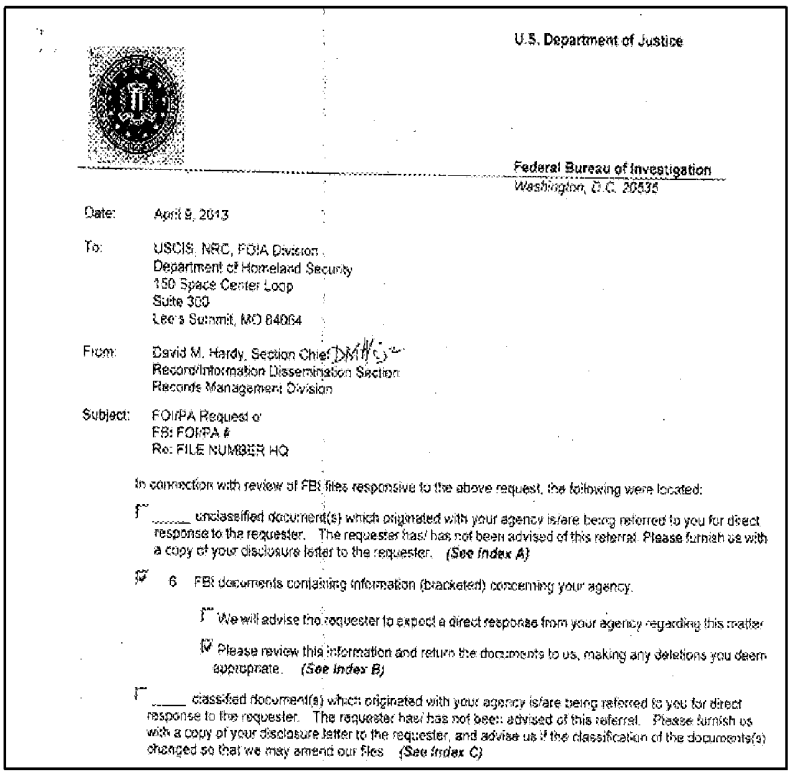
☐ Please note that some of the enclosed documents contain deletions made by the FBI. The appropriate exemption appears next to the redacted information. The requester may file an appeal by writing to the Director, Office of Information Policy (OIP), U.S. Department of Justice, 1425 New York Ave., NW, Suite 11050, Washington, D.C. 20530-0001, or you may submit an appeal through OIP's eFOIA portal at https://www.justice.gov/oip/efoia-portal.html. Their appeal must be received by OIP within sixty (60) days from the date of this letter in order to be considered timely. The envelope and the letter should be clearly marked "Freedom of Information Appeal." Please cite the FOIPA Request Number in any correspondence to us for proper identification of the request.

A copy of the requestor's initial letter and other significant correspondence is enclosed for your convenience. If you have any questions concerning this referral, please contact LAS Anna R. Adams at (912)944-0732. The FOIPA number as well as the FBI file number(s) on the Index Listing (see reverse) should be utilized during any consultation with the FBI concerning this referral.

(INDEX LISTING NEXT PAGE)

- Consultations
  I. A consultation is when another government agency or DHS component has found USCIS equities within their documents and then forwards those documents to the USCIS FOIA office to make any recommended withholdings or disclosures. The USCIS FOIA office processes only that specific portion of the document that contains USCIS equities and upon completion returns it back to the original agency/component.

Example:



U.S. Department of Justice

Federal Bureau of Investigation
Washington, D.C. 20535

Date: April 8, 2013

To: USCIS, NRC, FOIA Division
Department of Homeland Security
150 Space Center Loop
Suite 300
Lee's Summit, MO 64064

From: David M. Hardy, Section Chief
Record/Information Dissemination Section
Records Management Division

Subject: FOIPA Request of
FBI FOIPA #
Re: FILE NUMBER HQ

In connection with review of FBI files responsive to the above request, the following were located:

☐ _____ unclassified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester has/ has not been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester. *(See Index A)*

☑ 6 FBI documents containing information (bracketed) concerning your agency.

☐ We will advise the requester to expect a direct response from your agency regarding this matter.

☑ Please review this information and return the documents to us, making any deletions you deem appropriate. *(See Index B)*

☐ _____ classified document(s) which originated with your agency is/are being referred to you for direct response to the requester. The requester has/ has not been advised of this referral. Please furnish us with a copy of your disclosure letter to the requester, and advise us if the classification of the documents(s) changed so that we may amend our files. *(See Index C)*

6. Acknowledging the request

Once it has been determine that it is a SIG Request for records the request then must be acknowledged by creating an acknowledgement letter. The exception to this is for partial referrals and consultations, acknowledgment letters are not sent out for those requests.

6.1. Create the acknowledgement letter

Once created, a default acknowledgement letter will come up as a word document. The default letter MUST be edited and modified to address each unique FOIA request.

- Enter cut-off date paragraph, below:

  In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.4(a)), USCIS uses a "cut-off" date to delineate the scope of a FOIA request by treating records created after that date as not responsive to that request. Therefore, in determining which records are responsive to your request, we will only include records in the possession of this agency as of January 2, 2014, the date we began the search for records.

- Address fee waiver

- Address expedited treatment

- Enter time extension paragraph, below:

[Track 1 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing by ten working days due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

[Track 2 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing beyond the ten working day extension period due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. You may wish to modify your request so that it can be processed within the statutory time limit or arrange an alternative time period with our office. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

7. Fee Waiver Request

7.1. Under 6 C.F.R §5.11 (k) a requester can ask for a fee waiver. To qualify for a fee waiver the requester must establish the following:

6 C.F.R §5.11 (k)(1)(i) Disclosure of the requested information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government; and

6 C.F.R §5.11 (k)(1)(ii) Disclosure of the information is not primarily in the commercial interest of the requester.

- To determine whether disclosure is in the public interest the subject of the requested record must concern the "operations or activities of the government," with a connection that is direct and clear, not remote or attenuated

- To determine if the informative value of the information to be disclosed is "likely to contribute" to an understanding of government operations or activities please note that the disclosure of information that already is in the public domain, in either a

duplicative or substantially identical form, would not contribute to such understanding where nothing new would be added to the public's understanding

- Additionally the disclosure must contribute to the understanding of a reasonably broad audience of persons interested in the subject, as opposed to the individual understanding of the requester. A requester's expertise in the subject area and ability/intention to effectively convey information to the public shall be considered; it shall be presumed that a representative of the news media will satisfy this consideration

- How to determine if the disclosure is likely to contribute "significantly" to public understanding of the government's operations or activities. The public's understanding of the subject in question, as compared to the level of public understanding existing prior to the disclosure, must be enhanced by the disclosure to a significant extent. We do not make value judgments about whether information is "important" enough to be made public.

- The primary interest in disclosure is "primarily in the commercial interest of the requester". A fee waiver or reduction is justified where the public interest standard is greater in magnitude than that of any identified commercial interest. Components shall presume that where a news media requester has satisfied the public interest standard, the public interest will be the interest primarily served by disclosure to that requester. **Disclosure to those who merely compile and market government information shall not be presumed to primarily serve the public interest.**

- You must inform the requester of your determination of the fee waiver request in the acknowledgement letter, whether it is granted or denied. If the request is denied, you must articulate ***why*** it was denied, don't simply recite the C.F.R. language.

8. Expedited Treatment Request

8.1. Under 6 C.F.R §5.5 (d) a requester can ask for expedited treatment. To qualify for expedited treatment requester must establish the following:

6 C.F.R §5.5 (d)(1)(i) Circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; OR

6 C.F.R §5.11 (d)(1)(ii) An urgency to inform the public about an actual or alleged federal government activity, if made by a person primarily engaged in disseminating information. ***This is the most commonly received request.***

- A requester primarily engaged in disseminating information, if not a full-time member of the news media, must establish that he/she is a person whose main professional activity or occupation is information dissemination, though it may not be his/her sole occupation

- A requester primarily engaged in disseminating information also must establish a particular urgency to inform the public about government activity involved in the request, beyond the public's right to know about government activity generally

- Within ten (10) calendar days of its receipt of a request for expedited processing, the component shall decide whether to grant it and shall notify the requester of the decision.

- If the request is denied, you must articulate *why* it was denied, don't simply recite the C.F.R. language**.**

8.2. Requesters who seek expedited processing must

- Submit a statement certified to be true and correct to the best of that person's knowledge/belief, explaining in detail the basis for requesting expedited processing (see examples next slide)

- Formality of certification may be waived as a matter of administrative discretion

9. DHS Pre Review

9.1. Certain requests are considered high profile and must be reported to DHS Headquarters (HQ-DHS) for their awareness. The below FOIA requests must be reported to HQ-DHS

- A request which relates to a Presidential or agency priority;

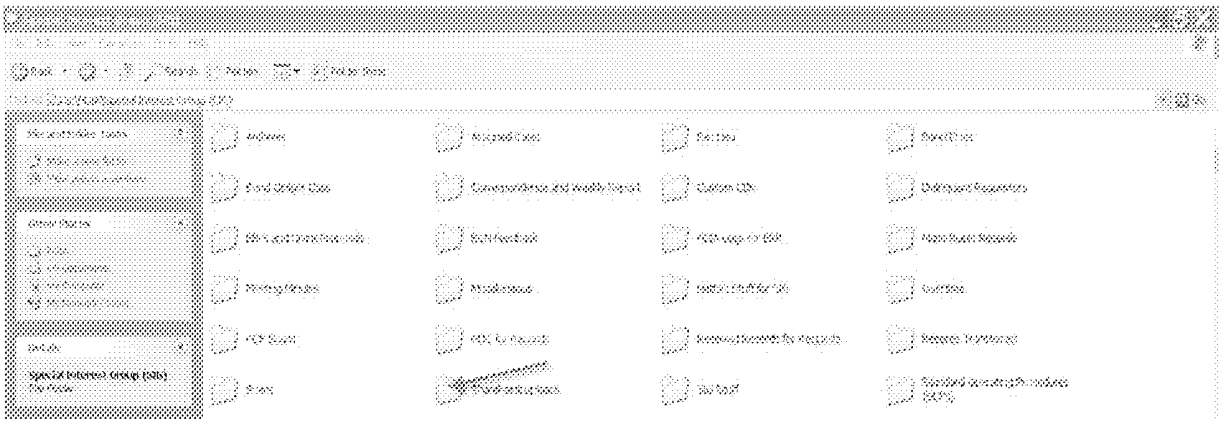
- A request in which the requester or requested documents will garner media attention or is already receiving media attention;

- A request for documents associated with meetings with prominent elected, business and/or community leaders;
- A request for congressional correspondence;
- A request from a member of the media;
- A request from a member of an activist group, watchdog organization, or special interest group;
- A request for documents associated with a controversial or sensitive subject; or
- A request for documents associated with a senior official of USCIS.

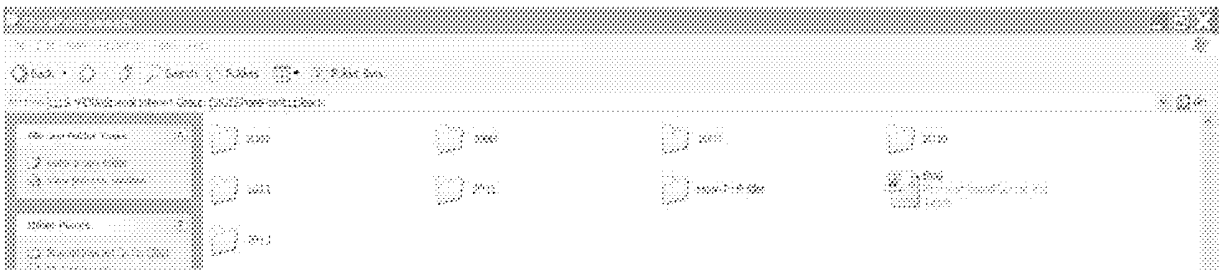
9.2. Draft initial write-up as a word document using proper format

Example: On January 16, 2014, **Joe Shmoe**, an investigative producer with ***DEF News*** in Washington, DC, requested from the United States Citizenship and Immigration Services (USCIS) records pertaining to whatever on January 29, 2014. (Case Number USCIS COW2014000XXX.)

9.3. Create folder in S:\FOIA\Special Interest Group (SIG)\SharePoint uploads



I. The above S: folder contains separate folders organized by year



- Insert copy of the request into the appropriate year folder
- Insert the initial write up into the same folder
- Set FIPS Category Tab to DHS Review

9.4. Email supervisor and mission support personnel notifying them of the request and folder creation. The mission support personnel is responsible for reporting the request to HQ-DHS

10. Staffing For Records

10.1. Identify the agency component that would likely have records

- USCIS is composed of several agency components. The majority of records requester are staffed to the following components:

I. Field Operations Directorate (FOD)
   FOD will have records related to citizenship and naturalization. They will also have vacancy announcement records if the hiring office was a Field or District office

II. Human Resources (HROC)
   HROC will have USCIS vacancy announcement records, such as certified lists and resumes

III. Fraud Detection and National Security (FDNS)
   FDNS has records concerning immigration fraud and immigration fraud investigations

IV. Office of Chief Counsel (OCC)
   OCC will have records regarding legal opinions usually dealing with the drafting and implementation of new policies or interpreting policies and laws

V. Office of Legislative Affairs (OLA)
   OLA provided records for requests for congressional correspondence, both U.S. House of Representatives and Senate

VI. Office of Performance and Quality (OPQ)
   OPQ provides data and statistics related to USCIS applications and petitions (forms). OPQ DOES NOT provide immigration or visa statistics.

VII. Investor Program Office (IPO)

Formerly referred to as SCOPS-EB5, IPO provide EB5 (foreign investor visa) records.

VIII. Refugee, Asylum, and International Operations (RAIO)

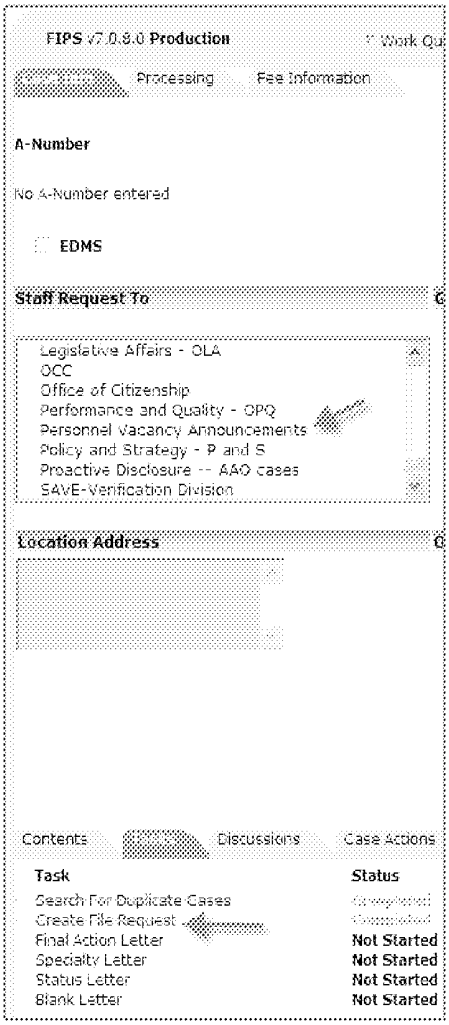
RAIO provides records related to the refugee and asylum programs, as well as USCIS overseas programs and offices. RAIO also provides refugee and asylum application and petition data and statistics. RAIO provides the hiring office records for vacancy announcements for asylum and refugee officer sand overseas positions.

IX. Service Center Operations (SCOPS)

SCOPS will have records related to employee based visa applications and petitions. They will also have vacancy announcement records if the hiring office was a service center

10.2. Create Responsive Records Slot in FIPS

- Under the Tasks tab click "Create File Request" and select the appropriate USCIS Component Office from the list (e.g. FOD, OLA, OCC, OPQ, SCOPS, RAIO)

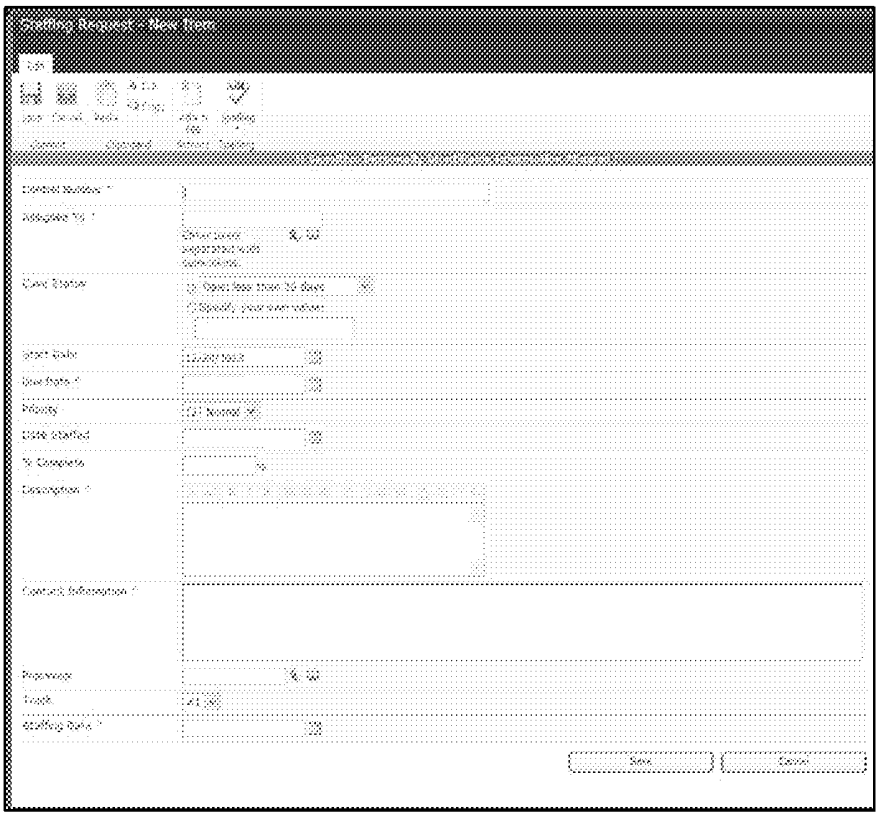


10.3. Request records via ECN

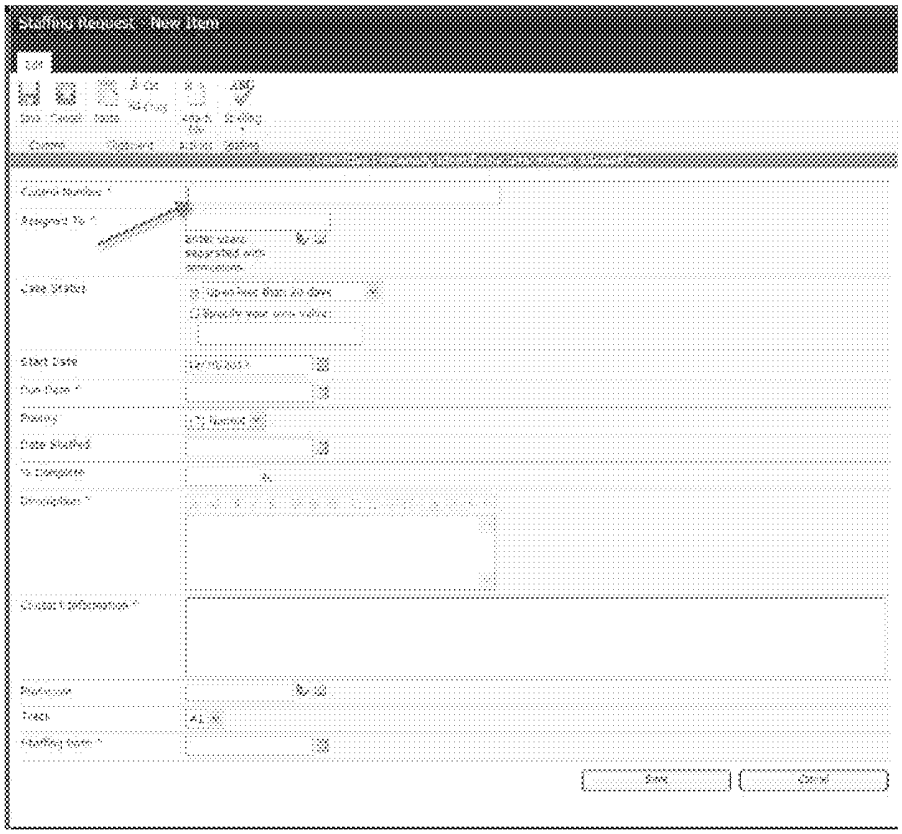
- Go to the ECN staffing request page at: **http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/SIG/SIG%20Case%20Tracking/Lists/Task/AllItems.aspx**

- At the bottom click "Add new item"

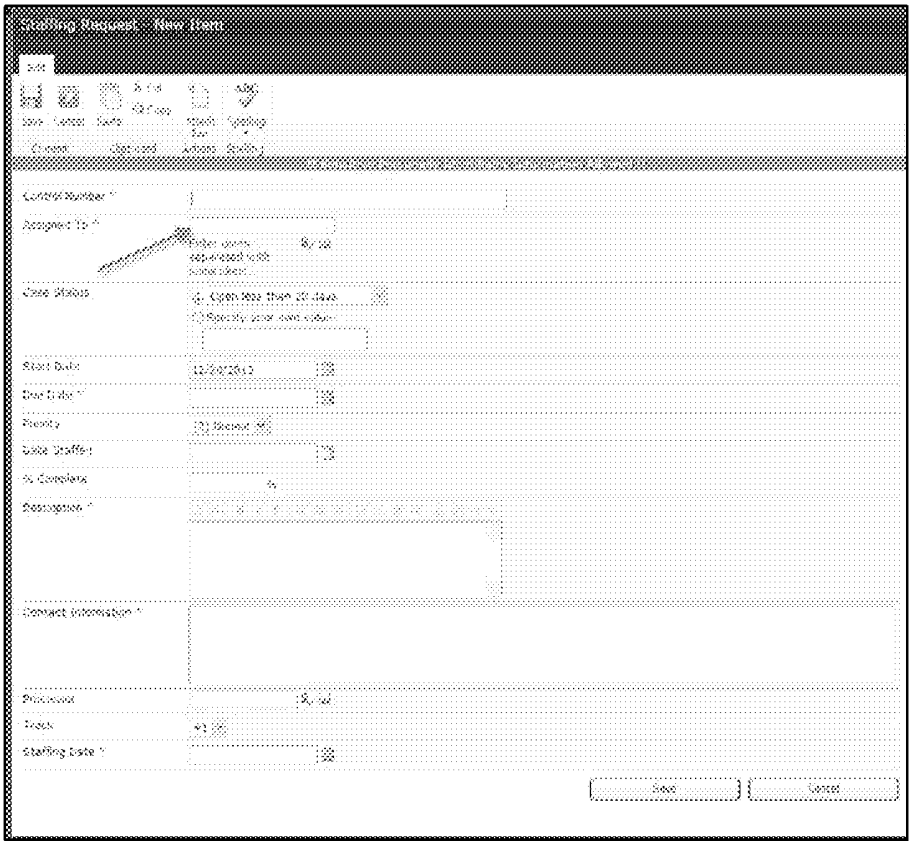
- **This screen pops up**



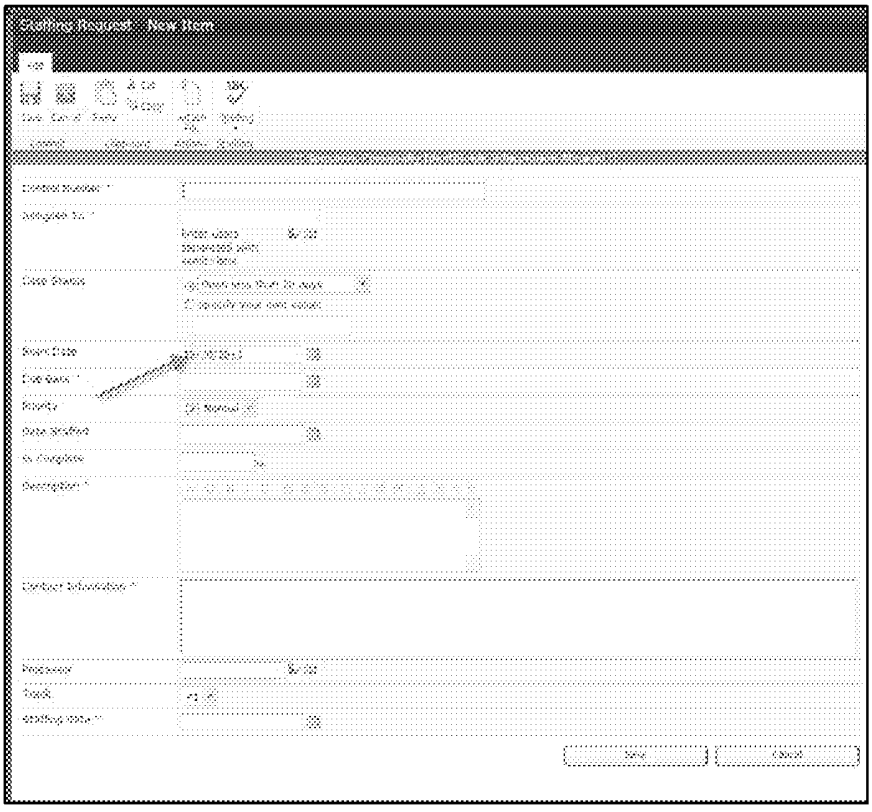
- **Enter the control number**



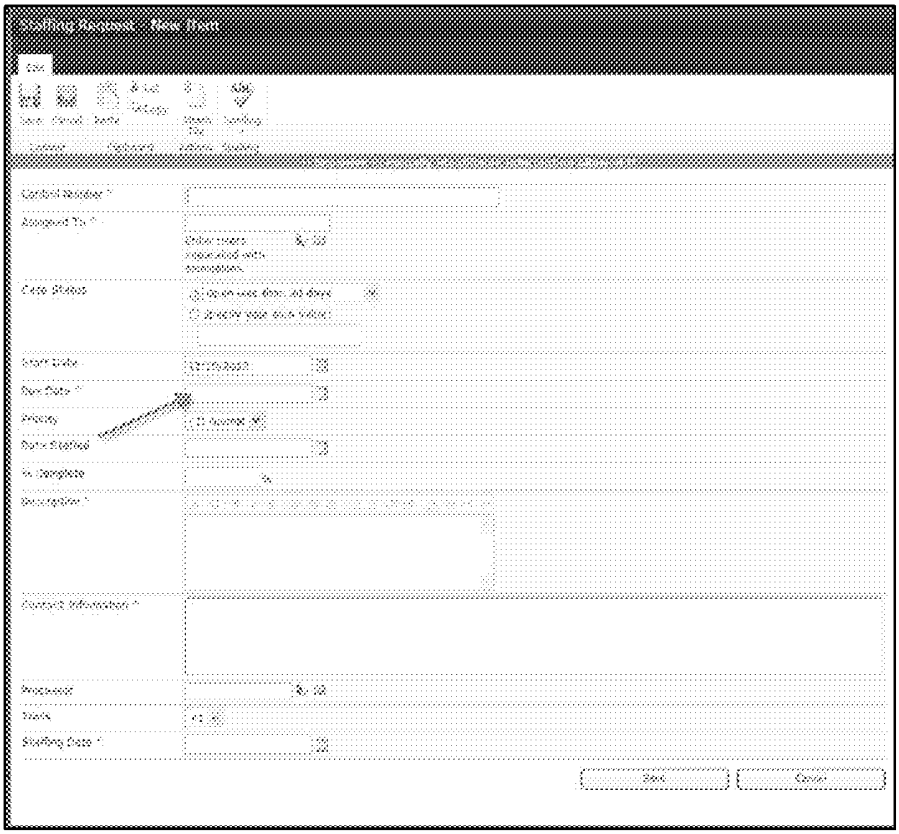
- **Enter the assigned to POCs: <u>See Appendix A</u> – Separate POCs with a semicolon ;**



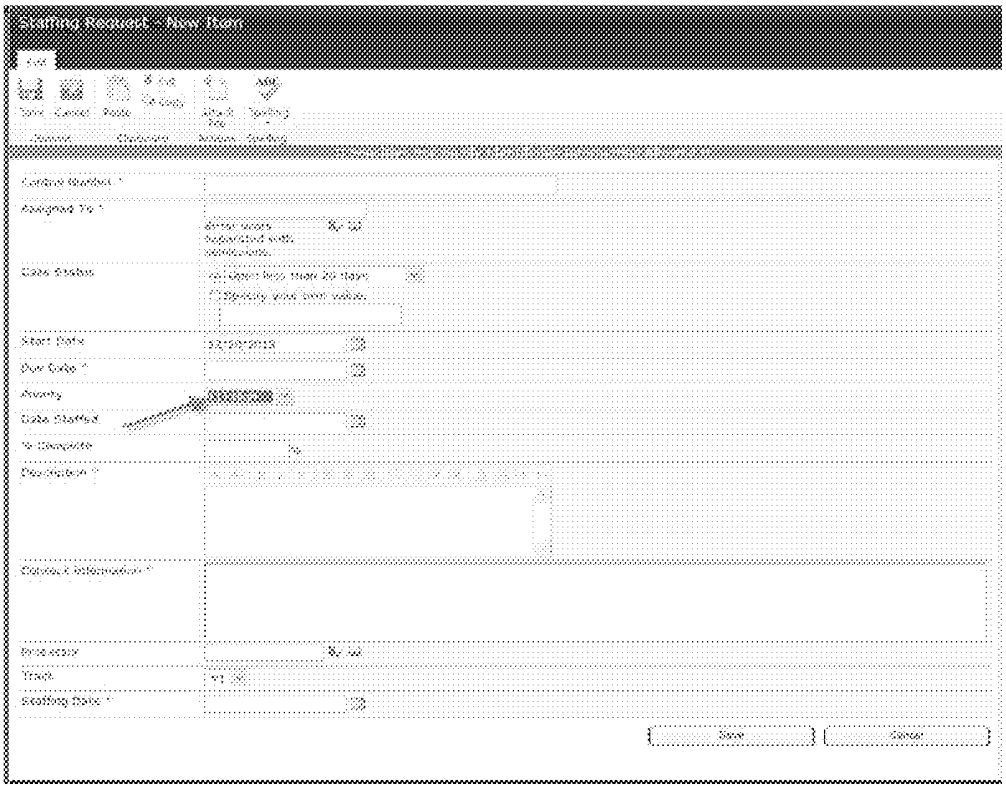
- **Enter the start date – the date the POC was tasked to provide records**



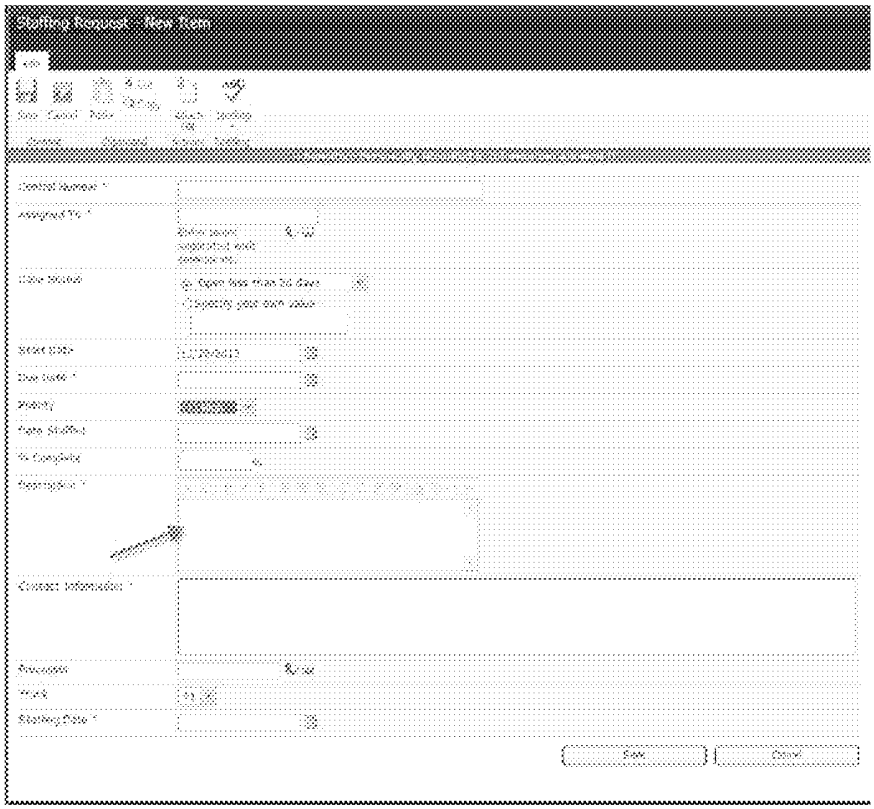
- **Enter the due date – usually 20 calendar days after the start date**



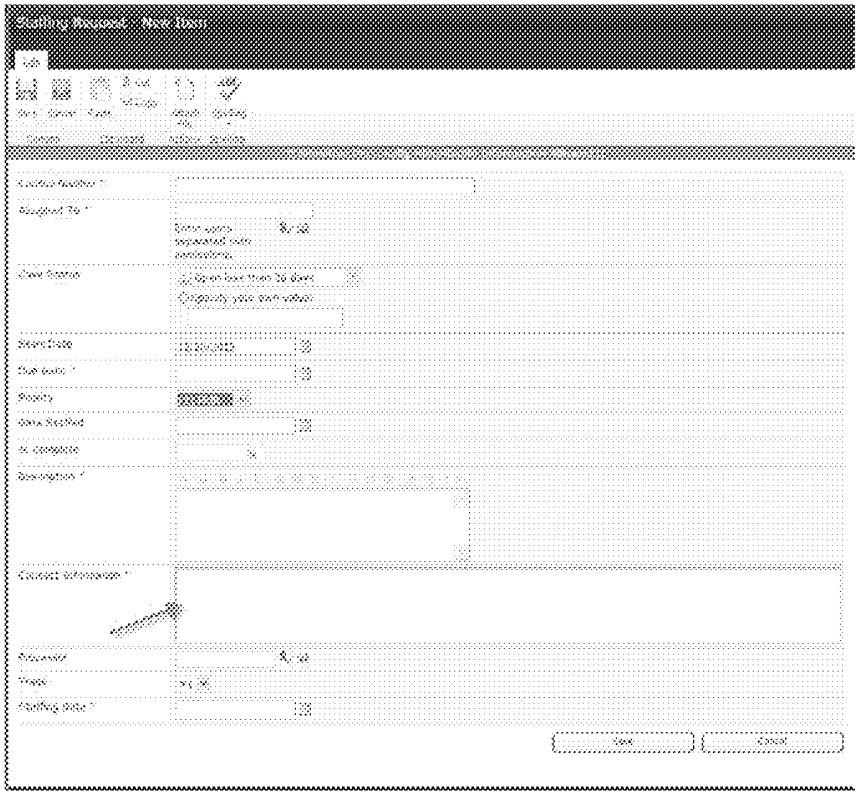
- **Set Priority to 1**



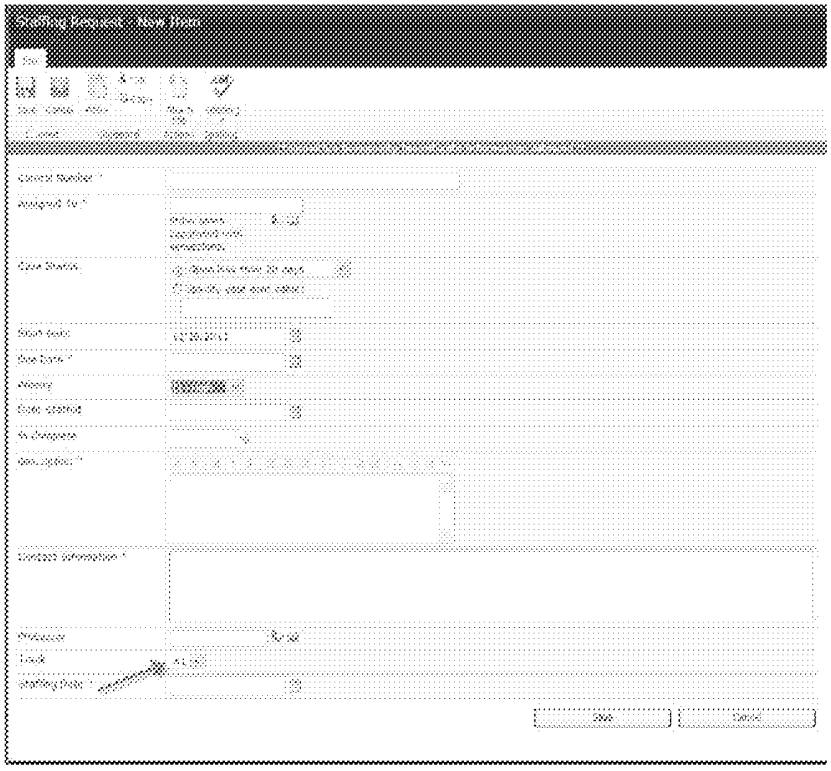
- **Enter a brief yet accurate description of the request – DO NOT include PII**



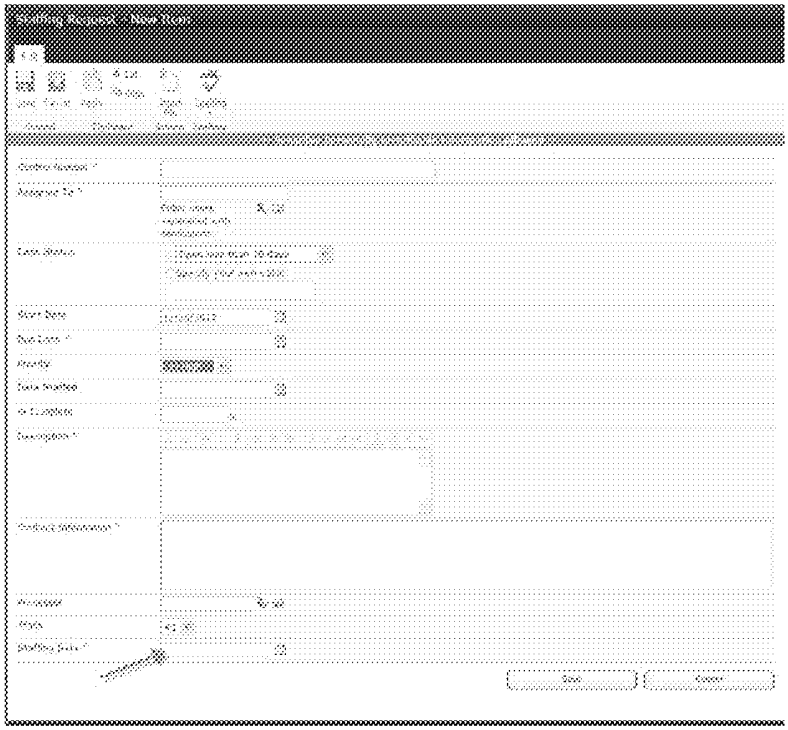
- **Enter your contact information**



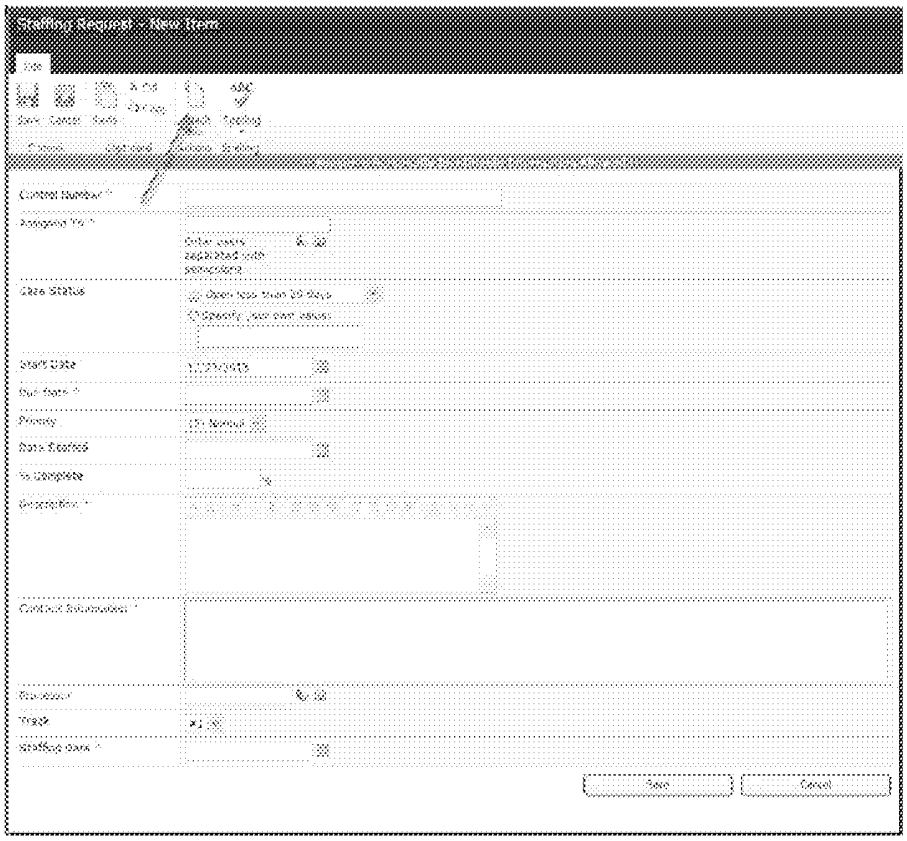
- **Select which track it has been assigned to in FIPS, 1 or 2**



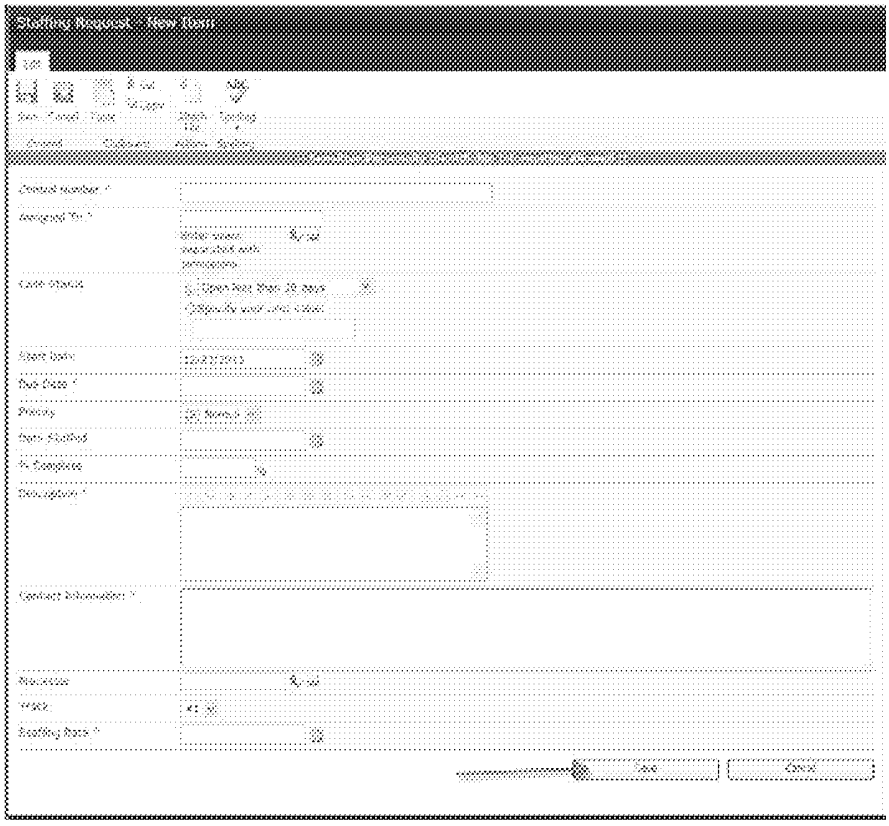
- **Enter the staffing date – the date the staffing was created**



- **Attach the SIG Staffing Sheet and FOIA/PA Request**



- **Click "Save"**



10.4. Request records via FIPS for:

- Contracts
  I. A Contract FOIA request will either reference a USCIS contract or USCIS contract number starting with HSS. The request will be scanned into the CNT queue using the CNT queue cover sheet. Below is an example of a contract FOIA request.

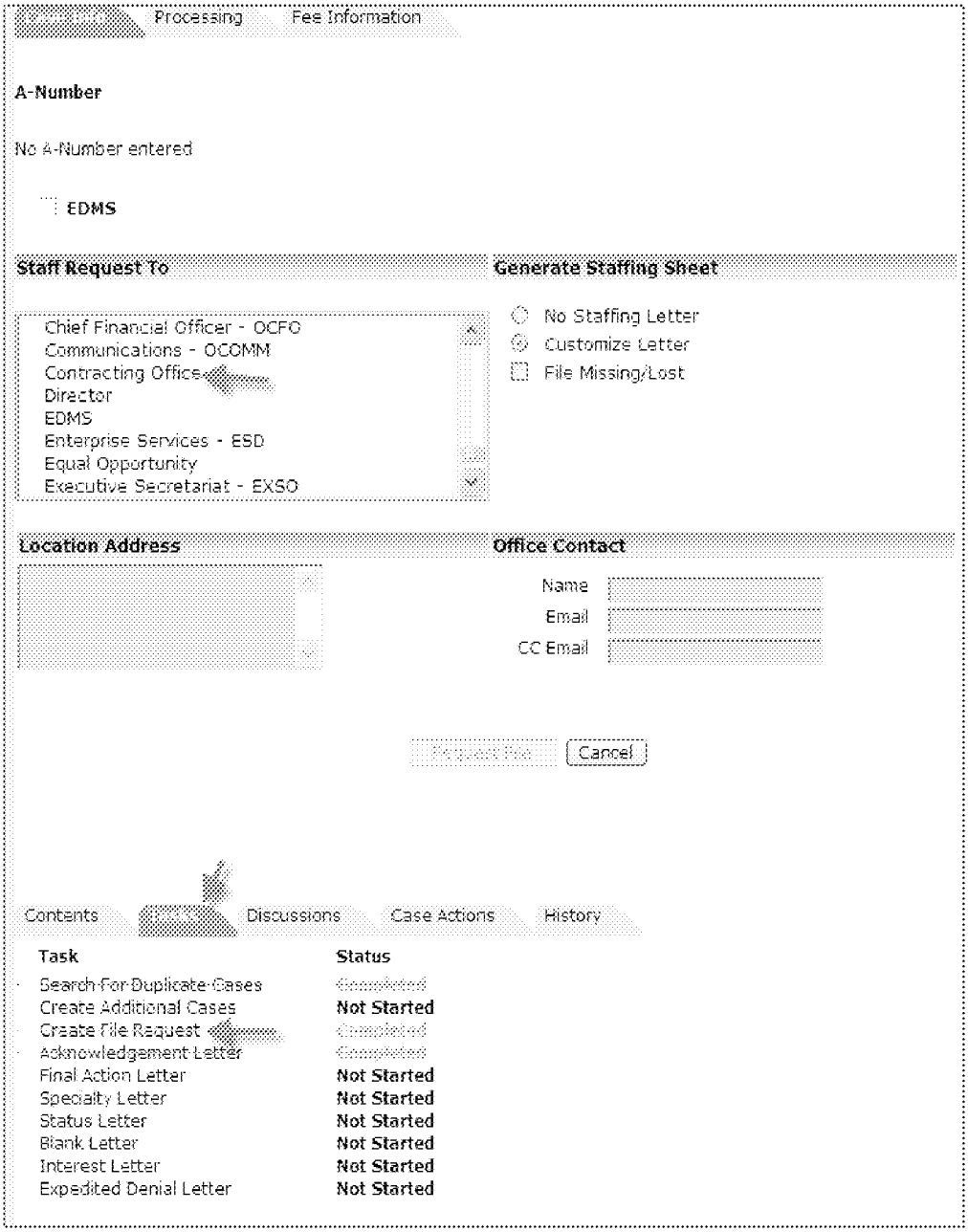
From: FOIA GROUP
Sent: Sunday, December 29, 2013 1:08 PM
To: FOIA, USCIS
Subject: New 2013 FOIA Request - HSSCCG08F00292 (Please Confirm Receipt & Processing) [FGI# 41275]
Importance: High

Good morning, under the provisions of the Freedom of Information Act, I hereby request a copy of the following documents identified to HSSCCG08F00292:

1) Credit Reporting Services contract & SOW/PWS with Equifax Information Services, Contract #GS23FA0014, Order# HSSCCG08F00292

Please confirm receipt and processing of this request. If you have any questions please contact me at I agree to pay reasonable foia fees, however, please notify me if these fees exceed $55.00 for approval. Thanks, ---

II. Under the Tasks tab click "Create File Request" and choose Contracting Office



- A-Files and Receipt Files
  I. If the request is for a complete A-File or Receipt file you will need CIS and NFTS access in order to locate the files. The records are staffed via FIPS the same way as on the A-File side

11. Requirements for a Valid Request

11.1. A valid FOIA request must:

- Describe the records sought
- Must have a mailing address

11.2. Describe the records sought

- The requester must describe the records in enough detail to enable agency personnel to locate them with a reasonable amount of effort. A FOIA request that might seem broad or burdensome does not mean it does not describe the records sought. Remember, the key to determining whether a request is or is not described is the ability of agency staff to reasonably ascertain exactly which records are being requested and the ability to locate them.

11.3. The request may need to be closed at the point of creation or the requester may need to be contacted for the following reasons:

- Our office responds only to requests for USCIS records, the request may have to be referred or redirected to another agency.

- The request may be larger or cost more the requester realizes.

- The requested records may already be publicly available and the case should be closed NA directing to the requester where to look.

12. Customer Service

12.1. We should reach out to the requester when the request is not clear, voluminous, or costly.

- Contacting the requester:
  I. Email contact: Email communication with the requester is preferred in order to have the most accurate record of correspondence with our customers for the file. However, sometimes it's easier and faster to call them.
  II. Phone contact:

a) Long-distance/international calling is authorized as long as it is work-related

b) Be aware of their time zone and the proper pronunciation of their name before you call.

- Identify yourself and that you are with the USCIS FOIA Office. Tell the requester you are calling them concerning their FOIA request.

- Case note phone conversations.

- It is up to you if you want to provide them with your work phone number/extension or email address. Some requesters will contact you frequently or even you're your information public.

12.2. Effective Communication

- Suggested questions for clarifying the request:
  I. What do you mean by _____?
  II. Tell me more about _____?
  III. You stated that you are requesting_____. Am I correct in thinking that you are asking for _____?
  IV. Do you have any idea which agency or agency component might have those records?
  V. You stated you first heard about this on/from (a particular internet site/ a news article/ a press release). Can you tell me how I might find that? Do you have a copy of that so that I might reference it as well?

- Ask if they have attempted to locate the records in other ways:
  I. What other ways did you try so far?
  II. Have you looked at the Department of Homeland Security/USCIS website to see if that information is available there?

- Suggested question for narrowing the request:
  I. Is there any particular record you are looking for?

- If the request looks voluminous and the Requester has not asked for a fee waiver and is not the type of requester who would automatically qualify for one you might want to explain to them how we assess fees and your estimation of the kind of fees to expect with this request.

13. Referring and Redirecting Requests

While creating cases be sure that the scope of the request is for USCIS records. Many requesters are unsure of USCIS's mission and will submit a FOIA request for records USCIS does not have. Keep in mind USCIS's mission statement:

> USCIS will secure America's promise as a nation of immigrants by providing accurate and useful information to our customers, granting immigration and citizenship benefits, promoting an awareness and understanding of citizenship, and ensuring the integrity of our immigration system.

As the mission statement explains, USCIS provides benefits. USCIS is not a law enforcement or intelligence agency. When the request is for records that do not relate to immigration benefits or an obvious function of USCIS then it may need to be referred or redirected to another agency.

13.1. Referring

- When the request should go to another DHS agency (e.g. ICE or CBP) it is closed RF-referred. This sends the request directly to that DHS agency and also notifies the requester that the request was sent to the other agency and to expect a response from that agency. Examples include the following:

  I. Apprehension/Detention/Removal/Deportation Records (beyond A-File material)
  - ICE or CBP

  II. SENTRI/NEXUS/GLOBAL ENTRY/FAST Database records
  - CBP

  III. Apprehension at ports of entry
  - CBP

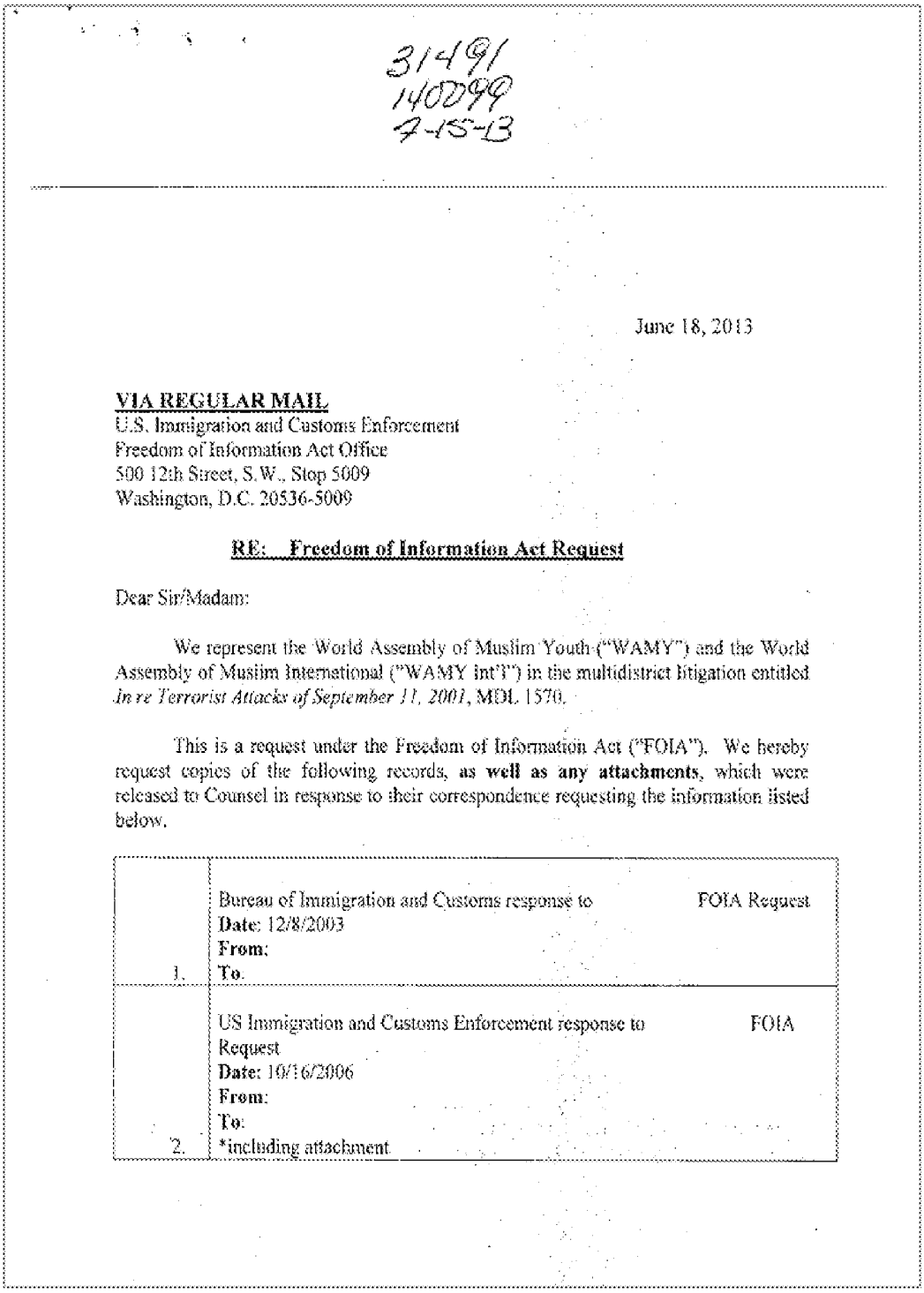
  IV. Inspection records
  - CBP

  V. Entry records (beyond A-File material)
  - CBP

  VI. Immigration statistics
  - DHS Office of Immigrations Statistics

  VII. I-9 Records
  - ICE

Example of a referred request:



31491
140099
7-15-13

June 18, 2013

VIA REGULAR MAIL
U.S. Immigration and Customs Enforcement
Freedom of Information Act Office
500 12th Street, S.W., Stop 5009
Washington, D.C. 20536-5009

RE: Freedom of Information Act Request

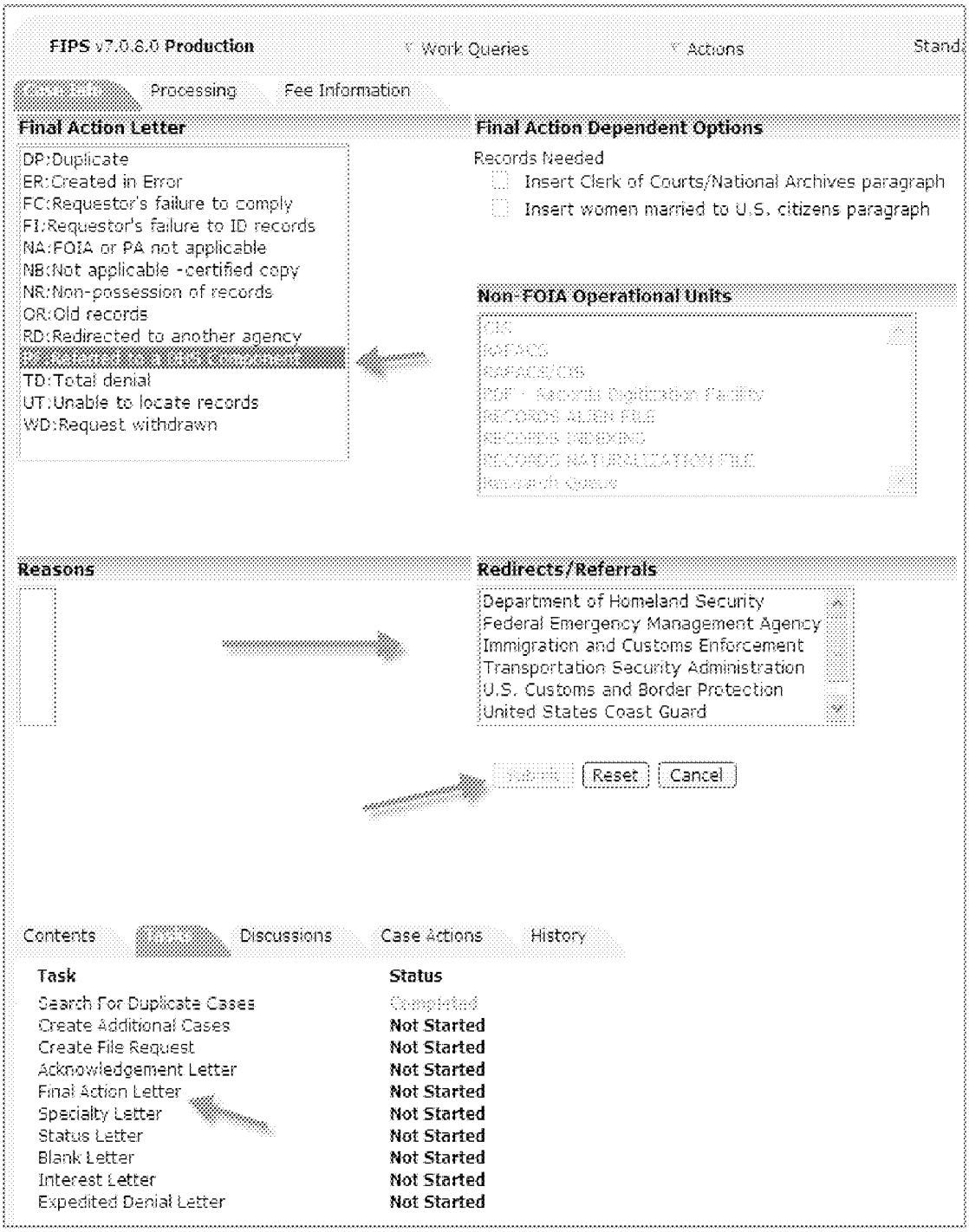
Dear Sir/Madam:

We represent the World Assembly of Muslim Youth ("WAMY") and the World Assembly of Muslim International ("WAMY Int'l") in the multidistrict litigation entitled *In re Terrorist Attacks of September 11, 2001*, MDL 1570.

This is a request under the Freedom of Information Act ("FOIA"). We hereby request copies of the following records, **as well as any attachments**, which were released to Counsel in response to their correspondence requesting the information listed below.

1.	Bureau of Immigration and Customs response to **Date:** 12/8/2003 **From:** **To:**	FOIA Request
2.	US Immigration and Customs Enforcement response to Request **Date:** 10/16/2006 **From:** **To:** *including attachment	FOIA

- To Close as referred:
  - II. Click "Final Action Letter"
  - III. Select RF: Referred to a DHS Component
  - IV. Select which DHS component to send it to
  - V. Click "Submit"
  - VI. You will need to modify the FAL and memo to reflect the request



13.2. Redirecting

- When the request should go to another federal government agency outside of DHS (e.g. FBI or DOS) it is closed RD-redirected. This notifies the requester that they should send their request to the other agency. Please note,

the request is not sent to that other agency, the requester is instructed to do so. Examples include the following:

I. Records concerning prison or prison guards
- Bureau of Prisons (BOP)

II. Visa Statistics
- Department of State

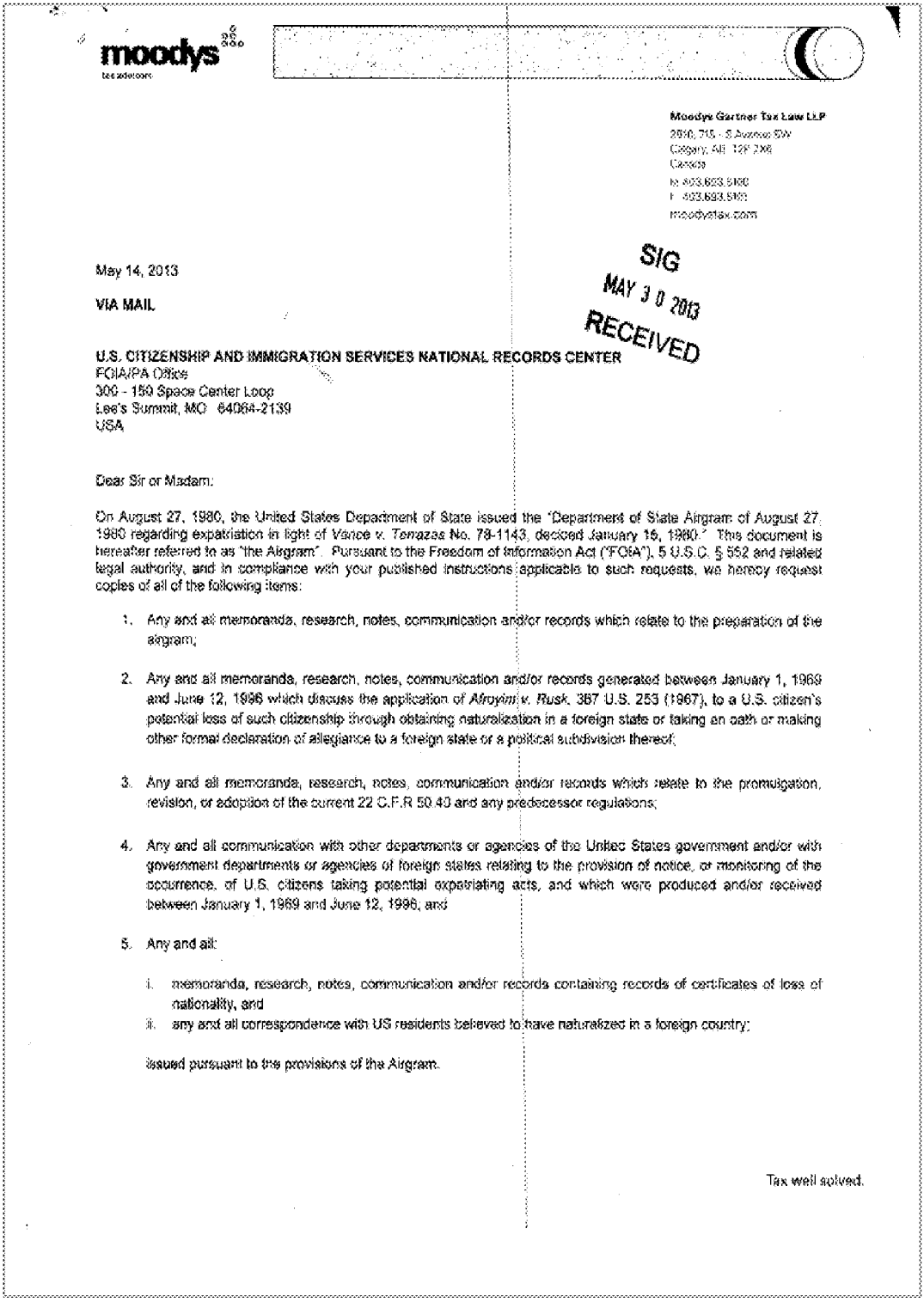
III. Passport information
- Department of State

IV. Expatriate information
- Department of State

V. General law enforcement activities (not DHS)
- FBI

VI. Employment/personal background investigation records
- Office of Personnel Management (OPM)

Example of a redirected request:



moodys tax advisors

Moodys Gartner Tax Law LLP
2500, 707 - 5 Avenue SW
Calgary, AB T2P 2V6
Canada
T: 403.693.5100
F: 403.693.5101
moodystax.com

SIG
MAY 30 2013
RECEIVED

May 14, 2013

VIA MAIL

U.S. CITIZENSHIP AND IMMIGRATION SERVICES NATIONAL RECORDS CENTER
FOIA/PA Office
300 - 150 Space Center Loop
Lee's Summit, MO 64064-2139
USA

Dear Sir or Madam:

On August 27, 1980, the United States Department of State issued the "Department of State Airgram of August 27, 1980 regarding expatriation in light of *Vance v. Terrazas* No. 78-1143, decided January 15, 1980." This document is hereafter referred to as "the Airgram". Pursuant to the Freedom of Information Act ("FOIA"), 5 U.S.C. § 552 and related legal authority, and in compliance with your published instructions applicable to such requests, we hereby request copies of all of the following items:

1. Any and all memoranda, research, notes, communication and/or records which relate to the preparation of the airgram;

2. Any and all memoranda, research, notes, communication and/or records generated between January 1, 1969 and June 12, 1996 which discuss the application of *Afroyim v. Rusk*, 387 U.S. 253 (1967), to a U.S. citizen's potential loss of such citizenship through obtaining naturalization in a foreign state or taking an oath or making other formal declaration of allegiance to a foreign state or a political subdivision thereof;

3. Any and all memoranda, research, notes, communication and/or records which relate to the promulgation, revision, or adoption of the current 22 C.F.R 50.40 and any predecessor regulations;

4. Any and all communication with other departments or agencies of the United States government and/or with government departments or agencies of foreign states relating to the provision of notice, or monitoring of the occurrence, of U.S. citizens taking potential expatriating acts, and which were produced and/or received between January 1, 1969 and June 12, 1996; and

5. Any and all:

   i. memoranda, research, notes, communication and/or records containing records of certificates of loss of nationality, and
   ii. any and all correspondence with US residents believed to have naturalized in a foreign country;

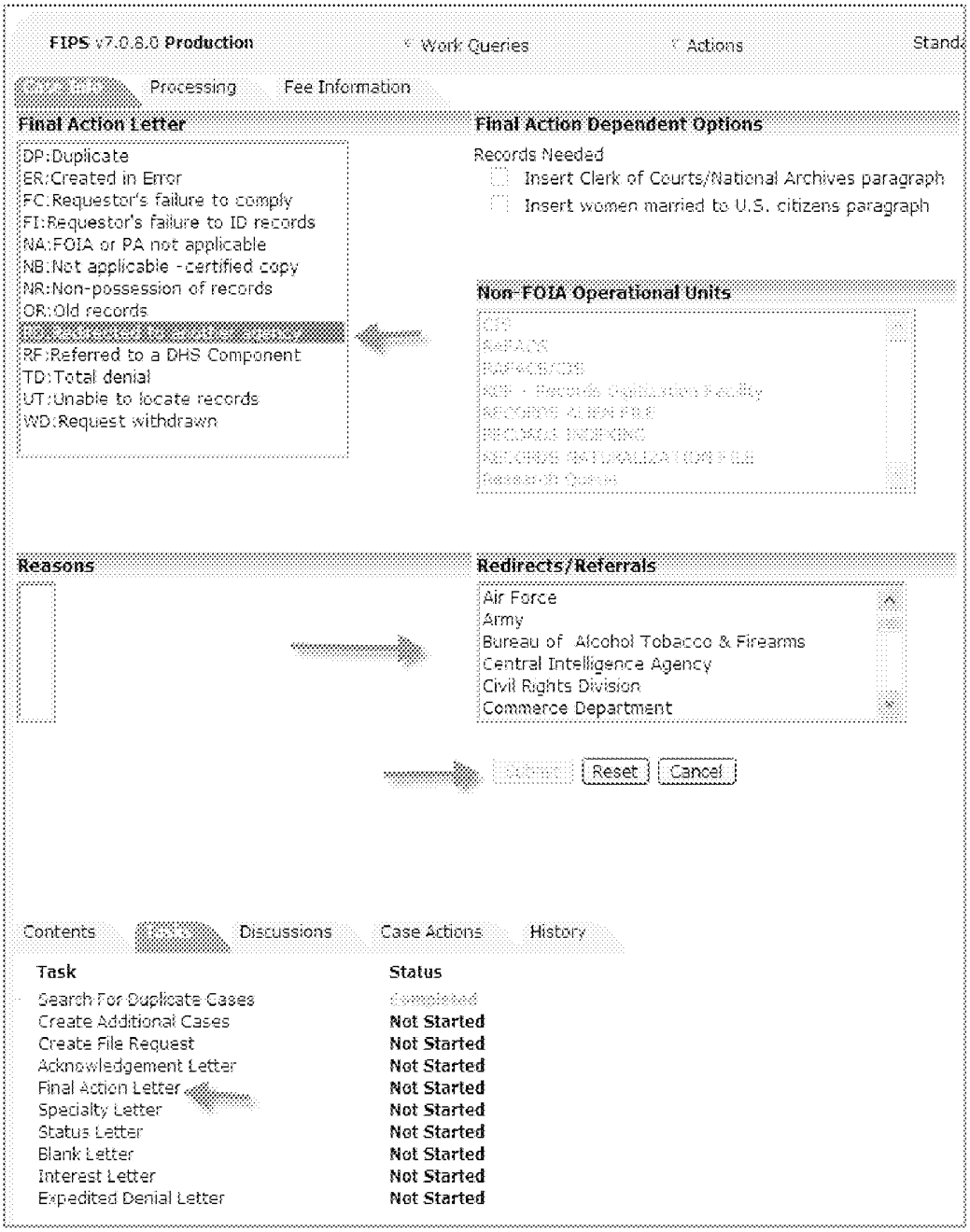
   issued pursuant to the provisions of the Airgram.

Tax well solved.

- To close as redirected.
  - II. Click "Final Action Letter"
  - III. Select RD: Redirected to another agency
  - IV. Select which agency to send it to

V. Click "Submit"

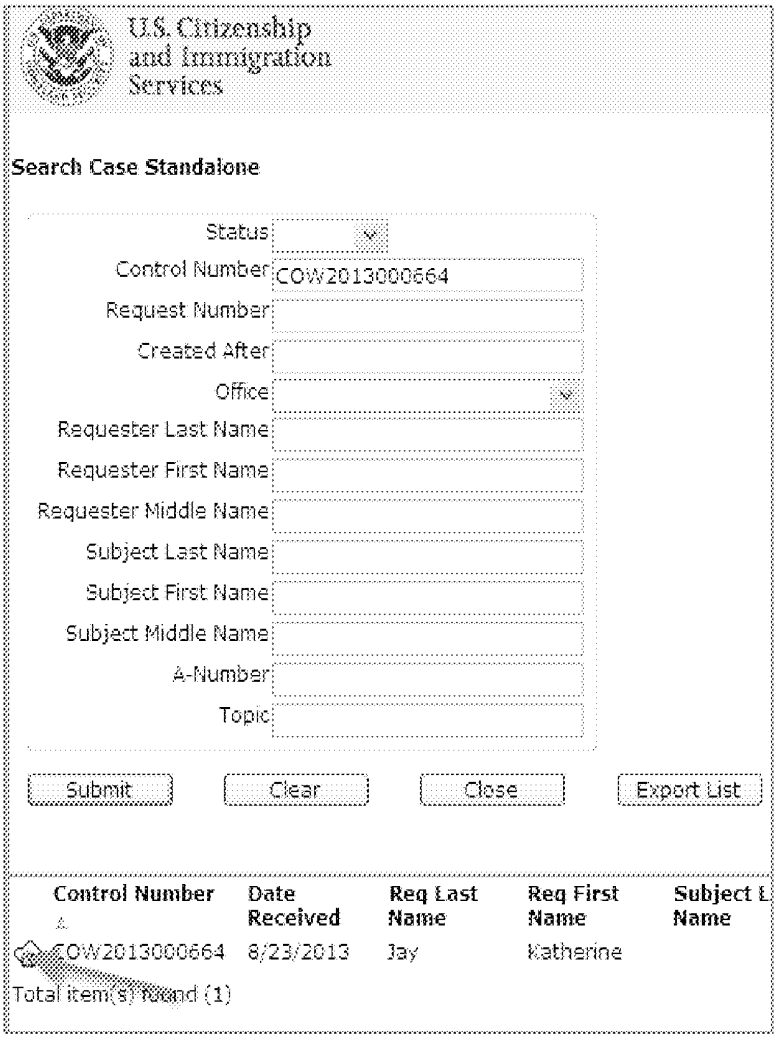
VI. You will need to modify the FAL



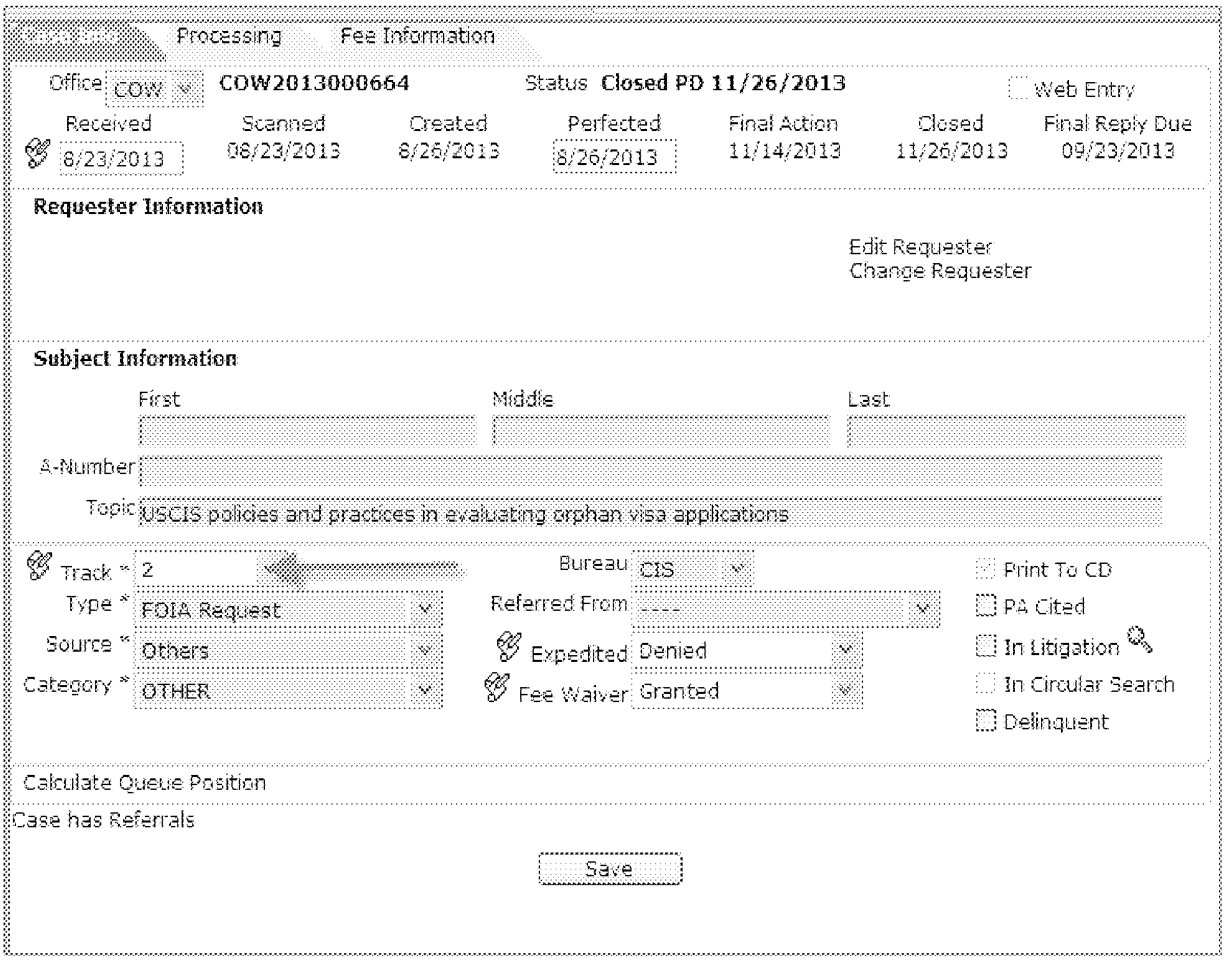
14. Maneuvering FIPS

14.1. Changing Tracks

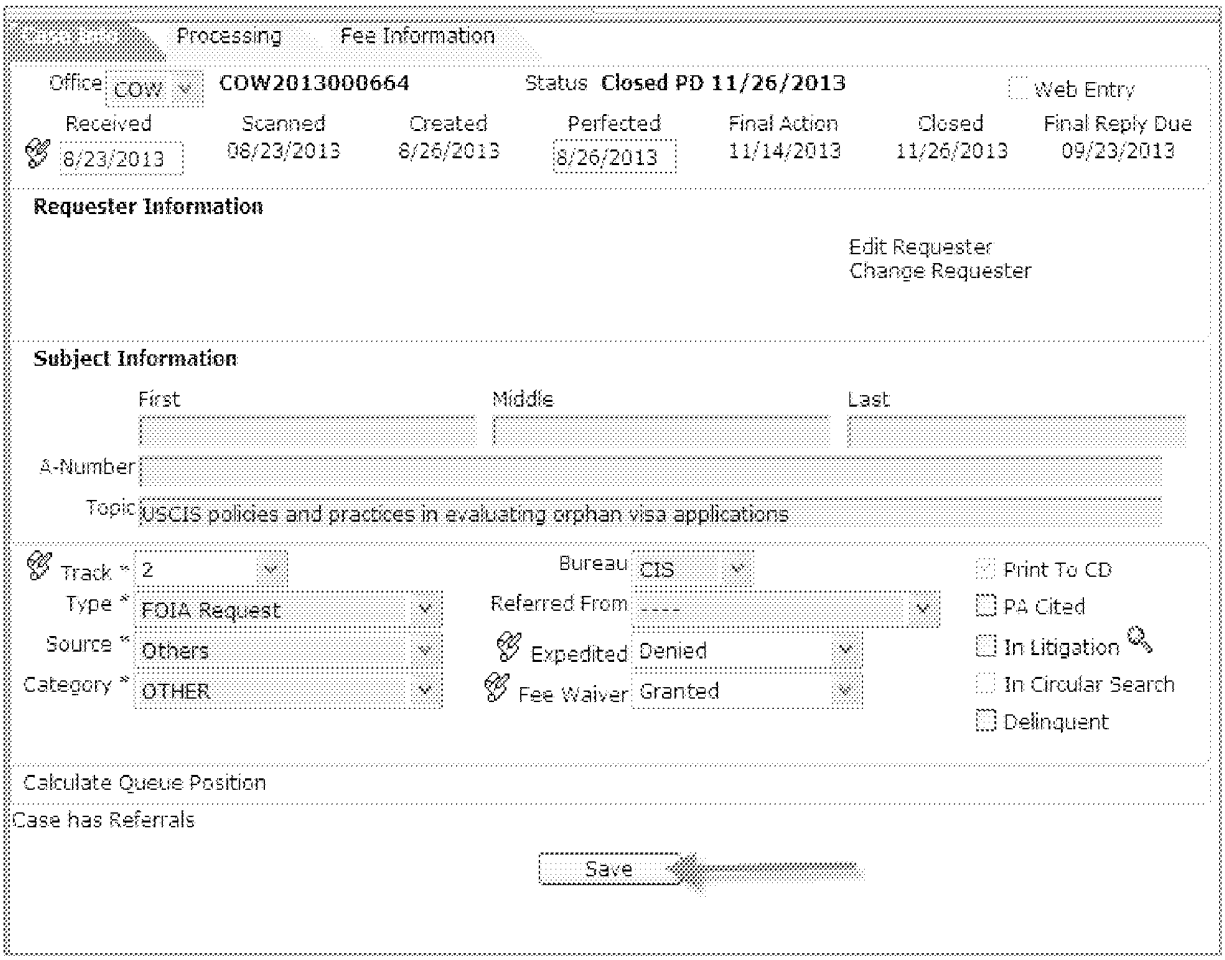
i. Bring the case up in Standalone



ii. Select the Track you want the case set to



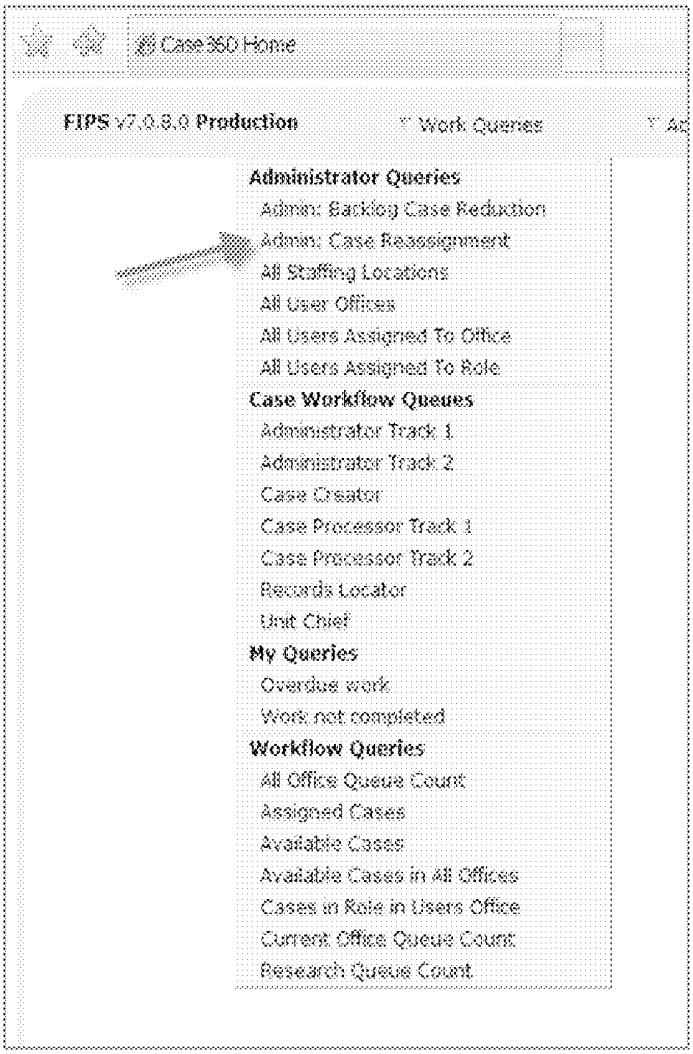
iii. Click "Save"



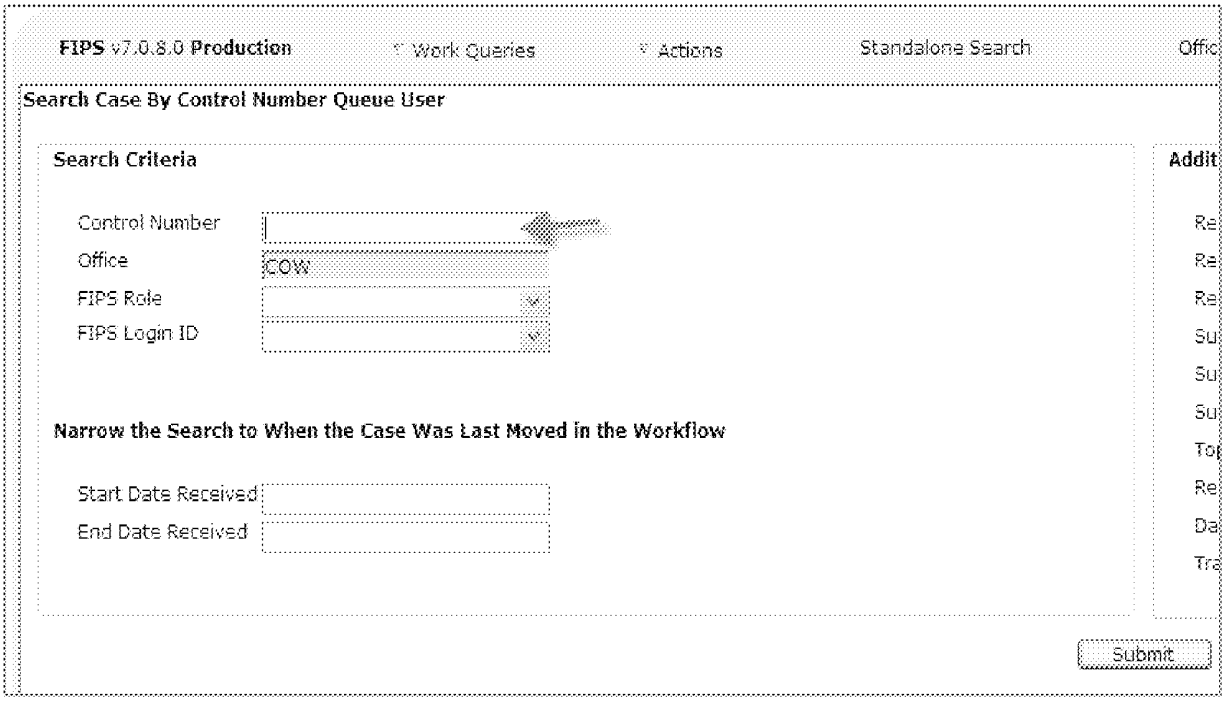
14.2. Moving a case to another FIPS role

Example: moving a case to administrator role:

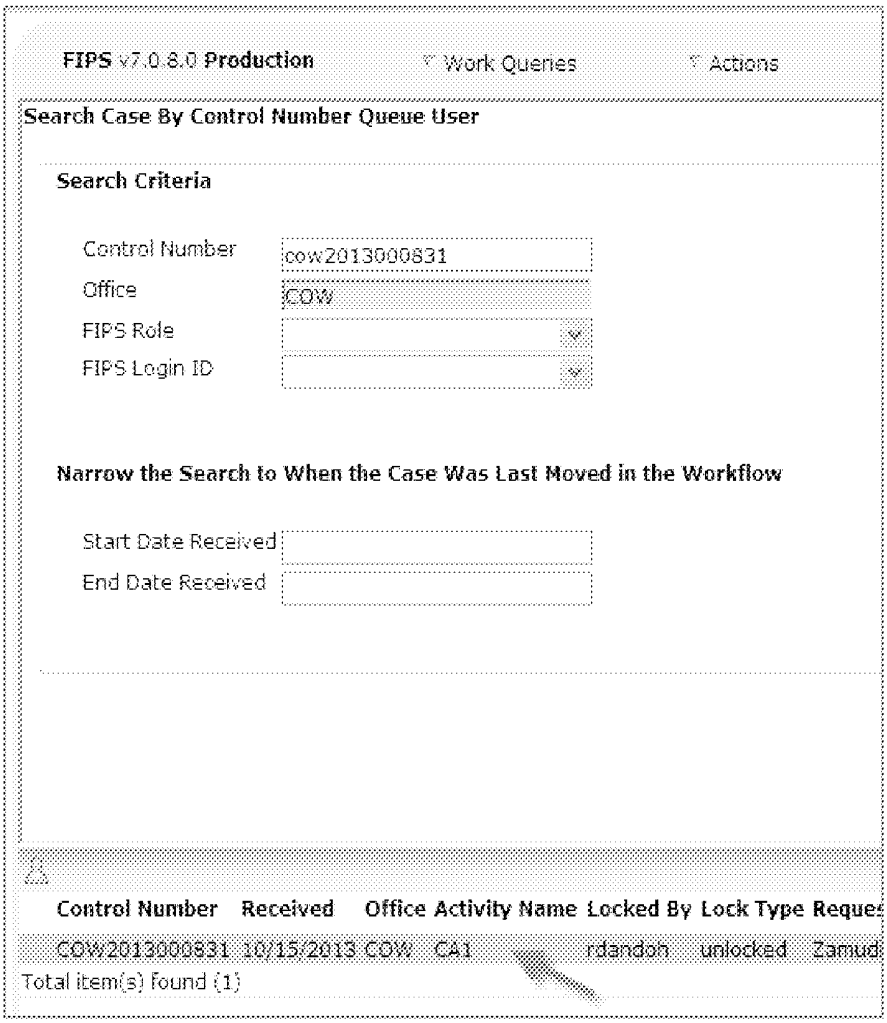
i. Under the work queries tab select Admin: Case Reassignment



ii. Enter the case Control number (no spaces before or after) hit enter or click "submit"

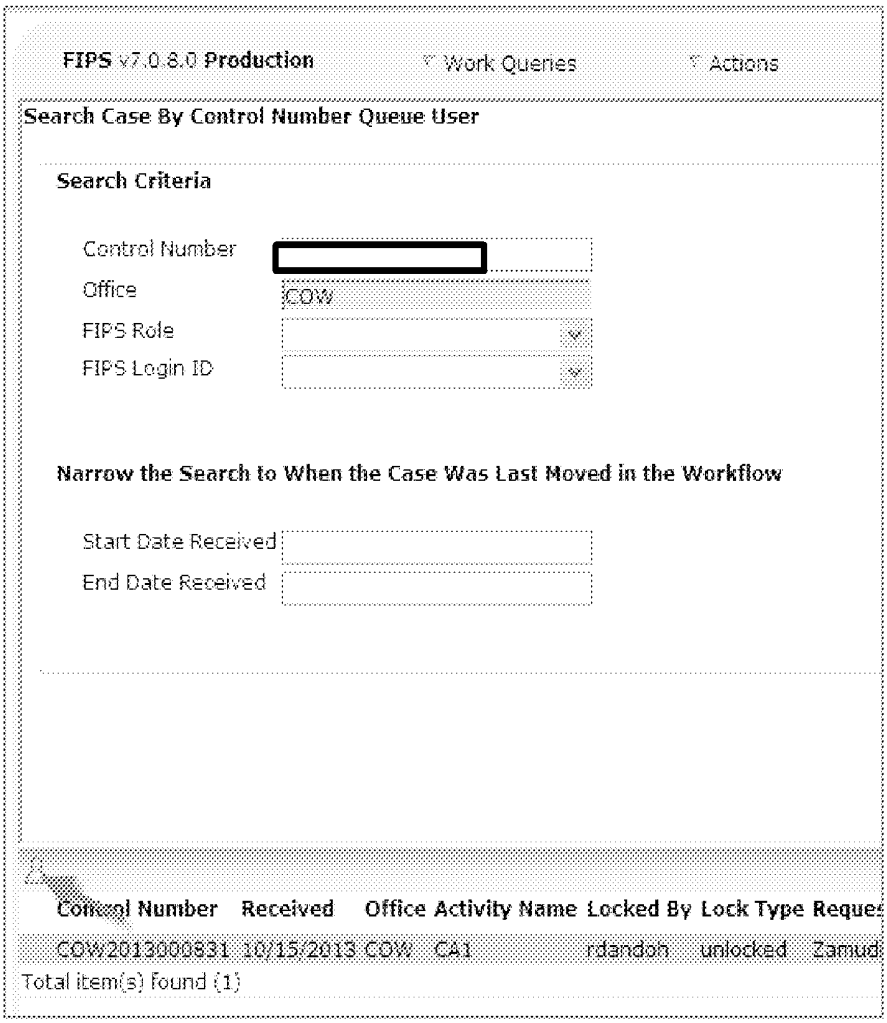


iii. Put your mouse cursor over the case and left-click

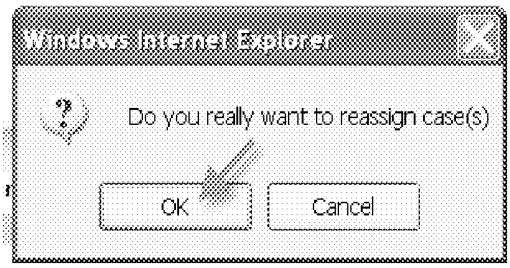


iv. Click the little person icon

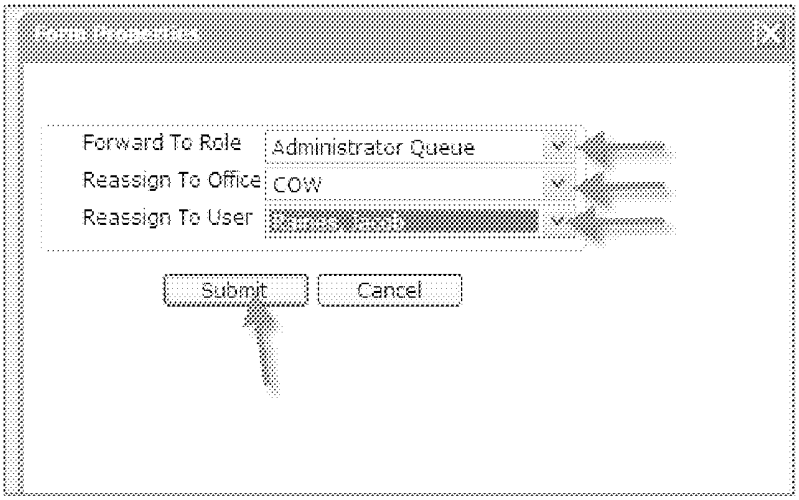
(b)(6)



v. Click OK

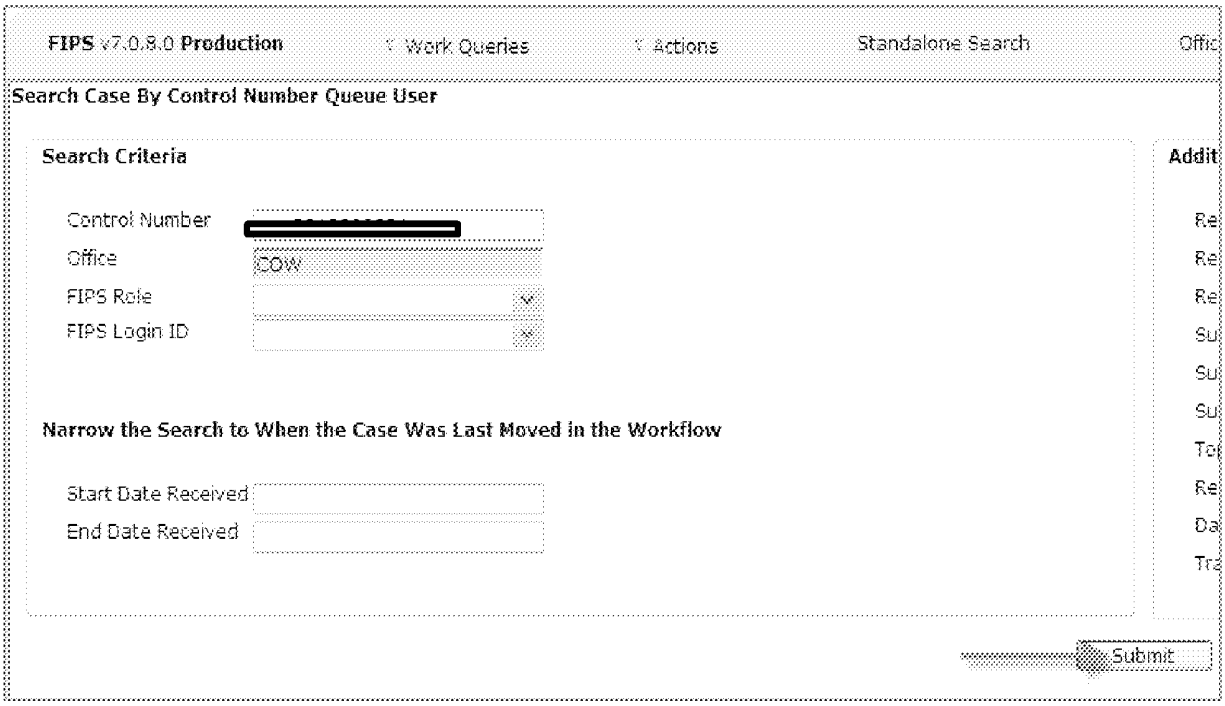


vi. From the three dropdown boxes select the role, office, and user you want it sent to and click "submit"



vii. To confirm that the case was moved – click the submit button. The case should show its new status

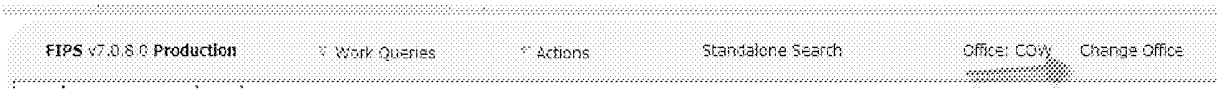
(b)(6)



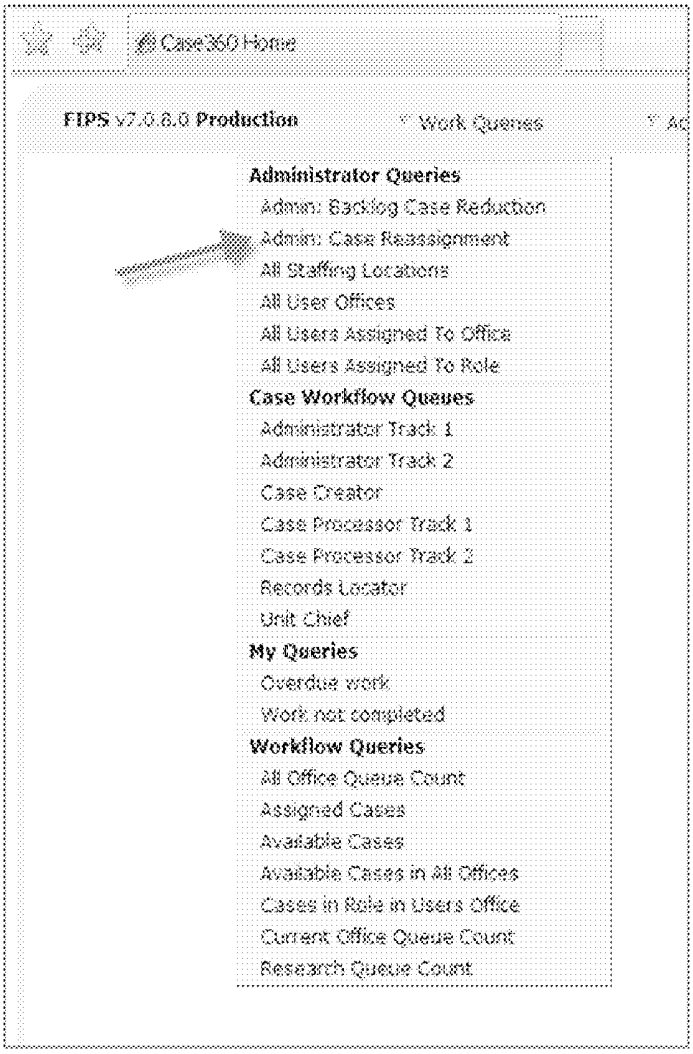
14.3. Changing Office Queue

i. Be logged into the office where the case is assigned

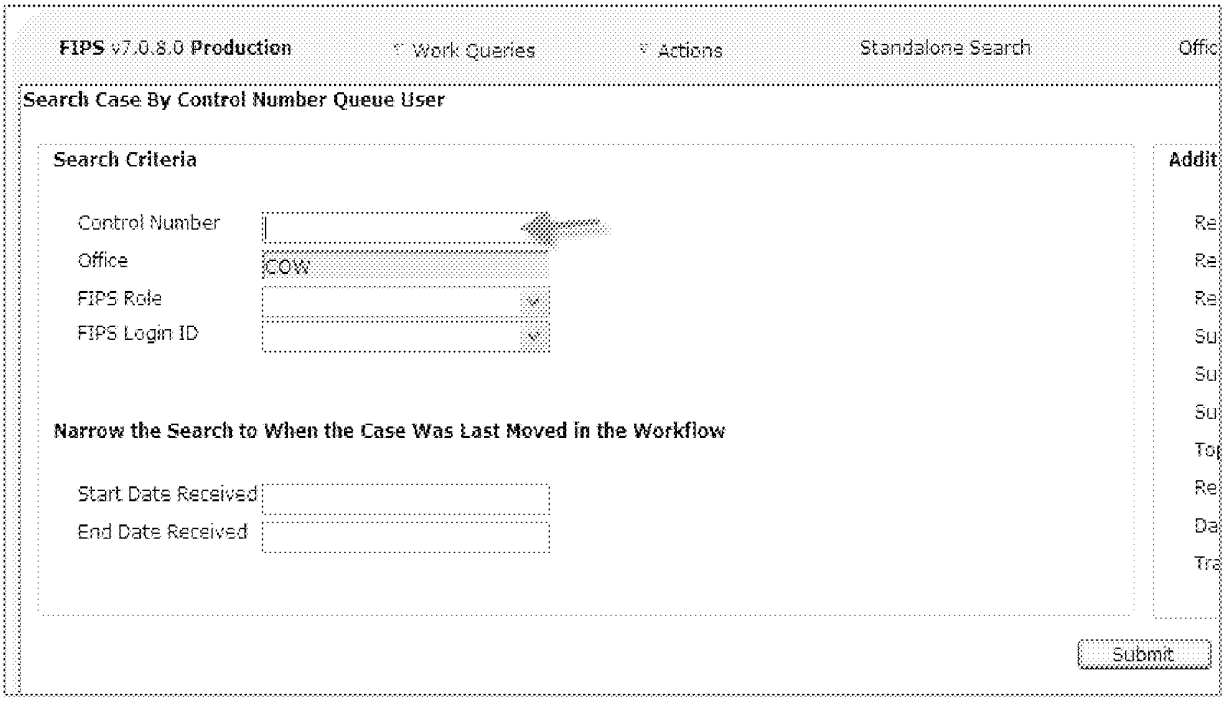
1. If it is in COW, be in the COW office



ii. Under the work queries tab select Admin: Case Reassignment

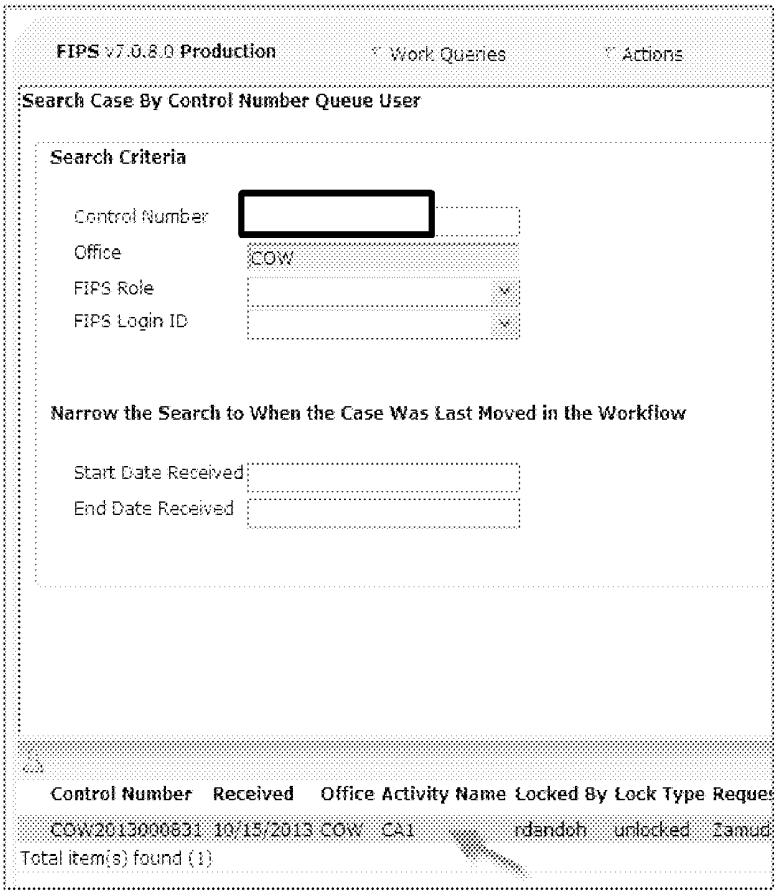


iii. Enter the case Control number (no spaces before or after) hit enter or click submit



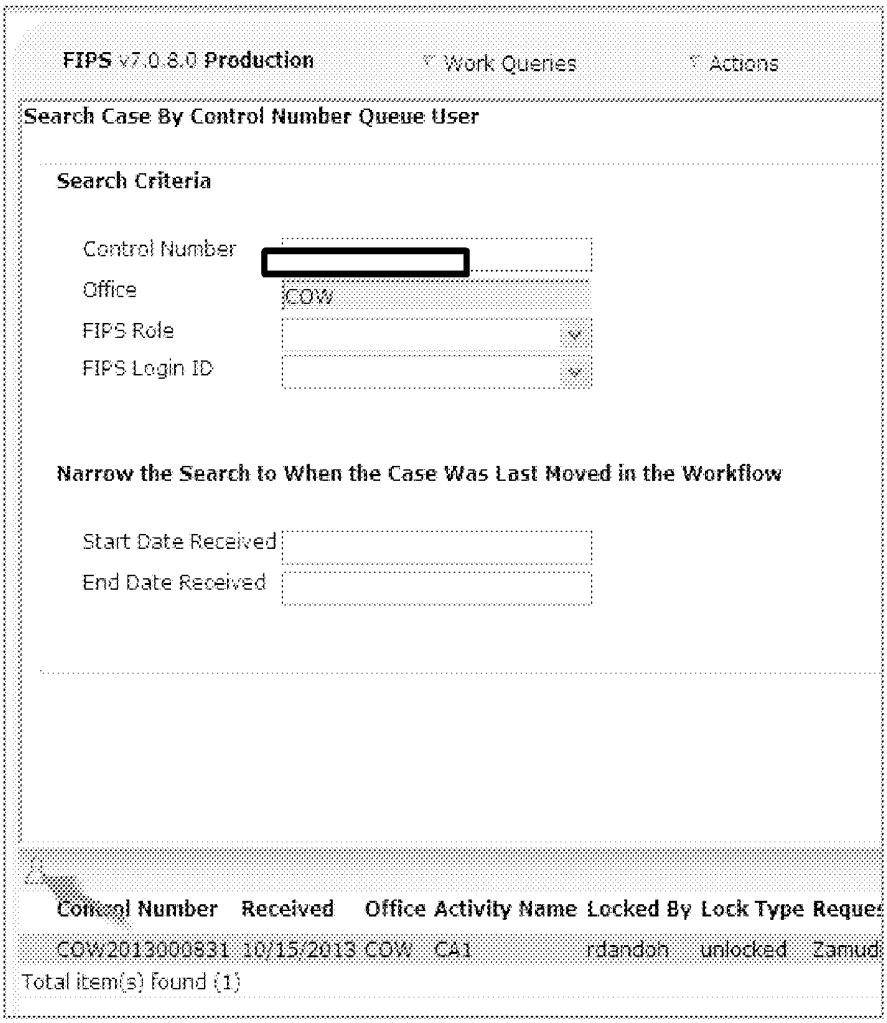
iv. Put your mouse cursor over the case and left-click

(b)(6)

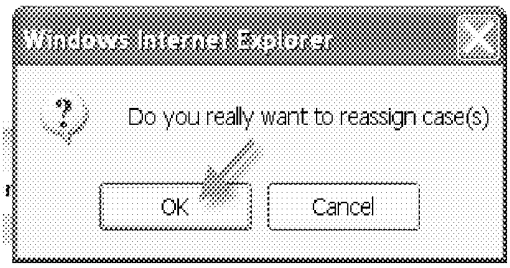


v. Click the little person icon

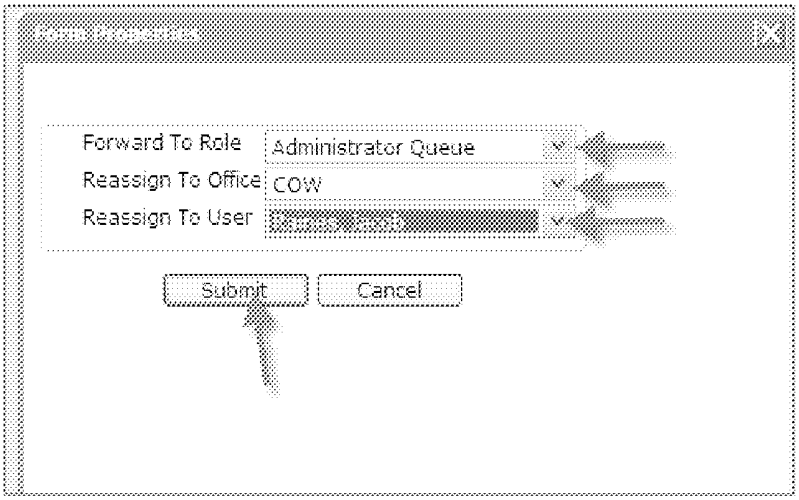
(b)(6)



v. Click OK

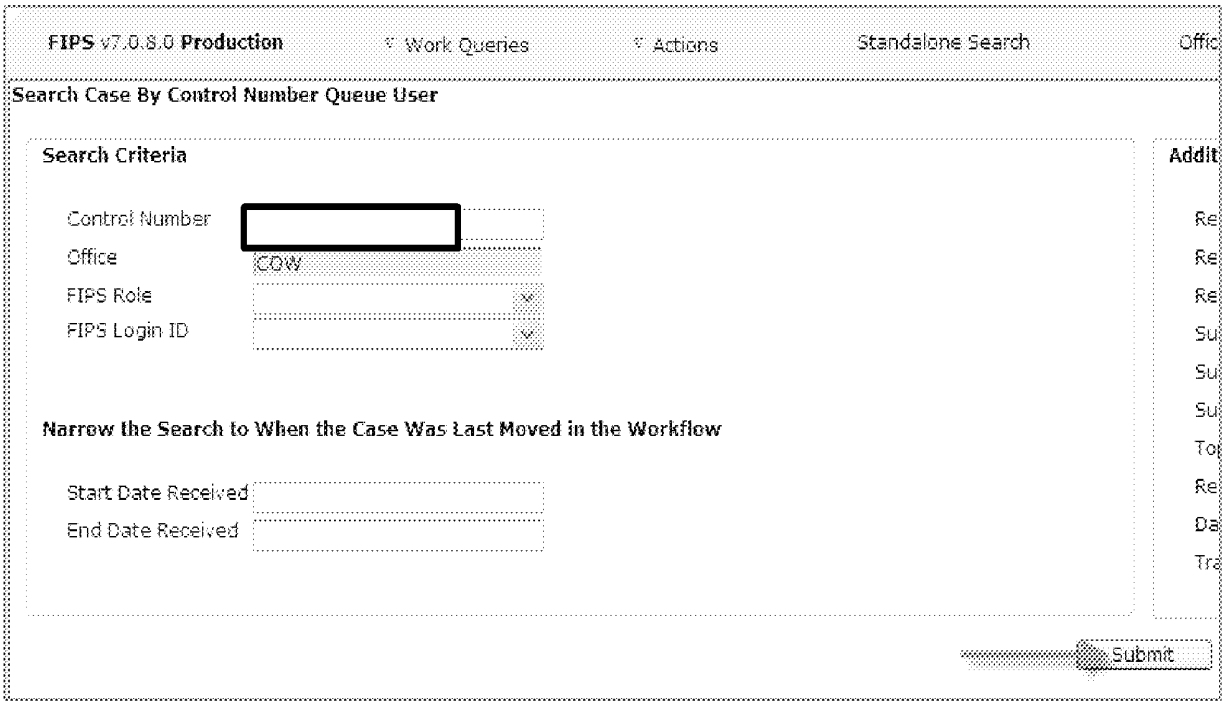


vi. From the three dropdown boxes select the role, office, and user you want it sent to and click "submit"



vii. To confirm that the case was moved – change office to the office the case was sent to. Go into the Work Queries- Admin: Reassignment tab. Enter in the case number click the submit button. The case should show its new status

(b)(6)



15. Duplicates

A duplicate request is a request from the same requester and the same scope of the request. When checking for duplicates while case creating if you discover a case that

appears to be a duplicate analyze both cases very closely to verify if it is indeed a duplicate request.

15.1. A duplicate case is found – submitted around the time as the new request

- If a true duplicate case is found check the dates on both requests to see if they were submitted at the same time (requesters will often submit the same request via regular mail, fax, and email). If they were both submitted around the same time close the new request as created in error ER.

15.2. A duplicate case is found – submitted at different dates

- Sometimes a requester will either not receive our acknowledgement letter or forget that they already submitted that same FOIA request. This can be determined by analyzing the dates for the two requests. If this is the case then the new request should be closed as a duplicate DP, informing the requester of their previous FOIA request.

15.3. Two cases have already been created and acknowledged but are duplicates

- If there are two cases from the same requester with the same scope and they have both been created and acknowledged then close the most recent case as a duplicate informing the requester of the duplication in our system and that the first (original) FOIA request will be processed

16. Search Fee Estimates

Unless granted a fee waiver or media/educational status, every requester automatically agrees to pay fees up to $25 by filling a FOIA request. Sometimes a FOIA requester will state in their request to pay fees up to a larger amount. The requester should be notified if fees exceed the agreed upon limit.

Prior to staffing for records the nature of the request may indicate the possibility of a large fee total. A fee estimate from the agency component should be obtained. Either a request for a firm commitment to pay or a request for advance payment of fee estimate should be sent to the requester notifying them of estimated search fees.

16.1. Calculating Search Fee Estimates

- To obtain a fee estimate as the agency component's POC the estimated search time it will take to locate responsive records and the pay grade of the individual(s) performing the search
  - I. 6 C.F.R. § 5.11I(1)(ii) the below wages apply to fee calculations
    - a) Clerical personnel (typically GS 1-7) - $4.00 per quarter hour/$16.00 per hour.
    - b) Professional personnel (typically GS 9-13) - $7.00 per quarter hour/$28.00 per hour.
    - c) Managerial personnel (typically GS 14 and beyond) – 10.25 per quarter hour/ $41.00 per hour.
  - II. The first two hours of search time is free for non-commercial requesters 6 C.F.R. § 5.11(d)(3)(ii)
  - III. After subtracting two hours, multiply the remaining search time by the appropriate wage. That equals the fee estimate.

16.2. Firm Commitment to Pay

- Under 6 C.F.R. § 5.11(e) if anticipated fees exceed $25.00 a firm commitment to pay letter may be sent to the requester.
- This letter notifies the requester of the estimated fees and that before we proceed with their request we must receive from you a firm commitment to pay the estimated total fee amount. It must be memorialized in writing and a deadline of receipt must be given

16.3. Advance Payment of Fee Estimate

- Under 6 C.F.R. § 5.11(i) if anticipated fees exceed $250.00 OR the requester has previously failed to pay, an advance payment may be requested.
- This letter notifies the requester of the estimated fees and that before we proceed with your request we must receive from you an advance payment for the entire estimated fee amount. A deadline must be given for receipt of the payment.

17. SIG Email Box

The SIG email box is a portal in which various types of mail are received. Emails include, widely distributed messages such as USCIS Broadcasts and Director's Messages, FOIA requests, DHS referrals, and emails from USCIS FOIA email box,

and email from A-File side processors. Widely distributed agency wide emails can be deleted. Other emails should be reviewed for further action

17.1. Emails from USCIS FOIA USCIS.FOIA@uscis.dhs.gov

- USCIS FOIA is the NRC's email box that the public can email. USCIS FOIA forwards suspected SIG FOIA/PA requests and questions
  I. If the email is SIG related print it off to be scanned as either a new request or CSD
  II. Respond to USCIS FOIA if a reply is appropriate – such as answering a requester's question
  III. If it is not SIG related, respond back to USCIS FOIA explaining why it is not SIG

17.2. Emails from another component

- Other components such as DHS will send referrals, consultation, or new requests to the SIG email box. Review the emails closely
  I. If it is SIG related print it off and have it scanned in appropriately
  II. If it is not SIG related (e.g. FOIA request for an A-File), forward it to USCIS FOIA or reply to the sender that it was incorrectly sent to USCIS

17.3. Emails from A-File processors

- A section of the Processing Guide instructs A-File side personnel to email the SIG mailbox if a suspected SIG case comes up in FIPS
- The email should contain the control number
- Using the control number, pull up the case in standalone and review the FOIA request thoroughly
  I. If it is a SIG request move it to the COW case create queue for the SIG case creator to review for additional actions. Reply to the processor that you took care of it, CC the processor's supervisor.
  II. If it is not a SIG request, reply to the processor that it is not a SIG request and why it is not a SIG request, CC the processor's supervisor.

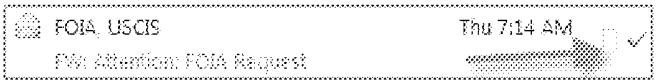
17.4. Emails Containing Responsive Records

- Print the records and send them to scan

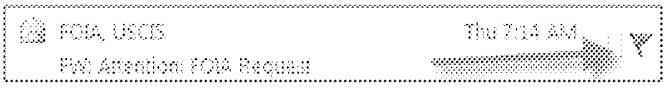
- Reply to the sender that the records were received. CC's the component's POC if sent by someone else.

17.5. Keeping Track of Work Completed in the SIG Email Box

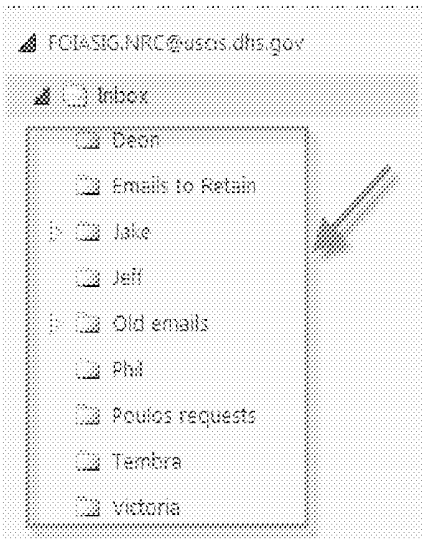
- Once an email message has been addressed and there are no additional actions to be taken check mark it to show it is completed



- If more action has to be taken at a later time then Red Flag the message to indicate that more action is required



- Completed email messages should be moved to and stored in your named email folder. If you don't know where to put a completed email, move it to the Emails to Retain folder

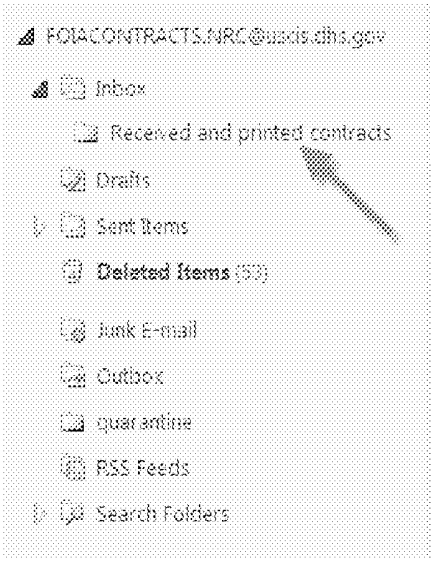


18. Contracts Email Box

18.1. The NRC Contracts email box is for receiving responsive records from the USICS contracting office for CNT cases. Widely distributed USCIS/DHS messages are also sent to the Contracts box, these can be deleted.

- Responsive records received should be printed and sent to scan

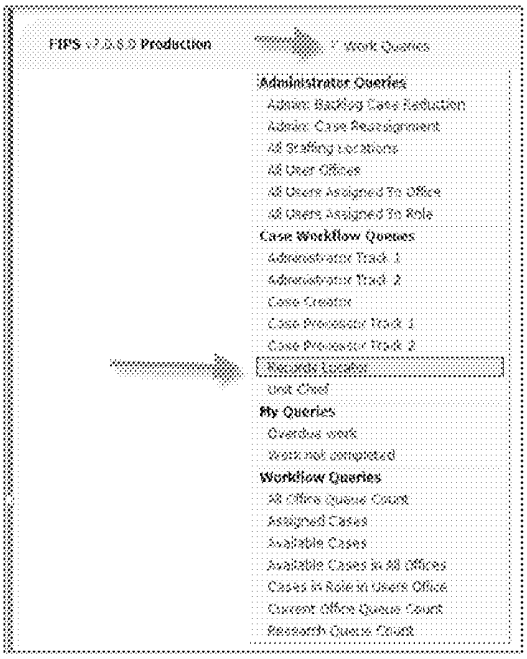
- Tracking work done is the same as SIG emails
- Completed email messages should be moved to and stored in the Received and printed contracts folder



19. Records Locator

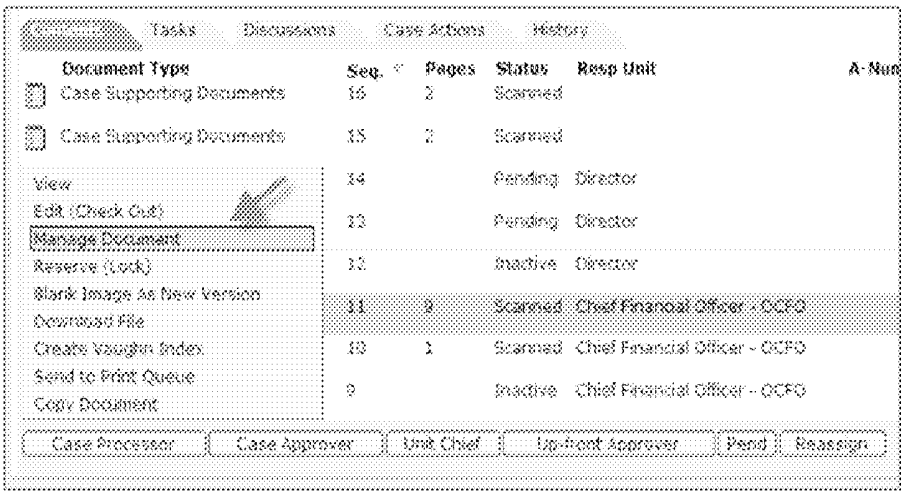
Records Locator (RL) is a FIPS role that involves the duty of following up with records requests for pending cases. Cases will automatically reassign themselves to the RL queue once the responsive records pending date expires.

19.1. To access RL be in the correct office and from the Work Queries tab select "Records Locator"

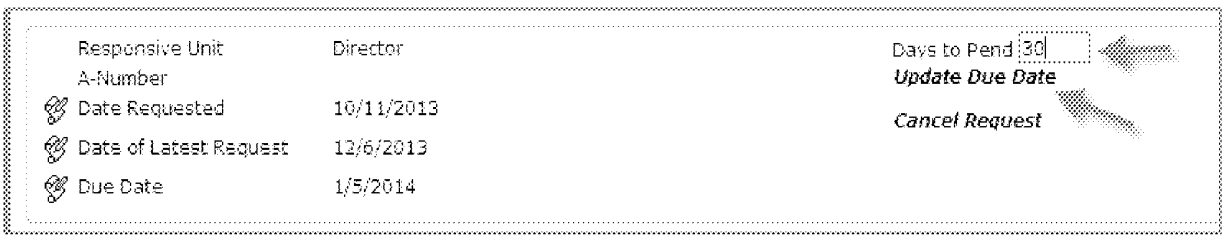


19.2. A case will come up. Read the case notes very carefully to learn what the case status is. The majority of the time you need to send a follow up email to the staffed office(s) POC(s).

- Figure out which office was staffed to and the POC
- Send an email containing the FOIA request and staffing sheet to each POC
- Case note that a follow up email was sent
  - I. Also case note any reply received from the POC
- Repend the records for 30 days
  - I. Under the contents tab, right click the icon next to the Responsive Records slot you wish to repend
  - II. Select Manage Document, a new screen will pop-up



  - III. Enter the amount of days you wish to rend the case and click "Update Due Date"

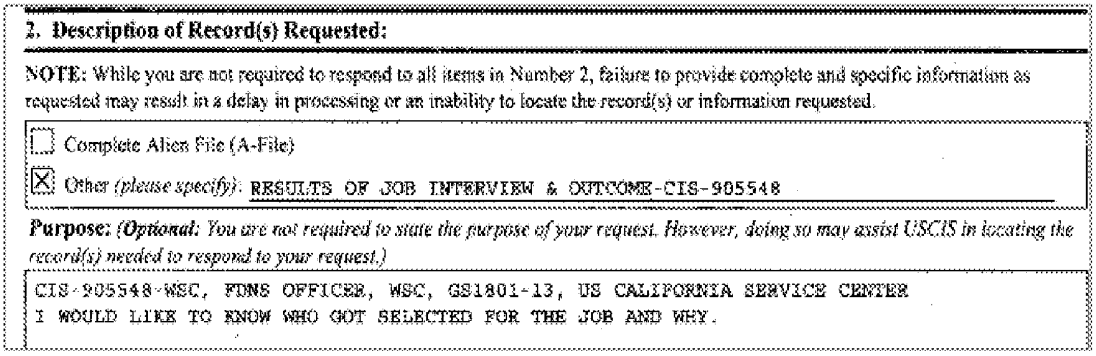


  - IV. Then close out of that screen and click "Pend"
  - V. This has to be done for each pending Responsive Records slot
- Cases will also pop-up in RL when:
  - I. RRs have been scanned into a slot
    - a) No action needs to be taken – click "Pend"
  - II. When there is a non-records slot that is pending
    - a) This occurs when records were copied from another case

b) Go into Manage Document and cancel request

20. Vacancy Announcements

Vacancy announcement related request are one of the most frequently received and processed FOIA requests. These are FOIA requests for records related to a USCIS job vacancy, which the requester usually asks for scores, rating, interview notes, and resumes of the candidates and/or selectees. These requests can come in the email, as a letter, or a G-639. You can identify a vacancy request by reference to a nine digit vacancy announcement number. Below is an example of a vacancy announcement request, note the operative record description is the number CIS-905548-WSC:



2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

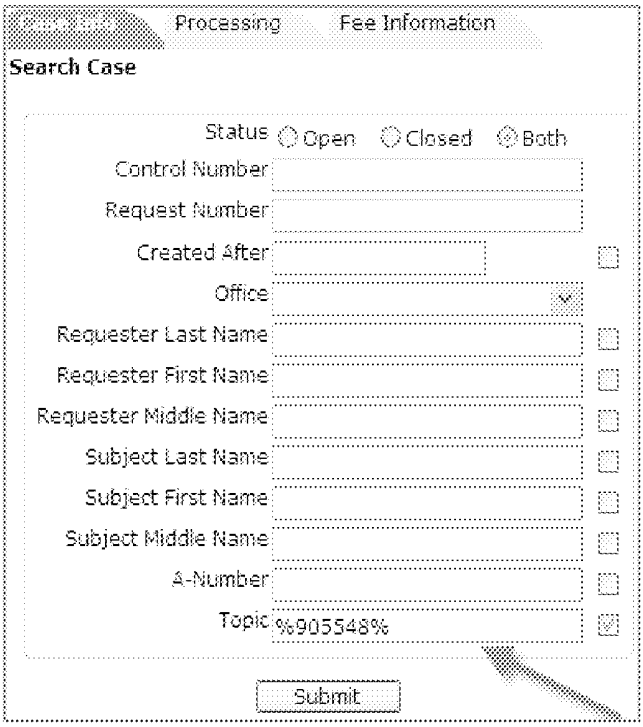
☒ Other *(please specify)*: RESULTS OF JOB INTERVIEW & OUTCOME-CIS-905548

Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)*

CIS-905548-WSC, FDNS OFFICER, WSC, GS1801-13, US CALIFORNIA SERVICE CENTER
I WOULD LIKE TO KNOW WHO GOT SELECTED FOR THE JOB AND WHY.

20.1. Creating Vacancy Announcement Requests

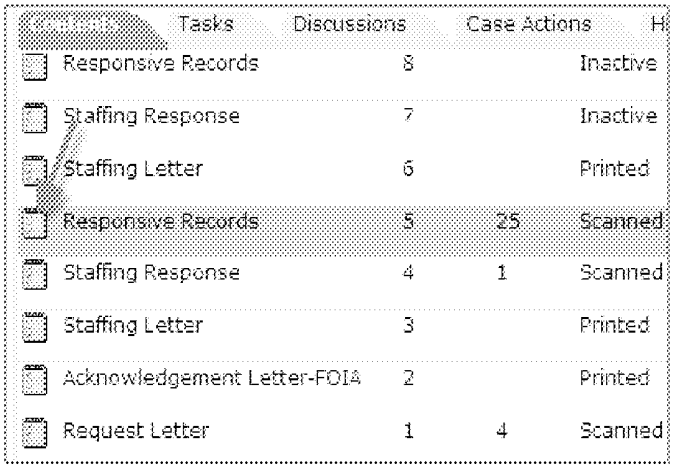
- Vacancy requests are scanned into and created in the COW queue.
- They are set as Track 1 cases
- Insert the vacancy number in the topic line
- Follow all the standard case creating steps, also include the below
- Check for duplicate records by bracketing the number with % symbols



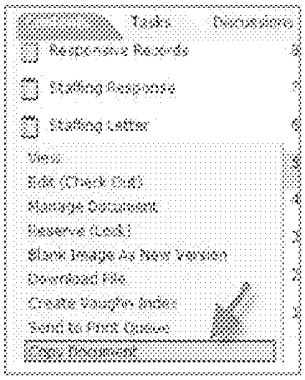
I. If a case is found for the same records request, view that case's records in standalone, if the records are responsive copy them into the new case

II. Copying records from one case to another

a) Right click the responsive records icon you wish to copy



b) Click "Copy Document"



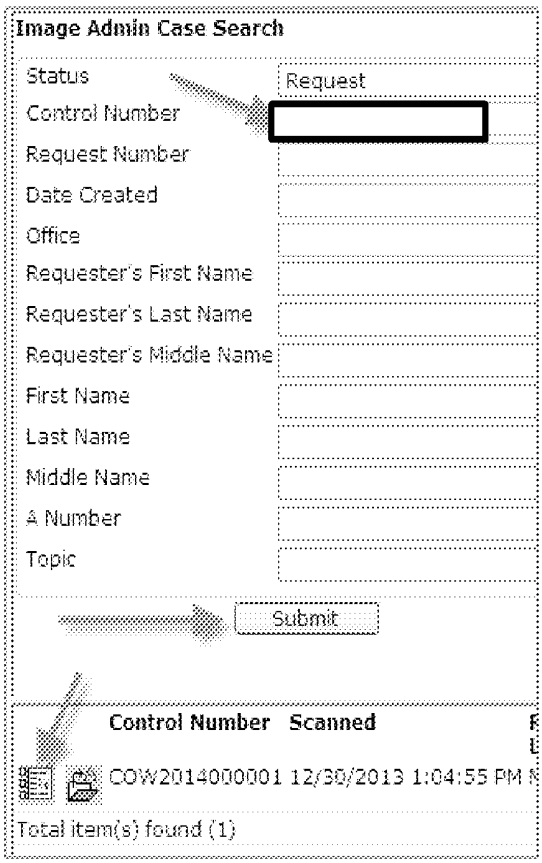
c) A new screen will come up on the left side

d) Type in the case number, ALL CAPS, that you want the records copied into

e) Click "submit"

f) Then click the left icon

(b)(6)

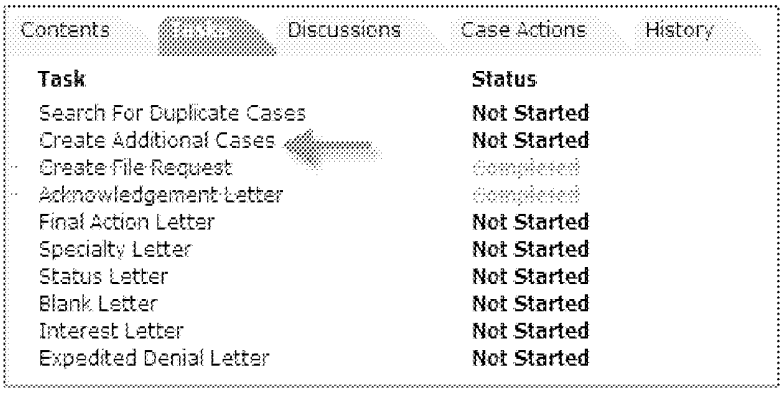


g) At the bottom click the Responsive Records slot you want the records copied into

20.2. Creating Multiple Cases From One Request

Oftentimes a requester will submit one FOIA request for multiple vacancies. When this occurs, multiple cases should be created for each vacancy.

- Create and control original FOIA request
- Do not create a FIPS staffing request, wait until multiple creation is concluded
- Under the Tasks tab click "Create Additional Cases"



- Enter the number of additional cases needed and click "Create"
  I. *E.g.* if three vacancies are listed, you will need two additional cases

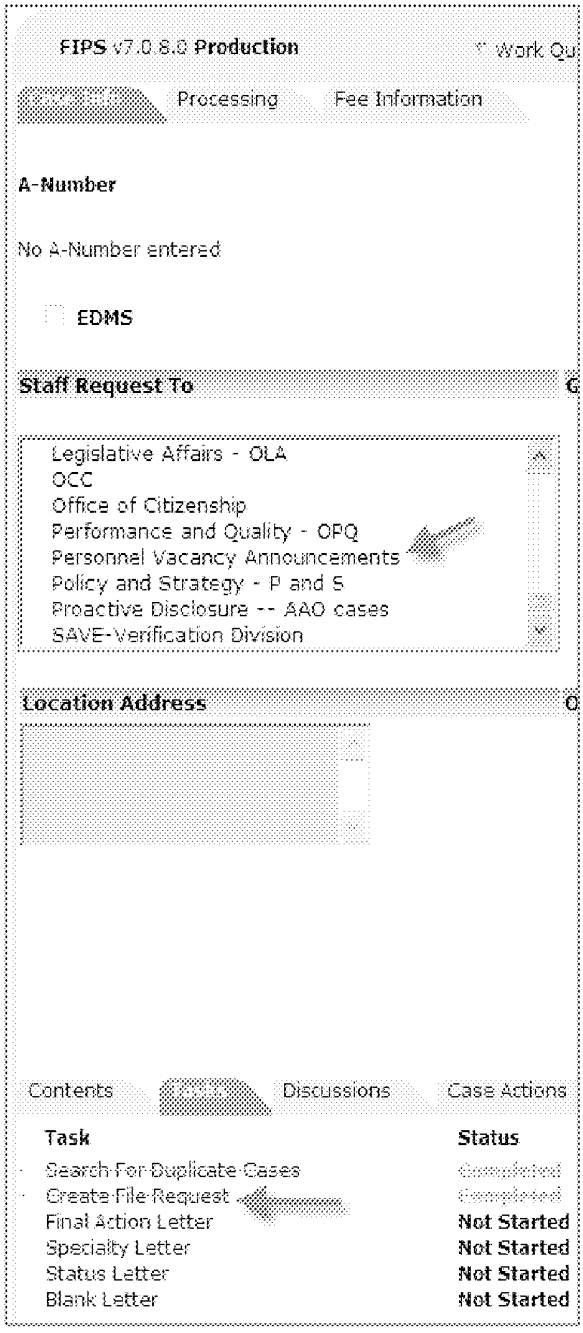
- The screen will list the control numbers of the additional cases, they will be in the Case Create queue
- Finish the case creation as usual

20.3. Staffing for a Vacancy Announcement

Responsive records for vacancy announcements are found in two locations, USCIS Human Resources Office in Burlington, VT (HROC) and at the hiring office that hired the applicants, which could be any USCIS component.

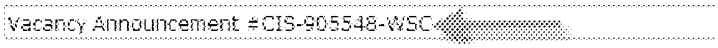
- HR staffing
  I. HR provides cert lists, USAJOBS questionnaire and resumes

II. Under the Tasks tab click Create File Request and select Personnel Vacancy Announcements from the list



- Staffing to the Hiring Office: See Appendix C for Office Codes
  I. The hiring office provides all other responsive records that HR does not have such as interview notes, selection committee names, and scoring matrices
  II. Which component to staff to will depend on the 3-letter suffix of the vacancy number in order to identify the hiring office component.

a) The example below is WSC, which stands for Western Service Center. Because it is a Service Center you would staff to SCOPS



b) RAIO is identified by Asylum, Refugee and International office suffixes (e.g. ASY, Z**, and MEX)
c) FOD is identified by District Office suffixes and suffixes that are short form of a city and NBC indicates Field Offices (e.g. D01, BAL, and NBC)
d) OCC is identified by the COU suffix
e) If the requester has not provided the 3-letter indicator you can either ask them to provide it OR contact the HR POC and ask them to provide it. Usually contacting HR is quicker.

III. FDNS positions
a) Staff to the underlying component where the FDNS position will be. For example, if the position is at a field office then you staff to FOD, if at a service center staff to SCOPS. Only staff to FDNS if the position is at the D.C. headquarters or if directed by the underlying component's POC.

IV. All other standard staffing procedures apply

20.4. Processing a Vacancy Announcement Request

- The most commonly used exempts for vacancy records are (b)(2) and (b)(6).
  I. Exemption (b)(2) as applied by USCIS protects predominantly information related to agency personnel rules and practices. The hiring of personnel relates to agency personnel rules and practices, therefore (b)(2) applies.
  II. Exemption (b)(6) permits the government to withhold all information about individuals in personnel, medical and similar files where the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy. Vacancy records contain third party PII, therefore disclosure of such information would constitute a clearly unwarranted invasion of personal privacy.
- HR on page 3 of the staffing sheet will provide the status of the vacancy and the applicants/candidates
  I. The vacancy announcement was cancelled
    a) HR will inform you if the vacancy was cancelled. If cancelled then there are no responsive records and the case can be closed as an NR
  II. No selections have been made yet

a) If selections have not yet been made then no information concerning the applicants/candidates can be released. The hiring office staffing can be cancelled, as the selection process has not concluded and responsive records do not yet exist.

III. Selections were made but the selectees have not yet entered on duty (EOD)

a) If the selectees have not yet EODed then no information about them can be released. Hiring office will need to provide responsive records because the selection process has concluded and responsive records now exist.

IV. Selectees have EODed

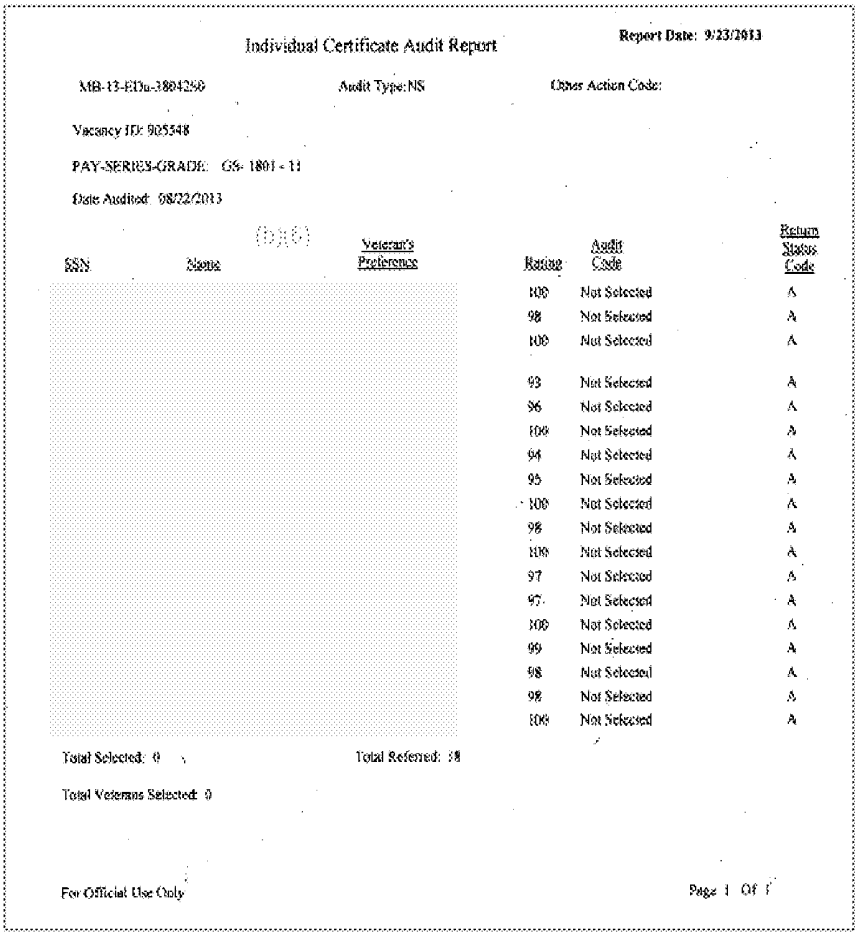
a) Some information about the selectee can be disclosed. This includes name and relevant work and education history. PII such as contact information and military services is still withheld.

b) Only information about EODed selectees can be released, all other applicants' information is withheld

- Processing Cert Lists

I. HR provides cert lists that that contains information such as names, SSNs, veterans preference, and rating

II. These are heavily redacted using (b)(6). Rating scores and audit codes can be released. Only EODed selectees and the requesters' names can be released.



Individual Certificate Audit Report

Report Date: 9/23/2013

MB-13-ED1a-3884250 Audit Type:NS Other Action Code:

Vacancy ID: 905548

PAY-SERIES-GRADE: GS- 1801 - 11

Date Audited: 08/22/2013

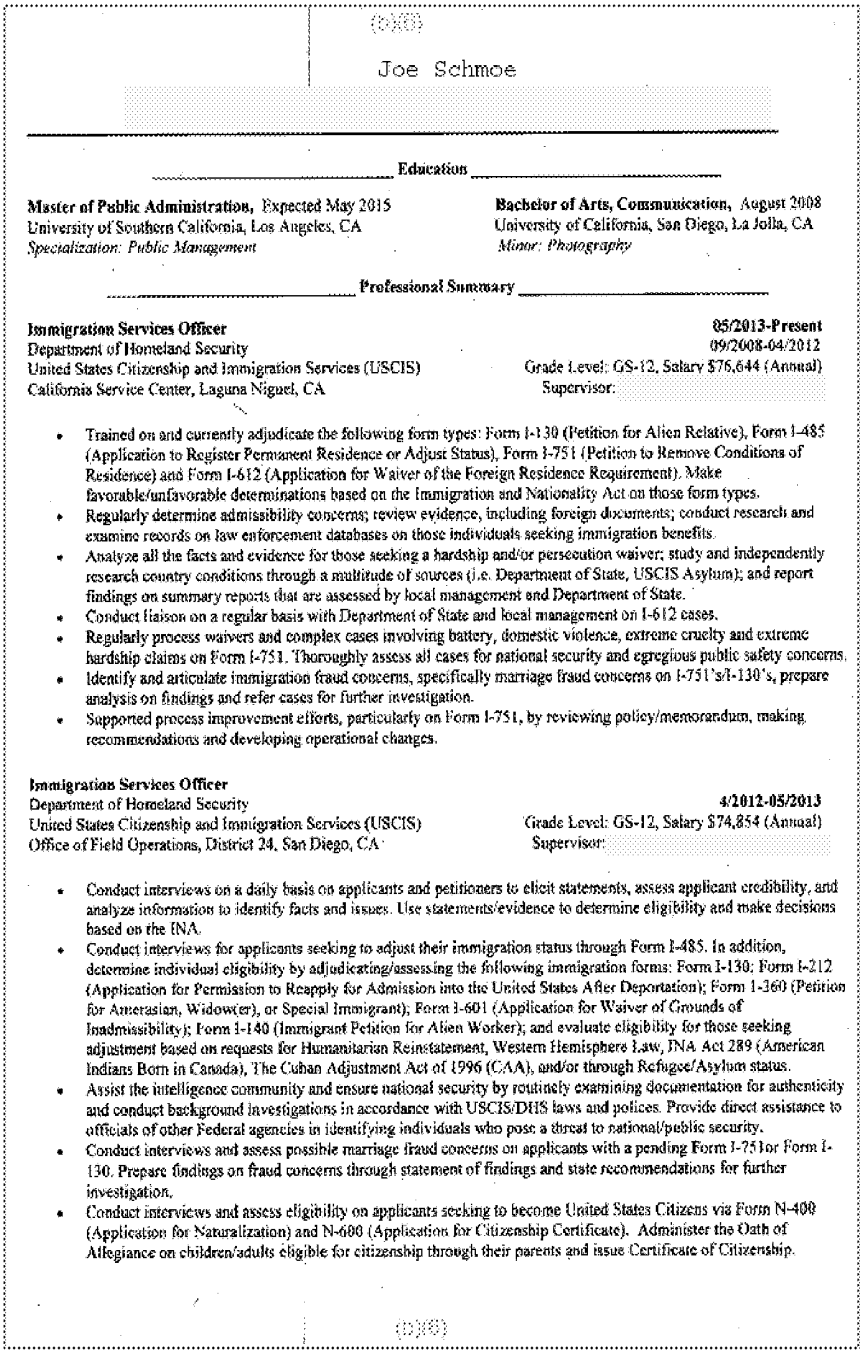
SSN	Name (b)(6) redacted	Veteran's Preference	Rating	Audit Code	Return Status Code
			100	Not Selected	A
			98	Not Selected	A
			100	Not Selected	A
			93	Not Selected	A
			96	Not Selected	A
			100	Not Selected	A
			94	Not Selected	A
			95	Not Selected	A
			100	Not Selected	A
			98	Not Selected	A
			100	Not Selected	A
			97	Not Selected	A
			97	Not Selected	A
			100	Not Selected	A
			99	Not Selected	A
			98	Not Selected	A
			98	Not Selected	A
			100	Not Selected	A

Total Selected: 0 Total Referred: 58

Total Veterans Selected: 0

For Official Use Only Page 1 Of 1

- Processing resumes
  - I. Requester's resume is released if they provided proper VOI
  - II. Resumes of unselected applicants are either WIF (b)(6) or OOS depending on the scope of the request
  - III. Non-EODed selectees resumes are WIF (b)(6)
  - IV. EODed selectees' resumes are heavily redacted (b)(6). Veteran's preference is held. Only name, federal civil employment, and relevant work, training and education history can be released. Relevant means that it contributed to the selectee being qualified for the position. Military service is held (b)(6)
  - V. Example of an EODed selectee's resume:



(b)(6)

Joe Schmoe

Education

Master of Public Administration, Expected May 2015
University of Southern California, Los Angeles, CA
Specialization: Public Management

Bachelor of Arts, Communication, August 2008
University of California, San Diego, La Jolla, CA
Minor: Photography

Professional Summary

Immigration Services Officer **05/2013-Present**
Department of Homeland Security 09/2008-04/2012
United States Citizenship and Immigration Services (USCIS) Grade Level: GS-12, Salary $76,644 (Annual)
California Service Center, Laguna Niguel, CA Supervisor:

- Trained on and currently adjudicate the following form types: Form I-130 (Petition for Alien Relative), Form I-485 (Application to Register Permanent Residence or Adjust Status), Form I-751 (Petition to Remove Conditions of Residence) and Form I-612 (Application for Waiver of the Foreign Residence Requirement). Make favorable/unfavorable determinations based on the Immigration and Nationality Act on those form types.
- Regularly determine admissibility concerns; review evidence, including foreign documents; conduct research and examine records on law enforcement databases on those individuals seeking immigration benefits.
- Analyze all the facts and evidence for those seeking a hardship and/or persecution waiver; study and independently research country conditions through a multitude of sources (i.e. Department of State, USCIS Asylum); and report findings on summary reports that are assessed by local management and Department of State.
- Conduct liaison on a regular basis with Department of State and local management on I-612 cases.
- Regularly process waivers and complex cases involving battery, domestic violence, extreme cruelty and extreme hardship claims on Form I-751. Thoroughly assess all cases for national security and egregious public safety concerns.
- Identify and articulate immigration fraud concerns, specifically marriage fraud concerns on I-751's/I-130's, prepare analysis on findings and refer cases for further investigation.
- Supported process improvement efforts, particularly on Form I-751, by reviewing policy/memorandum, making recommendations and developing operational changes.

Immigration Services Officer
Department of Homeland Security **4/2012-05/2013**
United States Citizenship and Immigration Services (USCIS) Grade Level: GS-12, Salary $74,854 (Annual)
Office of Field Operations, District 24, San Diego, CA Supervisor:

- Conduct interviews on a daily basis on applicants and petitioners to elicit statements, assess applicant credibility, and analyze information to identify facts and issues. Use statements/evidence to determine eligibility and make decisions based on the INA.
- Conduct interviews for applicants seeking to adjust their immigration status through Form I-485. In addition, determine individual eligibility by adjudicating/assessing the following immigration forms: Form I-130; Form I-212 (Application for Permission to Reapply for Admission into the United States After Deportation); Form I-360 (Petition for Amerasian, Widow(er), or Special Immigrant); Form I-601 (Application for Waiver of Grounds of Inadmissibility); Form I-140 (Immigrant Petition for Alien Worker); and evaluate eligibility for those seeking adjustment based on requests for Humanitarian Reinstatement, Western Hemisphere Law, INA Act 289 (American Indians Born in Canada), The Cuban Adjustment Act of 1996 (CAA), and/or through Refugee/Asylum status.
- Assist the intelligence community and ensure national security by routinely examining documentation for authenticity and conduct background investigations in accordance with USCIS/DHS laws and polices. Provide direct assistance to officials of other Federal agencies in identifying individuals who pose a threat to national/public security.
- Conduct interviews and assess possible marriage fraud concerns on applicants with a pending Form I-751or Form I-130. Prepare findings on fraud concerns through statement of findings and state recommendations for further investigation.
- Conduct interviews and assess eligibility on applicants seeking to become United States Citizens via Form N-400 (Application for Naturalization) and N-600 (Application for Citizenship Certificate). Administer the Oath of Allegiance on children/adults eligible for citizenship through their parents and issue Certificate of Citizenship.

(b)(6)

VI. Please note: veteran's preference is always held (b)(6). Also College GPAs are held (b)(6)

- Processing USAJOBS Questionnaire
  I. Same disclosure and redaction rules as above apply. Usually only the individual's email is redacted (b)(6)
  II. An example of an EODed selectee's questionnaire:

Questionnaire Responses

USCIS HR Operations Center — Report Date: 9/23/13

Position Title: IMMIGRATION OFFICER (FDNS) **Vacancy ID:** 905548
Announcmt. Number: CIS-905548-WSC (b)(6)
Name: Joe Schmoe **Email:**

Section: Employment Availability

Full Time Employment

Y - 40 Hours Per Week

Temporary Employment Lasting

1 - less than 1 month
2 - 1 to 4 months
3 - 5 to 12 months

Jobs Requiring Travel Away From Home For

1 - 1 to 5 nights/month
2 - 6 to 10 nights/month
3 - 11 plus nights/month

JA-1801-023 IO (FDNS) 11/12/13 905548

Section: RESIDENCY REQUIREMENT

1. There is a residency requirement for all applicants not currently employed by U.S. Citizenship and Immigration Services. This residency requirement states that candidates must have, for three of the last five years immediately prior to applying for this position(s); (1) resided in the United States; OR (2) worked for the United States Government as an employee overseas in a Federal or Military capacity; OR (3) been a dependent of a U.S. Federal or Military employee serving overseas. Do you meet one of these requirements?

C - The residency requirement does not apply to me because I am currently a U.S. Citizenship and Immigration Services employee.

Section: AREA OF CONSIDERATION

2. Select the statement that best describes your Federal employment status.

A - I am an employee with U.S. Citizenship and Immigration Services with competitive status. (Proof is required: a copy of your SF-50, Notification of Personnel Action or equivalent, as stated in the announcement.)

Section: MINIMUM QUALIFICATIONS 11/12/13

3. Which of the following statements best describes your experience?

B - I have at least one year of specialized experience equivalent to the GS-9 grade level making final determinations on non-sensitive, routine immigration benefit requests that involve determining applicant admissibility and credibility; or analyzing evidence and applying statutory requirements, regulations and judicial and administrative precedents; or preparing written reports detailing the detection of immigration fraud and pertinent patterns.

N.You must provide the position title(s) and dates of employment referenced in your resume that demonstrates the experience related to your response.

IMMIGRATION SERVICES OFFICER (II) FROM 09/2008 TO PRESENT. CURRENTLY GS-12 ISO II WITH USCIS.

- Interview questions are held (b)(2), answers, ratings and comments are held (b)(2) and (b)(6)

(b)(2) (b)(6)

Candidate Name: Position: IO

Rater: Date of Interview: 6/1

RATING FORM – Interview Questions

	ID Interview Question	Rating (1-5)	Comments
1			
2			
3			

- Scoring matrix sheets are redacted (b)(2) and (b)(6)

(b)(2) (b)(6)

#	CRITERIA / NAME	Average Resume Score	Interview Score	Combined Interview/ Resume Score	Supervisor Reference	Total Score	Comments
1							
2	EODed Person						
3	EODed Person						
4	EODed Person						
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							

CRITERIA	Supervisor Recommendation
1) General Immigration	VGR - High praise
2) Analytical and Report	GR - Positive comments but maybe some minor negative feedback
3) Communica	MR - Marginally Recommended
4) Liaison	NR - Not Recommended

1 - Low / 5 - High / 0 No experience

21. Opportunity to Object (OTO)

Under 6 C.F.R §5.8 (f), when records containing business information are processed, the submitter of the records (the business entity that provided the records to USCIS) must be given notice of the FOIA request and an opportunity to object to disclosure of business information.

> (f) *Opportunity to object to disclosure.* A component will allow a submitter a reasonable time to respond to the notice described in paragraph (d) of this section and will specify that time period within the notice. If a submitter has any objection to disclosure, it is required to submit a detailed written statement. The statement must specify all grounds for withholding any portion of the information under any exemption of the FOIA and, in the case of Exemption 4, it must show why the information is a trade secret or commercial or financial information that

is privileged or confidential. In the event that a submitter fails to respond to the notice within the time specified in it, the submitter will be considered to have no objection to disclosure of the information. Information provided by the submitter that is not received by the component until after its disclosure decision has been made shall not be considered by the component. Information provided by a submitter under this paragraph may itself be subject to disclosure under the FOIA.

OTOs most often occur with contract related requests and EB5 Regional Center requests.

21.1. Sending the OTO

- Once the records are processed and business information has been found send the case to approver to review
- The approver will then direct an OTO be sent to the submitter
- Request a redacted copy of records from the OA Room supervisor
- Draft an OTO letter, the letter must contain
  I. What was requested
  II. Who requested the records
  III. A response deadline
- Mail (certified) or email the redacted records and OTO letter to the submitter (NOT REQUESTER)
- Case note these actions and state the due date
- Scan in the certified mail stub as a CSD

21.2. Submitter has no objection to the release

- Case note the response
- Scan in the response as a CSD
- Proceed with closing the case

21.3. Submitter has objections and requested changes

- Closely review the objections and requested changes
- If the objections and changes are supported by the FOIA, then make the changes
  I. Inform the submitter the changes were made
- If the objections or changes are not supported by the FOIA, then under 6 C.F.R §5.8 (g), send the submitter a notice of intent to disclose containing:
  I. A statement of the reason(s) why each of the submitter's disclosure objections was not sustained;
  II. A description of the business information to be disclosed; and

III. A specified disclosure date, which shall be a reasonable time subsequent to the notice.

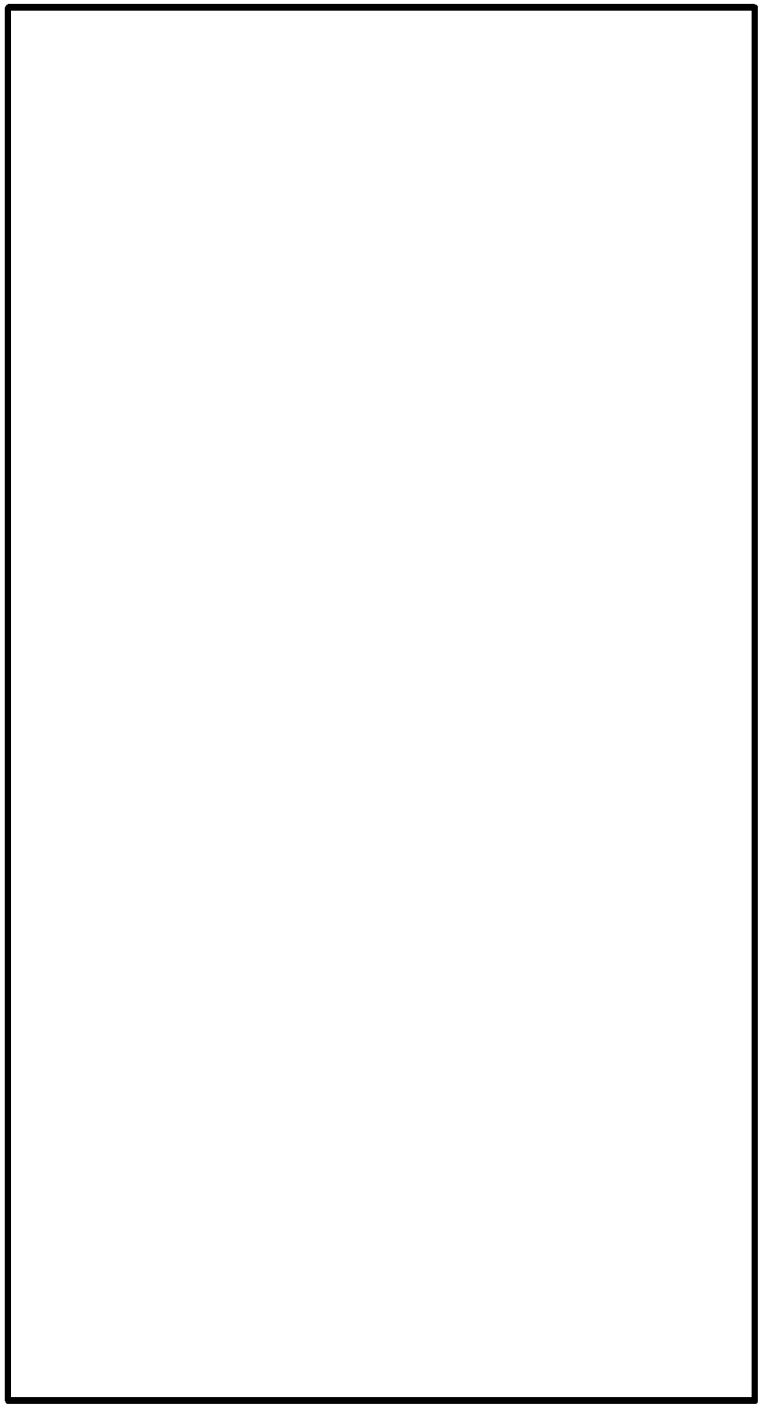
- Case note all actions taken
- Scan in related documents as CSDs

APPENDIX A

(b)(6)

Component	LastName	FirstName	CIS1-Alias
AAO			
AAO			
CustomerService DIR			
CustomerService DIR			
CustomerService DIR			
CustomerService DIR			
CZN			
CZN			
CZN			
CZN Grants			
Director's Office			
Director's Office			
Director's Office			
EnterpriseSvcs			
EnterpriseSvcs BIO			
EnterpriseSvcs BIO			
EnterpriseSvcs BIO			
EnterpriseSvcs RECORDS			
EnterpriseSvcs RECORDS			
Equal Opportunity			
EXSO			
EXSO			
FDNS			
FDNS			
FieldOps			
FieldOps			
HCT			
Contracting			
Contracting			
Contracting			
MGMT			
MGMT			
MGMT			
MGMT Adm			
MGMT IMD			
OCC			
OCOMM			
OCOMM			
OCOMM			
OFCO			
OFCO			
OIDP			
OEOI			
OIT			
OIT			
OIT			

OLA
OLA
OLA
OLA
OPE
HROC/OPM
HROC/OPM
HROC/OPM
OPQ
OPS
OPS
OSI
OSI
OTC
OTC
OTC
Privacy Office
RAIO
RAIO
RAIO
SCOP
SCOP
SCOP
SCOPS EB-5
SCOPS EB-5
SCOPS EB-5
Verification E-Verify
Verification E-Verify
Verification E-Verify
SAVE
SAVE
SAVE
NRC Administrative



APPENDIX B

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

[Date]

[Control Number]

[Requester Address]

ACK LETTER TEMPLATE

Dear [Requester]:

We received your request dated [Date], [state what is requested]

[FOIA Request Use] Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: [control number]. Please cite this number in all future correspondence about your request.

[PA Request Use] Your request is being handled under the provisions of the Freedom of Information Act and Privacy Act (5 U.S.C. § 552 and 5 U.S.C. § 552a). It has been assigned the following control number: [control number]. Please cite this number in all future correspondence about your request.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.4(a)), USCIS uses a "cut-off" date to delineate the scope of a FOIA request by treating records created after that date as not responsive to that request. Therefore, in determining which records are responsive to your request, we will only include records in the possession of this agency as of January 2, 2013, the date we began the search for records.

[Track 1 Use] We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1).

[Track 2 Use] We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. All applicable fees under 6 C.F.R. §5.11 may be charged.

[Track 1 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing by ten working days due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

[Track 2 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing beyond the ten working day extension period due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. You may wish to modify your request so that it can be processed within the statutory time limit or arrange an alternative time period with our office. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

You may check the status of your FOIA request online, at www.uscis.gov. Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@uscis.dhs.gov.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

Date

Control Number

Name
Street Address
City Street

ADVANCE PAYMENT OF FEES TEMPLATE

Dear Requester Name:

This is a response to your Freedom of Information Act/Privacy Act (FOIA/PA) request received in this office on DATE, relating to:

"Vacancy/What the request is for."

We have obtained a fee estimate to search for the requested records. The estimated fee for this FOIA request is:

Search Fees = $XXX.00.
(Search fees were calculated according to 6 C.F.R. § 5.11(c))

Because anticipated fees exceed $250.00 (or the requester has previously failed to pay), we are notifying you pursuant to 6 C.F.R. § 5.11(i) that before we proceed with your request we must receive from you an advance payment for the entire estimated fee amount ($XXX.00). The advance payment for the total amount of estimated fees must be received by this office within 30 business days from the date of this letter (Date of the letter). Additionally, because we require an advance payment, "the request shall not be considered received and further work will not be done on it until the required payment is received." (6 C.F.R. § 5.11(i)(4)). Failure to pay within the allotted time frame will result in your request being administratively closed. Please note your control number with any correspondence you send.

Fees must be paid by check or money order made payable to the United States Treasury. The enclosed copy of this letter should be returned with your remittance. Please note your control number on your check or money order. **When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction. When we use information from your check to make an electronic fund transfer, funds may be withdrawn from your account as soon as the same day you make your payment.** A Privacy Act statement setting forth our authority for soliciting and collecting the information from your check, and explaining the purposes and routine uses which will be made of your check information, is available at the following internet site: https://www.pccotc.gov/pccotc/index.htm. To obtain a copy of the statement by mail call toll free 1-866-945-7920. Furnishing the check information is voluntary, but a decision not to do so may require you to make payment by some other method.

If you wish to modify your request please state such and a new fee estimate will be provided.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

CONSULTATION MEMO TEMPLATE

U.S. Citizenship and Immigration Services

Date

Control Number

MEMORANDUM FOR:
Name
Agency
Address

FROM: Jill A. Eggleston
Director, FOIA Operations

Subject: Other Agency's Control Number

We received XXX pages containing bracketed portions that were determined to fall under the purview of USCIS. We have reviewed the three pages and we recommend [State Recommendations] [If Records Are Redacted Enter The Following] pursuant to 5 U.S.C. § 552 (b)(2), (b)(4), (b)(5), (b)(6), (b)(7)(C), and (b)(7)(E) of the FOIA.

- ❑ Exemption (b)(2) as applied by USCIS protects predominantly information related to agency personnel rules and practices.

- ❑ Exemption (b)(4) protects trade secrets and commercial or financial information that is privileged or confidential. The types of documents and/or information we have withheld may consist of unit pricing, business sales statistics; research data; technical designs; customer and supplier lists; profit and loss data; overhead and operating costs; and information on financial condition.

- ❑ Exemption (b)(5) provides protection for inter-agency or intra-agency memoranda or letters, which would not be available by law to a party other than an agency in litigation with the agency. The types of documents and/or information we have withheld under this exemption may consist of documents containing pre-decisional information, documents or other memoranda prepared in contemplation of litigation, or confidential communications between attorney and client.

- ❑ Exemption (b)(6) permits the government to withhold all information about individuals in personnel, medical and similar files where the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy. The types of documents and/or information we have withheld may consist of birth certificates, naturalization certificates, drivers' licenses, social security numbers, home addresses, dates of birth, or various other documents and/or information belonging to a third party that are considered personal.

- ❑ Exemption (b)(7)(C) provides protection for personal information in law enforcement records, which could reasonably be expected to constitute an unwarranted invasion of personal privacy. We have withheld information relating to third-party individuals. The types of documents and/or information we have withheld could consist of names, addresses, identification numbers,

telephone numbers, fax numbers, or various other documents that are considered personal.

- Exemption (b)(7)(E) provides protection for records or information for law enforcement purposes which would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law. The types of documents and/or information we have withheld could consist of law enforcement systems checks, manuals, checkpoint locations, surveillance techniques, and various other documents.

All other pages not listed were not reviewed.

In the event the requester wishes to appeal our decision, please include our appeal paragraph:

"In the event you wish to appeal this determination, you may write to the USCIS FOIA/PA Appeals Office, 150 Space Center Loop, Suite 500, Lee's Summit, MO 64064-2139, within 60 days of the date of this letter. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal."

If you should have any additional questions about this request please direct your inquiries to Roger Andoh at 816-350-5563.

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

REFERRAL MEMO TEMPLATE

U.S. Citizenship and Immigration Services

Date

Control Number

MEMORANDUM FOR:
Name
Agency
Address

FROM: Jill A. Eggleston
Director, FOIA Operations

Subject: Control Number

On Date, the USCIS FOIA Office received the attached Freedom of Information Act request seeking [What was requested]

After review it was determined that responsive records fall under the purview of your office. We have advised the requester of this action, and to expect a direct response from your office.

You may direct any questions about this request to Roger Andoh at (816) 350-5563 or [Your Name] at [Your contact info].

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

[Date]

[Control Number]

[Name
Street
City]

EXPEDITE DENIAL TEMPLATE

Dear Name:

This letter is in response to your request for expedited treatment regarding [What Was Requested]

On the basis of information you provided, we have determined that expedited processing of your request is not warranted. Standards established by the Department of Homeland Security regarding expedited processing are very strict (6 C.F.R. § 5.5(d)), and permit expedited treatment only when the requester demonstrates that:

a. Circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual;

b. An urgency to inform the public about an actual or alleged federal government activity, if made by a person primarily engaged in disseminating information.

For consideration under category (b) you neither established that you are "a person primarily engaged in disseminating information" nor demonstrated "an urgency to inform the public about an actual or alleged federal government activity." You merely stated that [what their reasoning was]. Therefore, it has been determined that your request does not meet the statutory requirements.

In the event you can demonstrate any further showing as to the nature and degree of any of the above categories, submit this additional information to this office for reconsideration.

You have the right to appeal this determination by writing to the USCIS FOIA/PA Appeals Office, 150 Space Center Loop, Suite 500, Lee's Summit, MO 64064-2139, within 60 days of the date of this letter. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal."

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

[Date]

[Control Number]

[Requester Address]

FEE WAIVER DENIAL TEMPLATE

Dear [Requester]:

We received your request dated [Date], [state what is requested]

[FOIA Request Use] Your request is being handled under the provisions of the Freedom of Information Act (5 U.S.C. § 552). It has been assigned the following control number: [control number]. Please cite this number in all future correspondence about your request.

[PA Request Use] Your request is being handled under the provisions of the Freedom of Information Act and Privacy Act (5 U.S.C. § 552 and 5 U.S.C. § 552a). It has been assigned the following control number: [control number]. Please cite this number in all future correspondence about your request.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.4(a)), USCIS uses a "cut-off" date to delineate the scope of a FOIA request by treating records created after that date as not responsive to that request. Therefore, in determining which records are responsive to your request, we will only include records in the possession of this agency as of January 2, 2013, the date we began the search for records.

[Track 1 Use] We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1).

[Track 2 Use] We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the complex track (Track 2). You may wish to narrow your request to a specific document in order to be eligible for the faster track. To do so, please send a written request, identifying the specific document sought, to the address above. We will notify you if your request is placed in the simple track.

[Fee Waiver Denial] In your request, you seek a fee waiver. Under the Freedom of Information Act's (FOIA) fee waiver standard, 5 U.S.C § 552 (a)(4)(iii), two requirements must be met prior to a grant of a fee waiver. As stated, documents shall be furnished without any charge or at a charge reduced below the fees established, where the requester has demonstrated that:

(1) disclosure is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government, and

(2) disclosure is not primarily in the commercial interest of the requester.

Your request for a fee waiver stated that your request "is likely to contribute significantly to public understanding of the operations or activities of the government" but did not elaborate as to how. In order

to qualify for a fee waiver under (1) you must demonstrate why the disclosure is in the public interest. [State what was requested and why it doesn't meet the requirement]. Additionally, you must demonstrate under (1) that your request "contributes significantly" to the public understanding. [What was requested and why did doesn't meet the requirement]. Since you have not met the necessary requirements for a fee waiver, we are denying your fee waiver request.

Due to our denial of your request for a waiver of fees and in accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00.

In the event you wish to appeal this determination, you may write to the USCIS FOIA/PA Appeals Office, 150 Space Center Loop, Suite 500, Lee's Summit, MO 64064-2139, within 60 days of the date of this letter. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal."

[Track 1 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing by ten working days due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

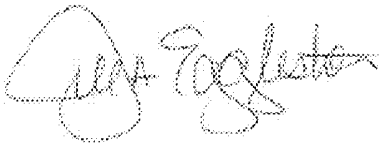
[Track 2 Use this time extension language] Because of unusual circumstances we may not be able to process your request within the statutory time limit, therefore, it will be necessary to extend the time limit for processing beyond the ten working day extension period due to the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request. You may wish to modify your request so that it can be processed within the statutory time limit or arrange an alternative time period with our office. Regardless of any delay, your FOIA/PA request will be complied with as accurately as possible.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

You may check the status of your FOIA request online, at www.uscis.gov. Click on "FOIA Request Status Check" located on the left side of the web page under "Other Services", and follow the instructions. Please be aware that the National Records Center no longer accepts FOIA/PA related questions directly by phone.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@uscis.dhs.gov.

Sincerely,



Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

Date

Control Number

Name
Street Address
City Street

FIRM COMMITMENT TO PAY FEES TEMPLATE

Dear Requester Name:

This is a response to your Freedom of Information Act/Privacy Act (FOIA/PA) request received in this office on DATE, relating to:

"Vacancy/What the request is for."

We have obtained a fee estimate to search for and collect the requested vacancy announcement(s) records. The estimated fees for this FOIA request are:

Search Fees = $XXX.00.
(Search fees have been calculated according to 6 C.F.R. § 5.11(c))

Because anticipated fees exceed $25.00, we are notifying you pursuant to 6 C.F.R. § 5.11(e) that before we proceed with your request we must receive from you a firm commitment to pay the estimated total fee amount ($XXX.00). The firm commitment to pay must be memorialized by you in writing and received by this office within 30 days from the date of this letter (Date). Failure to provide the requested commitment within the allotted time frame will result in your request being administratively closed. Please note your control number with any correspondence you send.

If you wish to modify your request please state such and a new fee estimate will be provided.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

GENERAL MEMO TEMPLATE

Date

Control Number

MEMORANDUM FOR:
Name
Agency
Address

FROM: Jill A. Eggleston
Director, FOIA Operations

Subject: Control Number

[Your Message]

You may direct any questions about this request to Roger Andoh at (816) 350-5563 or [Your Name] at [Your contact info].

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

OTO LETTER TEMPLATE

U.S. Citizenship and Immigration Services

Date

Case Number

Address

This office has received a Freedom of Information Act (FOIA) request (Request information)

The FOIA requires the release of records held by the government except for any portions permitted to be withheld under various exemptions recognized by the FOIA.

Because you are the submitter of the requested documents and the documents contain business information we are giving you an opportunity to review the information we propose to disclose. Please review the attached records and our withholdings. After your review, inform us of any additional portions of business information in the documents you believe should be withheld under the exemptions provided by the FOIA by bracketing the information on the attached records. We request that you provide justification for withholding any information that you believe should not be disclosed. Assertions that "all information was submitted in confidence must be denied" are not adequate justification for denial. Remember any information already released via the INTERNET or to the public cannot be withheld.

We have found that it is often possible to make reasonable deletions in accordance with the spirit of the FOIA, which are acceptable to both you and the requester. If that is not possible in this case, we shall then determine whether withholding the information you specify, in whole or in part, is defensible under the FOIA.

Due to the brief response time allowed by the FOIA, we must have your comments in writing no later than 20 business days from the receipt of this letter at the above address, your information

I you have any questions, please contact your information

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

[Date]

[Control Number]

[Name of Records Submitter
Street
City]

NOTICE OF INTENT TO DISCLOSE TEMPLATE

Dear [Name]:

Reference is made to the notice of request letter sent to you on [Date] which informed you of the receipt of a Freedom of Information Act request for documents relating to the [OTO subject matter].

The requested documents have been reviewed by this office and after careful consideration of your arguments for withholding; certain information will be disclosed to the requester based on the inability to protect portions of the requested information under the FOIA.

Information to be disclosed is as follows: [state what will be released]

Exemption 4 of the FOIA protects "trade secrets and commercial or financial information obtained from a person that is privileged or confidential."

The documents above are subject to disclosure because they have been previously released in the public domain or the release of the document will not cause any competitive harm. For example, [state supportive examples]. Based upon these facts the documents listed above can no longer be considered privileged or confidential and cannot be protected from disclosure under exemption 4. Unless action is initiated to enjoin the agency, the information will be released to the requester 15 days from the date of this letter.

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

U.S. Department of Homeland Security
National Records Center
P.O. Box 648010
Lee's Summit, MO 64064-8010

FINAL ACTION LETTER TEMPLATE

U.S. Citizenship and Immigration Services

[Date]

[Control Number]

[Name
Street
City]

Dear [Name]:

This is in response to your Freedom of Information Act/Privacy Act (FOIA/PA) request received in this office [Date], regarding [What Was Requested].

We have completed the review of all documents and have identified XXX pages that are responsive to your request. Enclosed are XXX pages released in their entirety, and XXX pages released in part. We are withholding XXX pages in full. In our review of these pages, we have determined that they contain no reasonably segregable portion(s) of non-exempt information. Additionally, we have referred XXX pages in their entirety to the [Agency Name] for their direct response to you. We have reviewed and have determined to release all information except those portions that are exempt pursuant to 5 U.S.C. § 552 (b)(2), (b)(4), (b)(5), (b)(6), (b)(7)(C), and (b)(7)(E) of the FOIA.

- ❑ Exemption (b)(2) as applied by USCIS protects predominantly information related to agency personnel rules and practices.

- ❑ Exemption (b)(4) protects trade secrets and commercial or financial information that is privileged or confidential. The types of documents and/or information we have withheld may consist of unit pricing, business sales statistics; research data; technical designs; customer and supplier lists; profit and loss data; overhead and operating costs; and information on financial condition.

- ❑ Exemption (b)(5) provides protection for inter-agency or intra-agency memoranda or letters, which would not be available by law to a party other than an agency in litigation with the agency. The types of documents and/or information we have withheld under this exemption may consist of documents containing pre-decisional information, documents or other memoranda prepared in contemplation of litigation, or confidential communications between attorney and client.

- ❑ Exemption (b)(6) permits the government to withhold all information about individuals in personnel, medical and similar files where the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy. The types of documents and/or information we have withheld may consist of birth certificates, naturalization certificates, drivers' licenses, social security numbers, home addresses, dates of birth, or various other documents and/or information belonging to a third party that are considered personal.

- Exemption (b)(7)(C) provides protection for personal information in law enforcement records, which could reasonably be expected to constitute an unwarranted invasion of personal privacy. We have withheld information relating to third-party individuals. The types of documents and/or information we have withheld could consist of names, addresses, identification numbers, telephone numbers, fax numbers, or various other documents that are considered personal.

- Exemption (b)(7)(E) provides protection for records or information for law enforcement purposes which would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law. The types of documents and/or information we have withheld could consist of law enforcement systems checks, manuals, checkpoint locations, surveillance techniques, and various other documents.

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.4(a)), USCIS uses a "cut-off" date to delineate the scope of a FOIA request by treating records created after that date as not responsive to that request. Therefore, in determining which records are responsive to your request, we included only records in the possession of this agency as of [Date], the date we began the search for records.

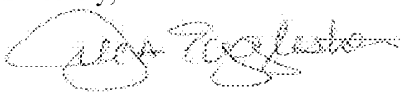
The enclosed record consists of the best reproducible copies available. Certain pages may contain marks that appear to be blacked-out information. If so, the black marks were made prior to our receipt of the file and are not information we have withheld under the provisions of the FOIA or PA.

If you wish to appeal this determination, you may write to the USCIS FOIA/PA Appeals Office, 150 Space Center Loop, Suite 500, Lee's Summit, MO 64064-2139, within 60 days of the date of this letter. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal."

The National Records Center does not process petitions, applications or any other type of benefit under the Immigration and Nationality Act. If you have questions or wish to submit documentation relating to a matter pending with the bureau, you must address these issues with your nearest District Office.

All FOIA/PA related requests, including address changes, must be submitted in writing and be signed by the requester. Please include the control number listed above on all correspondence with this office. Requests may be mailed to the FOIA/PA Officer at the PO Box listed at the top of the letterhead, or sent by fax to (816) 350-5785. You may also submit FOIA/PA related requests to our e-mail address at uscis.foia@uscis.dhs.gov.

Sincerely,



Jill A. Eggleston
Director, FOIA Operations

APPENDIX C

U.S. Citizenship & Immigration Services
FY 2011 Organization Code Structure

12/15/2010

Tops ESP Star

(maximum 30 characters)	Agcy Code	Lev 2	Lev 3	Lev 4	Lev 5	Lev 6	Lev 7	Lev 8	Budget LOC	OFC	Team
Ofc Of Dir Citizenship & Imm Svcs	CI	00	00	0000	00	00	00	00	COW	COW	2
Ofc Of Dir Citizenship & Imm Svcs	CI	01	00	0000	00	00	00	00	COW	COW	2
Project Leadership Team	CI	01	02	0000	00	00	00	00	PLT	PLT	2
Refugee, Asylum, & Int'l Ops	CI	04	00	0000	00	00	00	00	FOR	FOR	
Asylum Division	**CI**	**04**	**10**	**0000**	**00**	**00**	**00**	**00**	**ASY**	**ASY**	
Quality Assurance And Training	CI	04	10	0010	00	00	00	00	ASY	ASY	
Asylum Operations	CI	04	10	0020	00	00	00	00	ASY	ASY	
Resource Info Center	CI	04	10	0030	00	00	00	00	ASY	ASY	
Arlington Asylum Office	CI	04	10	0100	00	00	00	00	ZAR	ZAR	
Chicago Asylum Office	CI	04	10	0200	00	00	00	00	ZCH	ZCH	
Houston Asylum Office	CI	04	10	0300	00	00	00	00	ZHO	ZHO	
Los Angeles Asylum Office	CI	04	10	0400	00	00	00	00	ZLA	ZLA	
Miami Asylum Office	CI	04	10	0500	00	00	00	00	ZMI	ZMI	
Newark Asylum Office	CI	04	10	0600	00	00	00	00	ZNK	ZNK	
New York Asylum Office	CI	04	10	0700	00	00	00	00	ZNY	ZNY	
San Francisco Asylum Office	CI	04	10	0800	00	00	00	00	ZSF	ZSF	
International Operations Div	**CI**	**04**	**20**	**0000**	**00**	**00**	**00**	**00**	**OVS**	**OVS**	
Bangkok District Office	CI	04	20	0100	00	00	00	00	BKK	BKK	
Hong Kong Suboffice	CI	04	20	0100	01	00	00	00	BKK	HKG	
Manila Philippines Suboffice	CI	04	20	0100	02	00	00	00	BKK	MAP	
Seoul Korea Suboffice	CI	04	20	0100	03	00	00	00	BKK	SEK	
Singapore Suboffice	CI	04	20	0100	04	00	00	00	BKK	SIN	
Ho Chi Minh City, Vietnam So	CI	04	20	0100	05	00	00	00	BKK	HOC	
Tokyo, Japan	CI	04	20	0100	06	00	00	00	BKK	TKO	
Guangzhou, China	CI	04	20	0100	07	00	00	00	BKK	GZH	
Beijing, China	CI	04	20	0100	08	00	00	00	BKK	BEI	
New Delhi India Suboffice	CI	04	20	0100	09	00	00	00	BKK	NDI	
Mexico City District Office	CI	04	20	0200	00	00	00	00	MEX	MEX	
Port-au-prince Haiti So	CI	04	20	0200	01	00	00	00	MEX	HAT	
Monterrey Suboffice	CI	04	20	0200	02	00	00	00	MEX	MTR	
Tijuana Mexico Suboffice	CI	04	20	0200	03	00	00	00	MEX	TIJ	
Ciudad Juarez Suboffice	CI	04	20	0200	04	00	00	00	MEX	JRZ	
Tegucigalpa Hondorus So	CI	04	20	0200	05	00	00	00	MEX	TGU	
Havana Cuba Suboff	CI	04	20	0200	06	00	00	00	MEX	HAV	
San Domingo, Dominican Rep So	CI	04	20	0200	07	00	00	00	MEX	SDM	
Kingston, Jamaica	CI	04	20	0200	08	00	00	00	MEX	KNG	
Panama City, Panama	CI	04	20	0200	09	00	00	00	MEX	PNM	
Guatemala City, Guatemala	CI	04	20	0200	10	00	00	00	MEX	GMT	
San Salvador, El Salvador	CI	04	20	0200	11	00	00	00	MEX	SAN	
Quito, Ecuador	CI	04	20	0200	12	00	00	00	MEX	QTO	
Lima, Peru	CI	04	20	0200	13	00	00	00	MEX	LMA	
Rome District Office	CI	04	20	0300	00	00	00	00	RIT	RIT	
London England Suboffice	CI	04	20	0300	01	00	00	00	RIT	LND	
Athens Greece Suboffice	CI	04	20	0300	02	00	00	00	RIT	ATH	
Frankfurt Germany Suboffice	CI	04	20	0300	03	00	00	00	RIT	FKG	
Vienna Austria Suboffice	CI	04	20	0300	04	00	00	00	RIT	VNA	
Nairobi Kenya Suboffice	CI	04	20	0300	06	00	00	00	RIT	NBO	
Moscow Russia Suboffice	CI	04	20	0300	07	00	00	00	RIT	MOS	
Johannesburg, South Africa	CI	04	20	0300	08	00	00	00	RIT	JHS	
Accra Ghana	CI	04	20	0300	09	00	00	00	RIT	ACG	

U.S. Citizenship & Immigration Services
FY 2011 Organization Code Structure

12/15/2010

Tops ESP Star

(maximum 30 characters)	Agcy Code	Lev 2	Lev 3	Lev 4	Lev 5	Lev 6	Lev 7	Lev 8	Budget LOC	OFC	Team
Amsterdam, Netherlands	CI	04	20	0300	10	00	00	00	RIT	AMS	
Copenhagen, Denmark	CI	04	20	0300	11	00	00	00	RIT	CPH	
Madrid, Spain	CI	04	20	0300	12	00	00	00	RIT	MDR	
Islamabad, Pakistan Suboffice	CI	04	20	0300	13	00	00	00	RIT	ILB	
Amman, Jordan Suboffice	CI	04	20	0300	14	00	00	00	RIT	AMM	
Duty Post: Ottawa, Canada	CI	04	20	0400	00	00	00	00	OTT	OTT	
Refugee Division	**CI**	**04**	**30**	**0000**	**00**	**00**	**00**	**00**	**REF**	**REF**	
Ofc Of General Counsel	**CI**	**05**	**00**	**0000**	**00**	**00**	**00**	**00**	**COU**	**COU**	4
Off Regnl Cnsl Estrn Regn Off	**CI**	**05**	**30**	**0000**	**00**	**00**	**00**	**00**	**COU**	**COU**	4
Ltgtn & Leg Advc Staf Buffalo	CI	05	30	0010	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Newark	CI	05	30	0020	00	00	00	00	COU	COU	4
Duty Post Elizabeth Nj	CI	05	30	0020	01	00	00	00	COU	COU	4
Duty Post Del Rio Texas	CI	05	30	0020	02	00	00	00	COU	COU	4
Duty Post Ny Ny	CI	05	30	0030	01	00	00	00	COU	COU	4
Duty Post Brooklyn Ny	CI	05	30	0030	02	00	00	00	COU	COU	4
Duty Post Ulster, Ny	CI	05	30	0030	03	00	00	00	COU	COU	4
Duty Post Fishkill, Ny	CI	05	30	0030	04	00	00	00	COU	COU	4
Duty Post Wackenhut Ny	CI	05	30	0030	05	00	00	00	COU	COU	4
Duty Post Swanton Vt	CI	05	30	0040	01	00	00	00	COU	COU	4
Duty Post: Hartford, Ct	CI	05	30	0040	02	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Balt Md	CI	05	30	0050	00	00	00	00	COU	COU	4
Duty Post York Pa	CI	05	30	0060	01	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf San Juan	CI	05	30	0070	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Wash Dc	CI	05	30	0080	00	00	00	00	COU	COU	4
Duty Post Alexandria Va	CI	05	30	0080	01	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Atlanta	CI	05	30	0090	00	00	00	00	COU	COU	4
Duty Post: Memphis, Tn	CI	05	30	0090	01	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Cleviand	CI	05	30	0100	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Detroit	CI	05	30	0110	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Miami Fl	CI	05	30	0120	00	00	00	00	COU	COU	4
Duty Post Bradenton Fl	CI	05	30	0120	01	00	00	00	COU	COU	4
Duty Post Orlando Fl	CI	05	30	0120	02	00	00	00	COU	COU	4
Duty Post Oakdale La	CI	05	30	0130	01	00	00	00	COU	COU	4
Duty Post Memphis Tenn	CI	05	30	0130	02	00	00	00	COU	COU	4
Off Regnl Cnsl Cntrl Regn Off	**CI**	**05**	**40**	**0000**	**00**	**00**	**00**	**00**	**COU**	**COU**	4
Ltgtn & Leg Advc Staf El Paso	CI	05	40	0010	00	00	00	00	COU	COU	4
Duty Post El Paso Tx	CI	05	40	0010	01	00	00	00	COU	COU	4
Duty Post Marfa Texas	CI	05	40	0010	02	00	00	00	COU	COU	4
Litgtn & Leg Adv Stf S Antoinio	CI	05	40	0020	00	00	00	00	COU	COU	4
Duty Post San Antonio Tx	CI	05	40	0020	01	00	00	00	COU	COU	4
Duty Post Laredo Texas	CI	05	40	0020	02	00	00	00	COU	COU	4
Duty Post Houston Tx	CI	05	40	0030	01	00	00	00	COU	COU	4
Duty Post Huntsville Texas	CI	05	40	0030	02	00	00	00	COU	COU	4
Ligtn & Leg Adv Staff Dallas	CI	05	40	0040	00	00	00	00	COU	COU	4
Ltgtn & Leg Adv Staf Harlingen	CI	05	40	0050	00	00	00	00	COU	COU	4
Duty Post Mcallen Tx	CI	05	40	0050	01	00	00	00	COU	COU	4
Duty Post Lincoln Ne	CI	05	40	0050	02	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Chicago	CI	05	40	0060	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Kc	CI	05	40	0070	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Omaha Ne	CI	05	40	0075	00	00	00	00	COU	COU	4

U.S. Citizenship & Immigration Services
FY 2011 Organization Code Structure

12/15/2010

(maximum 30 characters)	Agcy Code	Lev 2	Lev 3	Lev 4	Lev 5	Lev 6	Lev 7	Lev 8	Budget LOC	Tops OFC	Tops ESP Star Team
Ltgtn & Leg Advc Staf St Paul	CI	05	40	0080	00	00	00	00	COU	COU	4
Ltgtn & Leg Adv Staf Helena Mt	CI	05	40	0090	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Denver	CI	05	40	0100	00	00	00	00	COU	COU	4
Central Reg Cnsl, Twin Cities	CI	05	40	0110	00	00	00	00	COU	COU	4
Duty Post Twin Cities Mn	CI	05	40	0110	01	00	00	00	COU	COU	4
Off Regnl Cnsl Wstrn Regn Off	**CI**	**05**	**50**	**0000**	**00**	**00**	**00**	**00**	**COU**	**COU**	4
Ltgtn & Leg Advc Staf San Fran	CI	05	50	0010	00	00	00	00	COU	COU	4
Duty Post San Francisco Ca	CI	05	50	0010	01	00	00	00	COU	COU	4
Duty Post Sacramento Ca	CI	05	50	0010	02	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Honolulu	CI	05	50	0020	00	00	00	00	COU	COU	4
Ltgtn & Leg Adv Staf Los An Ca	CI	05	50	0030	00	00	00	00	COU	COU	4
Duty Post Los Angeles Ca	CI	05	50	0030	01	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf Phoenix	CI	05	50	0040	00	00	00	00	COU	COU	4
Duty Post Florence, Az	CI	05	50	0040	01	00	00	00	COU	COU	4
Duty Post Eloy, Az	CI	05	50	0040	02	00	00	00	COU	COU	4
Duty Post Tucson Az	CI	05	50	0040	03	00	00	00	COU	COU	4
Duty Post: Las Vegas, Nv	CI	05	50	0040	04	00	00	00	COU	COU	4
Ltgtn & Leg Advc Staf S Diego	CI	05	50	0050	00	00	00	00	COU	COU	4
Duty Post San Diego Ca	CI	05	50	0050	01	00	00	00	COU	COU	4
Duty Post El Centro Ca	CI	05	50	0050	02	00	00	00	COU	COU	4
Ltgtn & Leg Adv Stf Anchorage	CI	05	50	0060	00	00	00	00	COU	COU	4
Ltgtn & Leg Adv Stf Portland O	CI	05	50	0070	00	00	00	00	COU	COU	4
Ltgtn & Leg Advc Stf Seattle	CI	05	50	0080	00	00	00	00	COU	COU	4
Duty Post Seattle Wa	CI	05	50	0080	01	00	00	00	COU	COU	4
Ofc Of Policy & Strategy	**CI**	**06**	**00**	**0000**	**00**	**00**	**00**	**00**	**OPP**	**OPP**	2
Policy Division	**CI**	**06**	**10**	**0000**	**00**	**00**	**00**	**00**	**OPP**	**OPP**	2
Evaluation And Research Div	**CI**	**06**	**30**	**0000**	**00**	**00**	**00**	**00**	**OPP**	**OPP**	2
Enterprise Services	**CI**	**07**	**00**	**0000**	**00**	**00**	**00**	**00**	**ESD**	**ESD**	3
Verification Division	**CI**	**07**	**20**	**0000**	**00**	**00**	**00**	**00**	**VER**	**VER**	4
Save Program Branch	CI	07	20	0100	00	00	00	00	VER	VER	4
Immigration Status Verifier Section	CI	07	20	0100	10	00	00	00	VER	VER	4
Los Angeles Save Isv	CI	07	20	0100	10	10	00	00	VER	VER	4
San Francisco Save Isv	CI	07	20	0100	10	20	00	00	VER	VER	4
Buffalo Save Isv	CI	07	20	0100	10	30	00	00	VER	VER	4
Dallas Save Isv	CI	07	20	0100	10	40	00	00	VER	VER	4
Nyc Save Isv	CI	07	20	0100	10	50	00	00	VER	VER	4
Real Id Branch	CI	07	20	0100	20	00	00	00	VER	VER	4
Nebraska Service Center	CI	07	20	0100	50	00	00	00	VER	VER	4
E - Verify Program Branch	CI	07	20	0200	00	00	00	00	VER	VER	4
Compliance Section	CI	07	20	0200	10	00	00	00	VER	VER	4
Monitoring Section	CI	07	20	0200	20	00	00	00	VER	VER	4
Outreach Section	CI	07	20	0200	30	00	00	00	VER	VER	4
Immigration Status Verifier Section	CI	07	20	0200	40	00	00	00	VER	VER	4
Los Angeles Isv	CI	07	20	0200	40	10	00	00	VER	VER	4
Buffalo Isv	CI	07	20	0200	40	20	00	00	VER	VER	4
Dallas Isv	CI	07	20	0200	40	30	00	00	VER	VER	4
Nyc Isv	CI	07	20	0200	40	40	00	00	VER	VER	4
Nebraska Service Center	CI	07	20	0200	50	00	00	00	VER	VER	4
Records & Information Management	**CI**	**07**	**60**	**0000**	**00**	**00**	**00**	**00**	**RIM**	**RIM**	3
National Records Center	CI	07	60	0100	00	00	00	00	NRC	NRC	2

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Administration Section	CI	07	60	0100	10	00	00	00	NRC	NRC	2
Records Operations Division	CI	07	60	0100	20	00	00	00	NRC	NRC	2
Information And Field Services Division	CI	07	60	0100	30	00	00	00	NRC	NRC	2
Information Liaision Branch	CI	07	60	0100	30	10	00	00	NRC	NRC	2
Case Resolution Branch	CI	07	60	0100	30	20	00	00	NRC	NRC	2
Foia Operations Division	CI	07	60	0100	40	00	00	00	NRC	NRC	2
Harrisonburg File Storage Facility	CI	07	60	0100	50	00	00	00	NRC	NRC	2
Foia Program Division	CI	07	60	0100	60	00	00	00	NRC	NRC	2
Office Of Records	CI	07	60	0200	00	00	00	00	REC	REC	[redacted]
Records Operations Branch	CI	07	60	0200	10	00	00	00	REC	REC	[redacted]
Records Search & Information Section	CI	07	60	0200	10	10	00	00	REC	REC	[redacted]
Policy And Implementation Branch	CI	07	60	0200	20	00	00	00	REC	REC	[redacted]
Policy Section	CI	07	60	0200	20	10	00	00	REC	REC	[redacted]
Mission Support Branch	CI	07	60	0200	30	00	00	00	REC	REC	[redacted]
Electronic Records Branch	CI	07	60	0200	40	00	00	00	REC	REC	[redacted]
Systems Services Section	CI	07	60	0200	40	10	00	00	REC	REC	[redacted]
Digitization Section	CI	07	60	0200	40	20	00	00	REC	REC	[redacted]
Mail Management	CI	07	60	0200	50	00	00	00	REC	REC	[redacted]
Mail Management Section	CI	07	60	0200	50	10	00	00	REC	REC	[redacted]
Historical Records And Archives Branch	CI	07	60	0200	60	00	00	00	REC	REC	[redacted]
Genealogy Section	CI	07	60	0200	60	10	00	00	REC	REC	[redacted]
Application Support Ctr	**CI**	**07**	**70**	**0000**	**00**	**00**	**00**	**00**	**ASC**	**ASC**	2
Ofc Of Admin Appeals	**CI**	**09**	**00**	**0000**	**00**	**00**	**00**	**00**	**AAO**	**AAO**	1
Mgt Support Branch	CI	09	01	0000	00	00	00	00	AAO	AAO	1
Appeals Fraud Branch	CI	09	02	0000	00	00	00	00	AAO	AAO	1
Branch 1	CI	09	10	0000	00	00	00	00	AAO	AAO	1
Branch 2	CI	09	20	0000	00	00	00	00	AAO	AAO	1
Branch 3	CI	09	30	0000	00	00	00	00	AAO	AAO	1
Branch 4	CI	09	40	0000	00	00	00	00	AAO	AAO	1
Branch 5	CI	09	50	0000	00	00	00	00	AAO	AAO	1
Branch 6	CI	09	60	0000	00	00	00	00	AAO	AAO	1
Branch 7	CI	09	70	0000	00	00	00	00	AAO	AAO	1
Ofc Of Citizenship	**CI**	**12**	**00**	**0000**	**00**	**00**	**00**	**00**	**OFC**	**OFC**	2
Outreach Section	CI	12	10	0000	00	00	00	00	OFC	OFC	2
Programs Section	CI	12	20	0000	00	00	00	00	OFC	OFC	2
Office of Communications	**CI**	**14**	**00**	**0000**	**00**	**00**	**00**	**00**	**PUB**	**PUB**	2
Legislative Affairs	**CI**	**15**	**00**	**0000**	**00**	**00**	**00**	**00**	**CRE**	**CRE**	2
Field Operations Directorate	**CI**	**17**	**00**	**0000**	**00**	**00**	**00**	**00**	**OFS**	**OFS**	2
Ofc Of The Dir, Natl Benef Ctr	**CI**	**17**	**40**	**0100**	**00**	**00**	**00**	**00**	**NBC**	**NBC**	4
Adjudications Division	CI	17	40	0100	01	00	00	00	NBC	NBC	4
Visas Branch	CI	17	40	0100	01	10	00	00	NBC	NBC	4
Legalization Branch	CI	17	40	0100	01	20	00	00	NBC	NBC	4
Records Division	CI	17	40	0100	02	00	00	00	NBC	NBC	4
Information Technology Div	CI	17	40	0100	03	00	00	00	NBC	NBC	4
Customer Relations	CI	17	40	0100	04	00	00	00	NBC	NBC	4
Management Division	CI	17	40	0100	05	00	00	00	NBC	NBC	4
Northeast Regional Office	**CI**	**17**	**40**	**0200**	**00**	**00**	**00**	**00**	**NER**	**NER**	1
Operations Branch	CI	17	40	0200	00	10	00	00	NER	NER	1
District 1	CI	17	40	0205	00	00	00	00	D01	D01	1
Boston Ma Field Office	CI	17	40	0205	01	00	00	00	BOS	BOS	1

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Providence Ri Field Office	CI	17	40	0205	02	00	00	00	PRO	PRO	1
Portland Me Field Office	CI	17	40	0205	03	00	00	00	POM	POM	1
Manchester Nh Field Office	CI	17	40	0205	04	00	00	00	MAN	MAN	1
Lawrence Field Office	CI	17	40	0205	05	00	00	00	LAW	LAW	1
District 2	CI	17	40	0210	00	00	00	00	D02	D02	1
Buffalo Ny Field Office	CI	17	40	0210	01	00	00	00	BUF	BUF	1
Syracuse Ny Fso	CI	17	40	0210	01	10	00	00	BUF	SYR	1
Albany Ny Field Office	CI	17	40	0210	02	00	00	00	ALB	ALB	1
Hartford Ct Field Office	CI	17	40	0210	03	00	00	00	HAR	HAR	1
St Albans Vt Field Office	CI	17	40	0210	04	00	00	00	STA	STA	1
District 3	CI	17	40	0215	00	00	00	00	D03	D03	1
New York City Field Office	CI	17	40	0215	01	00	00	00	NYC	NYC	1
Meo Language Services Section	CI	17	40	0215	01	10	00	00	LSS	LSS	1
Garden City Nj Field Office	CI	17	40	0215	02	00	00	00	GDN	GDN	1
Long Island Field Office	CI	17	40	0215	03	00	00	00	LNY	LNY	1
Queens Field Office	CI	17	40	0215	04	00	00	00	QNS	QNS	1
District 4	CI	17	40	0220	00	00	00	00	D04	D04	1
Newark Nj Field Office	CI	17	40	0220	01	00	00	00	NEW	NEW	1
Mt Laurel Nj Field Office	CI	17	40	0220	02	00	00	00	MTL	MTL	1
District 5	CI	17	40	0225	00	00	00	00	D05	D05	1
Philadelphia Pa Field Office	CI	17	40	0225	01	00	00	00	PHI	PHI	1
Dover De Fso	CI	17	40	0225	01	10	00	00	PHI	DOV	1
Pittsburgh Pa Field Office	CI	17	40	0225	02	00	00	00	PIT	PIT	1
Charleston Wv Fso	CI	17	40	0225	02	10	00	00	PIT	CHS	1
District 6	CI	17	40	0230	00	00	00	00	D06	D06	1
Baltimore Md Field Office	CI	17	40	0230	01	00	00	00	BAL	BAL	1
District 7	CI	17	40	0235	00	00	00	00	D07	D07	1
Fairfax Va Field Office	CI	17	40	0235	01	00	00	00	WAS	WAS	1
Norfolk Va Field Office	CI	17	40	0235	02	00	00	00	NOR	NOR	1
Southeast Regional Office	**CI**	**17**	**40**	**0300**	**00**	**00**	**00**	**00**	**SER**	**SER**	**4**
Operations Branch	CI	17	40	0300	00	10	00	00	SER	SER	4
District 8	CI	17	40	0305	00	00	00	00	D08	D08	4
Atlanta Ga Field Office	CI	17	40	0305	01	00	00	00	ATL	ATL	4
Birmingham, Al Fso	CI	17	40	0305	01	10	00	00	ATL	BIR	4
Charlotte Nc Field Office	CI	17	40	0305	02	00	00	00	CLT	CLT	4
Charleston Sc Field Office	CI	17	40	0305	03	00	00	00	CHL	CHL	4
Greer Sc Fso	CI	17	40	0305	03	10	00	00	CHL	GRR	4
Raleigh Nc Field Office	CI	17	40	0305	04	00	00	00	RAL	RAL	4
District 9	CI	17	40	0310	00	00	00	00	D09	D09	4
Miami Fl Field Office	CI	17	40	0310	01	00	00	00	MIA	MIA	4
Charlotte Amalie Vi Field Office	CI	17	40	0310	02	00	00	00	VIR	VIR	4
St Croix Vi Fso	CI	17	40	0310	02	10	00	00	VIR	SCX	4
San Juan Pr Field Office	CI	17	40	0310	03	00	00	00	SAJ	SAJ	4
Hialeah Field Office	CI	17	40	0310	04	00	00	00	HIA	HIA	4
Kendall Field Office	CI	17	40	0310	05	00	00	00	KND	KND	4
Oakland Park Field Office	CI	17	40	0310	06	00	00	00	OKL	OKL	4
District 10	CI	17	40	0315	00	00	00	00	D10	D10	4
Tampa Fl Field Office	CI	17	40	0315	01	00	00	00	TAM	TAM	4
Jacksonville Fl Field Office	CI	17	40	0315	02	00	00	00	JAC	JAC	4
Orlando Fl Field Office	CI	17	40	0315	03	00	00	00	ORL	ORL	4

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West Palm Beach Fl Field Office	CI	17	40	0315	04	00	00	00	WPB	WPB	4
District 11	CI	17	40	0320	00	00	00	00	D11	D11	4
New Orleans La Field Office	CI	17	40	0320	01	00	00	00	NOL	NOL	4
Jackson Ms Fso	CI	17	40	0320	01	10	00	00	NOL	JAK	4
Ft Smith Ar Field Office	CI	17	40	0320	02	00	00	00	FSA	FSA	4
Memphis Tn Field Office	CI	17	40	0320	03	00	00	00	MEM	MEM	4
Nashville Tn Fso	CI	17	40	0320	03	10	00	00	MEM	NVL	4
Central Regional Office	**CI**	**17**	**40**	**0400**	**00**	**00**	**00**	**00**	**CRO**	**CRO**	2
Operations Branch	CI	17	40	0400	00	10	00	00	CRO	CRO	2
District 12	CI	17	40	0405	00	00	00	00	D12	D12	2
Detroit Mi Field Office	CI	17	40	0405	01	00	00	00	DET	DET	2
District 13	CI	17	40	0410	00	00	00	00	D13	D13	2
Cleveland Oh Field Office	CI	17	40	0410	01	00	00	00	CLE	CLE	2
Cincinnati Oh Field Office	CI	17	40	0410	02	00	00	00	CIN	CIN	2
Columbus Oh Field Office	CI	17	40	0410	03	00	00	00	CLM	CLM	2
Louisville Ky Field Office	CI	17	40	0410	04	00	00	00	LOU	LOU	2
Indianapolis In Field Office	CI	17	40	0410	05	00	00	00	INP	INP	2
District 14	CI	17	40	0415	00	00	00	00	D14	D14	2
Chicago Il Field Office	CI	17	40	0415	01	00	00	00	CHI	CHI	2
Milwaukee Wi Field Office	CI	17	40	0415	02	00	00	00	MIL	MIL	2
District 15	CI	17	40	0420	00	00	00	00	D15	D15	2
Kansas City Mo Field Office	CI	17	40	0420	01	00	00	00	KAN	KAN	2
Wichita Ks Fso	CI	17	40	0420	01	10	00	00	KAN	WIC	2
St Louis Mo Field Office	CI	17	40	0420	02	00	00	00	STL	STL	2
Omaha Ne Field Office	CI	17	40	0420	03	00	00	00	OMA	OMA	2
Des Moines Ia Field Office	CI	17	40	0420	04	00	00	00	DSM	DSM	2
St. Paul Mn Field Office	CI	17	40	0420	05	00	00	00	SPM	SPM	2
Sioux Falls Sd Fso	CI	17	40	0420	05	10	00	00	SPM	SXF	2
Fargo Nd Fso	CI	17	40	0420	05	20	00	00	SPM	FND	2
Duluth Mn Fso	CI	17	40	0420	05	30	00	00	SPM	DMN	2
Rapid City Sd Fso	CI	17	40	0420	05	40	00	00	SPM	RPC	2
District 16	CI	17	40	0425	00	00	00	00	D16	D16	2
Dallas Tx Field Office	CI	17	40	0425	01	00	00	00	DAL	DAL	2
Lubbock Tx Fso	CI	17	40	0425	01	10	00	00	DAL	LUB	2
Oklahoma City Ok Field Office	CI	17	40	0425	02	00	00	00	OKC	OKC	2
District 17	CI	17	40	0430	00	00	00	00	D17	D17	2
Houston Field Office	CI	17	40	0430	01	00	00	00	HOU	HOU	2
District 18	CI	17	40	0435	00	00	00	00	D18	D18	2
San Antonio Tx Field Office	CI	17	40	0435	01	00	00	00	SNA	SNA	2
Eagle Pass Tx Fso	CI	17	40	0435	01	10	00	00	SNA	EPT	2
Laredo Tx Fso	CI	17	40	0435	01	20	00	00	SNA	LTX	2
Austin Tx Fso	CI	17	40	0435	01	30	00	00	SNA	AUS	2
Albuquerque Nm Field Office	CI	17	40	0435	02	00	00	00	ABQ	ABQ	2
El Paso Tx Field Office	CI	17	40	0435	03	00	00	00	ELP	ELP	2
Harlingen Tx Field Office	CI	17	40	0435	04	00	00	00	HLG	HLG	2
District 19	CI	17	40	0440	00	00	00	00	D19	D19	2
Denver Co Field Office	CI	17	40	0440	01	00	00	00	DEN	DEN	2
Casper Wy Fso	CI	17	40	0440	01	10	00	00	DEN	CAS	2
Grand Junction Co Fso	CI	17	40	0440	01	20	00	00	DEN	GJC	2
Salt Lake Ut Field Office	CI	17	40	0440	02	00	00	00	SLC	SLC	2

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Helena Mt Field Office	CI	17	40	0440	03	00	00	00	HEL	HEL	2
Boise Id Field Office	CI	17	40	0440	04	00	00	00	BOI	BOI	2
Idaho Falls Id Fso	CI	17	40	0440	04	10	00	00	IFI	IFI	2
Western Regional Office	**CI**	**17**	**40**	**0500**	**00**	**00**	**00**	**00**	**WRO**	**WRO**	4
Operations Br	CI	17	40	0500	00	10	00	00	WRO	WRO	4
District 20	CI	17	40	0505	00	00	00	00	D20	D20	4
Seattle Or Field Office	CI	17	40	0505	01	00	00	00	SEA	SEA	4
Yakima Wa Field Office	CI	17	40	0505	02	00	00	00	YAK	YAK	4
Spokane Wa Field Office	CI	17	40	0505	03	00	00	00	SPO	SPO	4
Anchorage Ak Field Office	CI	17	40	0505	04	00	00	00	ANC	ANC	4
Portland Or Field Office	CI	17	40	0505	05	00	00	00	POO	POO	4
District 21	CI	17	40	0510	00	00	00	00	D21	D21	4
San Francisco Ca Field Office	CI	17	40	0510	01	00	00	00	SFR	SFR	4
San Jose Ca Field Office	CI	17	40	0510	02	00	00	00	SNJ	SNJ	4
District 22	CI	17	40	0515	00	00	00	00	D22	D22	4
Sacramento Ca Field Office	CI	17	40	0515	01	00	00	00	SAC	SAC	4
Fresno Ca Field Office	CI	17	40	0515	02	00	00	00	FRE	FRE	4
District 23	CI	17	40	0520	00	00	00	00	D23	D23	4
Los Angeles Ca Field Office	CI	17	40	0520	01	00	00	00	LOS	LOS	4
East Los Angeles Field Support Office	CI	17	40	0520	01	10	00	00	LOS	XLA	4
San Bernardino Ca Field Office	CI	17	40	0520	02	00	00	00	SBD	SBD	4
El Monte Ca Field Office	CI	17	40	0520	04	00	00	00	ELM	ELM	4
Santa Ana Ca Field Office	CI	17	40	0520	05	00	00	00	SAA	SAA	4
San Fernando Valley Field Office	CI	17	40	0520	06	00	00	00	SFV	SFV	4
District 24	CI	17	40	0525	00	00	00	00	D24	D24	4
San Diego Ca Field Office	CI	17	40	0525	01	00	00	00	SND	SND	4
Imperial Valley Ca Fso	CI	17	40	0525	01	10	00	00	SND	IMP	4
Chula Vista Ca Field Office	CI	17	40	0525	02	00	00	00	CVC	CVC	4
District 25	CI	17	40	0530	00	00	00	00	D25	D25	4
Phoenix Az Field Office	CI	17	40	0530	01	00	00	00	PHO	PHO	4
Phoenix Life Bldg Fso	CI	17	40	0530	01	10	00	00	PHO	PHL	4
Las Vegas Nv Field Office	CI	17	40	0530	02	00	00	00	LVG	LVG	4
Reno Nv Field Office	CI	17	40	0530	03	00	00	00	REN	REN	4
Tucson Az Field Office	CI	17	40	0530	04	00	00	00	TUC	TUC	4
District 26	CI	17	40	0535	00	00	00	00	D26	D26	4
Honolulu Hi Field Office	CI	17	40	0535	01	00	00	00	HHW	HHW	4
Guam Field Office	CI	17	40	0535	02	00	00	00	AGA	AGA	4
Saipan Field Support Office	CI	17	40	0535	02	10	00	00	AGA	SAI	4
Public Engagement	**CI**	**18**	**00**	**0000**	**00**	**00**	**00**	**00**	**OPE**	**OPE**	2
Executive Secretariat	**CI**	**19**	**00**	**0000**	**00**	**00**	**00**	**00**	**EXS**	**EXS**	2
Office Of Transformation	**CI**	**20**	**00**	**0000**	**00**	**00**	**00**	**00**	**TFM**	**TFM**	
Performance & Quality	**CI**	**21**	**00**	**0000**	**00**	**00**	**00**	**00**	**OPQ**	**OPQ**	2
Office of Privacy	**CI**	**22**	**00**	**0000**	**00**	**00**	**00**	**00**	**PVY**	**PVY**	2
Management Directorate	**CI**	**23**	**00**	**0000**	**00**	**00**	**00**	**00**	**MGT**	**MGT**	1
Office Of Administration	**CI**	**23**	**10**	**0000**	**00**	**00**	**00**	**00**	**ADM**	**ADM**	1
Field Support Center Burlington	CI	23	10	0100	00	00	00	00	ADM	ADM	1
Project Management Branch	CI	23	10	0100	10	00	00	00	ADM	ADM	1
Field Asset Branch	CI	23	10	0100	20	00	00	00	ADM	ADM	1
Facilities Mgmt Div	CI	23	10	0200	00	00	00	00	ADM	ADM	1
Hq Space Mgmt Branch	CI	23	10	0200	10	00	00	00	ADM	ADM	1

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Planning And Programming Branch	CI	23	10	0200	20	00	00	00	ADM	ADM	1
Logistics Management Div	CI	23	10	0300	00	00	00	00	ADM	ADM	1
Asset Management Branch	CI	23	10	0300	10	00	00	00	ADM	ADM	1
Fleet & HQ Services Branch	CI	23	10	0300	20	00	00	00	ADM	ADM	1
Ofc Of Chief Information Officer	**CI**	**23**	**20**	**0000**	**00**	**00**	**00**	**00**	**ISM**	**ISM**	
Chief Of Staff	CI	23	20	0100	00	00	00	00	ISM	ISM	
Enterprise Program Management	CI	23	20	0100	10	00	00	00	ISM	ISM	
Operations Analysis	CI	23	20	0100	20	00	00	00	ISM	ISM	
Chief Technology Officer	CI	23	20	0200	00	00	00	00	ISM	ISM	
Enterprise Architecture	CI	23	20	0200	10	00	00	00	ISM	ISM	
Security Integration Division	CI	23	20	0300	00	00	00	00	ISM	ISM	
Technical Support	CI	23	20	0300	10	00	00	00	ISM	ISM	
Regional Issm	CI	23	20	0300	20	00	00	00	ISM	ISM	
Network Defense	CI	23	20	0300	30	00	00	00	ISM	ISM	
Audit Control	CI	23	20	0300	40	00	00	00	ISM	ISM	
Fisma Compliance	CI	23	20	0300	50	00	00	00	ISM	ISM	
Enterprise Infrastructure Division	CI	23	20	0400	00	00	00	00	ISM	ISM	
Automation & Virtual Services	CI	23	20	0400	10	00	00	00	ISM	ISM	
Network Operations	CI	23	20	0400	20	00	00	00	ISM	ISM	
Capacity Availability & Resiliency	CI	23	20	0400	30	00	00	00	ISM	ISM	
Converged Communications	CI	23	20	0400	40	00	00	00	ISM	ISM	
Engineering Optmization	CI	23	20	0400	50	00	00	00	ISM	ISM	
Transformation Support Division	CI	23	20	0500	00	00	00	00	ISM	ISM	
Security	CI	23	20	0500	10	00	00	00	ISM	ISM	
Infrastructure	CI	23	20	0500	20	00	00	00	ISM	ISM	
Enterprise Architecture	CI	23	20	0500	30	00	00	00	ISM	ISM	
Systems Engineering	CI	23	20	0500	40	00	00	00	ISM	ISM	
Common Services	CI	23	20	0500	50	00	00	00	ISM	ISM	
Systems Engineering Division	CI	23	20	0600	00	00	00	00	ISM	ISM	
Systems Development	CI	23	20	0600	10	00	00	00	ISM	ISM	
Process Control	CI	23	20	0600	20	00	00	00	ISM	ISM	
Esd It Peo	CI	23	20	0600	30	00	00	00	ISM	ISM	
Web Services	CI	23	20	0600	40	00	00	00	ISM	ISM	
Data Interchange	CI	23	20	0600	50	00	00	00	ISM	ISM	
Std Tools & Services	CI	23	20	0600	60	00	00	00	ISM	ISM	
Problem Management	CI	23	20	0600	70	00	00	00	ISM	ISM	
Resource Management Division	CI	23	20	0700	00	00	00	00	ISM	ISM	
Financial Management	CI	23	20	0700	10	00	00	00	ISM	ISM	
Workforce Management	CI	23	20	0700	20	00	00	00	ISM	ISM	
Acquisition And Contract Admin	CI	23	20	0700	30	00	00	00	ISM	ISM	
Technology Services	CI	23	20	0700	40	00	00	00	ISM	ISM	
End User Services Division	CI	23	20	0800	00	00	00	00	ISM	ISM	
Product Provisioning	CI	23	20	0800	10	00	00	00	ISM	ISM	
Chg Config And Rel Mgmt Suprt	CI	23	20	0800	20	00	00	00	ISM	ISM	
National Capital Area	CI	23	20	0800	30	00	00	00	ISM	ISM	
Southeast Area	CI	23	20	0800	40	00	00	00	ISM	ISM	
Northeast Area	CI	23	20	0800	50	00	00	00	ISM	ISM	
West Area	CI	23	20	0800	60	00	00	00	ISM	ISM	
Central Area	CI	23	20	0800	70	00	00	00	ISM	ISM	
Office Of Equal Opportunity & Inclusion	**CI**	**23**	**30**	**0000**	**00**	**00**	**00**	**00**	**EOI**	**EOI**	4

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(maximum 30 characters)	Agcy Code	Lev 2	Lev 3	Lev 4	Lev 5	Lev 6	Lev 7	Lev 8	Budget LOC	Tops OFC	Tops ESP Star Team
Office Of Security & Integrity	CI	23	40	0000	00	00	00	00	SEC	SEC	
Office Of Emergency Management & Safety	CI	23	40	0100	00	00	00	00	EPC	EPC	2
Office Of Chief Financial Officer	CI	23	50	0000	00	00	00	00	CFO	CFO	1
Duty Post Burlington	CI	23	50	0100	00	00	00	00	CFO	BUR	1
Support Services	CI	23	50	0200	00	00	00	00	CFO	CFO	1
Support Services-WCF	CI	23	50	0200	10	00	00	00	CFO	WCF	1
Support Services - Overhead	CI	23	50	0200	20	00	00	00	CFO	OHD	1
Support Services - Shared	CI	23	50	0200	30	00	00	00	CFO	SHS	1
Support Services - PCS	CI	23	50	0200	40	00	00	00	CFO	BUD	1
Prior Year Funds	CI	23	50	0300	00	00	00	00	FIN	FIN	1
Prior Year Funds	CI	23	50	0300	10	00	00	00	FIN	PYF	1
Intake & Document Production	CI	23	60	0000	00	00	00	00	IDP	IDP	1
Integrated Document Production	CI	23	60	0100	00	00	00	00	IDO	IDO	1
Document Production Branch	CI	23	60	0100	10	00	00	00	DPB	DPB	1
Corbin Prod Facility Corbin, K	CI	23	60	0100	20	00	00	00	CBN	CBN	1
Document Services Division	CI	23	60	0200	00	00	00	00	DSD	DSD	1
Forms Management and Design Branch	CI	23	60	0200	10	00	00	00	FRM	FRM	1
Printing and Distribution Branch	CI	23	60	0200	20	00	00	00	PRT	PRT	1
Eastern Forms Center	CI	23	60	0200	30	00	00	00	EFC	EFC	1
Western Forms Center	CI	23	60	0200	40	00	00	00	WFC	WFC	1
Intake Operations & Enhancement	CI	23	60	0500	00	00	00	00	IOE	IOE	1
Ofc Of Human Capital & Training	CI	23	70	0000	00	00	00	00	HCT	HCT	1
Training & Career Development Division	CI	23	70	0100	00	00	00	00	TRN	TRN	1
Training Career Dev - Burlington, VT	CI	23	70	0100	10	00	00	00	TRN	BRL	1
Academy Traininig Center	CI	23	70	0100	20	00	00	00	TRN	ATC	1
Human Capital Strategy Division	CI	23	70	0200	00	00	00	00	HCS	HCS	1
Workforce Relations Division	CI	23	70	0300	00	00	00	00	WRD	WRD	1
Wrd-northeastern	CI	23	70	0300	10	00	00	00	WRD	WRD	1
Wrd-southeastern	CI	23	70	0300	20	00	00	00	WRD	WRD	1
Wrd-central	CI	23	70	0300	30	00	00	00	WRD	WRD	1
Wrd-western	CI	23	70	0300	40	00	00	00	WRD	WRD	1
Human Resources Division	CI	23	70	0400	00	00	00	00	HRD	HRD	1
Human Capital Training Business Center - Burlir	CI	23	70	0500	00	00	00	00	HCB	HCB	1
Human Resources Operations Center, Burlingto	CI	23	70	0600	00	00	00	00	HRC	HRC	1
Office of Contracting	CI	23	80	0000	00	00	00	00	CON	CON	1
FDNS Directorate	CI	24	00	0000	00	00	00	00	FDS	FDS	4
FDNS Division	CI	24	10	0000	00	00	00	00	FDS	FDS	4
Mission Support Branch	CI	24	10	0100	00	00	00	00	FDS	FDS	4
National Security Branch	CI	24	10	0200	00	00	00	00	FDS	FDS	4
National Security Adjudications Unit	CI	24	10	0200	10	00	00	00	FDS	FDS	4
Background Check Analysis Unit 1	CI	24	10	0200	20	00	00	00	FDS	FDS	4
Background Check Analysis Unit 2	CI	24	10	0200	30	00	00	00	FDS	FDS	4
Intelligence Branch	CI	24	10	0300	00	00	00	00	FDS	FDS	4
Policy Development And Analysis Branch	CI	24	10	0400	00	00	00	00	FDS	FDS	4
Fraud Detection Section	CI	24	10	0400	10	00	00	00	FDS	FDS	4
National Security Section	CI	24	10	0400	20	00	00	00	FDS	FDS	4
Operations Branch	CI	24	10	0500	00	00	00	00	FDS	FDS	4
Program Support Section	CI	24	10	0500	10	00	00	00	FDS	FDS	4
Fraud Detection Service Centers	CI	24	10	0900	00	00	00	00	FDS	FDS	4
FDNS Vermont Sc	CI	24	10	0905	00	00	00	00	FDS	FDS	1

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FDNS Texas Sc	CI	24	10	0910	00	00	00	00	FDS	FDS	2
FDNS Nebraska Sc	CI	24	10	0915	00	00	00	00	FDS	FDS	4
FDNS California Sc	CI	24	10	0920	00	00	00	00	FDS	FDS	4
FDNS National Benefit Center	CI	24	10	0925	00	00	00	00	FDS	FDS	4
Fraud Detection Asylum Division	CI	24	10	1000	00	00	00	00	FDS	FDS	[redacted]
FDNS Arlington Ao	CI	24	10	1000	10	00	00	00	FDS	FDS	[redacted]
FDNS Chicago Ao	CI	24	10	1000	20	00	00	00	FDS	FDS	[redacted]
FDNS Houston Ao	CI	24	10	1000	30	00	00	00	FDS	FDS	[redacted]
FDNS Los Angeles Ao	CI	24	10	1000	40	00	00	00	FDS	FDS	[redacted]
FDNS Miami Ao	CI	24	10	1000	50	00	00	00	FDS	FDS	[redacted]
FDNS Newark Ao	CI	24	10	1000	60	00	00	00	FDS	FDS	[redacted]
FDNS New York Ao	CI	24	10	1000	70	00	00	00	FDS	FDS	[redacted]
FDNS San Francisco Ao	CI	24	10	1000	80	00	00	00	FDS	FDS	[redacted]
FDNS Bangkok District Office	CI	24	10	1100	00	00	00	00	FDS	FDS	[redacted]
FDNS Beijing China Suboffice	CI	24	10	1100	01	00	00	00	FDS	FDS	[redacted]
FDNS Guangzhou China Suboffice	CI	24	10	1100	02	00	00	00	FDS	FDS	[redacted]
FDNS Ho Chi Minh City Vietnam Suboffice	CI	24	10	1100	03	00	00	00	FDS	FDS	[redacted]
FDNS Manila Phillipines Suboffice	CI	24	10	1100	04	00	00	00	FDS	FDS	[redacted]
FDNS New Delhi Inida Suboffice	CI	24	10	1100	05	00	00	00	FDS	FDS	[redacted]
FDNS Mexico City District Office	CI	24	10	1200	00	00	00	00	FDS	FDS	[redacted]
FDNS Ciudaad Juarez Mexico Suboffice	CI	24	10	1200	01	00	00	00	FDS	FDS	[redacted]
FDNS Monterrey Mexico Suboffice	CI	24	10	1200	02	00	00	00	FDS	FDS	[redacted]
FDNS Rome District Office	CI	24	10	1300	00	00	00	00	FDS	FDS	[redacted]
FDNS Athens Greece Suboffice	CI	24	10	1300	01	00	00	00	FDS	FDS	[redacted]
FDNS Frankfurt Germany Suboffice	CI	24	10	1300	02	00	00	00	FDS	FDS	[redacted]
FDNS Nairobi Kenya Suboffice	CI	24	10	1300	03	00	00	00	FDS	FDS	[redacted]
Fraud Detection Northeast Region	CI	24	10	2000	00	00	00	00	FDS	FDS	[redacted]
District 1	CI	24	10	2005	00	00	00	00	FDS	FDS	1
FDNS Boston	CI	24	10	2005	01	00	00	00	FDS	FDS	1
FDNS Providence Ri	CI	24	10	2005	02	00	00	00	FDS	FDS	1
FDNS Portland Me	CI	24	10	2005	03	00	00	00	FDS	FDS	1
FDNS Manchester Nh	CI	24	10	2005	04	00	00	00	FDS	FDS	1
FDNS Lawrence Ma	CI	24	10	2005	05	00	00	00	FDS	FDS	1
District 2	CI	24	10	2010	00	00	00	00	FDS	FDS	1
FDNS Buffalo	CI	24	10	2010	01	00	00	00	FDS	FDS	1
FDNS Hartford Ct	CI	24	10	2010	02	00	00	00	FDS	FDS	1
FDNS Albany Ny	CI	24	10	2010	03	00	00	00	FDS	FDS	1
District 3	CI	24	10	2015	00	00	00	00	FDS	FDS	1
FDNS New York	CI	24	10	2015	01	00	00	00	FDS	FDS	1
FDNS Garden City Ny	CI	24	10	2015	02	00	00	00	FDS	FDS	1
FDNS HOLTSVILLE	CI	24	10	2015	03	00	00	00	FDS	FDS	1
FDNS QUEENS	CI	24	10	2015	04	00	00	00	FDS	FDS	1
District 4	CI	24	10	2020	00	00	00	00	FDS	FDS	1
FDNS Newark	CI	24	10	2020	01	00	00	00	FDS	FDS	1
FDNS Mt Laurel Nj	CI	24	10	2020	02	00	00	00	FDS	FDS	1
District 5	CI	24	10	2025	00	00	00	00	FDS	FDS	1
FDNS Philadelphia	CI	24	10	2025	01	00	00	00	FDS	FDS	1
FDNS Pittsburgh Pa	CI	24	10	2025	02	00	00	00	FDS	FDS	1
District 6	CI	24	10	2030	00	00	00	00	FDS	FDS	1
FDNS Baltimore	CI	24	10	2030	01	00	00	00	FDS	FDS	1

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District 7	CI	24	10	2035	00	00	00	00	FDS	FDS	1
FDNS Fairfax Va	CI	24	10	2035	01	00	00	00	FDS	FDS	1
FDNS Norfolk Va	CI	24	10	2035	02	00	00	00	FDS	FDS	1
Fraud Detection Southeast Region	CI	24	10	3000	00	00	00	00	FDS	FDS	4
District 8	CI	24	10	3005	00	00	00	00	FDS	FDS	4
FDNS Atlanta	CI	24	10	3005	01	00	00	00	FDS	FDS	4
FDNS Charlotte Nc	CI	24	10	3005	02	00	00	00	FDS	FDS	4
FDNS Charleston Sc	CI	24	10	3005	03	00	00	00	FDS	FDS	4
FDNS Raleigh Nc	CI	24	10	3005	04	00	00	00	FDS	FDS	4
District 9	CI	24	10	3010	00	00	00	00	FDS	FDS	4
FDNS Miami	CI	24	10	3010	01	00	00	00	FDS	FDS	4
FDNS San Juan	CI	24	10	3010	02	00	00	00	FDS	FDS	4
FDNS Charlotte Amalie	CI	24	10	3010	03	00	00	00	FDS	FDS	4
District 10	CI	24	10	3015	00	00	00	00	FDS	FDS	4
FDNS Tampa Fl	CI	24	10	3015	01	00	00	00	FDS	FDS	4
FDNS Jacksonville Fl	CI	24	10	3015	02	00	00	00	FDS	FDS	4
FDNS Orlando	CI	24	10	3015	03	00	00	00	FDS	FDS	4
FDNS West Palm Beach Fl	CI	24	10	3015	04	00	00	00	FDS	FDS	4
District 11	CI	24	10	3020	00	00	00	00	FDS	FDS	4
FDNS New Orleans	CI	24	10	3020	01	00	00	00	FDS	FDS	4
FDNS Memphis Tn	CI	24	10	3020	02	00	00	00	FDS	FDS	4
FDNS Ft Smith Ar	CI	24	10	3020	03	00	00	00	FDS	FDS	4
Fraud Detection Central Region	CI	24	10	4000	00	00	00	00	FDS	FDS	2
District 12	CI	24	10	4005	00	00	00	00	FDS	FDS	2
FDNS Detroit	CI	24	10	4005	01	00	00	00	FDS	FDS	2
District 13	CI	24	10	4010	00	00	00	00	FDS	FDS	2
FDNS Cleveland	CI	24	10	4010	01	00	00	00	FDS	FDS	2
FDNS Cincinnati Oh	CI	24	10	4010	02	00	00	00	FDS	FDS	2
FDNS Columbus Oh	CI	24	10	4010	03	00	00	00	FDS	FDS	2
FDNS Louisville Ky	CI	24	10	4010	04	00	00	00	FDS	FDS	2
FDNS Indianapolis In	CI	24	10	4010	05	00	00	00	FDS	FDS	2
District 14	CI	24	10	4015	00	00	00	00	FDS	FDS	2
FDNS Chicago	CI	24	10	4015	01	00	00	00	FDS	FDS	2
FDNS Milwaukee Wi	CI	24	10	4015	02	00	00	00	FDS	FDS	2
District 15	CI	24	10	4020	00	00	00	00	FDS	FDS	2
FDNS Kansas City	CI	24	10	4020	01	00	00	00	FDS	FDS	2
FDNS St Louis Mo	CI	24	10	4020	02	00	00	00	FDS	FDS	2
FDNS Omaha	CI	24	10	4020	03	00	00	00	FDS	FDS	2
FDNS St. Paul	CI	24	10	4020	04	00	00	00	FDS	FDS	2
FDNS Des Moines Ia	CI	24	10	4020	05	00	00	00	FDS	FDS	2
District 16	CI	24	10	4025	00	00	00	00	FDS	FDS	2
FDNS Dallas	CI	24	10	4025	01	00	00	00	FDS	FDS	2
FDNS Oklahoma City Ok	CI	24	10	4025	02	00	00	00	FDS	FDS	2
District 17	CI	24	10	4030	00	00	00	00	FDS	FDS	2
FDNS Houston	CI	24	10	4030	01	00	00	00	FDS	FDS	2
District 18	CI	24	10	4035	00	00	00	00	FDS	FDS	2
FDNS San Antonio	CI	24	10	4035	01	00	00	00	FDS	FDS	2
FDNS Albuquerque Nm	CI	24	10	4035	02	00	00	00	FDS	FDS	2
FDNS El Paso	CI	24	10	4035	03	00	00	00	FDS	FDS	2
FDNS Harlingen Tx	CI	24	10	4035	04	00	00	00	FDS	FDS	2

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Tops
Tops ESP
Star

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District 19	CI	24	10	4040	00	00	00	00	FDS	FDS	2
FDNS Denver	CI	24	10	4040	01	00	00	00	FDS	FDS	2
FDNS Salt Lake City Ut	CI	24	10	4040	02	00	00	00	FDS	FDS	2
FDNS Helena Mt	CI	24	10	4040	03	00	00	00	FDS	FDS	2
FDNS Boise Id	CI	24	10	4040	04	00	00	00	FDS	FDS	2
Fraud Detection Western Region	CI	24	10	5000	00	00	00	00	FDS	FDS	4
District 20	CI	24	10	5005	00	00	00	00	FDS	FDS	4
FDNS Seattle	CI	24	10	5005	01	00	00	00	FDS	FDS	4
FDNS Anchorage	CI	24	10	5005	02	00	00	00	FDS	FDS	4
FDNS Portland Or	CI	24	10	5005	03	00	00	00	FDS	FDS	4
District 21	CI	24	10	5010	00	00	00	00	FDS	FDS	4
FDNS San Francisco	CI	24	10	5010	01	00	00	00	FDS	FDS	4
FDNS San Jose Ca	CI	24	10	5010	02	00	00	00	FDS	FDS	4
District 22	CI	24	10	5015	00	00	00	00	FDS	FDS	4
FDNS Sacramento Ca	CI	24	10	5015	01	00	00	00	FDS	FDS	4
FDNS Fresno Ca	CI	24	10	5015	02	00	00	00	FDS	FDS	4
District 23	CI	24	10	5020	00	00	00	00	FDS	FDS	4
FDNS Los Angeles	CI	24	10	5020	01	00	00	00	FDS	FDS	4
FDNS San Bernadino Ca	CI	24	10	5020	02	00	00	00	FDS	FDS	4
FDNS Santa Ana Ca	CI	24	10	5020	03	00	00	00	FDS	FDS	4
District 24	CI	24	10	5025	00	00	00	00	FDS	FDS	4
FDNS San Diego	CI	24	10	5025	01	00	00	00	FDS	FDS	4
FDNS Chula Vista Ca	CI	24	10	5025	02	00	00	00	FDS	FDS	4
District 25	CI	24	10	5030	00	00	00	00	FDS	FDS	4
FDNS Phoenix	CI	24	10	5030	01	00	00	00	FDS	FDS	4
FDNS Las Vegas Nv	CI	24	10	5030	02	00	00	00	FDS	FDS	4
FDNS Tuscon Az	CI	24	10	5030	03	00	00	00	FDS	FDS	4
FDNS Reno Nv	CI	24	10	5030	04	00	00	00	FDS	FDS	4
District 26	CI	24	10	5035	00	00	00	00	FDS	FDS	4
FDNS Honolulu	CI	24	10	5035	01	00	00	00	FDS	FDS	4
Customer Service Directorate	CI	25	00	0000	00	00	00	00	ICS	ICS	4
Office Of Policy And Coordination	CI	25	01	0000	00	00	00	00	ICS	ICS	4
Infrastructure	CI	25	02	0000	00	00	00	00	ICS	ICS	4
Quality Assurance	CI	25	03	0000	00	00	00	00	ICS	ICS	4
Content Mgmt Office	CI	25	04	0000	00	00	00	00	ICS	ICS	4
Call Center	CI	25	10	0000	00	00	00	00	ICS	ICS	4
Eastern Call Center Ny City	CI	25	10	0100	00	00	00	00	ETC	ETC	4
Western Call Center Los Angeles	CI	25	10	0200	00	00	00	00	WTC	WTC	4
Customer Assistance Ofc	CI	25	20	0000	00	00	00	00	ICS	ICS	4
Service Center Operations Directorate	CI	26	00	0000	00	00	00	00	SCO	SCO	4
Vermont Service Center	CI	26	10	0000	00	00	00	00	ESC	ESC	1
Texas Service Center	CI	26	20	0000	00	00	00	00	SSC	SSC	2
Nebraska Service Center	CI	26	30	0000	00	00	00	00	NSC	NSC	4
California Service Center	CI	26	40	0000	00	00	00	00	WSC	WSC	4

Team 1 Team 2 Team 4

USCIS FOIA INFORMATION BULLETIN

April 27, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated a portion of Section 7.5 **Deceased subjects and the 100-year rule**, of the FOIA/PA Assistants Guide as follows (new information in red):

7.5 Deceased subjects and the 100-year rule

If the subject of a request is deceased, it is incumbent upon the requester to provide proof of death. Proof of death could be any of the following:

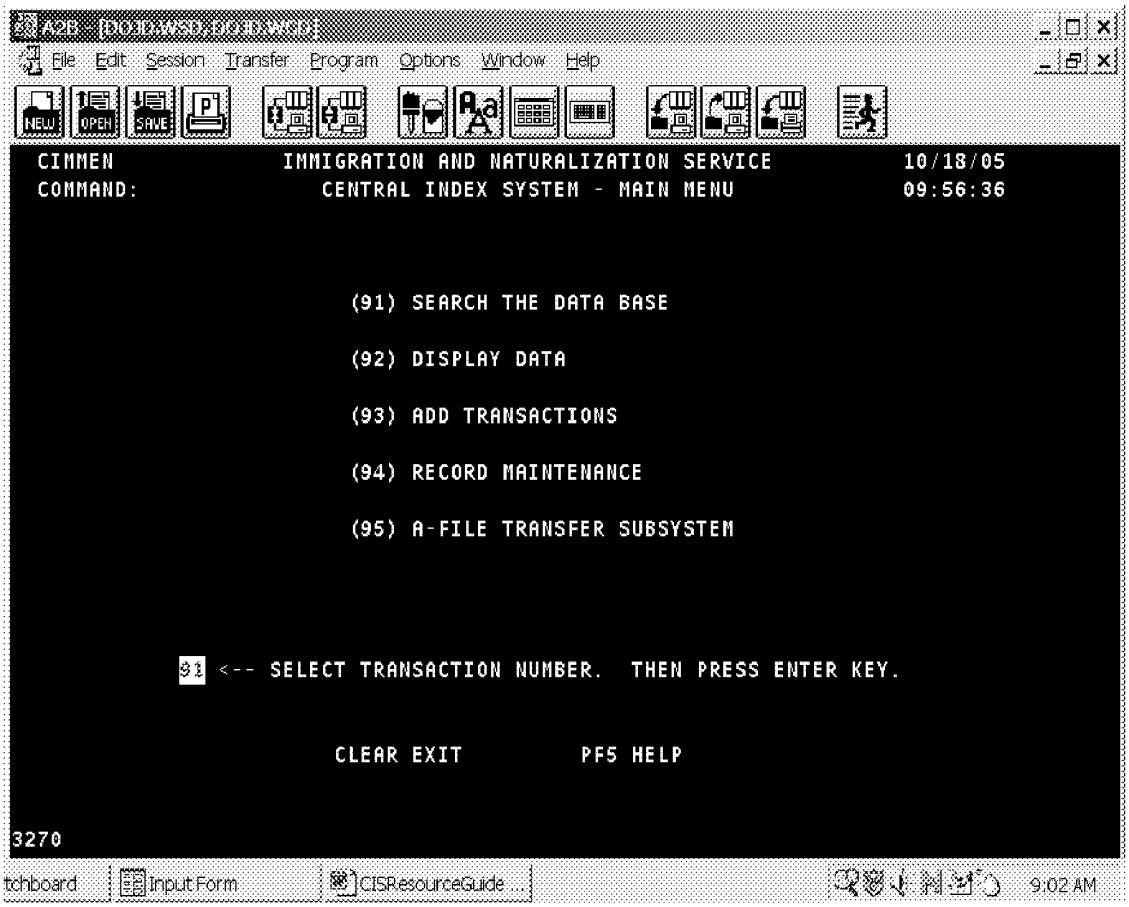
- Death Certificate;
- Obituary;
- Funeral Memorial; ~~or~~
- Photograph of headstone; or
- Screen print from the Social Security Death Index

If the subject of a request is over 100 years old, USCIS assumes he or she is deceased and no proof of death is required.

If the requester says the subject is deceased and did not provide proof of death, but the subject is not over 100, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

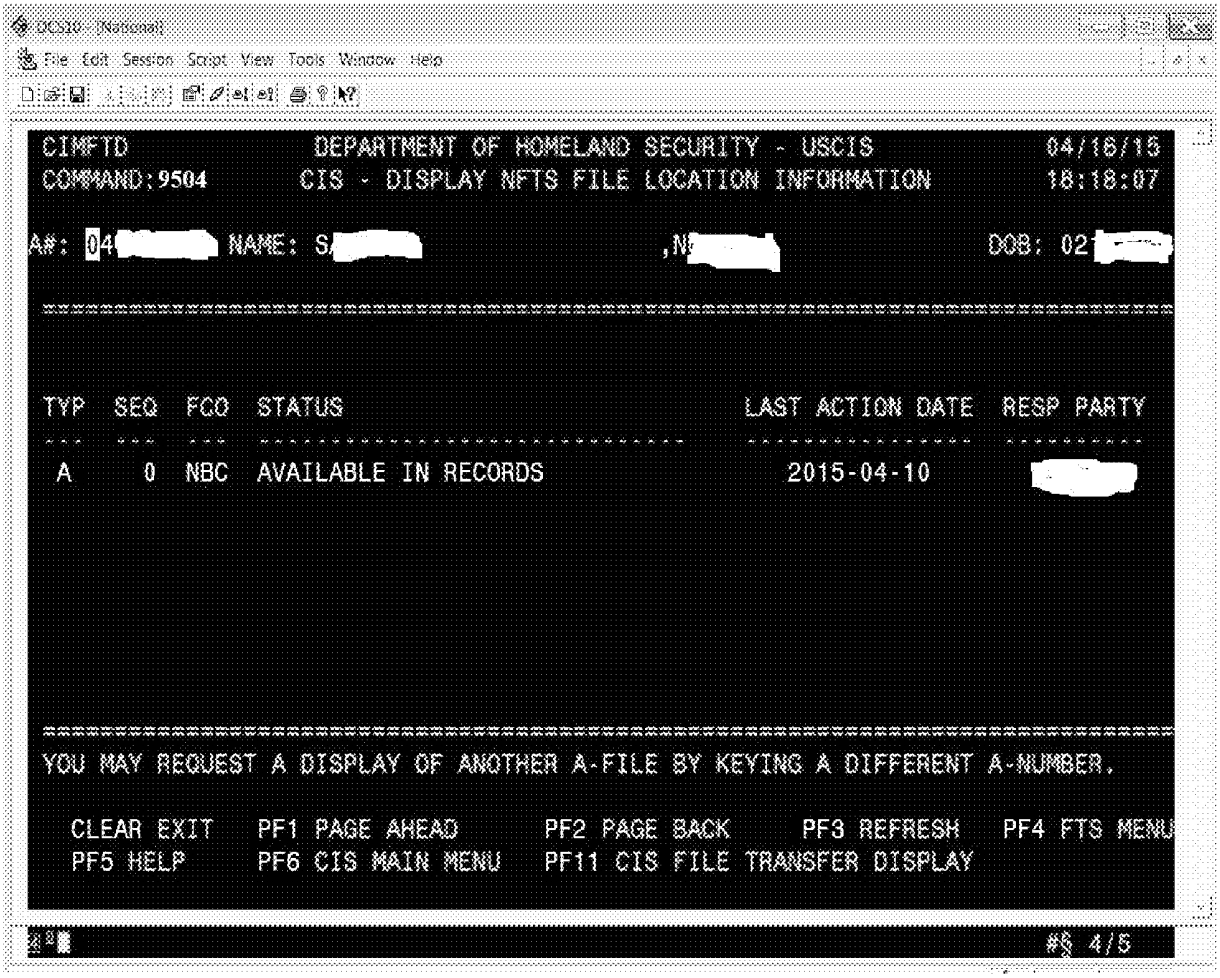
We have updated portions of section 5.1, Central Index System in the FOIA/PA Assistants Guide as follows (~~deleted information in strikethrough~~, new information in red):

5.1.4 CIS Main Menu



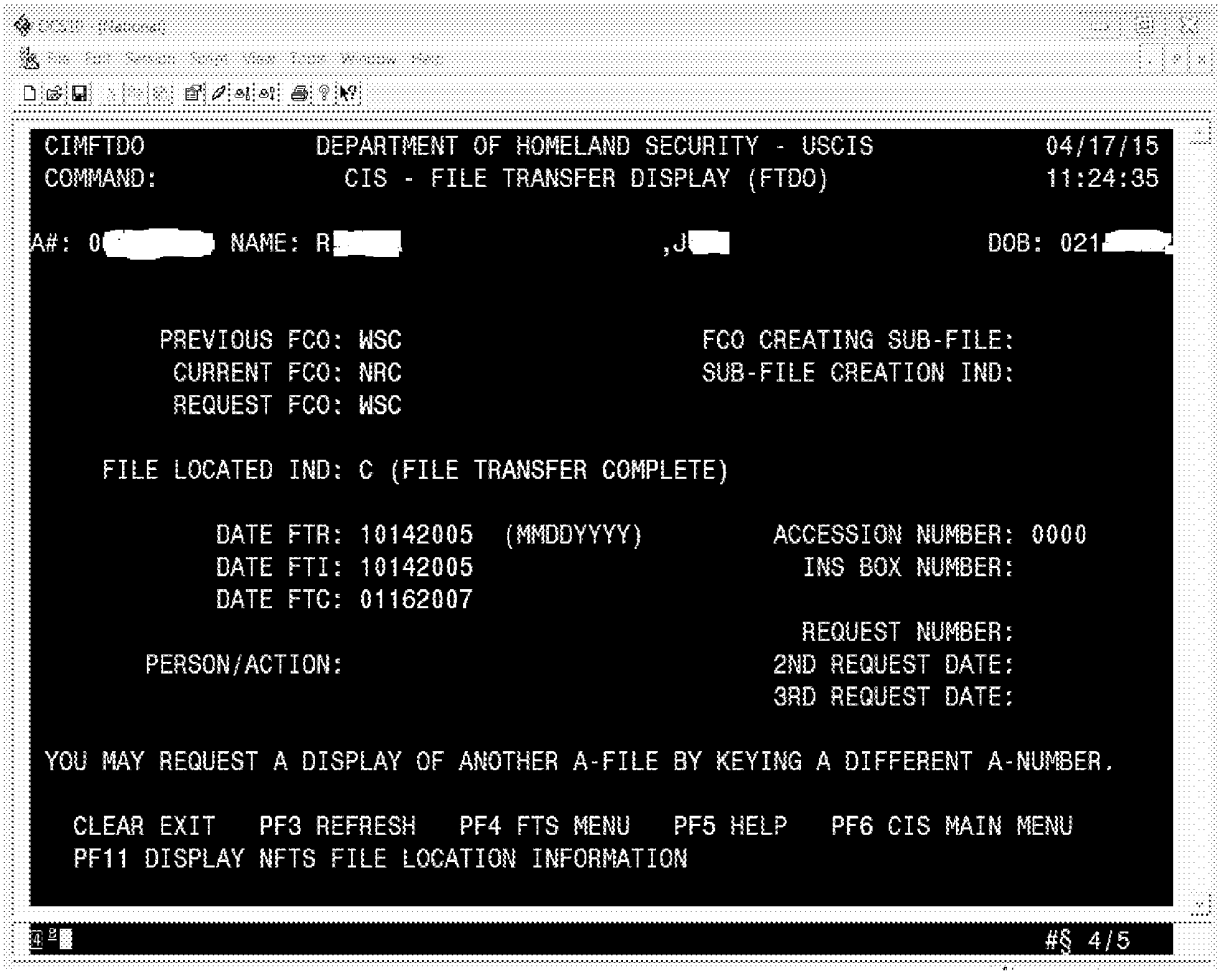
This screen displays a variety of ways to search for information. The transaction numbers that we use within FOIA are 91, 92, and 95. By typing the number 91 next to select transaction number and pressing enter, another search screen will appear. The main purpose of the "91" transaction number is to search the database for specific information concerning an individual. Transaction number "92" is used to display card information. The transaction number "95" is used mainly to see the location of the alien file (which we will frequently refer to as 'A-file'). The only "95" menu command we use is "9504 + F11 (CIS File Transfer Display)" to verify if the file is Not Found (N).

5.1.10 File ~~Transfer~~ Location Display (9504)



The 9504 screen is split into two parts. This first screen shows you which File Control Office (FCO) has the A-file per NFTS. To view the old 9504 screen, please push "F11" (CIS File Transfer Display).

5.1.10.1 File Transfer Display (9504 + F11)



The main purpose of the 9504 screen is to check the location and movement of files. ~~You will be using this screen in conjunction with NFTS in the case create function.~~ The following is a list of acronyms displayed on this screen.

FTR: File Transfer Request

FTI: File Transfer Initiated

FTC: File Transfer Complete

USCIS FOIA INFORMATION BULLETIN

April 19, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have split section 16 of the *FOIA/PA Assistant's Guide* into 16a and 16b as follows (new information in red):

16a. TD(total denial) CASE CLOSINGS

A. Create the case as Track 1.
B. Uncheck the Print to CD box.
C. Change the case category to "Third Party No Consent" and save.
D. Select the "Final Action Letter" from the Tasks tab. Select "TD" from the final action codes list.
E. Paste in the body of the "TD No Agreement language" onto the FIPS TD final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
F. Review the letter to ensure the pasted content is in the correct format, save it and check it in.
G. Create a Discussion: "Third Party, No Agreement."
H. Send to Up-front Approver.

16b is failure to comply case closing procedure, unchanged from the old paragraph 16.

We have added additional explanation to Section 7 of the *FOIA/PA Assistant's Guide* as follows (new information in red):

A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and release information that is not exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever requester.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the requester. We refer to that as "certification of agreement."

A subject of record is not required to provide a certification of agreement signed by himself or herself giving us permission to release information to himself or herself.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person, an I-130 concerns two or more people, and an I-140 could be associated with 50 or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

In any third party request for a Privacy Act Record, we need either:

- A certification of agreement to release information to the requester, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

If none of those elements are present, VOI becomes irrelevant. We will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

USCIS FOIA INFORMATION BULLETIN

April 12, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended section 27.11 of the *Processing Guide* as follows (new information in red ~~deleted information in strikethrough~~):

A total denial is the withholding of all agency records responsive to the FOIA/PA request. ~~You must apply the appropriate exemptions to each page of responsive records and cite each exemption applied in the Final Action Letter. We have to fully process a total denial case because they are frequently appealed and sometimes go to litigation.~~ Different agencies have different reasons for totally denying a FOIA request, but the only instance you are likely to see processing a request for A-file or receipt is a request by a third party without adequate agreement to release information from the subject of record. Once you have determined that you have a case with inadequate certification of agreement from the subject of record allowing USCIS to release information to the third party, please go by the following procedure:

1. Change the case category to "Third Party No Agreement."
2. Go to Tasks, click Final Action Letter and choose code TD-Total Denial.
3. Paste in the Total Denial letter language.
4. Add a discussion, "Third Party, No Agreement."
5. Send the case to approver.

Do not make any redactions to the responsive record.

We have completely re-written section 27.25 of the *Processing Guide* as follows (new information in red ~~deleted information in strikethrough~~):

27.25 ~~FD-258 Fingerprint Tracking System~~ FBI Documents

27.25.a FD-258

The FD-258 Fingerprint Tracking System is owned by USCIS. The system is used to determine the status of pending fingerprints and control the receipt and processing of fingerprints submitted to the FBI in conjunction with an application or petition that has been filed by an alien. Two of the screens that you may see in A-files are the "FBI NAME CHECK RESPONSE" screen and the "FD-258 Tracking System" screen. If an FD-258 screen contains any result, whether positive or negative, please partially redact the page, citing Exemption (b)(7)(E) or if PA a(j)(2) and (b)(7)(E).

~~You may release all information as long as consent is present and you have confirmed the identity of the person.~~

27.25.b FBI Systems Check Results

Please partially redact documents containing the result of any FBI name check or FBI response descriptor, such as [redacted] or

(b)(7)(e) [redacted]iting Exemption (b)(7)(E) or if PA a(j)(2) and (b)(7)(E). We are not withholding the fact that we conduct FBI name checks. Please release administrative information that does not have to do with an FBI response, such as a check mark beside "FBI RESULT" on a checklist, or comments such as FINGERPRINTS SENT TO FBI, FINGERPRINTS/BIOMETRICS SCHEDULED, and so forth. Next, there is no need to withhold a response that does not indicate any result, positive or negative, such as PENDING. Finally, please note that IAFIS is a fingerprint identification system belonging to FBI, and we withhold IAFIS under the same rules as any other FBI systems check result. You will often see IDENT and IAFIS listed together. If so, please withhold the result the same as you would withhold IAFIS by itself.

27.25.c FBI Criminal Number

RAP sheets and our 9101 screens show what we refer to as the "FBI Number." FBI refers to these as "criminal numbers." The FBI criminal number serves as a personal identifier, the same as an A-number for us. An FBI criminal number is nine alphanumerics and is usually identified as being associated with an individual (for example 153701RK0). If you are sure the FBI number relates to the first party requester, you may release it to the individual. FBI numbers are based on fingerprints, so it would be extremely rare, if not impossible, that an individual would have two FBI numbers. As a corollary, if you see two different FBI numbers, it is extremely unlikely that they relate to the same person. If the FBI number does not relate to your subject of record, please withhold it under (b)(7)(C), or if PA, j(2) and (b)(7)(C).

27.25.d FBI File Number

An FBI file number is not the same as a criminal number – a file number will contain up to 3 digits, sometimes with an alpha (e.g., 415M) followed by a two letter Field office code (e.g., CG for Chicago, IP for Indianapolis) followed by the unique case number. So, for example, 91A-CG-12345 is a specific bank robbery investigation out of Chicago and you should withhold it under (b)(7)(E), or if PA, j(2) and (b)(7)(E).

27.25.e RAP Sheet or TECS III screen prints

You may release an FBI RAP sheet pertaining to a first party requester to the individual. The same is true for TECS Interstate Identification Index screen prints, which are essentially the same thing as an FBI RAP sheet, but may contain law enforcement identifying information. If the subject has a common name, the III search frequently returns several pages of "sounds-like" matches for people who are not the subject of record. If the FBI RAP sheet does not relate to your

subject of record, please withhold it under (b)(7)(C), or if PA, j(2) and (b)(7)(C). If there is any law enforcement identifying information on the TECS III screen print, please withhold it, citing Exemption (b)(7)(C) or if PA, j(2) and (b)(7)(C).

27.25.f NCIC

The National Crime Information Center (NCIC) is the United States' central database for tracking crime-related information. Since 1967, the NCIC has been maintained by the Federal Bureau of Investigation's Criminal Justice Information Services Division, and is interlinked with similar systems that each state maintains. The database receives information from federal law enforcement agencies, state and local law enforcement agencies, as well as tribal law enforcement agencies, railroad police, and other agencies, such as state and federal motor vehicle registration and licensing authorities. Since the NCIC collects data from so many systems, there is no general rule for releasing or withholding NCIC information. For example, we would release "NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR (the subject of record)" because the information comes from III. However, please partially redact documents containing the result of NCIC checks, such as [redacted] citing Exemption (b)(7)(E) or if PA a(j)(2) and (b)(7)(E). We are not withholding the fact that we check NCIC. Please release administrative information that does not have to do with NCIC checks, such as NCIC submitted, NCIC not available, NCIC results pending, and so forth. If the NCIC check does not relate to your subject of record, please add (b)(7)(C), or if PA, j(2) and (b)(7)(C).

(b)(7)(e)

27.25.g FBI Warning

There may be a document originating with FBI marked with the following warning at the bottom:

> "This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; and its contents are not to be distributed outside your agency."

Please fully withhold the document, citing Exemption (b)(7)(E), or if PA, j(2) and (b)(7)(E). If the document does not relate solely to the subject of record or contains law enforcement identifying information, please add (b)(7)(C).

27.25.h Joint Terrorism Task Force (JTTF)

The Joint Terrorism Task Force (JTTF) falls under the purview of the Federal Bureau of Investigation (FBI). Please fully withhold any documents created by the Joint Terrorist Task Force citing Exemption (b)(7)(E), or if PA, j(2) and (b)(7)(E). If the document does not relate solely to the subject of record or contains law enforcement identifying information, please add (b)(7)(C).

27.25.i Questions about FBI documents

If you are unsure of how to handle FBI records, please consult a supervisor.

We have amended section 27.42.g of the *Processing Guide* as follows (new information in red ~~deleted information in strikethrough~~):

> 27.42.g Asylum and NACARA § 203 Background Identity and Security Checklist is used by asylum offices. There is more than one version. On the example below, we have withheld EARM, IBIS and US-VISIT results because they are protected systems. If there is nothing written in those blocks indicating a result, please release them. US-VISIT has instructed us to withhold any US-VISIT results because those results could identify KST or watchlist individuals. We have withheld the CCD result because that block requires a response only when there is a US-VISIT hit. If both the US-VISIT and CCD blocks are blank, then you may release both of them. FBI has instructed us to withhold FBI name check and fingerprint results, citing Exemption (b)(7)(E), or if PA, Exemptions a(j)(2) and (b)(7)(E). If there is no writing indicating any type of response in the FBI fingerprint and name check blocks, please release them. ~~We release the FBI results because we have a Memorandum of Instruction from FBI telling us we may release FBI information about a subject after we have confirmed that it relates to the subject~~. We do not fully withhold this form because of our legal obligation under the FOIA to release non-exempt information when it is reasonably segregable. Note, in the example below, we cited Exemptions (b)(7)(C) and (b)(7)(E). Since this case is a PA, we also cited a(j)(2) to protect the FBI results and a(k)(2) to protect EARM, IBIS, US-VISIT and CCD.

Note: it was also necessary to update the illustration that follows this paragraph. The April 12th version of the *Processing Guide* has the updated illustration.

We have amended section 28.01.f of the *Processing Guide* as follows (~~deleted information in strikethrough~~):

> 28.01.f USCIS FOIA has been given permission to make appropriate redactions on some documents that originated within other DHS components and Federal agencies. ~~Not all documents belonging to FBI need to be referred~~. *The paragraphs below outline the exception relating to referring documents.* If you think you have a consultation, please talk with your supervisor.

We have deleted sections 28.09 and 28.13 of the *Processing Guide* because they deal with referral of FBI documents. For reference purposes, we will move the text of those paragraphs (in strikethrough) to the Record of Revisions.

We have replaced the word “consent” in both guides with “certification of agreement.”

USCIS FOIA INFORMATION BULLETIN

April 7, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section, **6.3.1.2.1, Track 1 vs. Track 2 Clarification**, to the FOIA/PA Assistants Guide as follows (new information in red):

6.3.1.2.1 Track 1 vs. Track 2 Clarification

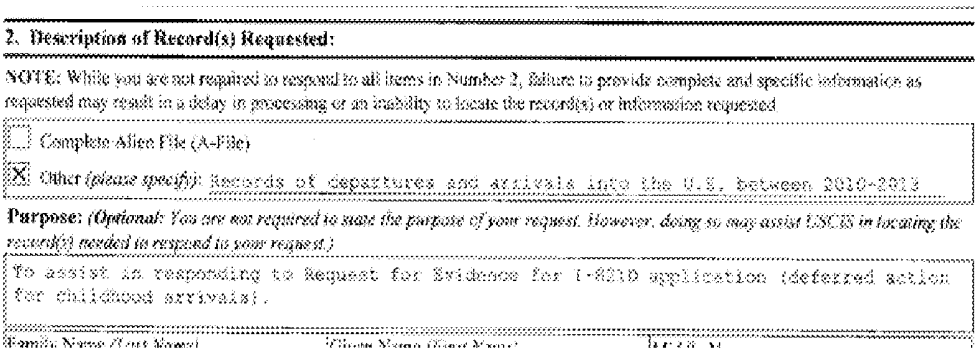
We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Blocks 2 and 3 to our decision-making process.

Block 2: Description of Record(s) Requested:

Block 2 is where the requester decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The requester selects **"Other"** and specifies **"Records of departures and arrivals into the U. S. between 2010-2013."**

This request will amount to just a few pages. This is a Track 1 case.



2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

☐ Complete Alien File (A-File)

☒ Other *(please specify)*: Records of departures and arrivals into the U.S. between 2010-2013

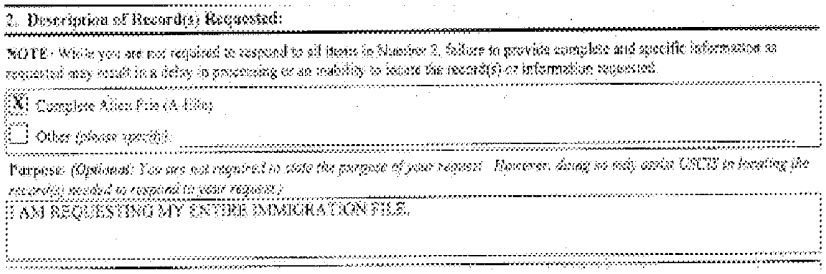
Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)*

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

In this next Block 2 example, "Complete Alien File" is checked.

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

But if "Complete Alien File" is checked and you find the A-file or more than three documents (Section 6.3.3.2), check the Track 2 block, no matter what is written in the "Purpose" section.


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

[X] Complete Alien File (A-File)

[ ] Other (please specify):

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

I AM REQUESTING MY ENTIRE IMMIGRATION FILE.

In Block 3, we see what the requester gives consent to release.

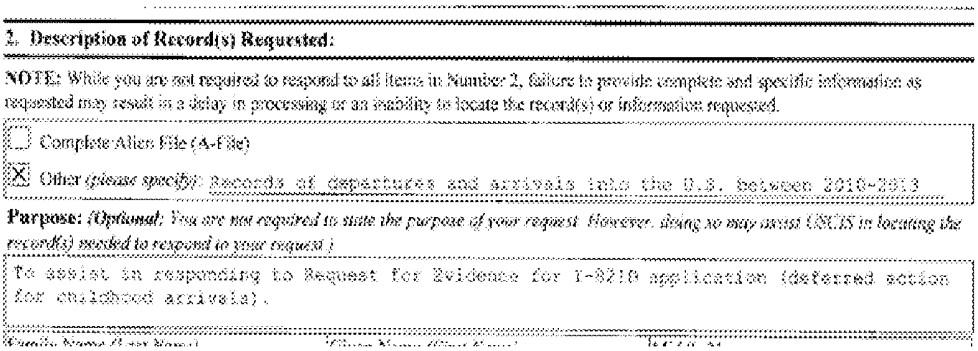
Block 3: Subject of Record Consent to Release Information

You've already selected the track of the case in Block 2. In Block 3, you decide if you have consent. Additionally, you need to consider the following:

1. If your case is a Track 1 (decided in Block 2), the subject of record confirms what information they want released to the requester.

2. If your case is a Track 2 (decided in Block 2), Block 3 is only used for certification of agreement if you're releasing to a third-party…nothing else.

For continuity, we'll repeat our first Block 2 example:


2. Description of Record(s) Requested:

NOTE: While you are not required to respond to all items in Number 2, failure to provide complete and specific information as requested may result in a delay in processing or an inability to locate the record(s) or information requested.

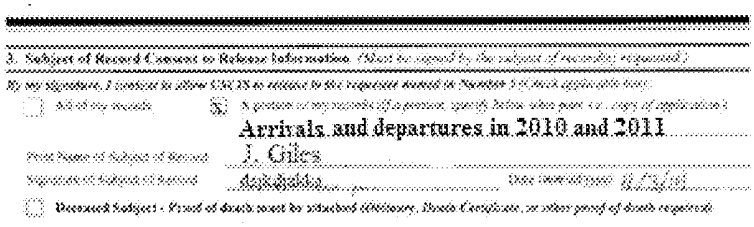
[ ] Complete Alien File (A-File)

[X] Other (please specify): Records of departures and arrivals into the U.S. between 2010-2013

Purpose: (Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the record(s) needed to respond to your request.)

To assist in responding to Request for Evidence for I-821D application (deferred action for childhood arrivals).

Now in Block 3, the Subject of Record tells us specifically (gives consent) how much of what was requested in Block 2 gets released to the requester.



In Block 3, the Subject of Record checked "A portion of my records," and specified that he only wants "Arrivals and Departures in 2010 and 2011" released.

When the records are processed, we will release "Arrivals and Departures in 2010 and 2011" only.

We have updated section 5. Certification of Agreement and Verification of Identity of the Processing Guide and section 7. Certification of Agreement, Verification of Identity, and Description of Records of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

Section 7. Certification of Agreement, Verification of Identity, and Description of Records of the FOIA/PA Assistants Guide

Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised ~~(02/28/2013)~~ (03/04/2015). As of ~~**May 26, 2013**~~ **April 13, 2015**, USCIS no longer accepts prior versions of the G-28.

If an applicant, petitioner, or requestor submits an application or benefit request with a previous version of Form G-28, we will accept only the application or request as long as it meets the acceptance criteria. In this situation, we will not accept the Form G-28 and will send all notices and secure documents only to the applicant/petitioner/requestor.

As a FOIA/PA Assistant, this may affect your decision on certification of agreement in the following instances:

• If certification of agreement is provided on no other place except Form G-28,
• Then the attorney must use a *properly executed* new Form G-28 (revision of ~~02/28/13~~ 03/04/2015).

• If the Form G-28 is an older version than the revision of ~~02/28/13~~ 03/04/2015, then you will close the case FC, not TD. Please refer to section 16b of this guide.

• If the new Form G-28 (revision of ~~02/28/13~~ 03/04/2015) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

Section 5. Certification of Agreement and Verification of Identity of the Processing Guide

Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised ~~(02/28/2013)~~ (03/04/2015). As of ~~May 26, 2013~~ **April 13, 2015**, USCIS no longer accepts prior versions of the G-28.

If an applicant, petitioner, or requestor submits an application or benefit request with a previous version of Form G-28, we will accept only the application or request as long as it meets the acceptance criteria. In this situation, we will not accept the Form G-28 and will send all notices and secure documents only to the applicant/petitioner/requestor.

If there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, any G-28 is inconsequential.

If certification of agreement is provided on no other place except Form G-28, then the attorney must use a *properly executed* new Form G-28 (revision of ~~02/28/13~~ 03/04/2015).

• If there is no other certification of agreement except on Form G-28 and it is an older version than the revision of ~~02/28/13~~ 03/04/2015, then you will close the case FC. Please refer to section 42 of this guide.

• If there is no other certification of agreement except on a new Form G-28 (revision of ~~02/28/13~~ 03/04/2015) but it is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 27.11 of this guide.

USCIS FOIA INFORMATION BULLETIN

April 5, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added information to section 32.7 of the *FOIA/PA Assistant's Guide* as follows (new information in red):

If the request was for specific documents, please remember to add the specific documents sentence to the new acknowledgement letter the same as in the original acknowledgement letter. If the specific document information sentence was done incorrectly in the original acknowledgment letter, please add an appropriate specific document information sentence to the new acknowledgment letter. That sentence gives us our legal basis for providing only the specific document requested. It also gives the requester an opportunity to clarify if the request was poorly worded or if we misunderstood. If we do not add the specific document information sentence to the new acknowledgment letter, the processor must process the entire file.

We have added a new section 27.49 to the *Processing Guide* as follows (new information in red):

27.49 No Last Page?

In virtually every case, the end of the file is designated with a "Last Page" page. If you don't have a last page in your case, please follow these instructions:

1. Place a discussion in your case, saying that you are sending an email to MSB.
2. Email NRC, NRCFOIAMSB, copy your supervisor (if required) and explain the situation.
3. Send the case to Admin.

MSB will investigate the situation and return the case to you for processing.

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
April 29, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

DISCRETIONARY AUTHORITY CHECKLIST

Please fully withhold the Discretionary Authority Checklist citing Exemptions (b)(5) (b)(7)(C) and (b)(7)(E), or (d)(5)/(b)(5) and (k)(2)/ (b)(7)(C), (b)(7)(E) if the case is PA. The checklist contains analysis, conclusions, or recommendations, and contains protected systems check results.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change. A new paragraph, 27.45f , will be added and the form will be added to the processing tables.

CBP FORM 93, UAC INITIAL PLACEMENT REFERRAL FORM

Please partially withhold CBP Form 93, UAC Initial Placement Referral Form citing Exemption (b)(7)(E), or (k)(2)/ (b)(7)(E) if the case is PA. If there are law enforcement officers' names and/or badge numbers, please also withhold those, citing (b)(7)(C), or (k)(2)/(b)(7)(C) if the case is PA. CBP's concern is that release of the questions would reveal precise questioning procedures used by CBP in screening juveniles, and that release would pose a risk of circumvention of the law (e.g., smugglers would be able to prep juveniles on the questions they will be asked and prepare them on how to answer the questions in order to get status in the United States as a trafficked person). This form may contain analysis, conclusions, or recommendations, and therefore you should evaluate for possible (b)(5), or (d)(5)/(b)(5) if the case is PA.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change. A new paragraph, 27.45g , will be added and the form will be added to the processing tables.

DEPARTMENT OF HOMELAND SECURITY
U.S. Customs and Border Protection

UNACCOMPANIED ALIEN CHILD SCREENING ADDENDUM

Trafficking Victim Protection Act (8 U.S.C. 1232)

Alien's Name: _____

A NUMBER *(if any)*
A_____

Credible Fear Determination

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

Do you have any questions or is there anything else you would like to add?

Human Trafficking

Definition: Sex trafficking in which a commercial sex act is induced by force, fraud, or coercion or in which the person induced to perform such an act is under 18; or the recruitment, harboring, transporting, provision, or obtaining of a person for labor or services, through the use of force, fraud or coercion, for the purpose of subjecting that person to involuntary servitude, peonage, debt bondage, or slavery.

Below are examples of trafficking indicators. If one or more of these indicators is present, the interviewer should pursue age appropriate questions that will help identify the key elements of a trafficking scenario. If required, ensure that follow up questions are asked based on the answers given. Answers from these questions will assist an interviewer in determining if the Unaccompanied Alien Child may be a victim of trafficking. In all cases, use your training and experiences to be alert for indicators of human trafficking.

Trafficking Indicators and Suggested Questions

- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
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- (b) (7)(E)
- (b) (7)(E)

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(b) (7)(E)

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CBP Form 93 (03/09)

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
March 18, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

CLOSING DUPLICATE CASES

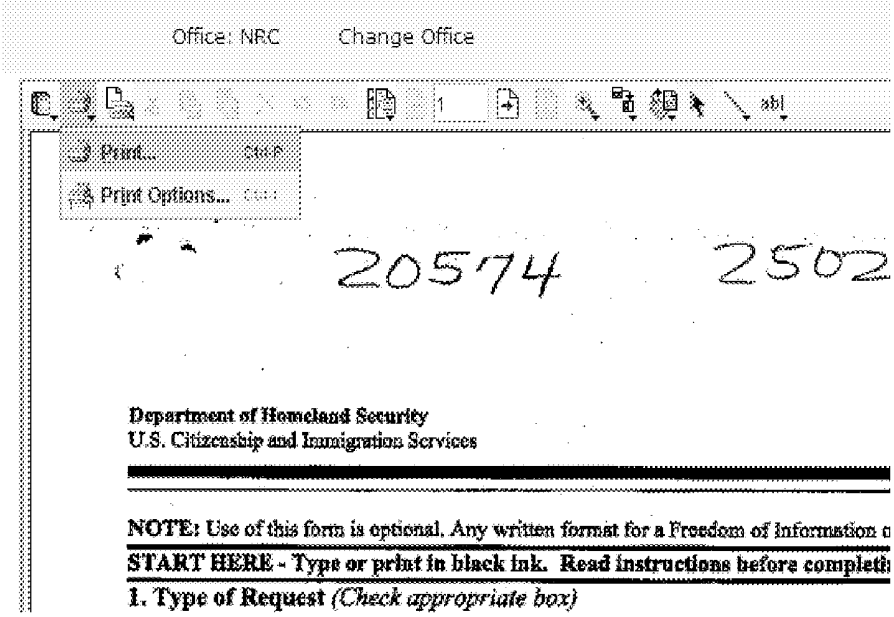
Please close all duplicate cases ER instead of DP, except in cases where an acknowledgement letter has been mailed. This includes system generated duplicates, duplicates created in error, and duplicate cases received multiple times by fax, mail, e-mail.

Creators should use the same process in searching and creating duplicate cases except for the final step. Instead of creating a final action duplicate letter, they should insert a case note referencing the duplicate case, set the case to ER, and put the case in Upfront Approver.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

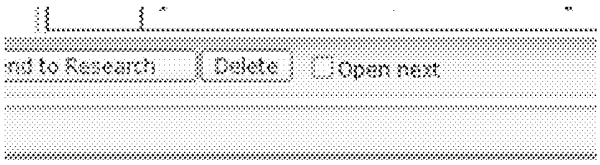
SITUATION: Appeals

While case creating, you may open a request and see that it is marked "Appeal." The requester will include the case number he or she is appealing. If this happens, you do not create the case. In the upper right hand of the image portion of the FIPS worksheet, there is a printer logo:



Select "Print." FIPS will then print out all the pages of the request. Get those pages and take them to the designated appeals POC (Currently Beth Stokes). After you are sure the pages

printed correctly and you have control of those pages, click "Delete." This is possibly the only time you ever click "Delete."

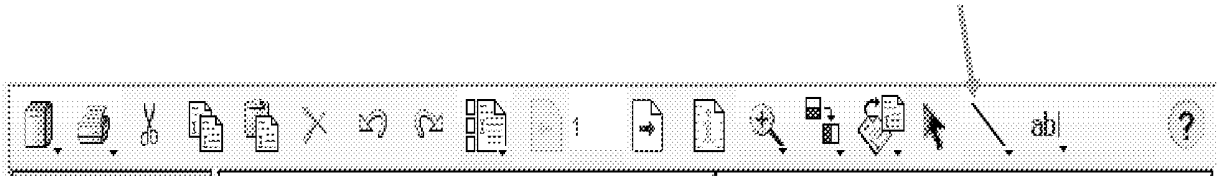


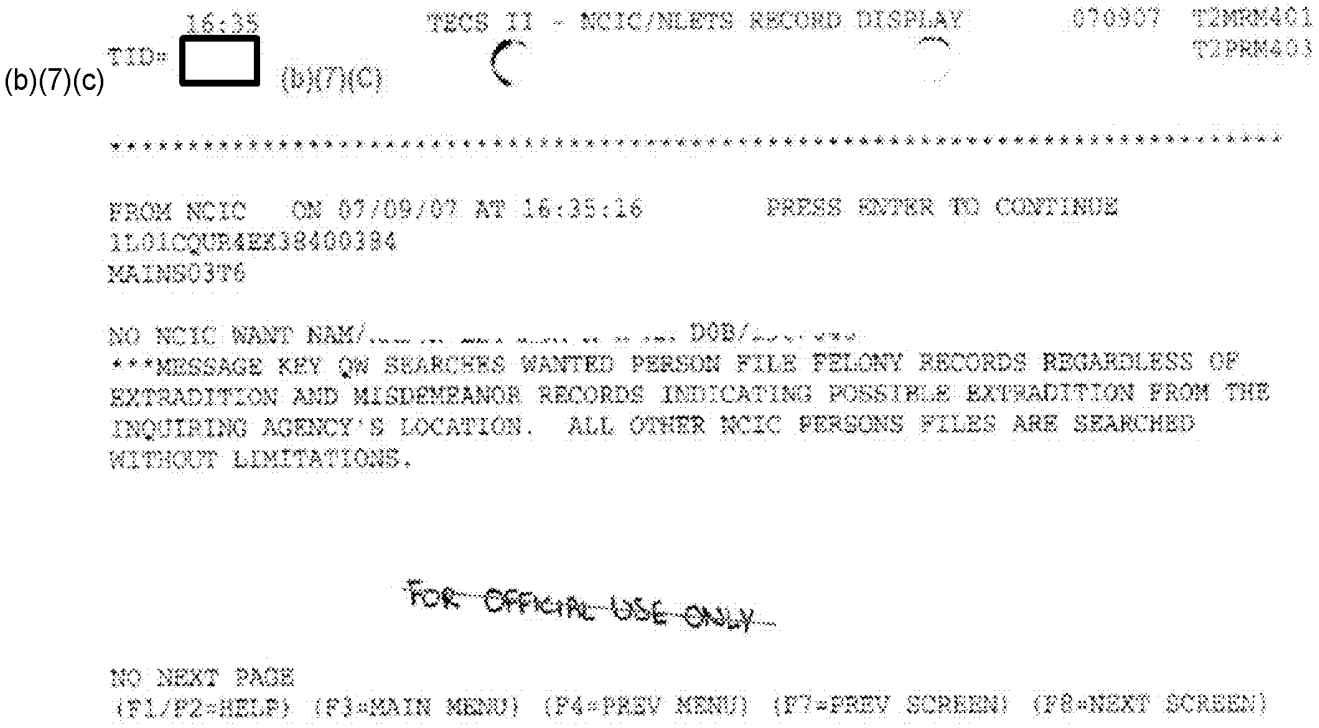
- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

Special legends and Sensitive Documents

Documents with instructional legends (e.g., "For Official Use Only," "Adjudicative Work Product," "Law Enforcement Sensitive," "Do Not Release Outside the Agency") **are not** automatically exempt from disclosure under the FOIA or PA. You must review these types of documents' content. As a rule, any document marked "Attorney Work Product" is fully exempt under (b)(5) or (d)(5)/(b)(5) if PA unless the document is blank.

If your determination is to release a specially marked page, you must line through the marking using the line tool:



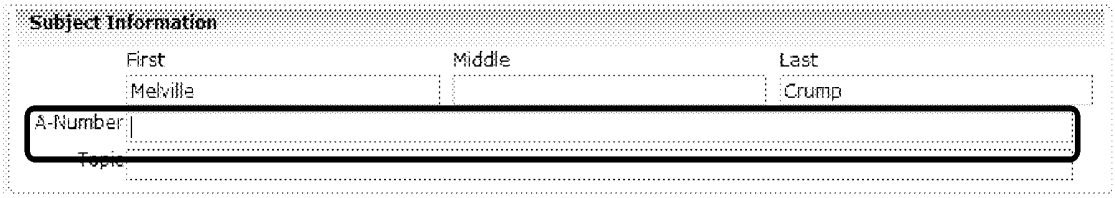


Some types of application/petitions or investigative materials (I-589, I-360, Legalization and SAW or investigative material) are highly sensitive. When a third party requester specifically requests these documents, see section on "Glomar".

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

RECORDS LOCATOR: DON'T FORGET THE A NUMBER

If you are staffing for a file in records locator, be sure that you fill in the A-Number field. This is critical. If you do not enter the A-Number into the field, the A-Number does not populate on the staffing sheet. Furthermore, it does not populate on the report submitted to our contractors to request the file. If the file does not get requested, then the FOIA request does not get completed.



- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

TWO UNRELATED REQUESTS SCANNED INTO ONE FILE

If you are case creating and you notice that two unrelated requests accidentally got scanned into one case, please follow these procedures:

1. Create one of the cases. Search to see if the other subject has an active case.
2. If you find an active case, create a Discussion explaining that. You need take no further action.
3. If there is not already an active case, print out the request, staple the paperwork for the second request to O/A and place it in with new requests to be scanned.
4. Create a Discussion noting all actions taken.

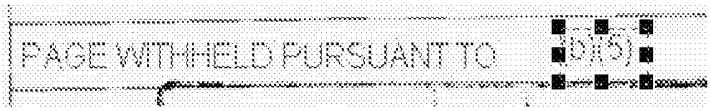
- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

EXEMPTION MARKING PLACEMENT

When withholding a page in full, the exemption may be completely or partially hidden (see "before" example below) if it is placed too close to the "PAGE WITHHELD PURSUANT TO" item.

To avoid this problem, place the exemption further to the right of or below the "PAGE WITHHELD PURSUANT TO" item.

BEFORE



AFTER

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

DO I NEED TO ADD THE APPEALS PARAGRAPH?

If you are processing and all the subject has in our records is nothing other than a Border Crossing card, close the case as a G1 and do not add the appeals paragraph to the Final Action letter.

The above situation is considered differently than the case of a lost file. Why? In the case of a lost file, we know for a fact that the A-file is missing. The subject, in this case, has the right to appeal. Close this case as a PD and add the appeals paragraph to the Final Action letter.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

SAVE YOUR WORK FREQUENTLY AND REVIEW EXEMPTIONS

If you are processing and receive an error message, please go back and double check your work from the last time you saved. In most cases, any work you have done since the last save **will not hold.** This underlines the need for all of us to save our work frequently (every 50-100 pages). In addition, if you are having system issues while processing, compare the redactions listed on the left side with the pages on the image side.

If the listed exemptions do not match the exemptions on the image, you will have to delete all redactions on that page and resynch the page to start redactions over. Be especially cautious of this when you get an error message.

Please also create a Discussion explaining the what the error message was, what page number you were on, or what pages did not match, so that the approver can look more closely to make sure the redactions are identified and are holding.

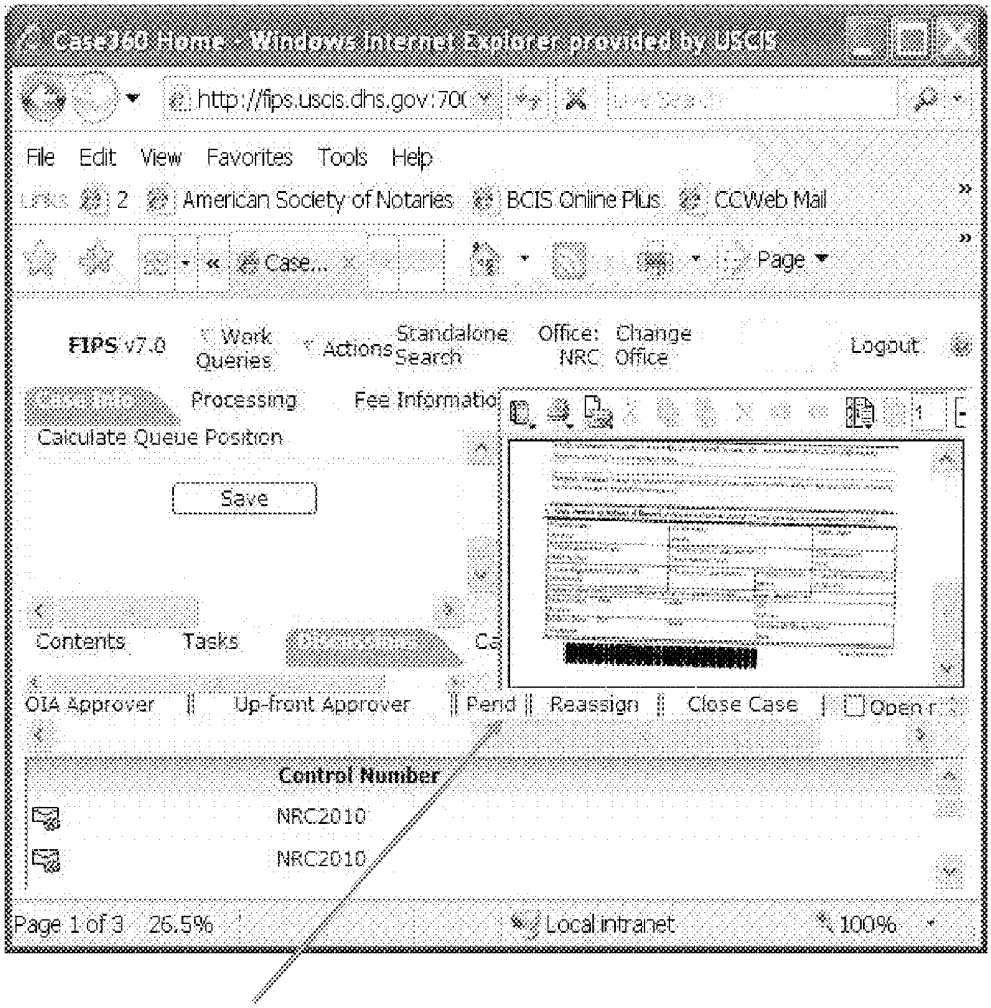
- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

PENDING CASES AS A PROCESSOR

If you pull up a case in processing and there is an open slot for responsive records that is still pending, you must determine if we still need those responsive records.

For example, you open a case that has a staffing for an alien file and a staffing for a receipt. The creator staffed for both. The alien file is ready, but the receipt file slot is still open. You look at the alien file and determine that the receipt is consolidated into the A-file. At the time of staffing, it may not have been consolidated, but you can see that between the time of staffing and the time of scanning, it obviously was consolidated. In an instance like that, you do not need the open slot. Click on the icon beside the staffing response and select "Manage Document." A screen will open, allowing you to cancel that request. You are ready to process the case.

In another case, you may determine that one set of responsive records is scanned in but the other set is still pending. In that case, there is no need to send it to admin. Please click the PEND button on the screen (see screen shot below).



- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

CORRECTLY FORMATTING THE FINAL ACTION LETTER

Often in an effort to save space, processors try to squeeze all information into one page. Unfortunately, the attempt to fit everything into one page prompts an error which causes the Final Action letter to not print. When the Final Action letter does not print, two sets of responsive records could be inadvertently sent to the requester, causing a PII leak.

Bottom line: Don't worry about sending a three-page Final Action letter. Please move the final paragraph and signature to the next page.

- The *USCIS FOIA Processing Guide* will be updated to reflect this change.

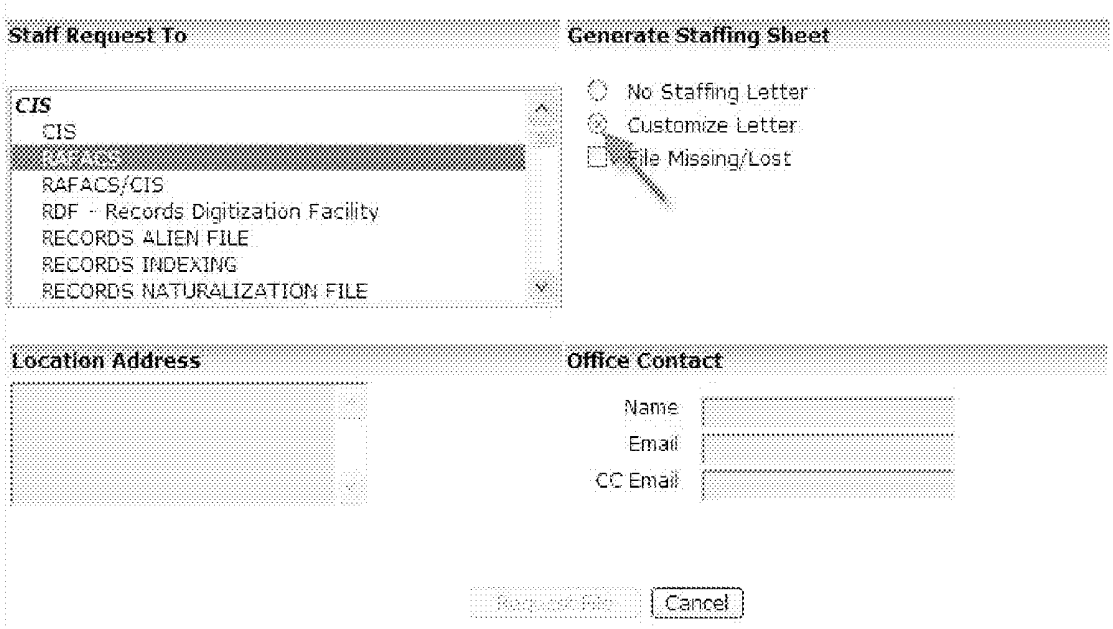
UNIT CHIEF AND CONTROL NUMBERS

Please do not send anything to Unit Chief (U/C) unless the case has a control number. If you send a case to U/C without a control number, it puts the case at the bottom of the U/C queue with no control number and no way to move or even view it until you get to the bottom. Files that are not controlled can only be placed into the Research queue.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

CHANGE TO RAFACS STAFFINGS

When opening a RAFACS staffing slot (ex. screen prints only); select the "Customize Letter" option, not "No Staffing Letter." The staffing letter produced will have a barcode near the bottom of the page. This barcode, when scanned into FIPS with the documents, places the responsive record in the correct file. This is a new feature of FIPS 7.



- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

RESEARCH: ATTACHING DOCUMENTS IN THE APP, HQS AND PPO QUEUES

Access to the APP, HQS, and PPO queues is restricted. As a result, FIPS 7 will not allow you to attach a document from any other queue, such as NRC.

Example: Let's say you are in the NRC queue, look in Research and find a document that belongs to an APP case. How would you attach the document to the APP case? You would need to click Change Office, select APP, and then return to the Research queue. FIPS 7 will bring up the document–attach it now—then change your office back to NRC.

- The *USCIS FOIA/PA Assistant's Guide* will be updated to reflect this change.

QUESTIONS, SUGGESTIONS AND COMMENTS

Your supervisor is the first person you contact when you have a question that is not covered in a guide. Supervisors relay comments, questions and suggestions to the Program Office fairly regularly. In order to respond to questions most efficiently, the Program Office responds to e-mails via supervisors, especially when it is an issue that may impact more than one person.

ACD FOIA/PA Operations and your Supervisors direct how Paralegal Specialists, FOIA/PA Assistants and Office Automation personnel accomplish their missions. Through ACD Operations, Supervisors submit a new rule or procedure to ACD FOIA Program. At the direction of the ACD, Program Office may immediately amend the guide, or they may seek clarification from Office of Chief Counsel. After consultation, Program Office will either amend the Guide or propose a modified rule to ACD Operations.

You, the processor, may notice something in the Guide that is awkwardly worded, or contains a typographical error, or something that simply is not true. You contact your supervisor and then Program Office amends the guide.

Before we amend the guide, we may first publish a FOIA Information Bulletin (the exception being a misspelled word, a missing punctuation mark or a grammatical error).

Bulletins and the latest version of this Guide are always available at:

http://dhsconnect.dhs.gov/uscis/org/ESD/NRC/Pages/FOIAOperationsDivision.aspx

When we make additions or revisions, we create a Record of Revision at the front of the Guide for quick reference.

USCIS FOIA INFORMATION BULLETIN

August 31, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

FIRST – The record of revisions section was getting so long that we moved it to the end. It's now Appendix L of the Processing Guide. You will still be able to review information we deleted or revised by going to Appendix L. We hope this will cut down on page numbers changing every time we revise the guide.

We have amended section 43 of the *Processing Guide* as follows, new information in red:

If the case you are processing contains a CD, cassette, tape or any kind of media *except* Dictaphone, Gray Audograph, Steno-Disc or floppy disk, please follow the instructions below.

Once a case is processed, the processor should send an e-mail to the NRC, NRCFOIAMSB mailbox with "Media" in the subject line. Include the control number, A-number, and page(s) number where the media can be located.

Modify the final action letter by inserting the following sentence:

"The copy of the _____ located in your file will be sent to you under a separate cover".

In the Summary Discussion, annotate that the file contained media and that you have notified MSB.

2. If the file contains a photograph of a Dictaphone, Gray Audograph, Steno-Disc or floppy disk recording, we cannot reproduce it and send it to the requester because we do not have the equipment. Please do not tell the requester we will. Do not redact the page with the image of the recording, and do not mention it in the Final Action Letter.

We have amended several paragraphs in Appendix H of the *Processing Guide* as follows, new information in red:

I-129F, Petition for Alien Fiancé(e)

The I-129F is completed by a petitioner on behalf of another individual/s. This form can be released in part to the petitioner. Redact all third party information and any exempt information listed in the section titled "For USCIS Use Only."

If the requester is the beneficiary (the fiancé(e)~~) or an individual (rider) listed on page 2, Section B of the form,~~ and if the case is a FOIA, and if you do not have consent from the petitioner, you would release only information relating to the beneficiary. Please protect any highly personal information. If the petition has been consolidated into the beneficiary's A-file, the petitioner must have consent from the beneficiary to obtain a copy of it. If the petition has not been consolidated, the petitioner or beneficiary may obtain a copy of it. For an unconsolidated petition, you should fully release to the petitioner, other than protected system check results or possibly deliberative process. If the beneficiary has not provided the petitioner's consent, you should withhold any of the petitioner's PII that has not been released elsewhere in the file.

I-130, Petition for Alien Relative

The I-130 is completed by the petitioner for a beneficiary. Other information that may be exempt from release to the petitioner or the beneficiary on this form will be located in the block "FOR USCIS OFFICE ONLY."

~~The petitioner needs consent from the beneficiary to obtain an unredacted copy of the I-130 and any supporting documents he or she submitted. Even if the beneficiary has adjusted status and is now an LPR or USC, the petitioner still needs consent from the beneficiary to obtain an unredacted copy of the I-130 and any supporting documents under the FOIA.~~

If the requester is the beneficiary,and if the case is a FOIA, and if you do not have consent from the petitioner, you would release only information relating to the beneficiary. Please protect any highly personal information. If the petition has been consolidated into the beneficiary's A-file, the petitioner must have consent from the beneficiary to obtain a copy of it. If the petition has not been consolidated, the petitioner or beneficiary may obtain a copy of it. For an unconsolidated petition, you should fully release to the petitioner, other than protected system check results or possibly deliberative process. If the beneficiary has not provided the petitioner's consent, you should withhold any of the petitioner's PII that has not been released elsewhere in the file.

I-140, Immigrant Petition for Alien Worker

Form I-140 is used to petition for an immigrant visa based on employment. This form can be completed by a person or company/organization. If the petitioner is an individually owned or closely-held business, you need consent from the petitioner to release the petitioner's information. Companies in general do not have personal privacy

protection, so if the petitioner is a company, you do not need the company's consent and you may release most information about the company. You should still protect any information that would reveal information about the owners' personal finances, citing Exemption (b)(6). If the subject who requests the file worked for the company, release the TIN to the subject. Otherwise, if you are processing under FOIA, you will withhold the employer's TIN citing Exemption (b)(3) and § 6103 of 26 USC, but release the remaining information on this form to the requester. ~~If the requester is a third party individual, the information (name and address) relating to the petitioner, (company/organization) can be released.~~ If the petitioner is an individually owned or closely-held business, and if the case is a FOIA, and if you do not have consent from the petitioner, you would release only information relating to the beneficiary. Please protect any highly personal information. If the petition has been consolidated into the beneficiary's A-file, the petitioner must have consent from the beneficiary to obtain a copy of it. If the petition has not been consolidated, the petitioner or beneficiary may obtain a copy of it. For an unconsolidated petition, you should fully release to the petitioner, other than protected system check results or possibly deliberative process. The block titled "For USCIS Use Only" could contain exempt information.

I-589, Application for Asylum and for Withholding of Removal

The Form I-589 is used to apply for asylum in the United States and for withholding of removal. This application may include spouses and unmarried children under 21 who are physically present. If a copy of the Form I-589 is in a rider's file, please withhold third-party information on requests made by the petitioner or by an attorney/representative of the petitioner where consent is present. If the requester is a party to or rider on the application, release the form in part to that individual. Release only the top of each document and the rider's information. Redact all other third party information from the I-589. For more processing instructions, please see section 27.16 of this guide.
The block titled "FOR USCIS USE" may contain exempt information, such as IBIS results, law enforcement initials and/or identifying numbers, and possibly deliberative commentary.

I-730, Refugee/Asylee Relative Petition

Form I-730 is filed if a person has been admitted to the United States as a refugee or if asylee status has been granted. If the subject of record is the primary asylee, please fully release the I-730, unless there are protected systems check results on the first page. ~~If the requester is a party to or rider on the petition, release the form in part to that individual. Release only the top of each document and the rider's information. Redact all other third party information from the I-730.~~ Processing of Form I-730 is essentially the same as Form I-589, except that you should withhold the name of any Refugee Officer, citing Exemption (b)(6), if the case is FOIA. The block titled "FOR USCIS USE ONLY" may contain exempt information, such as IBIS results, law enforcement initials and/or identifying numbers, and possibly deliberative commentary.

USCIS FOIA INFORMATION BULLETIN

August 28, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated Section **6.3.1.2** of the FOIA/PA Assistant's Guide as follows (new information in red):

6.3.1.2 Track 2 – Requests for entire copy of alien file, detentions, deportations or removals, asylum or refugee requests, and requests from news media or special interest groups.

We have changed Section **12.18.6**, No Record, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~):

12.18.6 No Record:

When closing a case as a NR (No Record), ensure that you have done the required system searches to support your decision. If there is wording on the request that would indicate the subject was detained, stopped, arrested or sent back across the border and a thorough system search yielded no information, you should refer the request to CBP. CBP will possibly have a record responsive to their request. Your search should include CIS, CLAIMS and PCQS. Consult the sections of this manual entitled "Central Index System" and "Computer Linked Application Information Management System" for more information regarding the systems.

When conducting "no record" research, do the queries ~~and provide screen prints~~ of all CIS and PCQS or CLAIMS searches as directed. ~~There should be no less than two pages and may be lengthier if subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD.~~ Prepare a Final Action Letter with closing code NR. Insert a Discussion naming the systems you searched. ~~and stating that you have sent the documentation to OA for scanning as CSD.~~ Send to Up-front Approver.

When conducting no record research, check the following screens in CIS (Central Index System):
9103 Exact Name
9104 AKA (Alias) Name
9102 Sounds-Like Name
~~In CIS you are only required to print the 9103 screen if subject is not found.~~

If you do not have PCQS, perform following searches in CLAIMS. Otherwise, go to PCQS and search using last name with an asterisk and first name with an asterisk. Select <> 90 days in relation to the DOB unless this provides too many responses. If you get too many responses select <> 30 days or exact date. If subject has two last names search each one with an asterisk. ~~If no records are found print screen prints~~

When conducting a search in CLAIMS (Computer Linked Application Information Management System) run alien's name as the beneficiary/applicant (3) AND as petitioner (6).

~~When conducting "no record" research, do the query and provide screen prints of all searches as directed. Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD and prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.~~

Genealogy is exempt from this process.

We have updated Section **25.2.4, Status Letters** of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

25.2.4 Status Letters

The public has the ability to check online the status of their FOIA request(s) with NRC at (www.uscis.gov).

From www.uscis.gov, ~~find the link near the bottom of the left column under "Other Services" marked "FOIA Request Status Check."~~ click on the "Check your Case Status" icon.

Clicking the icon mentioned above will take you to the "My Case Status" page. Enter the Control or Receipt number, and click "Check Status."

The online status check will indicate whether the request is still pending, or whether the case has been processed or closed within the last six months.

If the request is still pending, the online status check will indicate the position of the request relative to all pending USCIS requests in the same processing track. It also provides the date the request was received.

If the request was processed or closed within the last six months the requester will be given the date the request was closed. The system does not discern how the request was closed i.e. DP, G1, PD etc., however it does address cases closed for Failure to Comply.

If the control number entered is not recognized, the requester will be advised the number entered is invalid or the case was processed more than six months ago.

The previous method of providing a status letter did not give the requester accurate information. In order to better serve our customers teams should paste in the online ~~FOIA Request~~ status check every time a status is requested.

If you need to generate a status letter due to correspondence via mail, e-mail or fax, please run the control number with the online ~~FOIA Request~~ status check. ~~You should~~ Do not provide status to the requester using the Calculate Queue Position button.

Change the information on the letter that shows the status of the case, replacing it with the results from the online status check before you close and save. Use the latest Status Letter from the Tasks tab in FIPS.

Note: The Status Letter will always state the track as "Track One." If you are not processing a Track one case, please make sure you change the track.

Please print the online status check and send it to be scanned in as a CSD to support the status letter.

We have updated Section **8.1, Foreign Consulate** of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

8.1 REQUESTS: Foreign Consulate

~~Immediately forward any type of correspondence, FOIA request or inquiry received from the consulate of a foreign nation to the Director's Office for handling. USCIS Headquarters is the only one authorized to correspond with foreign consulates.~~

Please ~~make sure~~ verify it is a consulate requesting the records and not the subject of the request putting the consulate's address on the G-639 to mail the records to the consulate (for passports).

~~If~~ After you've verified that the request is from a consulate, please do the following:

1. Print out the entire request.
2. Attach a cover sheet ("Request from Foreign Consulate")
3. Take the printout to your supervisor.
4. Add a discussion, "Request from Foreign Consulate."
5. Send an email to NRC, FOIAOA with the case information.
6. Create the case and close it, ER.
7. Send to Up-front Approver.

~~If the request is from a consulate, please close the case ER, insert a Discussion and then send the case to Up-front Approver. Send an e-mail to NRC, FOIAOA with the case information. The supervisor will review and close the case.~~

A person may be using the consulate's address, and that is not the same thing as a request from a foreign consulate. If the subject mailed the request and wrote the consulate's address on the G-639, then you should use the subject's address from the envelope and set it up as a self-request. If you are unsure about which address to use, please consult your supervisor.

USCIS FOIA INFORMATION BULLETIN

August 26, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

REORGANIZATION: We have reorganized PII processing instructions in the Processing Guide by moving them from Paragraph 25.06, which is the description of Exemption (b)(6), to a series of new sub-paragraphs under Paragraph 27.31, which is processing instructions for PII within files. These new sub-paragraphs are 27.31g through 27.31.o.

Sub-paragraph 27.31.j has been changed (new portion in red)

> 27.31.j If the subject's name is listed on a birth certificate (i.e., the child or parent), release it in full. Otherwise, withhold it in full. Release documents relating to a minor child of the subject of a request, as long as that individual is still a minor at the time the case is processed. These documents may include school documents, medical records, etc. If the subject of record is listed anywhere on a Chinese or Korean family registry, please fully release it. If the subject of record is not listed on a Chinese or Korean family registry, please fully withhold it, if the case is FOIA, citing Exemption (b)(6). You may see two family registries if both the petitioner and beneficiary come from China or Korea. The Chinese or Korean version usually follows the English translation. The family registries are written in a logical fashion, and you may normally tell which registry you are looking at by the dates of birth which are listed beside the names. If in doubt, please consult your supervisor.

REORGANIZATION: Because of a new sub-paragraph concerning referral of "IFS Search Results" screen prints to ICE, we have reorganized Paragraph 28.14 of the Processing Guide to include all documents we refer to ICE. 28.14 now has three sub-paragraphs, and Paragraph 28.15 has been changed to "not used."

New Sub-Paragraph 28.14c reads as follows:

> **28.14.c IFS Search Results**
>
> We refer any IFS Search Result screen print to ICE.

Paragraph 27.27.b of the Processing Guide has been modified as follows (new portion in red):

> 27.27.b Redact all initials, signatures, user ID's, telephone numbers, fax numbers and extensions of law enforcement personnel and personnel performing a law enforcement function citing Exemption (b)(7)(C) in a FOIA and (k)(2) and (b)(7)(C) in a PA. If the telephone number shown is not a law enforcement person's direct line number, release it. If a signature protrudes into the narrative, protect only that portion of the signature which does not go up into the narrative. The principle is that we should not withhold possibly important information because of a signature. If the text is insubstantial or inconsequential, such as a form number or a paragraph that does not bear on the subject's situation, then redact the whole signature.

We have added a new Appendix K to the Processing Guide and a new Appendix I to the FOIA/PA Assistant's Guide, Alien Number Assignments. This is the Alien Number assignment chart from the USCIS Records Operations Handbook.

Paragraph **28.06 U.S. Department of State documents** of the Processing Guide has been modified as follows (~~deleted information in strikethrough,~~ new portion in red):

- Refer asylum related documents, such as interagency communications, advisory opinions and deliberative material, including ~~the~~ any documents entitled "Country Conditions." ~~and Comments on Asylum Applications."~~

We have deleted the following paragraph entirely:

- There may be documents similar to Country Conditions and Comments on Asylum Applications we would not refer. For example, Profiles of Asylum Claims and Country Conditions are available on the U.S. Department of State website and we do not generally refer them.

We have modified paragraph 28.06.b as follows (~~deleted information in strikethrough~~):

> 28.06.b We refer advisory opinions, as well as other documents originating with State which are related to asylum claims, and Country Conditions, ~~and Comments on Asylum Applications~~ as well as any document that refers to the subject by name.

We have deleted the following paragraph entirely:

> Note: there may be other documents with titles like Profile of Asylum Claims and Country Conditions. These documents are available on the U.S. Department of State website and we do not generally refer them. We refer State Department documents that provide recommendations to asylum officers, but not documents that provide

only a profile of asylum claims. Generally speaking, if the document title is not exactly "Country Conditions and Comments on Asylum Applications," we will probably release it in full. If in doubt, please consult your supervisor.

We have added a new paragraph to the FOIA/PA Assistant's Guide:

8.23 SITUATION: Requests from Prospective Adoptive Parents

In the recent past, Vietnam, Cambodia, Guatemala, Nepal, Ethiopia and other countries have had problems concerning adoptions. Birth Certificates have been forged and babies have been taken without consent of the biological parent. In Vietnam, "baby brokers" scour villages looking for unwed, impoverished mothers. They purchase the babies for about $50 and sell them to commercial adoption services. In Guatemala and elsewhere, people steal babies and sell them to middlemen. Prospective adoptive parents from Spain, Italy and the United States are typically willing to pay as much as $25,000 to adopt a child. (This information comes from kidsofkathmandu.org).

Normally if we cannot verify consent or prove parentage in a case, we send out for more information. Please do not send out for additional information in pending (not finalized) adoption cases for the following reasons:

1. The Prospective Adoptive Parents (PAP) have the right to all information they submitted for the adoption. It is likely that the adoption never happened. If that is the case, they have no proof of parentage or guardianship.
2. The child is usually too young to give consent.
3. Congress has substantial interest in this matter.

If you decide you need proof of parentage after a full search, please send your case to Admin for supervisor review.

USCIS FOIA INFORMATION BULLETIN

August 24, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended Appendix H of the FOIA/PA Processing Guide as follows, ~~deleted information in strikethrough~~, re-written section in red:

Departure Record I-94	~~Law enforcement names, badge numbers~~	~~(b)(7)(C)~~Release	~~(k)(2)and (b)(7)(C)~~Release

We have amended Paragraph 6.1.1.14 of the *FOIA/PA Assistants Guide* as follows, ~~deleted information in strikethrough~~, re-written section in red:

6.1.1.14 If the requester does not provide a valid address use: 123 Main Street, Washington, DC 12345. ~~Send an e-mail to your supervisor and assign the case to Unit Chief without any staffing or acknowledgement letter.~~ Close the case as FC, blank out FC letter, then send the case to up front approver. Be sure to add a Discussion note to the case titled "Missing address," explaining the illegible mailing address.

We have amended Paragraph 28.06 (U.S. Department of State documents) of the *FOIA/PA Processing Guide* by adding an additional bullet as follows:

- Refer all documents belonging to the United States Information Agency (USIA).

USCIS FOIA INFORMATION BULLETIN

August 17, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

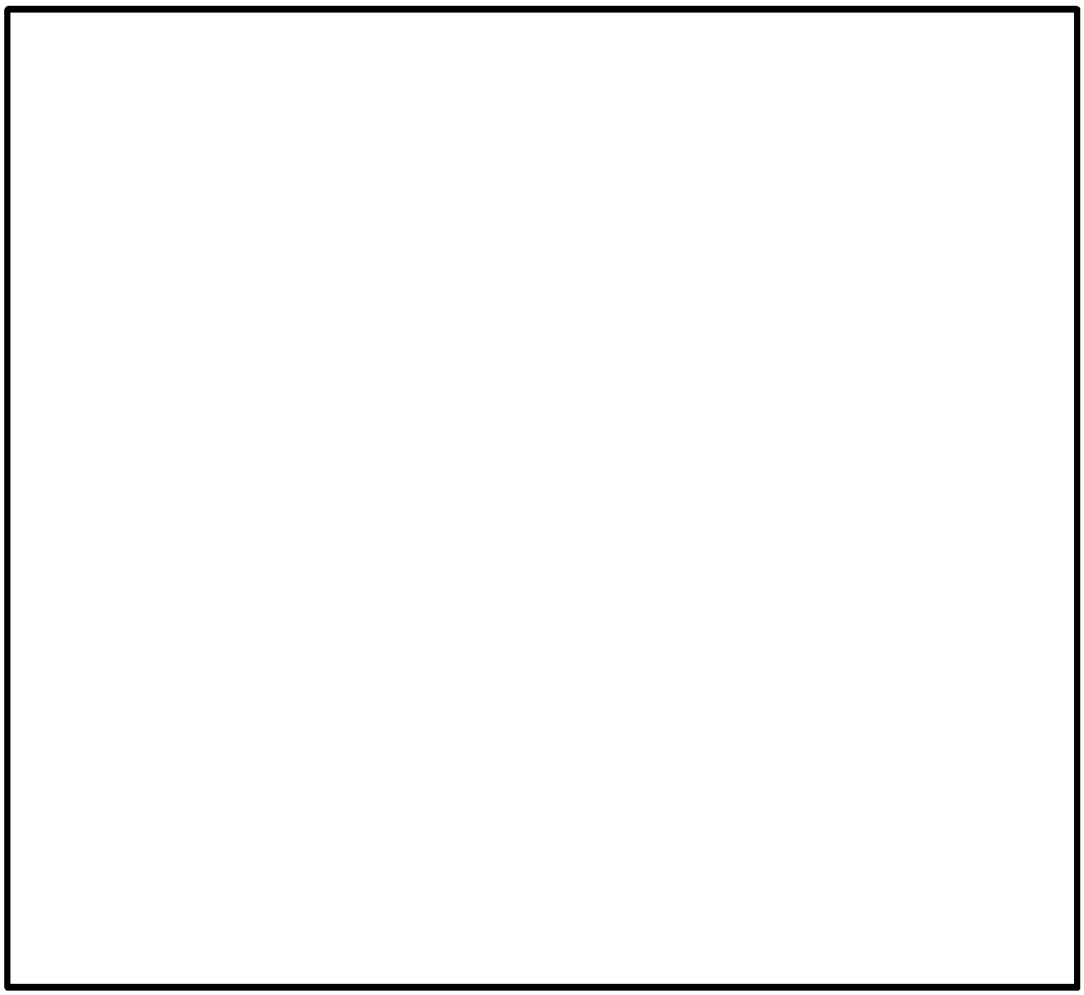
We have added a new paragraph 40.01.g of the FOIA/PA *Processing Guide,* as follows:

> 40.01.g If you do not refer any pages, please delete the following sentence from your final action letter:
>
> "Additionally, we have referred [# of pages] in [its/their] entirety to [government agencies name] for their direct response to you."
>
> If you do refer pages, you will have to modify the sentence to reflect the agency and number of pages, for example:
>
> "Additionally, we have referred 3 pages in their entirety to US-Visit and 1 page in its entirety to the Department of State for their direct response to you."
>
> In that paragraph, please do not mention Immigration and Customs Enforcement, or how many pages you are referring to them. Your final action letter will contain the following paragraph:
>
> "During our review, USCIS located potentially responsive documents that may have originated from U.S. Immigration and Customs Enforcement (ICE). USCIS has sent the document(s) and a copy of your FOIA request to the ICE FOIA Office for consideration and direct response to you. Should you wish to contact ICE concerning the status of the processing of the document(s), please contact the ICE FOIA Office via phone at (866) 633-1182 or via e-mail at ICE-FOIA@dhs.gov. The ICE FOIA Office mailing address is 500 12th Street, S.W., MS 5009, Washington, D.C. 20536-5009."
>
> If you are referring no pages to ICE, please delete that paragraph. If you referred any pages, please leave the paragraph exactly the way it is.

We have amended Section 28.01.b of the *FOIA/PA Processing Guide* as follows, ~~deleted information in strikethrough~~, re-written section in red:

28.01.b Release the names of all referred agencies except when the referred documents come from the agencies listed below. ~~involve intelligence records, such as CIA records~~. Generally speaking, you will ~~almost always~~ release the name of the agency.
~~If you feel you have a situation involving "intelligence community," please consult your supervisor.~~

(b)(7)(e)



USCIS FOIA INFORMATION BULLETIN

August 7, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 27.08 Misfiled Documents of the FOIA/PA Processing Guide as follows (new information in red):

Section 27.08 Misfiled Documents

Complete processing of case and send for approval. In the Summary Discussion, annotate the pages of the misfiled documents and that you have notified FST. If both files are not at NRC, omit sending an e-mail to FST, but still include the pages of the misfiled documents and the reason you did not notify FST in the Summary Discussion.

We have updated portions of section 45, Discussions, of the FOIA/PA Processing Guide as follows (~~deleted information in strikethrough~~, new information in red):

45.01.d Moved to 45.02.a.1 ~~To help prevent accidental release of third party PII, please create a Discussion *citing the page number* where you matched each item below from the request to verify that it is the correct file. If there are two sets of responsive records, your discussion should show how you positively identified the subject of record *by page number for each set of responsive records*:~~

~~1. Signature~~
~~2. Parents names (if available)~~
~~3. Country and date of birth (if available)~~
~~4. Any alias names you find~~
~~5. Anything else you used to positively ID the file as belonging to the subject~~

~~You may include this as part of your Summary Discussion, or you may create a separate Discussion.~~

45.02 The Summary Discussion

45.02.a Summary Discussions should include, if applicable, the information shown below as well as anything that is unique to the case.

- The type of case (FOIA or PA). If the case is a PA, please include page number for proof of PA. If the subject has lost PA status, please include the page number.
- The total number of pages of responsive records (print total)
- The number of pages released in full
- The number of pages withheld in full
- The number of pages partially released
- What exemptions have been applied in withholding information
- The number of documents referred to another agency
- The number of duplicate pages marked
- The number of pages that were out of scoped (other than the last page).

45.02.a.1 To help prevent accidental release of third party PII, please ~~create a Discussion~~ ~~*citing*~~ *cite the page numbers in your discussion* where you matched each item below from the request to verify that it is the correct file. If there are two sets of responsive records, your discussion should show how you positively identified the subject of record *by page number for each set of responsive records*:

1. Signature
2. Parents names (if available)
3. Country and date of birth (if available)
4. Any alias names you find
5. Anything else you used to positively ID the file as belonging to the subject

~~You may include this as part of your Summary Discussion, or you may create a separate Discussion.~~ The goal is to have one case summary that includes verification info and all other pertinent info regarding the processing of the case.

We have updated section 8.15 Congressional Correspondence of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

Section 8.15 Congressional Correspondence

Reference section 28 CONGRESSIONAL REQUESTS AND APPEALS.
When the unit receives correspondence from a member of Congress, we may need to create the case as a track two case, mark the category as Congressional, request the requested documents and send an e-mail to ~~NRC, NRCFOIAMSB~~ congressionalnrc@uscis.dhs.gov advising them of the control number, congressional contact information and name of the subject of the request. Do not use the Congressional office address as the address for the FOIA request. If an address for the subject is not in the request, please contact a member of the FST for more guidance.

USCIS FOIA INFORMATION BULLETIN

August 3, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

Quick summary of changes with Form G-639 (dated 3-31-2015)

1. The Certification of Agreement (COA, or consent) and Verification of Identity (VOI) sections are merged into one. Only one signature is needed (notarized or under Penalty of Perjury) on this new form.
2. Do not close any cases as Total Denials (TD) based on the 3-31-2015 version of the G-639. Failure to Comply (FC) still applies.
3. The block to check "Complete Alien File" or "Other" no longer exists.
4. The block to check "All of my records" or "A portion of my records," no longer exists.

We have added section 5.02, Verification of Identity (G-639 dated 3-31-2015), of the Processing Guide as follows (new information in red):

5.02 Verification of Identity (G-639 dated 3-31-2015)

Note: On this version of the Form G-639, Certification of Agreement (consent) and Verification of Identity are combined. You still need a name, current address, date of birth and place of birth. However, you only need **one** signature, either notarized or signed under Penalty of Perjury.

Do not close any cases as Total Denials (TD) based on the 3-31-2015 version of the G-639. Failure to Comply (FC) still applies.

If a requestor is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

6 CFR § 5.21(d) *Verification of Identity,* says the requestor must provide us:

- Full Name
- Current address
- Date of Birth
- Place of Birth

Providing the Alien Registration Number may not substitute for any of the four items of information required by 6 CFR § 5.21(d).

Next, it says the subject of record must sign the request and his or her signature must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature).*

8.a. ☐ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this _____

day of _____ in the year _____.

Daytime Telephone Number _____

_____

Signature of Notary

My Commission Expires on _____

8.b. ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639. If a requestor has inserted the **penalty of perjury statement on ANY document**, and the subject of the file has signed the document, it fulfills the requirement to verify identity.

The notarized signature or signature under penalty of perjury **might** be on a:

- Separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
- G-639, when the subject has signed part 4, either notarized or under penalty of perjury.
- DOJ-361, Certificate of Identity: we may not suggest or require that a requestor use a DOJ-361, but we can accept one as certification of agreement with a signature under penalty of perjury.

A current photo ID is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA does not include a Form G-28 with a statement made under penalty of perjury by the requesting attorney or representative "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United States or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).(Signature)".

(2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).(Signature)".

We have added section 7, CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS (G-639, dated 3-31-2015) of the FOIA/PA Assistants Guide as follows (new information in red):

7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS (G-639, dated 3-31-2015)

Note: On this version of the Form G-639, Certification of Agreement (consent) and Verification of Identity are combined. For Verification of Identity you still need a name, current address, date of birth, place of birth, and a signature.

However, you only need **one** signature, either notarized or signed under Penalty of Perjury. If the any of the above items are missing, close the case as a failure to comply.

Do not close any cases as Total Denials based solely on the Form G-639 (3-31-15).

Part 3. Description of Records Requested (continued)

Other Names Used by the Subject of Record (include nicknames, aliases, and maiden name, if applicable)

3.a. Family Name (Last Name) Name

3.b. Given Name (First Name)

3.c. Middle Name

Full Name of the Subject of Record at Time of Entry into the United States

4.a. Family Name (Last Name)

4.b. Given Name (First Name)

4.c. Middle Name

Other Information About the Subject of Record

5. Form I-94 Number Arrival-Departure Record
▶

6. Alien Registration Number (A-Number) (if any)
▶ A-

7. Application, Petition, or Request Receipt Number
▶

Information About Family Members that May Appear on Requested Records

For example, provide the requested information about a spouse or children. If you need extra space to complete this section, use the space provided in **Part 5. Additional Information.**

Family Member 1

8.a. Family Name (Last Name)

8.b. Given Name (First Name)

8.c. Middle Name

9. Relationship

Family Member 2

10.a. Family Name (Last Name)

10.b. Given Name (First Name)

10.c. Middle Name

11. Relationship

Parents' Names for the Subject of Record

Father

12.a. Family Name (Last Name)

12.b. Given Name (First Name)

12.c. Middle Name

Mother

13.a. Family Name (Last Name)

13.b. Given Name (First Name)

13.c. Middle Name

13.d. Maiden Name (if applicable)

Part 4. Verification of Identity and Subject of Record Consent

NOTE: The information requested in **Part 4.** is **REQUIRED**. Complete all applicable **Item Numbers**. In addition, the Subject of Record **MUST** sign **Part 4.** of this request.

Full Name of the Subject of Record

1.a. Family Name (Last Name) Orbit

1.b. Given Name (First Name) Gum

1.c. Middle Name

Part 4. Verification of Identity and Subject of Record Consent (continued)

Mailing Address for the Subject of Record

2.a. In Care Of Name (if any)

2.b. Street Number and Name

2.c. ☐ Apt. ☐ Ste. ☐ Flr.

2.d. City or Town

2.e. State 2.f. ZIP Code

2.g. Province

2.h. Postal Code

2.i. Country

USA

Other Information for the Subject of Record

3. Date of Birth (mm/dd/yyyy)

4. Country of Birth

Contact Information for the Subject of Record

Providing this information is **optional.**

5. Daytime Telephone Number

6. Mobile Telephone Number (if any)

7. Email Address (if any)

Signature and Notarized Affidavit or Declaration of the Subject of Record

Select only one box.

NOTE: The Subject of Record **MUST** provide a signature in **Item Number 8.a.** Notarized Affidavit of Identity **OR Item Number 8.b.** Sworn Declaration Under Penalty of Perjury. If the Subject of Record is deceased, read **Item Number 8.c.** and attach proof of death.

8.a. ☒ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this

day of May in the year

Daytime Telephone Number

Signature of Notary

My Commission Expires on 05,

8.b. ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

Signature of Subject of Record

Date of Signature (mm/dd/yyyy)

8.c. **Deceased Subject of Record** (**NOTE:** You **MUST** attach an obituary, death certificate, or other proof of death.)

A Privacy Act Record is any item, collection, or grouping of information about an individual which the maintaining agency retrieves by the person's name, identifying number, symbol, or other identifying particular assigned to that individual.

An A-number is an "identifying number" assigned to a single individual. That makes an A-file a Privacy Act Record.

A CBP incident could involve several people. A CBP Incident Report is filed by a number which is not an "identifying particular" for any individual. Even though the file most likely contains sensitive PII, a CBP Incident Report is not a Privacy Act Record. A USCIS contract is another example of a document that is filed by a number, but that number is not an identifying particular for any individual.

If a person requests a non-Privacy Act Record, he or she must request it under the FOIA. The agency will review the record and withhold information that is exempt, including sensitive information about individuals in the record. An individual involved in that record could provide a signed agreement which will allow the agency to release information about that individual to whatever Requestor.

Any time a person other than the subject of a Privacy Act Record requests the record, the subject of record must provide the agency with a signed statement agreeing that the agency may release information in that file to the Requestor.

Unconsolidated petitions are not always one way or the other. An I-360 could be associated with only one person and an I-130 is associated with two or more people. If a third party requests an unconsolidated petition, we need an agreement to release information from at least one of the people associated with the petition.

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity by mail, fax or e-mail, and do not require a signature. Requestors must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a Requestor establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the Requestor is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

In any third party request for a Privacy Act Record, we need either:

- Verification of Identity to release information to the Requestor, or
- Proof of parentage if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship, or
- Proof of death.

We have added section 7.2, Verification of Identity (VOI) (G-639, dated 3-31-2015) of the FOIA/PA Assistants Guide as follows (new information in red):

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

If a requestor is asking for a Privacy Act record, he or she must provide verification of identity.

A Privacy Act record, for USCIS purposes, is any item, collection, or grouping of information about a person which we retrieve by the person's name, identifying number, symbol, or other identifying particular assigned to that person. This information includes, but is not limited to, a person's nationality, immigration status, education, financial, medical, criminal, or employment history.

By 6 CFR § 5.21(d), we must have five items – name, current address, place of birth, date of birth and signature. The signature must be notarized or signed under penalty of perjury. If the requestor does not provide all five items, we will close the case as FC and insert the unperfected request language in the FC letter. We are required to conduct a thorough search as long as we have the required information.

If we have verification of identity, but are unable to confirm a match because of multiple matches or a possible match, we may need more information to verify that we have the right file (i.e. parents names, alias names, alien number/receipt number). If we ask them for additional information, the information they send back to us does ***not*** have to be signed under penalty of perjury or notarized. Do not request any information that has been marked as unknown or otherwise indicated that they do not know it. The requestor may indicate that he or she does not know date of birth or place of birth, and we will still conduct a search. If the requestor declines to provide us with date of birth or place of birth, we will close the case FC. Please refer to section 16b, **FC (failure to comply) CASE CLOSINGS** of this guide.

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. We will continue to accept these as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.

6 CFR § 5.21(d) ***Verification of Identity***, says the requestor must provide us:

A. Full Name
B. Current address
C. Date of Birth
D. Place of Birth
E. Signature under penalty of perjury *or* signature notarized

When you review the case and determine the requestor ***did not provide*** all five required pieces of information, you will close the case as a failure to comply (FC). Please refer to Section 16b: FC Case closings. Some examples of failure to comply (FC) are listed below.

A. A requestor who provides full name, current address and alien number only has not provided sufficient verification of identity. The date and place of birth are missing. If any of the five required items is missing, close as a failure to comply (FC).
B. G-639 Self Requests when the subject has not signed under Penalty of Perjury or Verification of Identity. Close as a failure to comply.
C. If the requestor is asking for records concerning a *living* individual and it has not been signed under penalty of perjury nor notarized, close as a failure to comply.

8.a. ☐ **Notarized Affidavit of Identity** (Do **NOT** sign and date below until the notary public provides instructions to you.)

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incured for search, duplication, and review of documents up to **$25** (if filing this request for myself).

_____
Signature of Subject of Record

_____
Date of Signature (mm/dd/yyyy)

Subscribed and sworn to before me on this _____

day of _____ in the year _____.

Daytime Telephone Number _____

_____
Signature of Notary

My Commission Expires on _____

8.b. ☐ **Declaration Under Penalty of Perjury**

By my signature, I consent to USCIS releasing the requested records to the requestor (if applicable) named in **Part 2.** I also consent to pay all costs incurred for search, duplication, and review of documents up to **$25** (if filing this request for myself).

I certify, swear, or affirm, under penalty of perjury under the laws of the United States of America, that the information in this request is complete, true, and correct.

_____

Signature of Subject of Record

_____

Date of Signature (mm/dd/yyyy)

Closing as Failure to Comply (FC) for inadequate Verification of Identity: Please refer to section 16 of this guide.

More information about VOI: The signature of the subject of record must either be notarized or submitted under 28 U.S.C. 1746 *(penalty of perjury in lieu of notarized signature)*.

A. The notarized signature of the subject or the signature under penalty of perjury does not need to be on the G-639.
B. If a requestor has inserted the **penalty of perjury statement on ANY document**, and the subject of record has signed the document, it fulfills the requirement to verify identity.
C. The subject of record may have signed a separate letter, or any piece of paper *including* a G-28, but then only if the penalty of perjury statement is directly above the signature of the subject of record.
D. DOJ-361, Certificate of Identity: we may not suggest or require that a requestor use a DOJ-361, but we can accept one as verification of identity with a signature under penalty of perjury or a notarized signature.
E. For verification of identity, we will accept a statement containing the subject's name, current address, date of birth, and place of birth that is signed under penalty of perjury or notarized, or a sworn Jurat/Affidavit.

A current photo ID, if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not verification of identity.

"Verification of Identity" for purposes of FOIA/PA ***does not include*** a Form ***G-28*** with a ***statement made under penalty of perjury by the requesting attorney or representative*** "that the information I have provided on this form is true and correct." The statement must come from the subject of the record. A statement made under penalty of perjury must conform to the requirements of **28 U.S.C. § 1746: Unsworn declarations under penalty of perjury**, which reads as follows:

Wherever, under any law of the United State s or under any rule, regulation, order, or requirement made pursuant to law, any matter is required or permitted to be supported, evidenced, established, or proved by the sworn declaration, verification, certificate, statement, oath, or affidavit, in writing of the person making the same (other than a deposition, or an oath of office, or an oath required to be taken before a specified official other than a notary public), such matter may, with like force and effect, be supported, evidenced, established, or proved by the unsworn declaration, certificate, verification, or statement, in writing of such person which is subscribed by him, as true under penalty of perjury, and dated, in substantially the following form:

(1) If executed without the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date).(Signature)".

(2) If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).(Signature)".

We have added section 6.3.1.1.2.1, Track 1 vs. Track 2 Clarification (G-639, 3-31-2015), of the FOIA/PA Assistants Guide as follows (new information in red):

6.3.1.1.2.1. Track 1 vs. Track 2 Clarification (G-639 dated 3/31/2015)

We occasionally have confusion on whether a case should be placed in the Track 1 or Track 2 queue. Most of the confusion centers on how we apply Part 3 to our decision-making process.

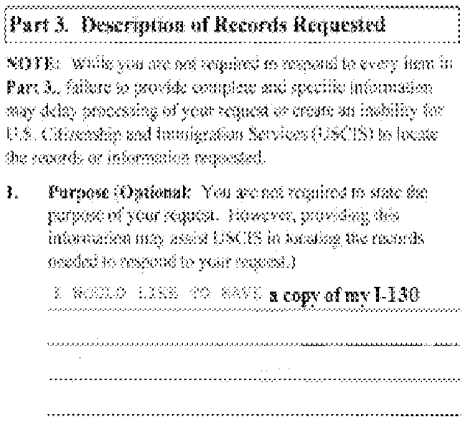
In the latest version of the Form G-639, there is no "Subject of Record Consent to Release Information." You only have Part 3, Description of Record(s) Requested to decide what to release to the requestor.

Part 3: Description of Record(s) Requested:

Part 3 is where the requestor decides whether he or she wants their complete A-file or a portion of his or her records.

Consider the example below. The requestor writes in **"I would like to have a copy of my I-130.**

This request will amount to just a few pages. This is a Track 1 case.



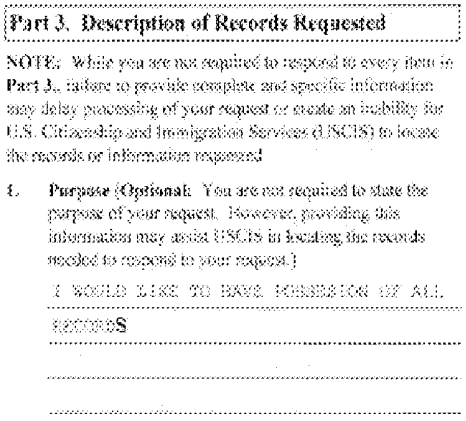
Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in Part 3., failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional)** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE **a copy of my I-130**

In this next Part 3 example, the requestor wants all of his or her records.



Part 3. Description of Records Requested

NOTE: While you are not required to respond to every item in Part 3., failure to provide complete and specific information may delay processing of your request or create an inability for U.S. Citizenship and Immigration Services (USCIS) to locate the records or information requested.

1. **Purpose (Optional)** You are not required to state the purpose of your request. However, providing this information may assist USCIS in locating the records needed to respond to your request.)

I WOULD LIKE TO HAVE POSSESSION OF ALL RECORDS

Is it a Track 2 case? It depends. Section 6.3.3.1 tells us that if you find nothing other than screen prints (RAFACS staffings) or a receipt file, you need to make this a Track 1 case.

However, if the person asks for all records and you find the A-file or more than three documents (Section 6.3.3.2), you are going to make this a Track 2 case.

We have updated section 16b., FC (failure to comply) CASE CLOSINGS, of the FOIA/PA Assistants Guide as follows (new information in red):

16b. FC (failure to comply) CASE CLOSINGS

A. Create the case if you have not done so already.

B. Select the "Final Action Letter" from the Tasks tab. Select "FC" from the final action codes list.
C. Paste in the body of the appropriate "Unperfected Request Letter" onto the FIPS FC final action letter, which you may find in the Case Create Template Letters folder of the FOIA Library or the Enterprise Collaboration, ECN Network Case Create Library.
D. Select the "Unperfected Letter for Older G-639 version" for all requests submitted on a G-639 date prior to the revision dated 01/29/12 or
E. Select the "Unperfected Letter" for all new requests and requests submitted on the newly revised G-639 revision date 01/29/2012 or
F. Select the Unperfected Letter for G-639 dated 3/31/2015.
G. Review the letter to ensure the pasted content is in the correct format
H. Create a Discussion to the Up-front Approver with your findings and reasons for closing as a FC case.

Replace the contents of the letter using
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter_for_G-639_dated_3_-_31_-_15
Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter
Or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter for Older G_639 version if an older version of the G-639 was submitted.

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to NRC, FOIASafe with the case number, A-number and name of subject of record. The classified document control point of contact maintains the files in the FOIA Safe until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

USCIS FOIA INFORMATION BULLETIN

August 3, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended section 28.14.g of the *Processing Guide* as follows, ~~old paragraph in strikethrough~~, new paragraph in red:

~~**28.14.g Detainee Classification System – Primary Assessment Form** Refer the Detainee Classification System – Primary Assessment Form to ICE. Do not hide the name of the agency.~~

28.14.g Detainee Classification System Assessment Forms If prepared by ICE, refer Detainee Classification System forms to ICE. Do not hide the name of the agency.

We have amended Appendix C – Processing Tables of the *Processing Guide* as follows, ~~deleted informatin in strikethrough~~, change in red:

Detainee Classification System ~~– Primary~~ Assessment Forms

We have amended Section 8.7 of the *FOIA/PA Assistant's Guide* as follows, ~~deleted informatin in strikethrough~~, re-written section in red:

~~As other agencies process FOIA/PA requests, they will sometimes find our agency's documents within their files. These documents will be referred to us for processing. The responsive records could be USCIS documents being referred to us for review or joint documents i.e., co-authored by the referring agency and other agencies.~~

~~A. A transmittal memorandum advising us to respond directly to the referring agency is a consultation.~~

~~B. A transmittal memorandum advising us to reply directly to the requester is a referral.~~

~~Create a Discussion and send the case to processor. Send an e-mail to NRC, NRCFOIAMSB advising them that you have created the case and that it is a referral/consultation from another agency. Include the subject's name and the NRC control number.~~

Other government agencies' and DHS components' FOIA/PA offices will make the determination to refer a FOIA request to the USCIS FOIA office at the NRC for a direct response to the requester. The referral can be complete or partial.

8.7.1 Complete Referrals

A complete referral comes from another government agency or DHS component in which either the entirety or a segregable portion of the request falls under the purview of USCIS. If the referral is a request for an A-File or A-File material (petition, application, etc.) create the case as if the request came directly to the NRC. If the referral is a request for anything else please see section 6.3.4.4 as the request may fall under SIG.

8.7.2 Partial Referrals

As other agencies process FOIA/PA requests, they will sometimes find USCIS documents within their files. These documents will be referred to us for processing. The majority of partial referrals come from the Office of Personnel Management (OPM), Department of State, and the Federal Bureau of Investigation (FBI). SIG processes all partial referrals. Follow the procedures in section 6.3.4.4.2 for partial referrals.

A consultation is when another government agency or DHS component has found USCIS equities within their documents and then forwards those documents to the USCIS FOIA office to make any recommended withholdings or disclosures. The USCIS FOIA office processes only that specific portion of the document that contains USCIS equities and upon completion returns it back to the original agency/component. SIG processes all consultations. Follow the procedures in section 6.3.4.4.2 for consultations.

We have deleted the following sections from the *FOIA/PA Assistant's Guide*:

6.3.4.3 Personnel ~~The requester is seeking information relating to USCIS personnel matters, including information related to job vacancies. These are Special Interest Group cases but created in the Personnel category.~~

8.8 REQUESTS: USCIS Personnel Information

~~Requests that deal specifically with USCIS vacancy announcements, performance ratings and awards are scanned and handled in the HQS queue by the Special Interest Group.~~

~~A. If a request for CIS Personnel Information mistakenly is scanned in the NRC queue, create the case. Create the case as a Track 2 case. Use **PER** for the category and **CIS** for the bureau, in the "Topic" field, enter the vacancy announcement number.~~
~~B. Create a Discussion on your findings.~~
~~C. Send an e-mail to NRC, FOIASIG with the case information and NRC control number.~~
~~D. Do not send the acknowledgement letter or staff for the file.~~

8.9 REQUESTS: Official Personnel File

You may open a FOIA request received from an individual for a copy of his or her Official Personnel File (OPF). Inform such requesters in the final action letter that they may access their OPFs on-line at:

http://cbpnet.cbp.dhs.gov/xp/cbpnet/hrm/for_employees/info_about_you/eop_folder/eopf_logon.xml

You will be closing the case as NA (FOIA or PA not applicable). Please refer to section 14 of this guide.

8.13 REQUESTS: Privacy Act Amendment (A request to correct/amend records etc.)

A person who is a United States Citizen or a Lawful Permanent Resident may request that we amend, expunge, or correct information in his/her PA record that the individual believes is not accurate, relevant, timely or complete. Sometimes a supervisor will place a coversheet on the request stating "Privacy Act Amendment."

If you are creating a Privacy Act Amendment request, please do the following:

A. Begin as usual, filling in requester and subject information and searching for duplicates.
B. Select Privacy Act Amendment - not FOIA Request.
C. Assign it to Track 2. Assign it to Category: Special Interest Group.
D. Create the case.
E. Prepare an email for NRC, FOIASIG and insert the case number in the body of the e-mail.
F. Create a Discussion and send the case to the Unit Chief (UC). You are now ready to move on to the next case.
G. You do not reassign the office. A Special Interest Group person will change the Office to "COW" by clicking "SAVE" and then clicking "Reassign Office."

9.5 Personnel/hiring practices/vacancy announcements

If you receive a request concerning employee records, vacancy announcements, or any personnel matter generally, please create the case as you normally would by filling in the blanks and controlling the case. After that, change the Category to PER. Do not create a staffing and do not send any correspondence to the requester. Add a Discussion note that this appears to be a personnel-type FOIA request. Send an e-mail to NRC, FOIASIG. After that, send the case to Unit Chief.

We have amended section 6.3.4.4 of the *FOIA/PA Assistant's Guide*, ~~old version in strikethrough~~, new version in red.

~~**6.3.4.4 Special Interest Group** – Requester(s) are seeking information relating to special interest requests such as news media requests, highly visible or public interest cases. We receive this kind of request from members of the media, activist groups, watchdog organizations or educational institutions. The documents requested are normally associated with a controversial or sensitive subject.~~

~~**6.3.4.4.1** Select "Special Interest Group" if any of the following criteria are met:~~

- ~~a. The FOIA request relates to a Presidential or agency priority;~~
- ~~b. The FOIA requester or requested documents will garner media attention or is receiving media attention;~~
- ~~c. The FOIA request is for documents associated with meetings with prominent elected, business, and/or community leaders;~~
- ~~d. The FOIA request is for congressional correspondence;~~
- ~~e. The FOIA request is from a member of Congress;~~
- ~~f. The FOIA request is from a member of the media;~~
- ~~g. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.;~~
- ~~h. The FOIA request is for documents associated with a controversial or sensitive subject;~~
- ~~i. The FOIA request is for documents associated with a senior official of the component;~~
- ~~j. A FOIA appeal if it meets one of the "a" through "i" criteria;~~

~~Items listed above are suggestive and not exclusive – exercise judgment when marking cases with category "Special Interest Group."~~

~~**6.3.4.4.2** If you believe a request qualifies as a Special Interest Group, choose that case If you believe a request qualifies as a Special Interest Group, create the case in track 2 as normal. Search for duplicates and then create the case in the NRC queue, but do not staff or create an acknowledgment letter. Prepare an e-mail and Discussion note explaining the situation and send to NRC_FOIASIG. Send the case to Unit Chief.~~

~~A Special Interest Group (SIG) processor will review the case and move it to their queue if it is truly a SIG case. A Special Interest Group processor will then create the staffing and~~

~~acknowledgment letter. This enables the Special Interest Group, responsible for special interest cases, to create a report and determine whether the case is actually a Special Interest Group case and report it accordingly. If the case creators do not mark Special Interest Group cases properly, we have no way to track and report these high visibility cases. When in doubt, choose the Special Interest Group category in FIPS. The Special Interest Group will sort it out later. If you have questions or need to send information regarding SIG cases to the Special Interest Group, their e-mail address is: NRC_FOIASIG.~~

6.3.4.4 Significant Interest Group (SIG) Requests – SIG processes Non-A-File FOIA requests except A-File requests from the Media or A-Files belonging to high-profile individuals. If the request is not for USCIS records, then it is not a SIG request and should be handled accordingly (refer, redirect, etc.).

6.3.4.4.1 It is a SIG request if:

a. The FOIA request is for congressional correspondence;
b. The FOIA request is from a member of the media;
c. The FOIA request is from a member of an activist group, watchdog organization, special interest group, etc.; Such organizations include: AILA, ACLU, CAIR, CREW, EFF
d. The FOIA request is for a vacancy announcement
e. The FOIA request is for personnel records
f. The FOIA request is for records related to an investigation. It may mention:
    a. Report of Investigation
    b. OSI Investigation
    c. Background Investigation (These are not USCIS requests – they are redirected to OPM, however, SIG will handle the redirect).
g. The FOIA request relates to a USCIS contract
h. The FOIA request relates to a USCIS grant program
i. The FOIA request mentions "EB-5" or "Regional Center" records
j. The FOIA request is for data/statistics
k. The FOIA request is a PA Amendment
    a. The requester wants to correct information in their records
    b. The requester mentions "SAVE"
l. The FOIA request is a hybrid, the requester is seeking both A-File material AND non-A-File material (for example: "My child's A-file and all USCIS adjudication policies for Vietnam adoptions")

Items listed above are suggestive and not exclusive.

6.3.4.4.2 If you believe a request qualifies as a SIG request, Create the case in the NRC queue, but do not staff or create an acknowledgment

letter. Create the case as follows: Track 2; Type: FOIA Request; Source: Others; Category: Others. Do Not enter subject's name or A-Number. You must enter a short description into the Topic block. Send an e-mail to NRC, FOIASIG and enter a discussion note into FIPS explaining the situation. Send the case to Unit Chief.

A SIG processor will review the case and move it to their queue if it is truly a SIG case. A SIG processor will then finish the creation, create the staffing and acknowledgment letter. If you have questions or need to send information regarding a possible SIG case send it to their e-mail address: NRC, FOIASIG.

FOIA INFORMATION BULLETIN

August 1, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

A cross reference has been added to **Appendix C, Processing Tables**, of the Processing Guide:

Numeric Cross-Reference for commonly seen forms

I-90	Application to Replace Alien Registration Card
I-94	Departure Record
I-200	Warrant for Arrest of Alien
I-203	Order to Detain or Release Alien
I-203A	Order to Detain or Release Aliens
I-205	Warrant of Removal/Deportation
I-210	Notice of Action - Voluntary Departure
I-213	Record of Deportable/Inadmissible Alien
I-217	Information for Travel Doc or Passport
I-218	Record of Persons & Property Transferred
I-220	Order of Supervision (Multi Pgs)
I-220A	Order of Release on Recognizance
I-221	Order to Show Cause and Notice of Hearing (Multi Pgs)
I-229	Warning for Failure to Depart (Memo w/other Doc Attached)
I-246	Application for Stay of Deportation or Removal
I-247	Immigration Detainer - Notice of Action
I-259	Notice to Detain, Remove, or Present Alien
I-264	Notice to Consular Officer Concerning Detention
I-265	Notice to Appear, Bond & Custody Processing Sheet (Multi Pgs)
I-274	Notice & Request for Disposition (Multi Pgs)
I-275	Withdrawal of Application for Admission/Consular Notification
I-286	Notice of Custody Determination
I-294	Warning to Alien Ordered Removed or Deported
I-296	Notice to Alien Ordered Removed/Departure Verification
I-305	Receipt of Immigration Officer US Bonds (Multi Pgs)
I-323	Notice of Immigration Bond Breach
I-340	Notice to Deliver Alien
I-352	Immigration Bond (Multi pgs)
I-385	Alien Booking Record
I-387	Report of Detainees Missing Property

I-391	Notice of Immigration Bond Cancelled (Multi pgs)
I-395	Affidavit In Lieu of Lost Receipt of US INS for Collateral Accepted as Security
I-485	Application to Register Permanent Residence
I-696	SAW
I-770	Notice of Rights and Request for Disposition (Multi Pgs)
I-751	Petition to Remove Conditions
I-826	Notice of Rights and Request for Disposition (Multi Pgs)
I-830	Notice to EOIR: Alien Address
I-851	Notice of Intent to Issue a Final Administrative Removal Order
I-851A	Final Administrative Removal Order
I-860	Notice & Order of Expedited Removal
I-862	Notice to Appear (Multi Pgs)
I-871	Notice of Intent/Decision to Reinstate Prior Order
CBP 93	Unaccompanied Alien Child Initial Placement Referral Form
G-56	Letter of Appointment
G-391	Official Assignment Sheet
G-589	Property Receipt
G-600A	Investigation Preliminary Work Sheet
N-400	Application for Naturalization
N-600	Application for Certificate of Citizenship

Paragraph 27.31.c of the Processing Guide has been amended as follows (addition in red):

27.31.c If we cannot tell if a third party photograph of a person's face has been provided to us by the subject of the file or the requester, please withhold the photograph citing Exemption (b)(6). One exception would be a third party photograph that has appeared in a newspaper article. Such a photograph would be considered "public domain" and should be fully released. If the subject of record is in a group photograph, such as a wedding or family event, fully release the photograph.

Paragraph 27.36, Choicepoint/Discovery Plus/CLEAR Documents of the Processing Guide has been amended as follows (additions in red):

Choicepoint and Discovery Plus (there could be others such as CLEAR, LexusNexis Faces of the Nation, and Accurint) are research tools used by adjudicators or investigators. Fully withhold documents from systems such as these citing (b)(6) for third party PII, (b)(7)(C) for information relating to law enforcement and (b)(7)(E). If you are processing a Privacy Act case, you will need to apply Exemption (k)(2). Apply only the applicable exemptions.

Paragraph 28.09, Federal Bureau of Investigation documents of the Processing Guide has been amended as follows (additions in red):

When processing an A-file that contains documents that originated from the FBI's Criminal Justice Information Services (CJIS) Division, including the FBI "rap sheets", National Crime Information Center (NCIC), and Interstate Identification Index (III) print outs, we should ensure that the documents belong to the subject of the file, consent is present and the identity of the person has been confirmed before processing. This rule does not include TECS/IBIS screen prints referring to NCIC.

If you positively identify the document as belonging to the subject of the file, you would normally release the documents fully, however, there may be exempt information on them. ~~The information on these documents that is exempt from release is a~~ Agent names, third-party names, or any personally identifying information relating to others are all exempt under (b)(7)(C). Any mention of "KST," "known or suspected terrorist," NAILS, or IBIS status would be exempt under (b)(7)(E).

USCIS FOIA INFORMATION BULLETIN

February 29, 2016

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 6.1.1.10. RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

6.1.1.10 If the request came to us on Form G-639, you should use the name and address of the Requestor in Section, "*Requestor Information*."

If you have a conflict between addresses on a properly filled out G-639 and G-28, please use the address on the G-28.

~~If the request is on Form G-639, please do not use the address on the envelope, or Form G-28 or letterhead as the Requestor address without first speaking with a supervisor about it, and after you do, create a Discussion saying you did so. If there is, a cover letter or other document specifying that the records should be sent to a different address than the one specified on the request, use the one the Requestor specifies. Please create a Discussion explaining why you are not mailing it to the address in *Requestor Information*.~~

If the request is not on Form G-639, please use the address that is on the letter unless the Requestor specifies a different address. If you are unsure, please consult a supervisor and add a Discussion explaining your decision.

If the Requestor included a G-28, please look to see if the Requestor is an attorney. If the Requestor is an attorney, please look at the name of the firm. If the name of the firm includes the attorney's name, please make the second line of your address "Attorney at Law." If the name of the firm does not include the attorney's name, please make the second line of the address the name of the firm. If the Requestor is not an attorney, then simply use the address that is in the *Requestor Information* block of the G-639. For further guidance, please refer to section 6.1.1.17 of this guide.

We have updated and changed the name of section 20. Requests for Certified Copies or Certificate of Non-Existence to Request for Certified Copies of the Processing Guide as follows (new information in red, ~~deleted information in strikethrough~~):

20. REQUESTS FOR CERTIFIED COPIES ~~OR CERTIFICATE OF NON-EXISTENCE~~

~~If the request contains any reference to "certified copies" or "certificate of non-existence" please e-mail that information, along with the page you found the document on to NRC, NRCFOIAMSB, and send a cc to your supervisor.~~

If you have a request for certified copies, and it has not been addressed in the Case Create role, please perform the following actions:

Certification of record:

Insert a Discussion "certified documents requested."

Process the case as normal. If you are closing the case as no record, total denial or failure to comply, there is no need to address certification of record in the final action letter.

If you are not closing the case NR, TD or FC, and if the Requestor does not want a copy of the whole file, but specifically requests only a certified copy of a particular document, you will be closing the case NB.

According to the situation, please add the following paragraph(s) into your Final Action Letter:

NB Situation 1: If a request is only a request for a certified copy of a Name Change document, insert the following paragraph:

> "Regarding your request for a certified copy of Name Change document, you may check with the Court that issued and certified the Name Change document."

NB Situation 2: If a request is only for a certified copy of Certificate of Naturalization of a living person and not a request for the whole file:

> "This is in response to your request for a certified copy of your Certificate of Naturalization. To request a "Certified True Copy" of your Certificate of Naturalization, and if you have the original document, you must make an appointment at your local USCIS office by using the on-line InfoPass Appointment Scheduler. If you do not have the original document, to request a replacement of your Certificate of Naturalization, you must fill out Form N-565, Application for Replacement Naturalization/Citizenship Document. Please see www.uscis.gov for more information about these processes and the downloadable Form N-565.

If you have additional questions, you may contact your local USCIS Office or call the National Customer Service Center at 1-800-375-5283 (TTY 1-800-767-1833)."

If the request is for a copy of the whole file, and there is a request for certified copy of a naturalization certificate of a deceased person or if it is a request for any other documents that may be within the file, you will not close the case NB.

Please add this paragraph to your Final Action Letter:

"You requested a certified copy of a U.S. Citizenship and Immigration Services (USCIS) record. The National Records Center does not certify documents and is responding with a copy of these records as required under the Freedom of Information Act/Privacy Act."

DRAFT FOIA INFORMATION BULLETIN

February 25, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated Section 6.3.1.3.3, Already Approved Requests for Track 3 Processing with Pending Cases of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

6.3.1.3.3 Already Approved Requests for Track 3 Processing with Pending Cases

Before you create the case, look at the documentation and/or check for a duplicate. Sometimes you will find a current, open pending case which is ***already approved*** for Track 3. If you find another case and it is not a DP case, simply click "Send to Research" and you are finished with the case. Add a Discussion to the original case, "Research, original case already approved for Track 3 processing please attach as CSD". If it is an exact duplicate request to the existing pending case and already approved for Track 3 processing, you will close this case as final action DP: ~~ER –~~ Duplicate ~~case~~. Add a Discussion to the original case, "Research DP Case closed as DP ~~ER~~ and provide the NRC control number." (See section 6.4 for information on Searching for Duplicates.)

We have updated Section 6.3.6.1, Letter C of Reviewing Expedited Treatment Requests of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

6.3.6.1 Reviewing Expedited Treatment Requests

C. If you find a recently closed case with the final action codes of RD, RF, or DP, ~~or ER~~, it may also be a duplicate request with a request for expedited treatment. Refer to section 6.4 if you determine it is, but otherwise refer to section 6.3.6.2.3.

We have updated Section 6.3.6.2.3, Search for Duplicate Cases of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

6.3.6.2.3 If the expedited treatment request refers to a case that *has already been closed*, either close it as DP and send a duplicate letter or create it as a new case.~~, or attach as DP, (duplicate) and close with the ER(created in error) final action code, based on the situation. To close a case ER, please refer to section 15 of this guide.~~ If in doubt, consult your supervisor. Please refer to the section 6.4 on DP (duplicate) Cases, and the previous

guidance listed above on reviewing expedited treatment requests. Create a Discussion with your findings on the original FOIA case prior to sending to Research or closing as a DP case.

We have updated Section 6.4, Search for Duplicate Cases of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

6.4 SEARCH FOR DUPLICATE CASES

Before you begin filling in the worksheet, you should look for duplicates. Duplicate cases are cases in which the request was submitted multiple times to the Service, ~~or~~ was inadvertently scanned into FIPS multiple times, or are cases that we previously processed. To be considered a duplicate, a request must be from the same requester, include the same request documents dated on or about the same date and is seeking the same information about the same subject. If there is a request with an ICE or CBP referral letter, the letter should have been attached to the ***open pending original case*** as a CSD. Please do not close this case ER. Send the case to research.

Sometimes a requester will take a "shotgun" approach. He or she will submit the same FOIA request multiple times to ICE, CBP and CIS, hoping to get an answer more quickly. The receiving offices will then in turn, send these requests to NRC. These are true duplicate cases when an office has ***already processed*** this request with a final action code of either ***PD or G1.*** If the original case is ready to be processed, send to research to attach as a CSD. If we closed a previous case FC and the requester is now providing additional information, it is not a duplicate.

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Follow the guidance in section 6.4.~~ Set this case as a DP (duplicate) case to the open pending original case and modify (insert the "Upon review" statement…) your Final Action Letter. ~~and close your case with a final action code of ER~~.

If the date of the request is either the same as your request or within a very few days and:

A. The requester is the same, and
B. The information being requested is the same in both requests,

~~Do not~~ Close this case as a duplicate. Attach the case as a duplicate case by selecting "Set this case as duplicate to original case", next select "Create Case" and close the case with a final action code of ~~ER~~ DP and modify (insert the "Upon review" statement…) your Final Action Letter. Next, enter a case Discussion and send the case to the Up-front Approver.

If you are not sure your case meets the duplicate requirements, create a new Discussion in the case and send the case to Unit Chief. Send your supervisor an e-mail with the case information for his or her review.

We have updated Section 32.9, Wrong Records of the FOIA/PA Assistants Guide as follows (new information in red):

32.9 Wrong Records. Occasionally you will pull a case in Records Locator queue and there is a Discussion stating the wrong records have been scanned into the case. This will require some investigative work before a solution can be determined.

32.9.1 Did the Case Creator use the wrong alien number? If so, please request the correct file. You must then send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and Tracy Bellisime and ask that the wrong records be removed.

32.9.2 Did the requester ask for a copy of a petition they filed on behalf of a beneficiary? If so, the case was probably set up incorrectly. Check first to see if there are two cases for the requester. If not, you will need to correct the one that exists to become a request for the beneficiary's information. Locate the correct records and re-staff only if you have the beneficiary's PII and VOI. If not, close as FC. For Procedure, please see section 16.

.

32.9.3 Did the scanning contractor scan the wrong records into the case? If you've reviewed the entire file and there was no mistake made by the FOIA unit, it is possible that the scanning contractor has scanned the wrong file into this case. Here are the steps to follow if you believe this may have happened:

32.9.3.1 Look for a pending case for the records that were scanned into your case.

32.9.3.2 If you locate a case, check to see if the responsive records have been scanned.

32.9.3.3 If the responsive records are not scanned into the case, send an e-mail to NRC, FIPS Problem, FOIA PROGRAM, and [redacted] and ask them to move the responsive records from your case over to the correct case. Also ask them to remove the responsive records from your case and staffing response to "pending."

(b)(6)

USCIS FOIA INFORMATION BULLETIN

February 25, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have revised sections 12.5 and 12.7.12 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

Do not request receipt files with a prefix from ~~any offices~~ other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). District offices issue work authorizations, but we cannot request those. For instance, you cannot request receipt number LOS0530775120, no matter where it is. However, if you find an unconsolidated receipt file LIN0530775120, and it is at LOS, you can request it.

We have revised section 7 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

This includes requests for any consolidated petitions the requester or petitioner submitted or provided on behalf of the beneficiary (subject of record, SOR). If the petitioner is the requester, and if the petition has been consolidated into the beneficiary's A-file, then we must have the beneficiary's consent. *If we are staffing the subject of record's A- file, and if the requester is not the same person as the subject of record, then we need consent from the subject of record.* If the petition has not been consolidated into the beneficiary's A-file, and the petitioner or the beneficiary is the requester, we may staff for it. ~~with consent of either the petitioner or the beneficiary~~.

We have added a clarification to section 12.1.1.6 of the *FOIA/PA Assistant's Guide*, as follows (new information in red):

A. If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than Kansas City, staff to Non-FOIA for the FCO. Please refer to the notice at the bottom of this section.

Notice - the file below is retired to the Washington FRC, but you should not staff to WAS. The FCO is BAL, so you should staff to Non-FOIA Office BAL. The same

principle applies if a file is retired to the SFR FRC - if the FCO is LVG, then you should staff to Non-FOIA Office LVG, and paste in the screen shot of the Retired Inquiry.

Staffed to: WAS
REQUESTED FILE

Office Code: NRC **Control Number:** NRC20130 **Date:** February 12, 2013

Alien Number: 0 **Subject:**

Retired Inquiry For A0

File #	Seq	Office	Retired Date	Accession Information	FRC Location	Box #
A0	000	BAL	5/29/1992 12:00:00 AM	Accession: 91-9125 Center: W - WASHINGTON FRC Sub Group: BAL	18201144	0011

We have revised section 6.3.4.3 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

There are ~~30~~ 35 different categories of requests. However, the most commonly used ones are:

We have added section 6.3.4.3 to the *FOIA/PA Assistant's Guide*, as follows (new information in red):

6.3.4.3 Deferred Action for Childhood Arrival

Category * Deferred Action Childhood

Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

We have added instructions to sections 16 and 25.2.5 of the *FOIA/PA Assistant's Guide*, as follows (new information in red):

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to Cindy Holt, our classified POC. Cindy holds on to the files in the FOIA Safe

until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

We have added instructions to section 42 of the *Processing Guide*, as follows (new information in red):

If you are closing a case WD or FC and there is a FOIA Safe Staffing, please send an e-mail to [redacted] our classified POC. [redacted] holds on to the files in the FOIA Safe
(b)(6) until the case is closed. Once she is notified the file is no longer needed, she will return the file to the original FCO.

USCIS FOIA INFORMATION BULLETIN

February 24, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

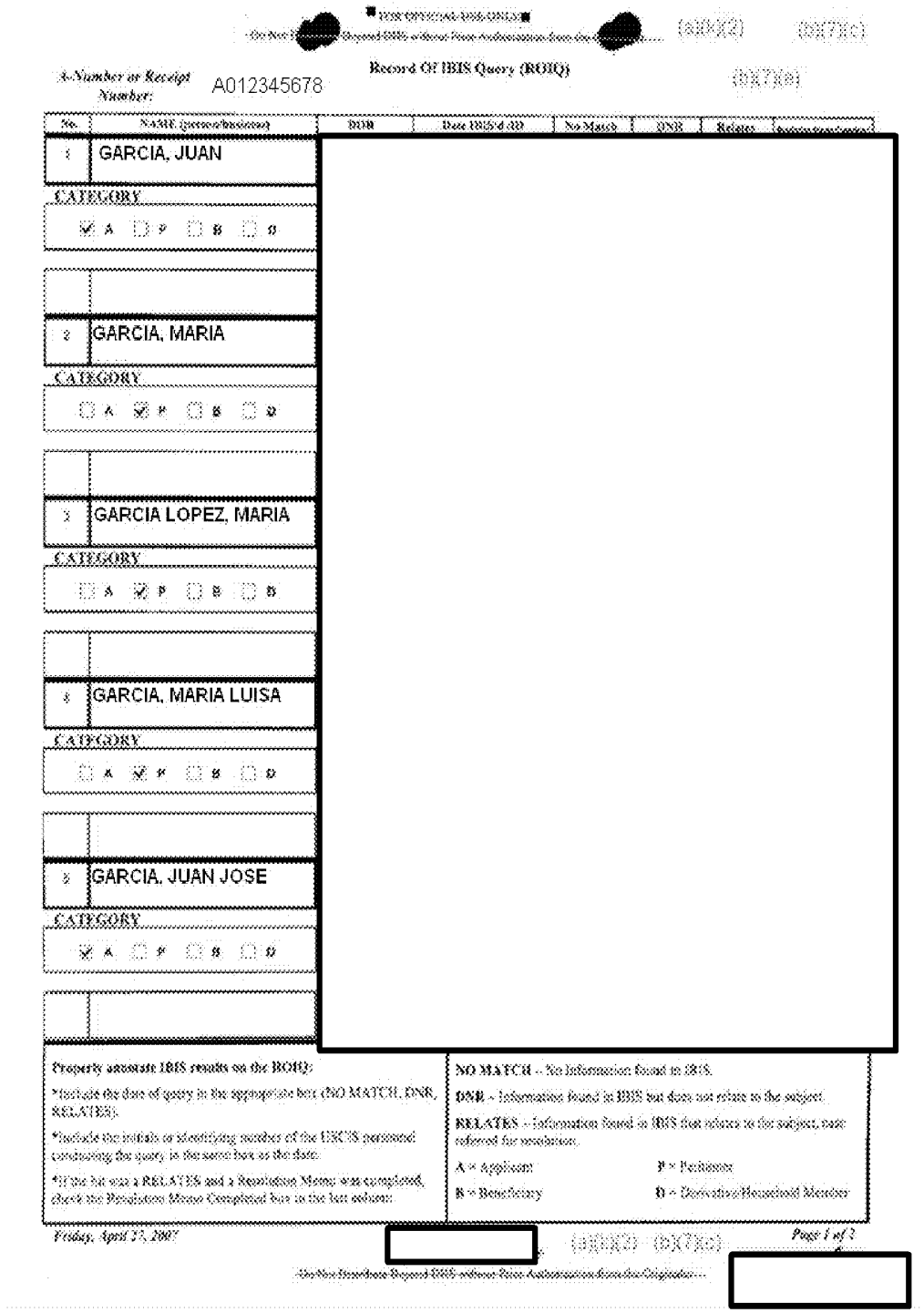
Section 7, **DECISION TO PROCESS AS FOIA OR PA** has a small addition, in red:

- An approved I-129, I-129F, I-130, I-140, I-360 or any other document with the word "petition" in the title does not mean you process the case as a PA – The approved petition is the first step, but there still has to be an approved I-485 or I-181 in order for you to process as PA.

We have added a new paragraph to the processing guide, as follows:

27.45.h Please partially withhold the Report of IBIS Query (ROIQ) citing Exemption (b)(7)(E), or (k)(2)/ (b)(7)(E) if the case is PA. If there are law enforcement officers' names and/or badge numbers, please also withhold those, citing (b)(7)(C), or (k)(2)/(b)(7)(C) if the case is PA. Examples follow:

(b)(7)(c) (b)(7)(e)



Record Of IBIS Query (ROIQ)

A-Number or Receipt Number: A012345678

No.	NAME (person/business)	DOB	Date IBIS'd ddmmyy	No Match	DNR	Relates	Lookout created
1	GARCIA, JUAN						
CATEGORY	☑ A ☐ F ☐ B ☐ D						
2	GARCIA, MARIA						
CATEGORY	☐ A ☑ F ☐ B ☐ D						
3	GARCIA LOPEZ, MARIA						
CATEGORY	☐ A ☑ F ☐ B ☐ D						
4	GARCIA, MARIA LUISA						
CATEGORY	☐ A ☑ F ☐ B ☐ D						
5	GARCIA, JUAN JOSE						
CATEGORY	☑ A ☐ F ☐ B ☐ D						

Properly annotate IBIS results on the ROIQ:

*Include the date of query in the appropriate box (NO MATCH, DNR, RELATES).

*Include the initials or identifying number of the USCIS personnel conducting the query in the same box as the date.

*If the hit was a RELATES and a Resolution Memo was completed, check the Resolution Memo Completed box in the last column.

NO MATCH – No information found in IBIS.

DNR – Information found in IBIS but does not relate to the subject.

RELATES – Information found in IBIS that relates to the subject, case referred for resolution.

A = Applicant F = Petitioner

B = Beneficiary D = Derivative/Household Member

Friday, April 13, 2007 Page 1 of 2

(b)(7)(c) (b)(7)(e)

RECEIPT NUMBER = EAC0812345 TOTAL RECORDS SELECTED = 1 DATE PRINTED = 9/21/2005 FORM TYPE = I129 RECORD OF IBIS QUERY
LAST C3 UPDATE = 20050921 LAST MANIFEST UPDATE = 20050921 USERID = [redacted]

C3 LAST NAME, FIRST NAME, MIDDLE NAME	DOB	DISP	RUN DATE	IBIS LAST NAME, FIRST NAME, MIDDLE NAME
M- GENERIC, BOBBY	1982001		20050921	GENERIC, BOBBY

(a)(3)(A)(2)
(b)(7)(C)
(b)(7)(E)

USCIS FOIA INFORMATION BULLETIN

February 18, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed Section 27.08, **Misfiled Documents** of the Processing Guide as follows (new information in red ~~deleted information in strikethrough~~):

- If both files are at the NRC, send an e-mail to the FST mailbox (NRC, NRCFOIAMSB) to have the file corrected. Please copy and fill out the "Misfiled Document Form" located in the Case Processing References Folder on O drive in the FOIA Library, or on the Operations ECN Processor library.

  ~~Include all pertinent information in your e-mail:~~

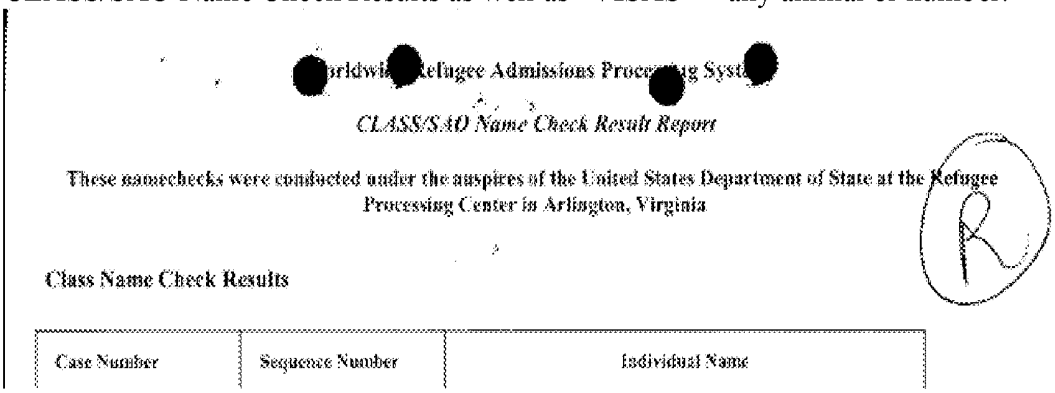
  ~~NRC Control number~~
  ~~Alien number of both files~~
  ~~Alien's name for both files~~
  ~~Types of documents that have been misfiled and page numbers.~~

We have added information to Section 28.06.a, which deals with State Department Referrals, in the Processing Guide as follows (new information in red ~~deleted information in strikethrough~~):

U.S. Department of State will make a direct response to requester on documents that we refer. "U.S. Department of State" is the referral choice in FIPS for Department of State. Generally, if a State Department document pertains to an investigation or a nonimmigrant visa, we refer the document to State. We do not hide the name of the agency. State Department has given us the following guidance for documents that are not third party:

- Process statements, acknowledgements, visa stamps, passports or visas the person has, or has received, or has signed.
- Process any immigrant visa paperwork *except Report 71, investigative, deliberative or law enforcement related documents.*
- Process documentation the alien would have filed to support immigrant visas, letters, or documents the alien would possess.

- Process any form that begins with an "I" (for example, I-130, I-140) even if it was filed overseas.
- Process the Report 24.
- Process the Immigrant Data Summary.
- Refer messages, letters, e-mails, checklists and cables having to do with visa determination or investigations. This includes any Visa Lookout System, CLASS/SAO Name Check Results as well as "VISAS" + any animal or number.



[redacted]rldwi[redacted]efugee Admissions Proce[redacted]g Syst[redacted]

CLASS/SAO Name Check Result Report

These namechecks were conducted under the auspices of the United States Department of State at the Refugee Processing Center in Arlington, Virginia

Class Name Check Results

Case Number	Sequence Number	Individual Name

- Refer nonimmigrant visa (NIV) applications.
- Refer Embassy/Consulate fraud investigations.
- Refer State Department law enforcement related documents.
- Refer Refusal Worksheets
- Refer ~~all~~ documents belonging to the United States Information Agency (USIA), unless the document deals with the former USIA's broadcasting function. If it has anything to do with broadcasting, you should refer it to the Broadcasting Board of Governors (BBG), which has its own FOIA operation, at the following address:

  BBG FOIA Office
  Room 3349
  330 Independence Ave. SW
  Washington, D.C. 20237
  (202) 203-4550

- Refer asylum related documents with State-originated material, such as interagency communications, advisory opinions and deliberative material, including any documents entitled "Country Conditions." (Examples follow this paragraph.)
- Refer electronic database prints with information owned by State, if it has to do with NIV or law enforcement.
- Refer Report 71 – Case Accountability Report, as it may be investigative or deliberative.
- Refer TECS II screen prints marked State Department.
- Refer any State Department document, whether it pertains to a nonimmigrant visa or an immigrant visa, if it bears the following warning:

Sensitive But Unclassified (SBU) – Information Protected under INA 222(f) and 9

- State Department does not wish to review third party documents. If you would ordinarily refer a page to the Department of State, but it pertains to a third party from whom we do not have FOIA consent, please place the page out of scope. If we do have FOIA consent from the third party, please note that in your summary discussion and in the referral letter to Department of State.

We have added instruction to Appendix C with reference to Form I-217

Information for Travel Document or Passport, I-217	Refer to ICE if there is any ICE or Legacy INS ICE function signature. Otherwise, release. Note: there may be a continuation sheet signed by a CBPO, in which case, you should withhold the CBPO's identity.	Release (b)(7)(C)	Release (k)(2) and (b)(7)(C)

USCIS FOIA INFORMATION BULLETIN

February 10, 2016

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section **7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI) (G-639, dated 3-31-15)

In addition, on February 17, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~

A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

We have updated section **7.2 Verification of Identity (VOI)** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

7.2 Verification of Identity (VOI)

In addition, on February 17th, 2011, we started accepting the required PII if provided via a birth certificate or other document if not written on the G-639. ~~We will continue to accept these as long as they are notarized or signed under penalty of perjury or include a sworn Jurat/Affidavit.~~

A current photo ID, ~~if not notarized or accompanied by a declaration under penalty of perjury specifically attesting to the information on the photo ID, is for information purposes only and is not~~ can be used for verification of identity.

We have updated paragraph **9.2.2**, under section **9.2 Redirection (RD)** of the FOIA/PA Assistant's Guide as follows (new information in red):

9.2.2 If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records. If you find an A-file, you should create the case and staff for the file. If unable to find the A-file, we are still required to provide any other records we find, including any applications, petitions, etc… However, unless receipt files are specifically requested, we will not produce receipt files in responding to an "All My Records" request. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no responsive record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. If the receipt is located at the NVC, do not redirect to the NVC. Have the screen prints of the receipt scan in as responsive records. Make sure the track is TRACK I. Create the request using RAFACS (not RAFACS/CIS). Find the information from the archived receipt in PCQS and print that information. Prepare a "Scan As" sheet to be scanned as responsive records for the case number you have just created, attach it to the screen prints to OneNote and send an email to FOIAPROGRAM.NRC@uscis.dhs.gov. On the subject line, put the control number and SOR's name. Pend the case.

We have updated section **32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for** of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

32.8.2 The Requestor/subject may not return the VOI or certification of agreement we asked for. If so, generate a FC letter and replace the contents of the letter with the appropriate FC letter depending on the version of the G-639. Create a Discussion explaining the FC. Send the case to the Up-front Approver when you are finished.

The ~~two~~ three versions of the FC letter:

O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_G-639_Unperfected Letter_for_3-31-2015 or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_Unperfected Letter or
O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_References_ Unperfected Letter for Older G-639 version

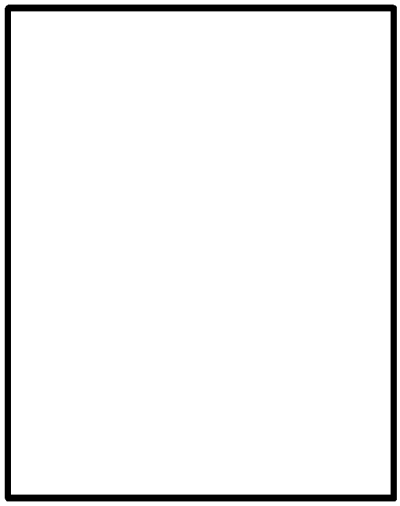
We have updated all unperfected letters by deleting the following sentence as follows (deleted information in strikethrough):

~~Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.~~

We have updated section **21**, **CLASSIFIED RECORDS** of the Processing Guide as follows (new information in red, deleted information in strikethrough):

21. CLASSIFIED RECORDS

We do **not** process classified records containing National Security Information (NSI) in FIPS. However, if there is an inadvertent classified data spill and you encounter a document bearing a security classification marking (Confidential, Secret, Top Secret, Sensitive Compartmented Information[SCI], or Department of Energy[DOE] Restricted/Formerly Restricted) immediately
(b)(6) stop processing, lock (but do not turn off) your workstation, and contact one of the following people in this order:



The person authorized to handle classified documents will verify the document is classified NSI by viewing the document(s) on the employee's computer screen. If the document is determined to be classified, the employee who is cleared for NSI will contact their supervisor and one of the following ~~individuals~~: either of the NRC Field Security Managers, [redacted] ~~Field Security Manager~~ [redacted] the Local Security Officer, [redacted] or the National Benefits Center (NBC) Field Security Office [redacted] ~~the National Benefits Center (NBC)~~. In addition, the NSI cleared employee should print out the FIPS history and provide it to ~~Tim Luke or Mike Wilson~~ an NRC Field Security Manager.

If you are teleworking and encounter a document bearing a security classification marking (Confidential, Secret, Top Secret, SCI, or DOE Restricted/Formerly Restricted) in FIPS, please immediately stop processing, save the responsive record, exit FIPS and power down your workstation. Next, call your supervisor and one of the above NSI cleared individuals to notify them of a potential classified data spill. This is the type of statement you should use when making notifications, "I may have run into NSI information while processing." When instructed, undock the laptop and proceed immediately to NRC with your laptop to have the documents reviewed by a NSI cleared employee.

Once the NSI cleared person confirms the document is classified, you must call the Citizenship and Immigration Services ~~Network~~ Security Operations Center (~~CISSNOC~~ CISSOC) immediately at ~~(303) 542-8501~~ (228) 689-0663. Explain that classified information has been found in a non-secure environment, answer their questions if you can, and ensure you obtain the incident remedy ticket; it should be a number preceded with INC – INC#xxxxxx. After you have the incident number, you should immediately call local OIT staff so they can start local remediation efforts.

After ~~CISSNOC~~ CISSOC notification, the discoverer ~~and~~ with his or her supervisor must draft a Security Violation Report (DHS 11000-10). For the employees that have accessed the file without the appropriate security clearance, an Inadvertent Disclosure Agreement Statement (IADS) is also necessary. The NSI cleared employee and/or your supervisor will discuss it with you.

We have updated section 42, **FAILURE TO COMPLY (FC) CASE CLOSINGS** of the Processing Guide as follows (new information in red, deleted information in strikethrough):

42. FAILURE TO COMPLY (FC) CASE CLOSINGS

~~In addition,~~ When the Form G-639 changed on 01/29/2012, the blocks for certification of agreement and VOI ~~are now~~ changed from 3 and 4 ~~instead of~~ to 7 and 8, respectively.

To solve both these issues, we have two letters that we copy and paste in place of the FC letter, called Unperfected Request letters.

One letter, simply called "Unperfected Letter," is for unperfected requests on the 01/29/2012 version of the Form G-639. ~~You can find this letter at:~~

~~http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Library/Forms/AllItems.aspx~~

~~The other~~ Another letter, called "Unperfected Letter for Older G-639 version" is for any other version of the Form G-639 older than 01/29/2012. ~~You can also find this letter at the link shown above.~~

In addition, we had a change to the Form G-639 on 03/31/2015 concerning VOI and Certification of Agreement.

~~Alternatively, you may go to~~ You can find each of these letters at O:\Foia\FOIA LIBRARY\Case Create References\Case Create References.

USCIS FOIA INFORMATION BULLETIN

February 3, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

FST has updated the Staffing Sheet Guide – it can be found in the Common drive at O:/FOIA/FOIA Library/Case Create References/Staffing Sheet Guide – 1-23-2015

1. A section on digitized files was added.
2. MSC/NBC now scans files directly into FIPS, along with the other Service Centers. This means that you must make a separate staffing if there are any NRC related T-files. Before this change, any NRC related T-files would automatically be scanned on site.

We have updated and changed the name of Section 8.4, **REQUESTS: Bond obligor, no certification of agreement required, not USCIS FOIA** of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

8.4 REQUESTS: Bond obligor, no certification of agreement, closed as a Total Denial ~~required, not USCIS FOIA~~

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law.

Immigration bond obligors are surety companies who have posted an immigration bond (Form I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond. ~~Under the court case *Amwest v. Reno*, the surety companies, or their attorneys, are entitled to a complete copy of the alien's file to assist them in trying to locate the alien. Certification of agreement is not required for the bond obligor; however, they should provide a copy of the bond contract, Form I-352, with their FOIA request.~~

~~We no longer process requests received from immigration bond obligors or criminal bond obligors.~~

These requests ~~are~~ previously were processed by Immigration and Customs Enforcement.

We will now create bond obligor requests under FOIA.

Since there is no certification of agreement provided with bond obligor cases, we will close these as a TD.

Please refer to Section 16a, TD (total denial) CASE CLOSINGS.

~~**Closing as ER- Bond Obligor Cases**~~

~~A. Select the "Final Action Letter" from the Tasks tab. Select "ER" from the final action codes list. FIPS will not generate a letter.~~
~~B. Create a Discussion with your findings for the Up Front Approver, "UFA-This case is a Bond Obligor Case" and explain why.~~
~~C. Move the case to the Up Front Approver queue.~~
~~D. Please send an e-mail to your supervisor and NRC, FOIAOA and provide the REQ number or control number, and also include the requester's name.~~

~~The OA room will mail the request to ICE.~~

We have updated Section 43, **A-FILES CONTAINING MEDIA** of the FOIA/PA Processing Guide as follows (new information in red, deleted information in strikethrough):

43. A-FILES CONTAINING MEDIA

Once a case is processed, the processor should send an e-mail to the NRC, FOIAMEDIA mailbox with "Media" in the subject line. Include the control number, A-number, and the page number(s) where the media can be located.

Modify the final action letter by inserting the following sentence: "The copy of the media located in your file will be addressed under a separate cover."

If you believe the media has a transcript, please process and when you e-mail the FOIA Media mailbox, state you believe it is a transcript and also note the page number(s) where the transcript is located in the file.

In the Summary Discussion, annotate that the file contained media, the page number(s) and that you have notified **NRC, FOIAMEDIA**. This should be done in every circumstance.

All files that contain media will be addressed. A separate letter is sent by the employee processing the media.

We have updated Section **12.18.11**, **T-files** of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

12.18.11 T-files

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC, NBC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. This includes any digitized files. ~~MSC is the only service center that sends the A-file to the NRC for scanning.~~ Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

We have updated Section **12.5**, **Service Centers** of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~):

12.5 Service Centers

The Service Centers ~~(except MSC/NBC)~~ scan the responsive records into FIPS when they are the FCO for that file. Please see the Staffing Sheet Guide for more instructions on requesting these types of Service Center files.

We have updated Section 8.18, **Subpoena or court order** of the FOIA/PA Assistants Guide as follows (new information in red, ~~deleted information in strikethrough~~):

8.18 SITUATION: Subpoena or court order

If you pull a new request that is a subpoena or court order, please send it to Up-front Approver for closure as ER.

A. Create the case.
B. Create a Discussion with findings for the Up-front Approver to close as ER
C. Send a message to NRC, FOIA PROGRAM~~;~~ and the current OCC Paralegal ~~Cameron, Lincoln L~~, providing the ~~REQ~~ NRC control number and information indicating the request was a subpoena or court order. The Chief Counsel's Office is currently addressing these requests. Subpoenas or court orders are a high priority. Please notify NRC, FOIA PROGRAM as soon as possible.
D. If you aren't sure, please contact your supervisor for guidance on how to proceed.

USCIS FOIA INFORMATION BULLETIN

February 1, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have revised section 12.7.12.4 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

12.7.12.4 If the requester specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and consent, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need consent, please refer to section 7 of this guide. If the receipt is not available in records, please refer to sections 12.7.13 and 12.7.14. If it is available in records in NFTS, first verify the receipt number belongs to the subject, ~~search NFTS~~ and then staff for that receipt file. ~~Or~~

If the receipt has been consolidated into an alien file, the situation is different. If you have VOI (and consent, if necessary) from the person whose alien file the receipt has been consolidated into, then you should verify the alien number belongs to the subject and staff for that alien file. ~~If the subject of the request is the petitioner on a petition you will need to create the case in the name of the beneficiary. If there is consent from the beneficiary, search NFTS and staff for that receipt file.~~ If there is no consent from the ~~beneficiary~~ person whose alien file the petition has been consolidated into, you will close the request as FC. Refer to 16. "FC (failure to comply) CASE CLOSINGS."

USCIS FOIA INFORMATION BULLETIN

December 20, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added to Section 12.7.16, Staffing ELIS, of the *FOIA/PA Assistants Guide* as follows (new information in red):

(b)(6)

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy [redacted] The subject of the e-mail should be "ELIS staffing" and the body of the e-mail should be the case number.

We added a table to Section 7, CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

Who is the requester?	Certification	VOI	Close?
Self	Not needed	If adequate	No close - staff
Self	Not needed	If inadequate	FC – Sec. 16b
3rd Party (incl Atty)	If adequate	If adequate	No close - staff
3rd Party (incl Atty)	If inadequate then	Does not matter	TD – Sec. 16a
3rd Party (incl Atty)	If adequate	If inadequate	FC – Sec 16b
3rd Party (incl Atty)	Other proof (death cert, proof of guardianship)	Must establish identity of subject of record	No close - staff

We have added instructions to Section 7.1, Certification of agreement of parents or guardians, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

Please note: if the request references a baby from Vietnam, Cambodia, Guatemala, Nepal or Ethiopia, please refer to section 8.23 of this guide. If the requester is a prospective adoptive parent, we will provide any documents concerning them. If unsure, please consult a supervisor.

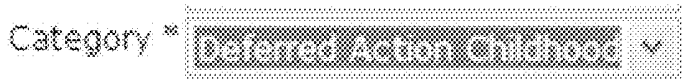
USCIS FOIA INFORMATION BULLETIN

December 14, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 6.3.4.3, Deferred Action for Childhood Arrival of the FOIA/PA Assistant's Guide as follows (new information in red):

6.3.4.3 Deferred Action for Childhood Arrival



Please select Category: Deferred Action for Childhood Arrival in any of the following circumstances:

- If the subject of record mentions DACA or Deferred Action for Childhood Arrival
- If the subject mentions being a child on arrival in the United States
- If the subject mentions the "DREAM Act" and you can tell he or she is referring to DACA
- If you see evidence that the person filed Form I-821D in CLAIMS or PCQS.

Exception: If the FCO is SFR, please select SFR as the category. SFR has priority.

We have updated section 19.3, Deferred Action for Childhood Arrival of the FOIA/PA Processing Guide as follows (new information in red):

19.3 Deferred Action for Childhood Arrivals

Please change the Category to "Deferred Action Childhood" if you see Form I-821D in the file or other evidence that the person filed for consideration of Deferred Action for Childhood Arrivals (for example, an approval notice).

Click "Save" and then insert a Discussion with the page number where you found the Form I-821D or other evidence.

NOTE: If the category "SFR Cases at NRC" is selected, but you determine that you have a DACA case, please change the category to DACA for inclusion in our annual report.

We have updated various sections that referred to 12.7.12, 12.7.13 and 12.7.14, none of which exists. Changed all to the correct references in the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

12.14 EAD numbers (100,000,000 through 199,999,999)

If the alien number provided by the Requestor is 100,000,000 through 199,999,999, it is an EAD (Employment Authorization Document) card number. There is no physical A-file associated with EAD numbers, even though they can be researched in CIS. You will have to research CLAIMS to locate the receipt number that corresponds with the EAD number, and then request that receipt number. Please refer to sections ~~**12.7.12**~~ 12.16 and ~~**12.7.13**~~12.18.12.3 for additional information. If the receipt has been destroyed, follow instructions in ~~12.7.14~~ 12.18.14.

12.18.12.4 If the Requestor specifies a receipt file, and the receipt has not been consolidated, you may have VOI (and certification of agreement, if necessary) from either party and you may staff for the file if it is available in records. If you are unsure of whether you need certification of agreement, please refer to section 7 of this guide. If the receipt is not available in records, please refer to sections ~~12.7.13~~ 12.18.6 ~~and~~ or ~~12.7.14~~ 12.18.14 If it is available in records in NFTS, first verify the receipt number belongs to the subject, then staff for that receipt file.

32.11.2 If the receipt file is marked Lost, File Destroyed, File Cannot Locate, or Rejected, please refer to section ~~12.7.14~~ 12.18.14, *Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected.*

12.12.4 Empty Jackets

If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact MSB. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.18.6). If you found a receipt file, please refer to Section ~~12.7.12.~~ 12.18.12

12.18.14 Receipt files; Lost receipt file, File destroyed, File cannot locate or File Rejected

If NFTS shows a receipt has been "Deleted," please refer to section 9.2. Section 12.18.14 is only for files that show Lost, Destroyed or Rejected in NFTS or if we receive a staffing response saying "File cannot locate."

USCIS FOIA INFORMATION BULLETIN

December 14, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

Based on guidance from Office of Chief Counsel, absent consent by the records subject, we will no longer provide documents to a third party requester. While generally we have followed this approach, if the requester is an individual who may have submitted or otherwise be aware of information in the records subject's A-file (such as a petitioner or a former representative of the subject) we would, in some instances, release the information. In accordance with this guidance, **Section 12, THIRD PARTY REQUESTS** of the Processing Guide has been changed as follows (new information in red, ~~deleted information in strikethrough~~)

A third party requester is any person who asks for access to another individual's record without that individual's written consent. The identity of a third party requester and his/her relationship to the subject does not increase (or decrease) his/her rights of access to the records. Upon receipt of a third party request, close the case as a Failure to Comply. This includes a petitioner who may be asking for a photocopy of the Affidavit of Support he or she filed for an estranged spouse. If we do not have consent of the subject of record, we will not disclose the information. ~~Third party requesters are entitled to documents they submitted or filed on behalf of the beneficiary; however we do not always release all documents prepared by petitioners back to them. Therefore, in cases like this, simply staff for the file and put a Discussion in FIPS that there is no consent. Media requests for alien files are almost always third party requests also.~~

Paragraph 7.4, Third party requests of the FOIA/PA Assistant's Guide has been changed as follows (new information in red, ~~deleted information in strikethrough~~)

Third party requesters are not entitled to any public documents that may be in the file they are seeking, ~~as well as~~ nor documents they provided in support of an application or petition. For example, if a wife is looking for a copy of her husband's file so that she may divorce him, and says in her request letter that she does not know where he is or says she cannot get his consent, do not send a request back to her for her husband's consent. In a situation like this, close the case as a Failure to Comply. ~~simply request the file and put a Discussion in FIPS that it is a third party request without consent. In the above example, if she did not specifically say she cannot get his consent or that she does not know where he is, do not request the file. In a situation like this, send a request for consent and pend the case for requester documentation.~~

Additionally, any section in the guide pertaining to release of documents originally supplied by a petitioner will be changed. In the interim, please clarify any uncertainties through your supervisor.

USCIS FOIA INFORMATION BULLETIN

March 29, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section 8.13 to the *FOIA/PA Assistant's Guide* as follows (new information in red):

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody , each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx)by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

We have changed section 12.2 of the *FOIA/PA Assistant's Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

~~Choose the track according to what the requester asked for.~~ Create as Track 1, category OTHER.

We have changed section 12.7.14 of the *FOIA/PA Assistant's Guide* as follows (new information in red), ~~deleted portion in strikethrough~~):

~~the case creator will need to follow the steps outlined below.~~ create as Track 1, category OTHER.

We have added a new section 27.48 to the *Processing Guide* as follows (new information in red):

27.48 Record of Information Disclosure (Privacy Act), Form G-658

Please mark Form G-658 Out of Scope if the "Disclosed to" agency is law enforcement or intelligence community. If the "Disclosed to" agency is for purposes of obtaining a benefit, please fully release. A listing of intelligence community agencies is at section 28.01.b. If you are unsure of the nature of the disclosure, please consult a supervisor.

We have made a change to Appendix H of the *Processing Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

I-485, Application to Register Permanent Residence or Adjust Status

If you are processing under FOIA and the subject of record filed the I-485, please fully release it, unless there are protected systems check results on the first page. ~~withhold third party information on the I-485 on requests made by the subject of the file or by an attorney/representative if consent is not present.~~

USCIS FOIA INFORMATION BULLETIN

March 28, 2016

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated and changed the name of section 12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases to Creating Staffing and Acknowledgement letters for ELIS2 cases of the FOIA/PA Assistant's Guide as follows (new information in red, deleted information in strikethrough):

NOTE: All forms have either migrated to ELIS2 or are handled outside of Legacy ELIS.

Any references from this point on refer to ELIS2.

Any time you create an ELIS2 staffing, please send an e-mail to NRC, FOIA QA-CS and copy Tracy Bellisime. The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

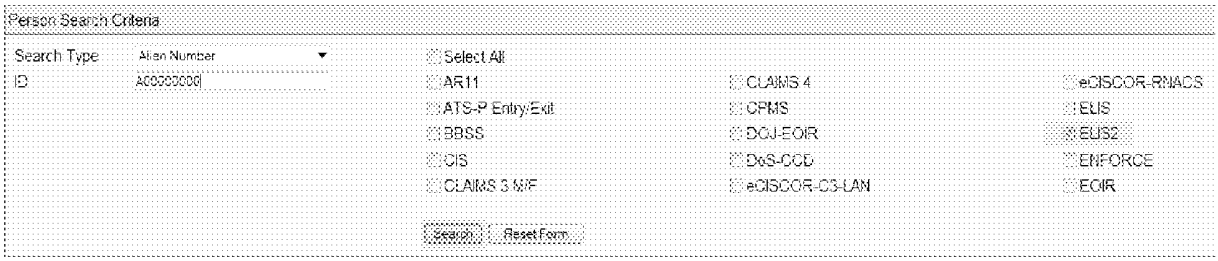
~~(The updated slideshows; ELIS Research Staff Redact – ELIS, and ELIS Research Staff Redact – PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).~~

12.18.16 Creating Staffing and Acknowledgement letters for ELIS2 cases

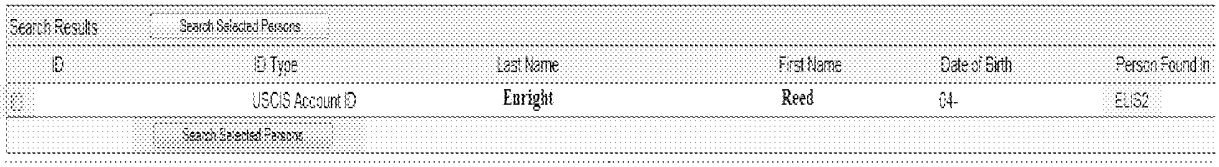
12.18.16.1 Deleted

Step 1: Find the IOE Receipt Number

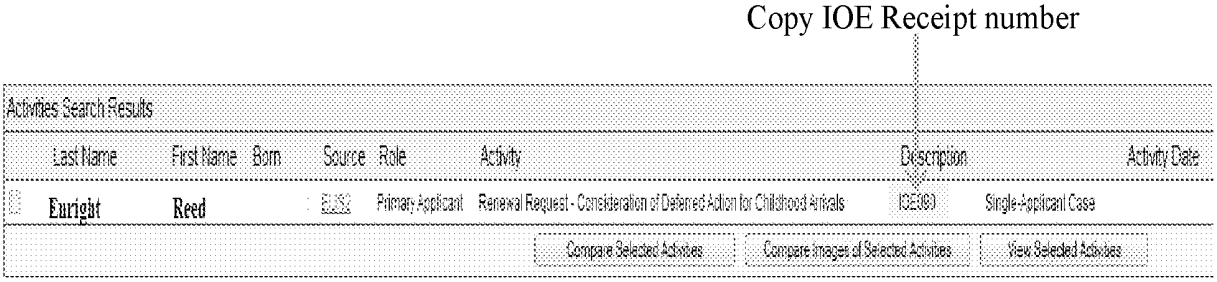
Whenever you create a case, please check ~~both~~ the ~~ELIS and~~ ELIS2 block~~s~~ in PCQS to search for ~~ELIS information~~ the IOE Receipt number.



If you get a response of "Person Found In: ELIS2," please ~~click twice~~ check the box and click "Search Selected Persons" to get your IOE Receipt number.



You will come to the page below, "Activities Search Results." Please copy the IOE Receipt number.



12.18.16.2 Deleted

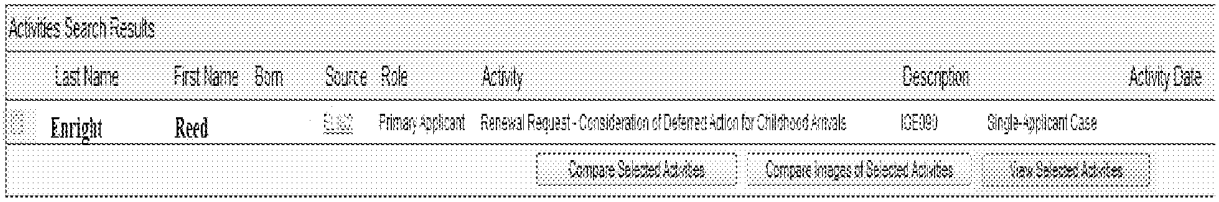
Step 2: Is the case open or closed?

~~To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:~~

~~1. Is this a self-request or a request from Attorney/Representative/Others?~~
~~2. Is the case open or closed?~~

~~You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS (same place where you copied the IOE number above), the "Primary Applicant Summary" default screen will display.~~

Using this same Activities Search Results section, check the box on the ELIS2 line, then click "View Selected Activities."



~~Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:~~

~~A. Accepted~~
~~B. Optimized~~
~~C. Reopened~~
~~D. Closed~~

On the ELIS2 details screen, find the "Case State" in the "Account Header" section.

If the case state is accepted, optimized or reopened, your case is open. ~~Closed means closed~~.

Account Header	
Name	Reed Enright
Alien Number	A2
Account ID	0
Date of Birth	0
Country of Birth	
Place of Birth	
Gender	
Case ID	
Case State	Accepted
Case Status	
Case Sub Status	Pending Prior Case Card Expiration

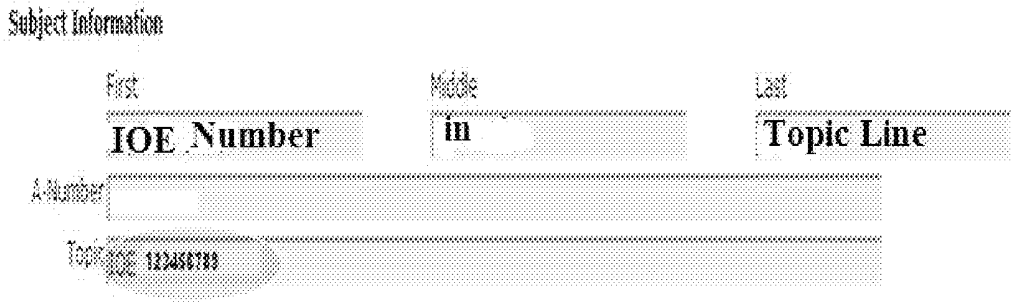
NOTE: The Case State can also be found in the Case Details section of your screen print.

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Accepted
Case State Date	0

12.18.16.3 Deleted

Step 3: Create the Case/Put IOE Receipt Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.



NOTE: Putting the IOE Receipt number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, ~~either~~ create a~~n SSC or ESC~~ staffing to the correct File Control Office.

Step 4: Is your requestor an attorney/representative or is this a self-request?

If you answered "yes" to either choice, go to Step 5a(1) to create your Staffing and Acknowledgement letters. You will be inserting specific language into both letters.

If the requestor is other than an attorney/representative or a request from the subject of record, go to Step 5b(1) to change your Staffing letter only. There is no change to the Acknowledgement letter.

A wife requesting her husband's file is an example of an "other."

If the case is closed (see example below), it doesn't matter who the requester is.
Go to Step 5b(1).

Case Details	
Case ID	
Receipt Number	IOE090
Receipt Date	
Case Status	
Case Status Date	0
Case State	Closed
Case State Date	0

Step 5a(1): Staffing letter

Open cases from Attorney/Representatives or self-requests:

- Replace the Alien number at the top and bottom of the page with the IOE Receipt number
- Replace the first part of the second bullet which reads "Send a copy of all responsive documents to the FOIA office in their entirety," with the sentence, "Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."
- Do not replace "**DO NOT MAKE REDACTIONS."** Leave it at the end of the second bullet.

Before:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
Alien #: 2
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
Alien #: 2
Subject Name: Reed Enright

After:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- **Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo. DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5a(2): Acknowledgement letter

Open cases from Attorney/Representatives or self-requests:

- Add the paragraph, "From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen," between the fee and CD paragraphs.

Example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

This office will be providing your records on a Compact Disc (CD) for use on your personal computer. The CD is readable on all computers through the use of Adobe Acrobat software. A version of Adobe Acrobat will be included on the CD. Your records can be viewed on your computer screen and can be printed onto paper. Only records 15 pages or more are eligible for CD printing. To request your responsive records on paper, please include your control number and write to the above address Attention: FOIA/PA Officer, or fax them to (816) 350-5785.

Step 5b(1): Staffing letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- Replace the Alien number with the IOE Receipt number at the top and bottom of the letter only. Do not replace the second bullet.

Example:

MEMORANDUM FOR:
NSC
P.O. BOX 82521
LINCOLN, NE 68501-2521

ATTN: via email
nsc,foiafilereq

FROM: NRC FOIA/PA

SUBJECT: Freedom of Information /Privacy Act Request NRC2016
IOEXXXXXXXXX
Subject Name: Reed Enright

The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- Send a copy of all responsive documents to the FOIA office in their entirety. **DO NOT MAKE REDACTIONS.**

Freedom of Information/Privacy Act Request, NRC20160
IOEXXXXXXXXX
Subject Name: Reed Enright

Step 5b(2): Acknowledgement letter

All closed cases or cases from others (not Attorney/Representatives nor self-requests):

- **There is no change to the Acknowledgement letter**

ELIS FAQ's

Q: The NFTS screen print says that ELIS is consolidated into a T-file. How do I fill out the Staffing Sheet?

A: If ELIS is consolidated into an A or T-file per NFTS, do not replace the A-number with the IOE receipt number or replace the second bullet. Create as a normal case (not in ELIS), except don't forget to add the IOE Receipt number to the FIPS worksheet.

Q: Which FCOs adjudicate the Form I-90?

A: MSC/NBC, SSC and WSC…check NFTS for the correct staffing.

USCIS FOIA INFORMATION BULLETIN

March 28, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added additional instruction to section 7.1 of the FOIA/PA Assistant's Guide as follows. (Deleted information in ~~Strikethrough~~, new information in red):

7.1 Certification of agreement of parents or guardians

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming ~~them~~ the requester as a legal parent. If guardians file on behalf of their wards, they must submit proof of guardianship. No certification of agreement is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury [6C.F.R. § 5.21(e)].

Please note: if the request references a baby from Vietnam, Cambodia, Guatemala, Nepal or Ethiopia, please refer to section 8.23 of this guide. If the requester is a prospective adoptive parent, we will provide any documents concerning them. If unsure, please consult a supervisor.

USCIS FOIA INFORMATION BULLETIN

March 23, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

Added a new bullet to the "Note:" list of Section 7. **DECISION TO PROCESS AS FOIA OR PA** of the Processing Guide:

- Please look for documentation other than form I-551, the Permanent Resident Alien card, since there is frequently a counterfeit or photo-substituted I-551 that CBP has confiscated within a file. If there is no other documentation of lawful permanent residence, you may process the case as PA if the CARD information in CIS or PCQS matches the information on the I-551 AND your supervisor has seen the information and agrees with you. If you are processing as PA under those circumstances, please add that information to your summary discussion.

We have made two changes to Appendix C, Processing Tables, as follows:

Initials (not law enforcement function or refugee officer)	Release	Release
Names and initials of refugee officers (except on correspondence mailed to the refugee)	(b)(6)	Release

USCIS FOIA INFORMATION BULLETIN

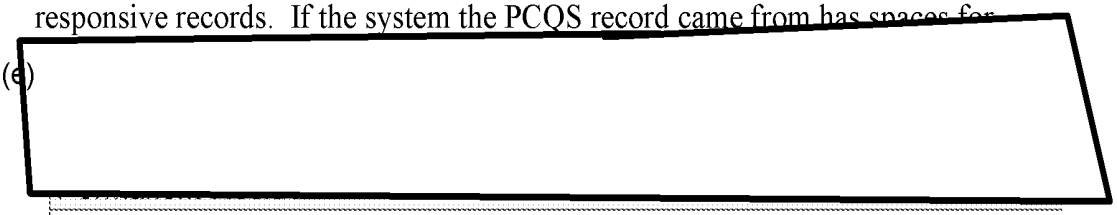
March 22, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section 27.43.i to the *Processing Guide* as follows (new information in red):

27.43.i **PCQS records** – sometimes you will see PCQS screen prints as responsive records. If the system the PCQS record came from has spaces for

(b)(7)(e)



Card Expires Date
Viol Flag
EADS Flag
NAIL Flag
LAPS Flag
EARM Flag
NACS Flag
Revn Flag
Mother's First Name
Father's First Name

(b)(7)(e)

(b)(7)(e)

We have changed Appendix C of the *Processing Guide* as follows (new information in red):

Notice to Appear, I-862 (multi page document)	Withhold in full if document **has not** been served - or if prepared by ICE, refer to ICE	(b)(5) and (b)(7)(C) if applicable	(d)(5), (k)(2), (b)(5) and (b)(7)(C)

	If not ICE and documents have been served	Release	Release

We have again re-written Section 27.31.a of the *Processing Guide* as follows (new information in red)(~~deleted information in strikethrough~~):

27.31.a Most files contain third party supporting documents and PII. If you are processing a Privacy Act case, third party supporting documents and PII are not an issue because you will be releasing the information.

If you are processing a FOIA, generally, the rule is to fully release supporting documents which the **subject of record** is a party to, which were completed by the subject of record, or which the subject of record signed. The rest of section 27.31 deals with specific types of supporting documents and exceptions to the general rule.

If you are processing a FOIA, generally, the rule is no consent = no information. The two major exceptions to the general rule are:

i. Information released elsewhere in the file, and
ii. Marked court exhibits. There are exceptions, which you can find in section 27.31.i.

We consider applications and petitions differently than we consider supporting documents. For specific instructions on applications and petitions, please refer to Appendix H.

~~If~~

- ~~the case is a FOIA and~~
- ~~if the document was provided by the subject of record, and~~
- ~~if it is a first party request or~~
- ~~if it is a third party request with consent from the subject of record,~~
- ~~then you may release third party PII on documents provided by the subject of record, and~~
- ~~that also constitutes release of those elements of PII throughout the file.~~

~~At the same time, we must consider clearly unwarranted invasion of personal privacy.~~

~~If~~

- ~~the case is a FOIA and~~
- ~~if the document was not provided by the subject of record, and~~
- ~~if there is sensitive third party PII on that document, and~~
- ~~if we do not have FOIA consent from the third party, and~~
- ~~if the PII is not already released somewhere else in the file,~~
- ~~then we should withhold sensitive third party information, citing Exemption (b)(6).~~

USCIS FOIA INFORMATION BULLETIN

March 21, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added additional instruction to section 27.25.b of the Processing Guide as follows (new information in red):

27.25.b FBI Systems Check Results

FBI uses the following result codes which you should redact:

No Record:	NR, ND or NP
Positive Response:	PR, DS, RP, OC or RF
Unknown Response:	UN

The following codes do not indicate any result, and you may release them:

Pending:	IP or H
Duplicate:	DD or D
Request Cancelled:	RC
Error:	E

USCIS FOIA INFORMATION BULLETIN

March 15, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have revised section 27.31.a of the *Processing Guide* as follows (new information in red)(~~deleted information in strikethrough~~):

27.31.a Most files contain third party documents and PII.

If

- the case is a FOIA and
- if the document was provided by the subject of record, and
- if it is a first party request or
- if it is a third party request with consent from the subject of record,
- then you may release third party PII on documents provided by the subject of record, and
- that also constitutes release of those elements of PII throughout the file.

At the same time, we must consider clearly unwarranted invasion of personal privacy.

If

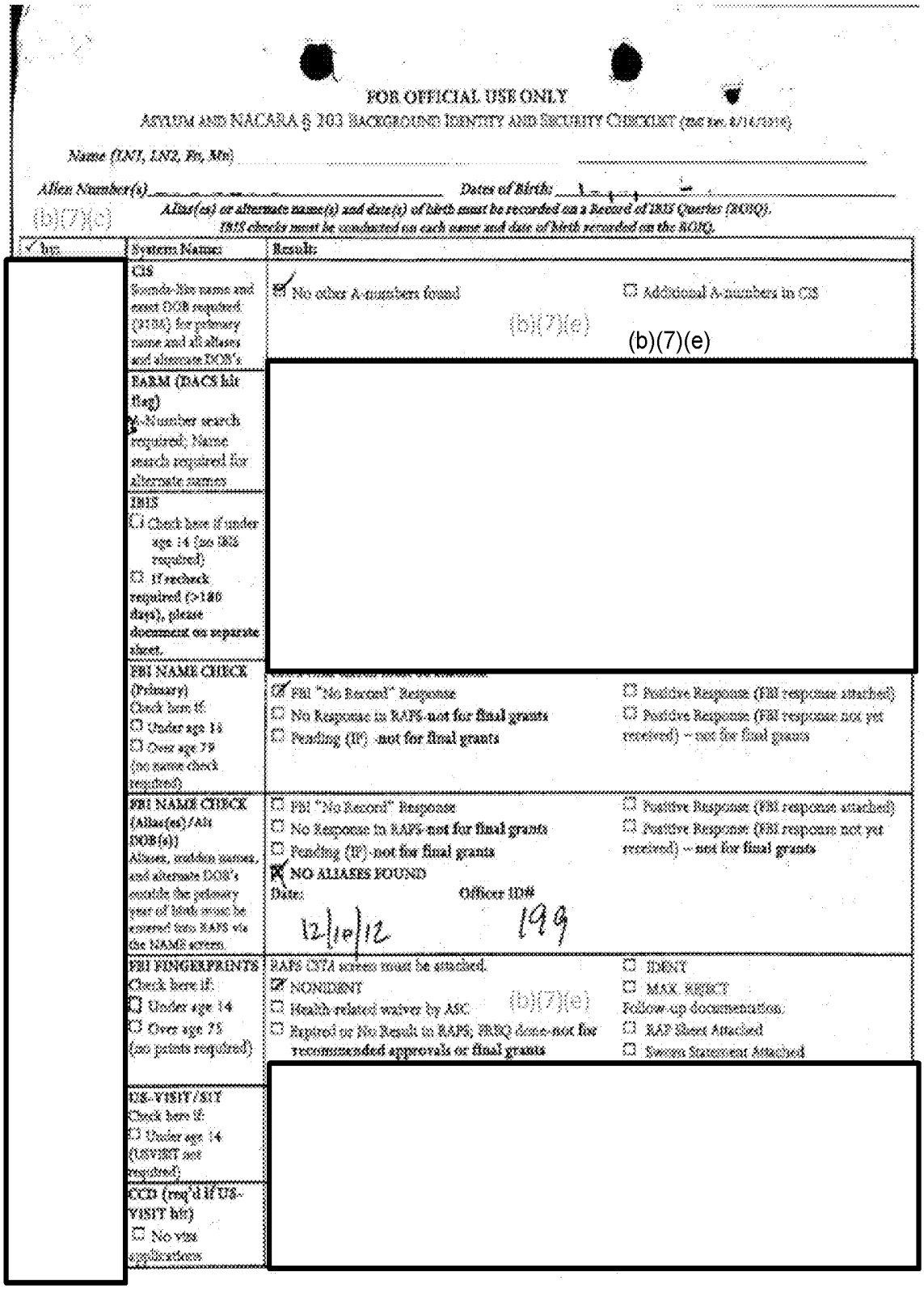
- the case is a FOIA and
- if the document was not provided by the subject of record, and
- if there is sensitive third party PII on that document, and
- if we do not have FOIA consent from the third party, and
- if the PII is not already released somewhere else in the file,
- then we should withhold sensitive third party information, citing Exemption (b)(6).

~~We should fully withhold this information unless we can tell it was provided to us by the subject of the file if it is a first party FOIA request. Whether to disclose or release third party documents in a FOIA case hinges on consent.~~

We have added a new section 27.42.g to the *Processing Guide* as follows (new information in red):

27.42.g Asylum and NACARA § 203 Background Identity and Security Checklist is used by asylum offices. There is more than one version. On the example below, we have withheld EARM, IBIS and US-VISIT results because they are protected systems. US-VISIT has instructed us to withhold any US-VISIT results because those results could identify KST or watchlist individuals. We withhold the CCD block, first because the information belongs to State Department, and second, because there is a check box for derogatory visa application information. We release the FBI results because we have a Memorandum of Instruction from FBI telling us we may release FBI information about a subject after we have confirmed that it relates to the subject. We do not fully withhold this form because of our legal obligation under the FOIA to release non-exempt information when it is reasonably segregable. Note, in the example below, we cited Exemptions (b)(7)(C) and (b)(7)(E). If the case is a PA, please also cite (k)(2).

(b)(7)(c)



FOR OFFICIAL USE ONLY

ASYLUM AND NACARA § 203 BACKGROUND IDENTITY AND SECURITY CHECKLIST (rev. 8/11/2010)

Name (LN1, LN2, Fn, Mn) _____

Alien Number(s) _____ Dates of Birth: ___/___/___

Alias(es) or alternate name(s) and date(s) of birth must be recorded on a Record of IBIS Queries (ROIQ). IBIS checks must be conducted on each name and date of birth recorded on the ROIQ.

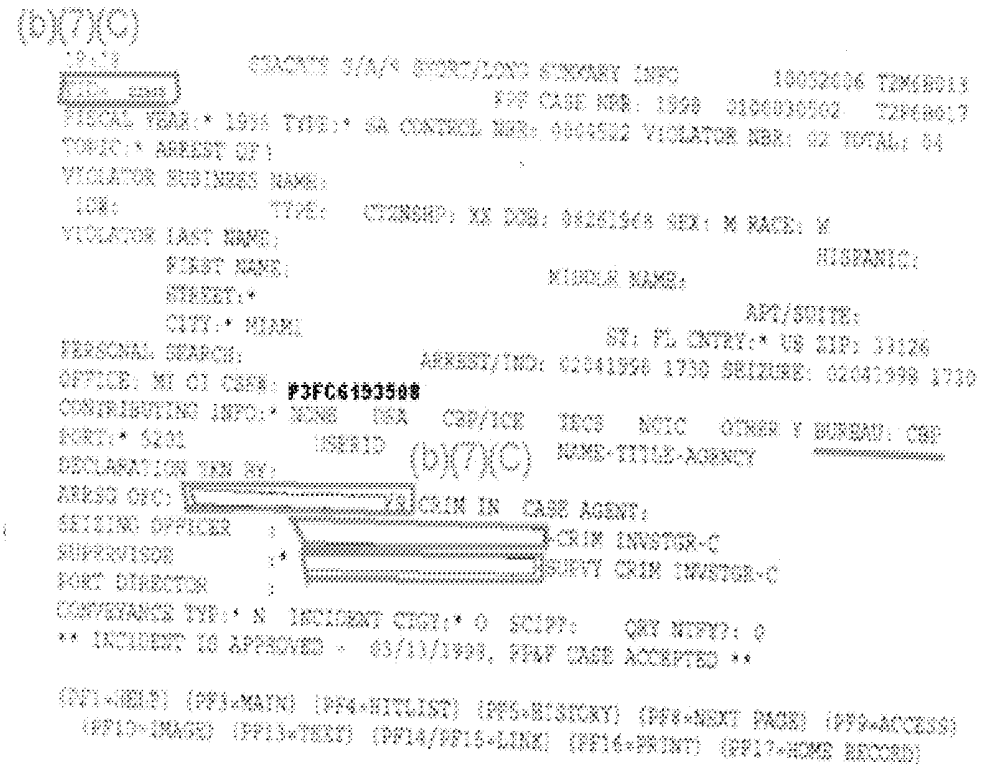
(b)(7)(e)

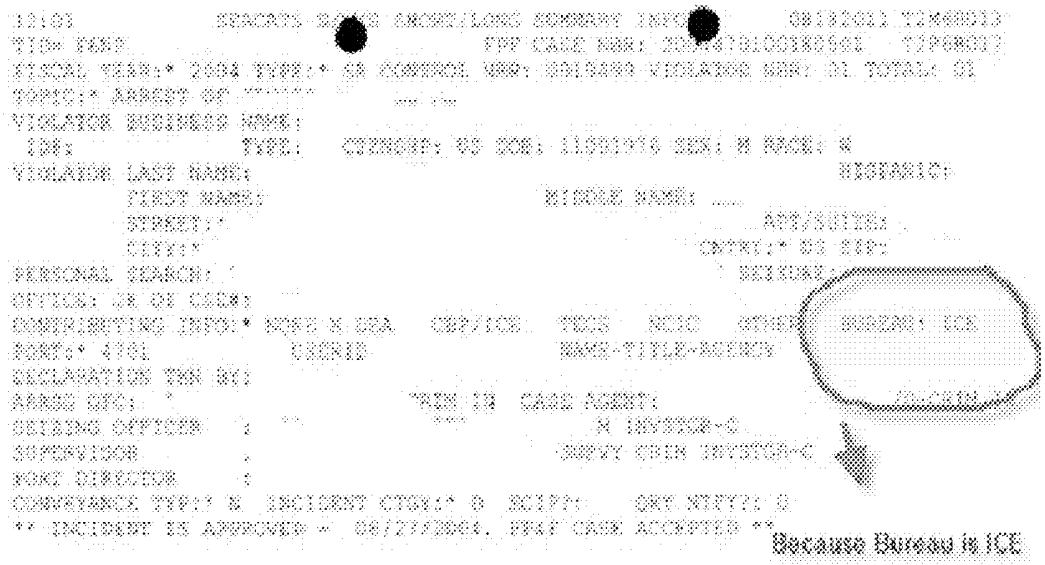
✓ box	System Name:	Results:
	CIS Records the name and exact DOB required (FULL) for primary name and all aliases and alternate DOB's	☑ No other A-numbers found ☐ Additional A-numbers in CIS
	RAPS (BACS hit flag) A-Number search required; Name search required for alternate names	
	IBIS ☐ Check here if under age 14 (no IBIS required) ☐ If recheck required (>180 days), please document on separate sheet.	
	FBI NAME CHECK (Primary) Check here if: ☐ Under age 14 ☐ Over age 79 (no name check required)	☑ FBI "No Record" Response ☐ Positive Response (FBI response attached) ☐ No Response in RAPS-not for final grants ☐ Positive Response (FBI response not yet received) – not for final grants ☐ Pending (IR) -not for final grants
	FBI NAME CHECK (Alias(es)/Alt DOB(s)) Aliases, maiden names, and alternate DOB's outside the primary year of birth must be entered into RAPS via the NAME screen.	☐ FBI "No Record" Response ☐ Positive Response (FBI response attached) ☐ No Response in RAPS-not for final grants ☐ Positive Response (FBI response not yet received) – not for final grants ☐ Pending (IR) -not for final grants ☒ NO ALIASES FOUND Date: 12/10/12 Officer ID# 199
	FBI FINGERPRINTS Check here if: ☐ Under age 14 ☐ Over age 75 (no prints required)	RAPS CFTA screen must be attached. ☑ NONIDENT ☐ IDENT ☐ Health-related waiver by ASC ☐ MAN. REJECT Follow-up documentation: ☐ Expired or No Result in RAPS, IBBQ done-not for recommended approvals or final grants ☐ RAP Sheet Attached ☐ Sworn Statement Attached
	US-VISIT/SIT Check here if: ☐ Under age 14 (US-VISIT not required)	
	CCD (req'd if US-VISIT hit) ☐ No visa applications	

(b)(7)(e)

We have added a new section 27.43.h to the *Processing Guide* as follows (new information in red):

27.43.h **SEACATS** – Before DHS, the Seized Asset and Case Tracking System was owned by Department of the Treasury, US Customs Service. After 2003, SEACATS passed under CBP control. Usually, these screens will belong to CBP, and if so, you should redact the TID as well as any law enforcement names and identifiers, citing Exemption (b)(7)(C) or if PA, Exemptions (k)(2) and (b)(7)(C). If the SEACATS record belongs to ICE, please refer it to ICE. Examples below:





REFER TO IMMIGRATION CUSTOMS ENFORCEMENT

USCIS FOIA INFORMATION BULLETIN

March 10, 2016

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 15. **BOND OBLIGORS – IMMIGRATION OR CRIMINAL BONDS** of the Processing Guide as follows (new information in red, ~~deleted information in strikethrough~~):

15. BOND OBLIGORS – IMMIGRATION OR CRIMINAL BONDS

Criminal bonds are bonds posted by individuals or bail bondsmen relating to non-immigration violations of the law.

Immigration bond obligors are surety companies who have posted an immigration bond (Form I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his or her hearing, then he or she forfeits the bond.

These requests previously were processed by Immigration and Customs Enforcement.

We will now process bond obligor requests under FOIA.

Since there is no certification of agreement provided with bond obligor cases, we will close these as a TD.

Please refer to Section 27.11 Total Denial.

~~Immigration Bond obligors are surety companies who have posted an immigration bond (Form I-352) for an alien who has been taken into custody by the Service. If the alien fails to attend his hearing, then the bond is forfeited. Under the court case *Amwest Surety v. Reno*, No. 93-3256 JSL (Shx) (C.D. CA., June 22, 1995), the surety companies, or their attorneys, are entitled to a partial copy of the alien's file to assist them in locating the alien. These types of requests are processed by Immigration and Customs Enforcement. Immigration bonds may also be posted by individuals. However, individuals are not covered under the court case.~~

~~Criminal bonds are bonds that have been posted by individuals or bail bondsmen relating to non-immigration violations of the law. This type of bond obligor is only entitled to proof of~~

~~deportation of the alien by the Service. These types of requests are also processed by Immigration and Customs Enforcement.~~

~~Please assign a final action code of ER to any bond obligor requests that have been scanned into FIPS and send to Up-front Approver. Please send the OA room an e-mail containing the REQ number or control number, and also include the requestor's name.~~

~~OA room will mail the request to the following address.~~

~~Immigration and Customs Enforcement~~

~~Information Disclosure Section Attn: Debra Laird~~

~~1010 East Whatley Road~~

~~Oakdale, LA 71463~~

USCIS FOIA INFORMATION BULLETIN

March 8, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have revised section 6.3.1.1 of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

6.3.1.1 Track 1 –

Select Track 1 if the request is for: ~~requests for receipt files and requests for partial records such as~~

- a specific document, or
- if your search yields only a receipt file or
- if the only responsive record is screen prints.

Any time you have a RAFACS-only staffing, you should create the case as Track 1. A specific document request consists of three documents or less (except asylum or refugee requests, which you must evaluate more carefully – please refer to section 8.24 SITUATION: Requests for Asylum or Refugee documentation).

6.3.1.1.1 If the request is for a specific document, please select the category **Specific Documents** and make the case a Track 1. The third paragraph of the acknowledgement letter sent to the requester must contain the following paragraph and it must be modified to show the specific documents requested:

We respond to requests on a first-in, first-out basis and on a multi-track system. Your request has been placed in the simple track (Track 1). "You specifically requested [enter specific document information here]. If you would like a copy of all your records, please send a written request to the address above, otherwise you will receive only the documents you specified."

You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request.

6.3.1.1.2 If the request is for a specific document, continue to create the case in Track 1 as Specific Documents. If the requester responds that he or she needs the whole file, a FOIA/PA Assistant or Public Information Specialist working in Records Locator (which we will refer to as RL) or the Research queue can change it to Track 2 at that time. See section 34 for instructions on how to change tracks.

We have revised section 6.3.4.2 of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

6.3.4.2 Specific Documents – The requester is asking for specific documents, such as a copy of a receipt file, an application or a copy of his or her naturalization certificate. A Specific Document case is a Track 1 case~~, and vice versa~~. As a rule, you should create a case as Specific Documents if the requester is asking for up to three documents. If a requester is asking for an asylum application and supporting documents, or refugee documents you should create it as Asylum, Track 2, or a refugee request as Alien file, Track 2.
You must update the language in any ~~Track 1 case~~ Specific Document request to specify what documents have been requested. See section 9 for CBP and ICE referrals.

We have revised section 7.3.4.6 of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

7.3.4.6 The acknowledgement letter has a third page. Do not change the wording on the acknowledgement page without specific supervisory instruction to do so unless it is a ~~Track 1~~ Specific Document Request. ~~In Track 1 cases~~ For Specific Document Requests we modify the acknowledgement (ack) letter by adding the specific documents language. You may add information after the "Other" checkbox to clarify what information we need. Double-click in the area you need additional information, select the radio button marked "Checked" and then click OK for each item of information you need.

We have revised section 9.1 of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

RF to ICE (Please note: refer to ICE if you found no other record and this is not a Records Indexing Staffing situation – see section 12.7.5)

~~Criminal history~~
~~Drug smuggling~~
~~Human trafficking~~

~~Deportation~~
Information about SEVIS
F, J, or M Visa requests

We have added the following guidance to section 12 of the *FOIA/PA Assistant's Guide:*

If the requester asked for Complete Alien File and provided an A-number, we will staff for that A-number only, unless

- The number they provided was wrong, or
- The A-number they gave us is for a file that has been lost for more than nine months, or
- The number they provided was between 86 million and 86,900,000, or
- The number they provided was a 100 million series.

We have revised section 18 of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

You may have some modifications to make to the letter. ~~If you have selected Track 1~~If it is a request for Specific Documents, please delete the words "Specific Doc Information" and specify what they are requesting. Word it as closely to their description as possible while maintaining proper grammar and punctuation.

We have revised Appendix J of the *FOIA/PA Assistant's Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

Make sure you are marking the correct track and it matches the category. Specific requests for 3 documents or less are track 1 cases, except in asylum or refugee cases. You must add the specific language on the request (or as close as possible to their language) to the ~~track 1~~ acknowledgment letter if it is a request for Specific Documents.

We have rewritten section 27.30 of the *Processing Guide* as follows (new information in red):

If you are processing a case under the Privacy Act, you may not hold information under FOIA Exemptions (b)(3) or (b)(6), and so you will be releasing tax returns.

If you are processing case under the FOIA and you see a personal tax return, (not a corporate tax return), the following rules apply:

1. If there is a joint tax return in the file and the subject of record is party to the return, we release it in full, including worksheets. If there is a joint tax return in

the file and the subject of record is party to the return, we release all W-2's that go with that year's joint tax return in full.

2. If there is a joint tax return in the file and the subject of record is not party to the return and we do not have FOIA consent from that individual (for example, it was filed w/I-864 affidavit of support or possibly with an I-140) then we must PD the return and only release the name of the person who filed the I-864 or I-140. We fully withhold the spouse's information, including their W-2's if they are not part of the I-864/I-140.
3. Fully withhold the Earned Income Credit sheet of a third party when there is no consent. Release of any part of the form would provide sensitive information about the third party's economic status.

If you are processing a case under the FOIA and you see a corporate tax return, IRS Form 1120 (but not a personal tax return with an attached Schedule C), the following rules apply:

1. Companies in general do not have personal privacy protection, so if the petitioner is a company, you do not need the company's consent and you may release most information about the company. You should still protect any information that would reveal information about compensation of officers, citing Exemption (b)(6).
2. If you find evidence that the subject who requested the file worked for the company, release the Employer Identification Number to the subject. Otherwise, you should withhold the employer's Employer Identification Number citing Exemption (b)(3) and § 6103 of 26 USC, but release the remaining information on this form to the requester.
3. Even if the subject worked for the company, the company's tax return may have been prepared by an accounting firm that lists their Employer Identification Number. Please withhold the accounting firm's Employer Identification Number, citing Exemption (b)(3) and § 6103 of 26 USC. If you are processing under FOIA, and if the accountant is an individual who lists his or her social security number, you should protect that number, citing Exemption (b)(6).
4. The Preparer Tax Identification Number, or PTIN, is a number issued by IRS to paid tax return preparers who do not wish to disclose their social security number on returns they prepare. A PTIN is a letter followed by eight digits. You should release that number. However – if they do not have an IRS-issued PTIN, IRS requires that paid tax preparers enter their social security number in that block. If the number in the PTIN block is nine digits, please withhold that number, citing Exemption (b)(6).

~~Redact third party documents such as W2's, and tax returns in part, submitted with the Affidavit of support. Release the name of the document and the names of the individual. Release the document if consent of the subject or the third party is present.~~

~~Fully release the tax return if the subject of the file or requester is a party to it. Partially withhold the tax return if the subject of the file is not a party to it, including a subject listed as a dependent.~~

~~If you are processing a FOIA case, fully withhold the Earned Income Credit sheet of a third party when there is no consent. Release of any part of the form would provide sensitive information about the third party's economic status.~~

We have revised Appendix C of the *Processing Guide* as follows (~~deleted information in strikethrough~~)(new information in red):

TITLE/SUBJECT	TYPE OF INFORMATION	FOIA EXEMPTION	PA EXEMPTION
NCIC/NLETS View Messages	~~CBP law enforcement names - or WIF if the results do not relate to the subject. If ICE record, refer to ICE.~~ Law enforcement names and identifiers	(b)(7)(C)	(k)(2), (b)(7)(C)
TECS II External Message Display, Interstate Identification Index	Law enforcement names and identifiers	(b)(7)(C)	(k)(2), (b)(7)(C)
Continuation Page, Form I-831	If not ICE and it is a continuation of a served document, release. If not ICE and it is a continuation of an unserved document, Law enforcement names and identifiers If ICE, refer to ICE.	(b)(7)(C)	(k)(2), (b)(7)(C)

USCIS FOIA INFORMATION BULLETIN

March 7, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added additional instruction to section 6.3.1.1.1 of the FOIA/PA Assistant's Guide as follows (new information in red):

> You should modify the specific document language in the acknowledgement letter should to be as close as possible to the way it was stated in the request. Otherwise, if the request is Track 1, but is not a request for specific documents, please delete the two sentences that address specific documents (bolded in the example above). Either way, you should never leave the words "**Specific Doc Information**" in your acknowledgment letter.

We have added a new section 7.6, **Power of Attorney**, to the FOIA/PA Assistant's Guide as follows (new information in red):

A power of attorney is a document in which one person appoints another person to act as an agent on his or her behalf. A requester may submit a power of attorney with a request, and we may consider it.

The requester may have provided adequate certification of agreement on the Form G-639 or elsewhere in the request, and if so, we do not need to evaluate the validity of the power of attorney.

A power of attorney cannot override either the requirement for verification of identity in 6 CFR § 5.21(d) or the requirement for certification of agreement in 6 CFR § 5.21(f).

The subject of record must have signed the power of attorney. In order to meet the 6 CFR § 5.21(d) requirement, the power of attorney must list the subject of record's name, date of birth, place of birth and address, and the subject of record's signature must be notarized or made under penalty of perjury.

If the requester did not provide certification of agreement on the G-639 or on some other document, only then we should look for certification of agreement on a power of attorney. The wording on the Power of Attorney must meet the 6 CFR § 5.21(f) requirement, for example:

"By this Power of Attorney, I agree to the disclosure to (the named person) of any record pertaining to me that appears in any system of records of USCIS, USCBP, or USICE."

If you are unsure if the wording is sufficient to meet the requirement, please contact a supervisor.

If the subject of record is not alive, a power of attorney is irrelevant. If the requester states that the subject of record is deceased, please refer to section 7.5 of this guide.

We cannot consider a power of attorney describing blanket authority without specific mention of delegated authority to request USCIS records. We cannot consider a power of attorney with no expiration date or a power of attorney with an indefinite expiration date.

If it is expired, the power of attorney is invalid, even if it met all the § 5.21 requirements. We are not legally covered if we honor an expired power of attorney.

If the requester provided adequate certification of agreement and verification of identity elsewhere in the request, such as on Form G-639 or on a separate document, any attached power of attorney is irrelevant, whether or not it is valid.

We have added new instruction to Section 9.2, **Redirection (RD)**, of the FOIA/PA Assistant's Guide as follows (new information in red):

USCIS forwards the following forms (and no others) to the National Visa Center:

I-129F Petition for Alien Fiancé(e)
I-130 Petition for Alien Relative
I-140 Immigrant Petition for Alien Worker
I-360 Petition for Amerasian, Widow(er), or Special Immigrant
I-526 Immigrant Petition by Alien Entrepreneur
I-600 Petition to Classify Orphan as an Immediate Relative
I-730 Refugee/Asylee Relative Petition
I-800 Petition to Classify Convention Adoptee as an Immediate Relative

Please check CLAIMS or PCQS for the form number. If it is not one of those forms, we do not RD the case to NVC.

If NFTS shows "File destroyed in accordance with Receipt File Retention Schedule," we will not RD the case to NVC. Please refer to section 12.7.14 of this guide.

We have added new instruction to Section 12.7.14, Referral, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~ new information in red):

~~**This is only if there is no A-Number and you have checked and the receipt file is not at the NVC**~~ If NFTS shows a receipt has been "Deleted," please refer to section 9.2. **Section 12.7.14 is only for files that NFTS shows Lost, Destroyed or Rejected or if we receive a staffing** response saying "File cannot locate."

USCIS FOIA INFORMATION BULLETIN

March 2, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

Note: We have made only two changes to the FOIA/PA Assistant's Guide in this bulletin. The second changed involved re-writing several pages, deleting old examples and adding new ones, which is why this Information Bulletin is eight pages.

1st Change: We have re-written section 6.3.5 of the FOIA/PA Assistant's Guide, as follows:

6.3.5 Bureau

The three possible selections for Bureau are:

ICE – Please select ICE if you are staffing to any ICE location, for example OPLA, DRO or SAC. There may be other ICE locations, and if you are unsure, please consult your supervisor.

CIS – Used for all other categories. This is the default in FIPS.

CBP – Please select CBP if the request pertains specifically to documents relating to the Border Patrol, incident reports relating to apprehension, entry without inspection (EWI), smuggled humans, mobile patrol group, voluntary return, repatriation, checkpoints, entry/exit information, inspection, Port of Entry (POE), legacy customs or legacy inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. **Note: If request is for entry/exit information and the requester/subject provided an alien number, request the file.**

2nd Change: We have re-written section **7.3 Reasonable Description of Records Being Sought** of the FOIA/PA Assistant's Guide, as follows:

If the requester provided ~~all elements required by 6 CFR § 5.21(d),~~ full name, COB, DOB and a notarized signature or signature under penalty of perjury but did not provide an alien number or receipt number, you may still request a file if there is only one match and there is no other indicator that it may not be the correct subject of record.

An "unperfected request" applies when any of the required elements (full name, DOB, COB, notarized signature or signature under penalty of perjury) is missing. In a situation

like this, we do not have a reasonable description of the records the requester wants. We will have to ~~send for additional requester documentation~~, close the case as an Unperfected Request.

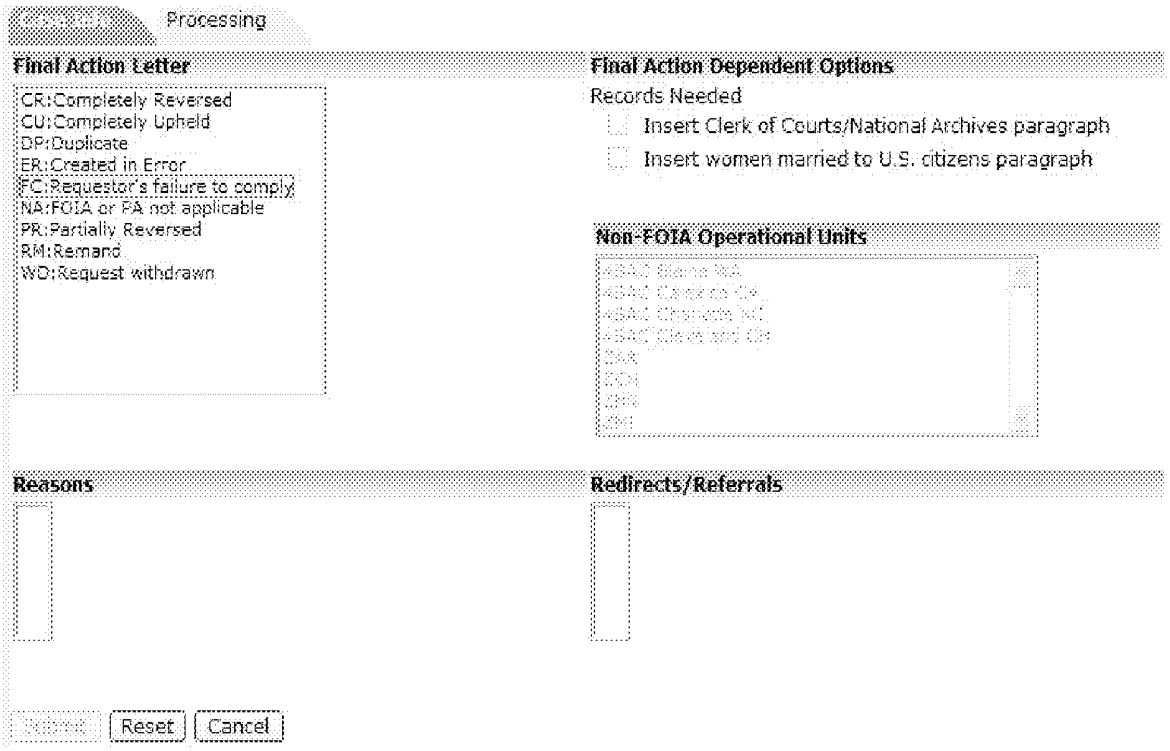
Since FIPS does not generate an Unperfected Request letter, there are a few extra steps. First, please open the Failure to Comply (FC) letter and delete the body after the first paragraph. Next, you'll open the Unperfected Request letter and insert the applicable paragraphs into the FC letter. Finally, you'll send the case to Up-front Approver. You will not request a file.

- ~~Alien Number (if known)~~
- ~~Application/Petition Receipt Number (if known)~~

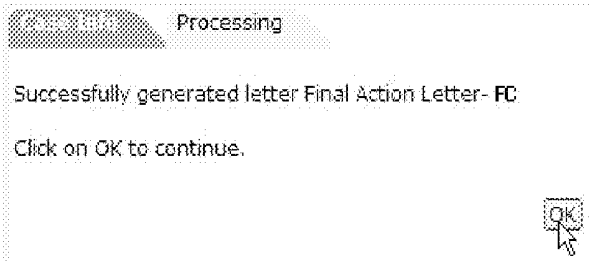
~~Additionally, we may ask for items of information such as mother's and father's names. The requester is not required by law or regulation to provide that information, but if the requester does not, we may be unable to locate a responsive record.~~
~~Please request the additional PII with your Acknowledgement Letter. After you create the acknowledgment letter requesting additional documentation, do not create the file request. In the "Contents" tab, you will see a Pending slot for Requester Documentation. Send the case to Pend. After we receive a response from the requester, a FOIA/PA Assistant working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.~~

~~Note: if the requester marks "unknown," "none" or "N/A" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter.~~
Go to the "Tasks" tab and select "~~Acknowledgement~~ Final Action Letter"

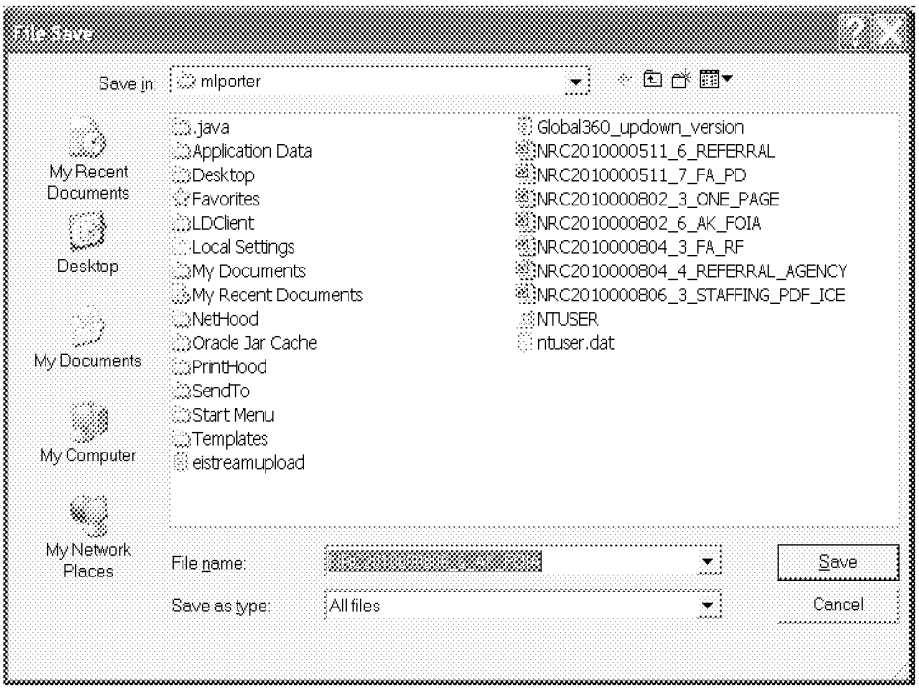
After selecting "~~Acknowledgement~~ Final Action Letter," the ~~Acknowledgement~~ Final Action Letter Options screen will open. ~~Options on this screen will allow you to ask for other documentation and will also allow you to add a Track 3 Denial or Lost File paragraph.~~ The Case Info tab displays the Final Action Letter screen. Select "FC: Requestor's failure to comply" from the Final Action Letter list, then click **Submit.**



Our only option at that point is to click OK:



As soon as you do, a File Save pop-up window will appear. Click "Save."



The ~~Acknowledgement~~ FC letter will pop up. Delete the 4 paragraphs shown below:

U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

Dear J Loreal:

We received your request for information on [date], relating to [Subject].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R.

§ 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide consent from the records subject before a disclosure of records can be made. On [Date] we sent correspondence requesting you provide us with proper consent. Proper consent is defined under 6 CFR § 5.21 as either a notarized signature, a signature signed under penalty of perjury, or proof of death. Although you are not required to use form G-639 to provide consent, a notarized signature in section 7, or a signature at the bottom of section 8 would fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements for filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

Delete

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

Go into O:\Foia\FOIA LIBRARY\Case Create References\Case Create References\Unperfected Letter, highlight the 3 paragraphs below and select either "Copy" or "CNTRL C." You will paste these 3 paragraphs into the FC letter.

U.S. Department of Homeland Security
P.O. Box 648010
Lee's Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

February 2, 2012

NRC

Dear :

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R. § 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

Because the records you seek are those of a personal nature, DHS' regulations require you to provide verification of identity and or consent, if applicable, from the records subject before a disclosure of information can be made. In accordance with 6 CFR § 5.21, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be notarized or signed under penalty of perjury. Although it is not required to use Form G-639 when submitting a FOIA request, a notarized signature in section 7, or a signature at the bottom of section 8 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

Replace with

Sincerely,

Jill A. Eggleston
Director, FOIA Operations

The resulting page will look something like this:

U.S. Department of Homeland Security
P.O. Box [illegible]
Lees Summit, MO 64064-8010

U.S. Citizenship and Immigration Services

February 2, 2012

IRC

Dear

We received your request for information on [date], relating to [subject's name].

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, specifies certain requirements for an access request. One of these requirements is that the request must be made in accordance with the agency's published FOIA regulations. In the Department of Homeland Security (DHS) regulation, Title 6 C.F.R. § 5.3 *Requirements for Making A Request*, the procedures for requesting access to DHS records are outlined. See McDonnell v. U.S., 4 F.3d 1227, 1236 (3d Cir. 1993).

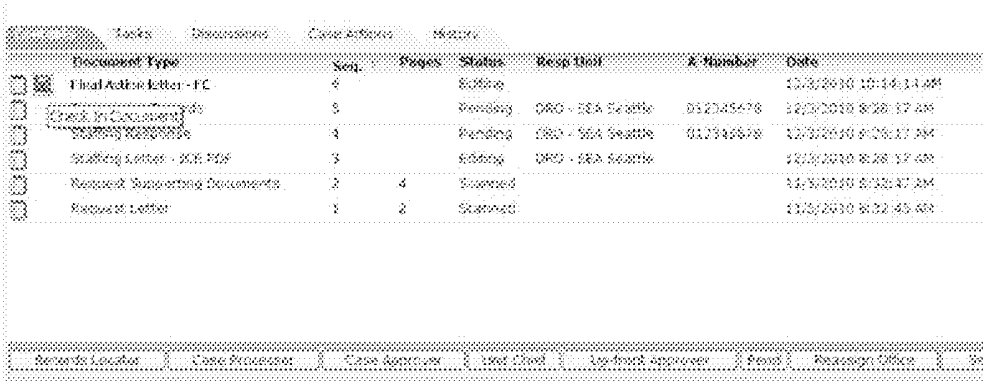
Because the records you seek are those of a personal nature, DHS' regulations require you to provide verification of identity and/or consent, if applicable, from the records subject before a disclosure of information can be made. In accordance with 6 CFR § 5.21, verification of identity consists of a written statement from the records subject stating his/her full name, current address, and date and place of birth. Additionally, the written statement must be signed by the records subject and the signature must either be notarized or signed under penalty of perjury. Although it is not required to use Form G-639 when submitting a FOIA request, a notarized signature in section 7, or a signature at the bottom of section 8 of this form would fulfill the signature requirement. The requested information may also be provided on a separate sheet of paper as long as the information provided is signed by the records subject and the signature is notarized or signed under penalty of perjury. Simply providing a copy of a birth certificate, driver's license, or alien card for the records subject will not fulfill this requirement.

Your case has been closed with no further action taken. If you wish to pursue this request, please provide the information described by the regulation cited above. The requirements of filing a FOIA or PA request are also available for your convenience on our website at www.uscis.gov.

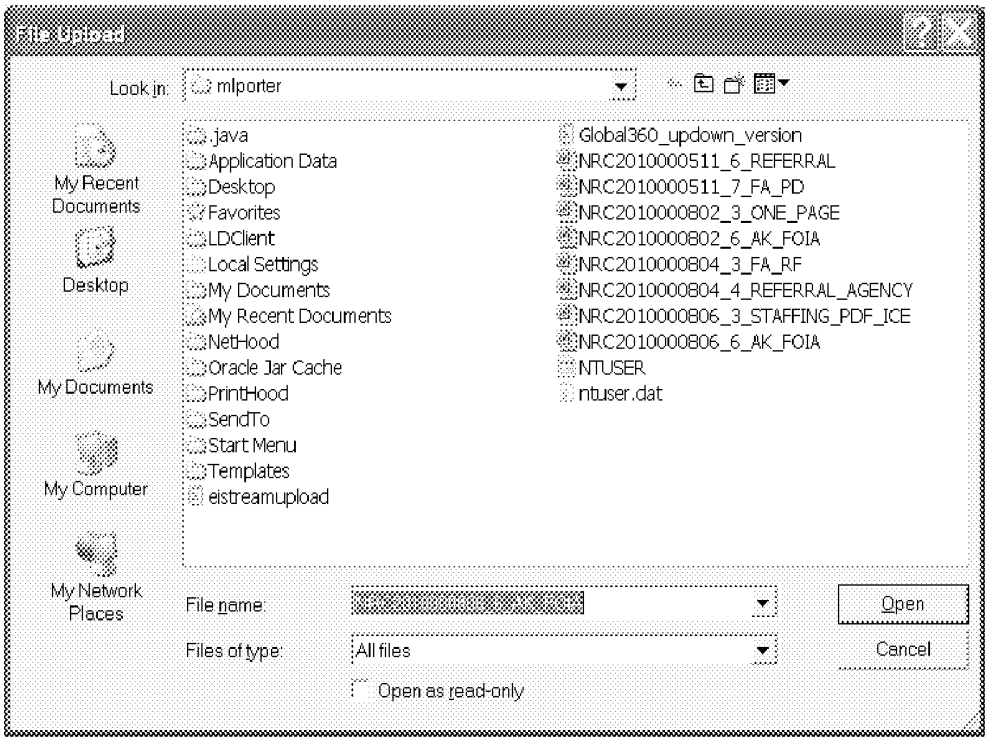
Sincerely,

Jill A. Eggleston
Director, FOIA Operations

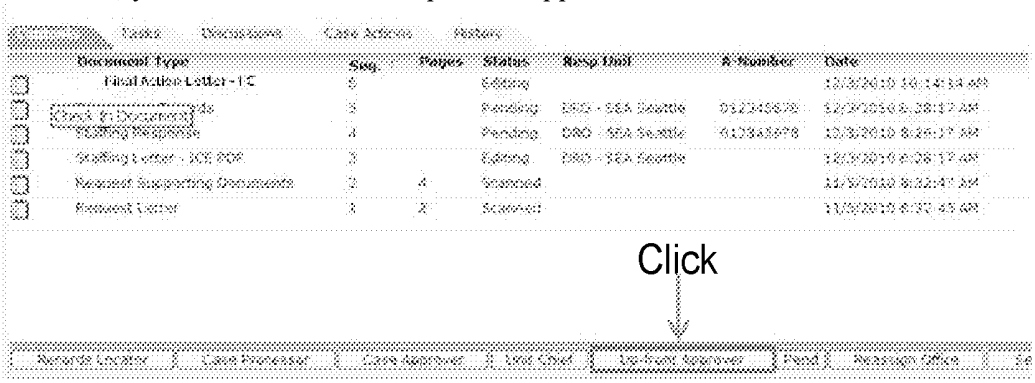
In a situation like this, you would not have created a staffing letter. (Note: If this were a live case, you would not see a pending Responsive Records slot, as in this example.) You save the document, exit Word, and check the document in:



Click “Open”:



After this, you send the case to “Up-front Approver.”



The Up-front Approver will either close the case or return it for further action.

USCIS FOIA INFORMATION BULLETIN

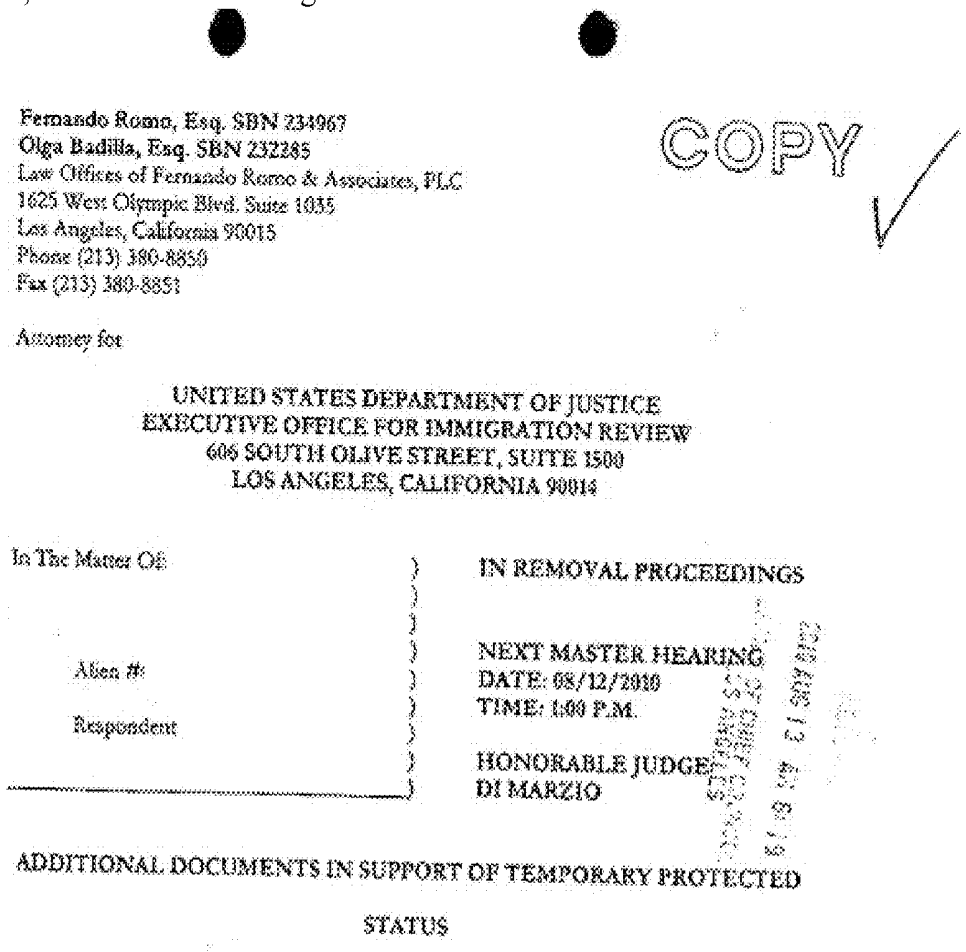
March 1, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added an explanation to section 28.14 of the *Processing Guide* as follows:

QUESTION: What about a court document that was served on ICE?

Let's take the following example:
On page 210, we have the following court document:



Fernando Romo, Esq. SBN 234967
Olga Badilla, Esq. SBN 232385
Law Offices of Fernando Romo & Associates, PLC
1625 West Olympic Blvd. Suite 1035
Los Angeles, California 90015
Phone (213) 380-8850
Fax (213) 380-8851

Attorney for

COPY

UNITED STATES DEPARTMENT OF JUSTICE
EXECUTIVE OFFICE FOR IMMIGRATION REVIEW
606 SOUTH OLIVE STREET, SUITE 1500
LOS ANGELES, CALIFORNIA 90014

In The Matter Of:

Alien #:

Respondent

IN REMOVAL PROCEEDINGS

NEXT MASTER HEARING
DATE: 08/12/2010
TIME: 1:00 P.M.

HONORABLE JUDGE
DI MARZIO

ADDITIONAL DOCUMENTS IN SUPPORT OF TEMPORARY PROTECTED STATUS

On page 212, we have a certificate of service to ICE:

CERTIFICATE OF SERVICE

I, Olga Badilla, certify that on 08/12/2010 I served by hand-delivery Additional Documents in support of Temporary Protected Status upon the Office of the Chief Counsel, U.S. Immigrations & Customs Enforcement at 606 S Olive, Courtroom 5*5, in Los Angeles, CA 90014.

Signed under penalty of perjury this 08/12/2010, in Los Angeles, California.

Olga Badilla, Esq.
Law Offices of Fernando Romo & Associates, PLC.
1625 West Olympic Blvd., Suite 1035
Los Angeles, CA 90015

ANSWER: The document was written by Olga Badilla, Attorney at Law, representing the alien, which means it neither originated with ICE, nor was it authored by ICE. The document is addressed to Executive Office for Immigration Review, a part of Department of Justice, and so it is not addressed to ICE. Section 28.14 does not include the words "or served to ICE." The fact that the document was served to ICE is merely coincidental. Also, you may be assured that an attorney representing an alien in removal proceedings would not disclose a document she intended to send to EOIR unless she had already sent it to EOIR. Prior to that, it would be attorney work product. In short, please do not refer to ICE in that circumstance.

We have revised section 28.07 of the *Processing Guide* as follows (new information in red):

Refer all documents originating with US-VISIT for their direct response to the requester. Do not hide the name of the agency.

Refer Arrival Departure Information System (ADIS) screen prints to US-VISIT.

Please do not place any redactions on documents you are referring to US-VISIT.

USCIS FOIA INFORMATION BULLETIN

June 29, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

UPDATED FOIA-PA Assistant's Guide:

(b)(6)

Program office would like to give a big **Thank You** to [redacted] **Mary Jadlot**, [redacted] for their weeks of work updating the FOIA-PA Assistant's Guide. If you create cases or work in records locator, you will soon notice there are now easy-to-understand procedures where the original guide instructed a person to do something without explaining how.

In addition to helping Public Information Specialists and FOIA-PA Assistants on the floor, it will help Program Office tremendously in preparing training and responding to developing training needs.

If you'd like an example of a drastically re-written paragraph fleshed out with how-to information, take a look at section 7.3, which has to do with reasonable description. Sections 8.3, 8.17 and 8.18 are good examples of adding the procedure to the end (where we did not include the procedure before). Those are just a few examples.

Added new paragraph 27.43.g to the Processing Guide, as follows:

> 27.43.g **Refugee and Asylee Processing System screen prints** – you may identify RAPS screen prints by the prefix "RAX" in the upper left-hand corner of the screen print. The form is not compiled for law enforcement purposes, but there may be four protected systems check results. If the the fields are blank, do not redact them. If there is any result in IBIS, DACS, NAILS or USVISIT, please withhold those results citing Exemption (b)(7)(E), [or (k)(2) and (b)(7)(E), if PA].

USCIS FOIA INFORMATION BULLETIN

June 28, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added new guidance to section 6, Preparing Records for Disclosure, of the *Processing Guide* as follows (new information in red):

- Verify the responsive records relate to the subject of record by comparing the file with information the subject provided in the request. There is no need to compare information in CIS with either the request or the responsive records. The important thing is to verify information in the request letter against information in the file. Annotate for your Summary Discussion the page numbers where you found the information. If the wrong file is scanned in, it may have been an error in staffing or scanning. If it is obviously a simple mistake in staffing, such as an inverted A-number, create a discussion for Records Locator with an explanation of what happened and which file RL should request. If you are sure it is not a staffing error, create a discussion for Records Locator. "RL, wrong file is at sequence #. Please refer to section 32.9.3 of the FOIA/PA Assistant's Guide."

USCIS FOIA INFORMATION BULLETIN

June 27, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added more detailed explanation to section **6.3.1.3.5** of the FOIA/PA Assistant's Guide as follows:

> Attorneys may refer to Track 3 as "the removal track" or "the immigration hearing track." The key is any reference to deportation or removal. Some attorneys do not know the difference between "Track 3" and "Expedited Treatment," and we should not punish them for that. If an attorney requests expedited processing because his or her client has a removal hearing, we should treat that as a request for Track 3 processing and evaluate accordingly.
>
> - Example 1: if the attorney requested expedited processing because his or her client has a removal hearing and the attorney also provided a Notice to Appear with a future scheduled date, then you will create the case as a Track 3 and our acknowledgment will say that the case will be processed in the accelerated track (Track 3). Of course, if you are not sure, you should contact a supervisor.
> - Example 2: if the attorney requested expedited processing because his or her client has a removal hearing but the attorney did not also provide supporting documentation, then you will create the case in the regular track and include the Track 3 denial paragraph in your acknowledgment letter. The attorney then has the opportunity to provide supporting documentation to move the case to Track 3.
> - Example 3: if the attorney requested expedited processing and cites a threat to health or physical safety, or if the attorney cites no reason at all, then we should treat it as a request for expedited processing. When we deny expedited processing, we have to send a separate letter informing the requester of our decision. The requester has the right to appeal our decision to deny expedited processing.

We have changed Section 7 CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

Any petition filed for another person creates special requirements for certification of agreement. Sometimes the VOI and certification of agreement the requester provided is sufficient, but sometimes not. If the requester is asking for a petition, please refer to section 12.16 of this guide.

~~This includes requests for any consolidated petitions the requester or petitioner submitted or provided on behalf of the beneficiary (subject of record, SOR). If the petitioner is the requester and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is the subject of record. In that situation, even if the petitioner lists himself or herself as the subject on the request, we must make the beneficiary the subject of record. We must have VOI of the subject of record and certification of agreement if the requester is other than the subject of record. *If we are staffing the subject of record's A-file, and if the requester is not the same person as the subject of record, then we need certification of agreement from the subject of record.*~~

~~If the petition has not been consolidated into the beneficiary's A-file, and the petitioner or the beneficiary is the requester, we may staff for it. In this situation, if the petitioner listed himself or herself as the subject of record on the request, then we should enter the petitioner as the subject of record. Information in PCQS or CLAIMS is retrievable by either the petitioner's or beneficiary's name. In some situations, we are not able to staff for a petition because it is consolidated into the beneficiary's A-file and we do not have certification of agreement or VOI from the beneficiary – BUT PCQS or CLAIMS screen-prints would provide the requester with the information he or she is requesting. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing.~~

We have changed Section 12.16, "Receipt Numbers," of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

A receipt could be either an application or a petition. For example, Form I-90 is an Application to Replace Permanent Resident Card. The applicant is requesting a benefit for himself or herself. Form I-360 is a Petition for Amerasian, Widow(er), or Special Immigrant. It is a "self-petition." With form I-360, the petitioner and the beneficiary are the same person and so VOI and consent requirements are the same as for an A-file.

With many other petitions, the "petitioner" and the "beneficiary" are not the same person. That petition will always belong to both parties – both the petitioner and the beneficiary, except that sometimes the petition has been consolidated into another Privacy Act record: the beneficiary's file. The Alien File is stored and retrieved by a unique identifier belonging to only one person: the subject of record (SOR). We need SOR consent to open the A-file, even though the A-file could contain information that belongs to another person.

The following is a list of petitions in which the petitioner and the beneficiary are not the same person:

I-129F	Petition for Alien Fiancé(e)
I-130	Petition for Alien Relative
I-140	Immigrant Petition for Alien Worker
I-600	Petition to Classify Orphan as an Immediate Relative
I-730	Refugee/Asylee Relative Petition
I-800	Petition to Classify Convention Adoptee as an Immediate Relative

~~This includes requests for any consolidated petitions the requester or petitioner submitted or provided on behalf of the beneficiary (subject of record, SOR).~~

If the petitioner is the requester, and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is always the subject of record. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." For that reason, even though the requester may have listed the petitioner as the subject of record, if you discover that the petition is consolidated into the beneficiary's file, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the requester entered the petitioner's A-number on the G-639. ~~In that situation, even if the petitioner lists himself or herself as the subject on the request, we must make the beneficiary the subject of record.~~

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the requester is other than the subject of record. *If we are staffing the subject of record's A-file, and if the requester is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the requester, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

~~if the petitioner listed himself or herself as the subject of record on the request, then we should enter the petitioner as the subject of record~~.

~~Information in PCQS or CLAIMS is retrievable by either the petitioner's or beneficiary's name. In some situations, we are not able to staff for a petition because it is consolidated into the beneficiary's A-file and we do not have certification of agreement or VOI from the beneficiary – BUT~~

PCQS or CLAIMS screen-prints usually would not provide the requester with the information he or she is requesting, because the requester is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is the exception, not the rule.

- If the requester wants a copy of a petition or supporting document,

- and the petition has been consolidated into the beneficiary's A-file,
- and the requester did not provide certification of agreement from the beneficiary,
- close the case TD.

When the requester needs a copy of a petition or supporting documents:

Where is the PETITION?	**Who is the requester?**	
Unconsolidated	Petitioner	Staff for the petition.
Unconsolidated	Beneficiary	Staff for the petition.
Beneficiary's File	Petitioner	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. We need either certification of agreement from the Beneficiary or we close the case TD.
Beneficiary's File	Beneficiary	Staff for the A-file.
NVC	Petitioner or Beneficiary	RD to NVC.

Special Cases:

NFTS shows petition has been destroyed in accordance with records retention schedule.	Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it was destroyed.
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does not provide certification of agreement from beneficiary.	Prepare RAFACS staffing. Provide screen prints from PCQS.
Petitioner specifies "proof of filing," or "status" AND the petition is consolidated into beneficiary's file AND petitioner does provide certification of agreement from beneficiary.	Ensure the subject of record is the beneficiary. Ensure the A-number entered is the beneficiary's. Staff for the beneficiary's A-file.
NFTS shows "Deleted."	First, check history in NFTS. If it shows transferred to NVC, RD to NVC. Call NVC. If they have it, RD to NVC. If they do not have it, prepare a RAFACS staffing. Provide screen prints from PCQS.
NFTS shows "No record of the receipt"	Look to see if there is information in the history. Sometimes it shows the petition has been transferred to NVC. If so, RD to

	NVC.
NFTS shows the petition is at HBG pending destruction.	Prepare RAFACS staffing. Provide screen prints from PCQS and provide NFTS history screen print showing it is pending destruction.
NFTS shows the petition is at HBG, but the RPC starts with XX, XY, ZG, ZY, or ZZ.	It's digitized. Refer to the Staffing Sheet Guide. If unsure, consult FST.

We have changed the lost file staffing procedure. Any reference to lost files more than or less than 9 months is now lost files more than or less than 60 days.

We have re-written and renamed Section 12.18.16, "Staffing ELIS" to "Creating Staffing and Acknowledgement letters for ELIS cases" of the FOIA/PA Assistants Guide as follows (new information in red, ~~deleted information in strikethrough~~).

12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases

(The updated slideshow; Researching, Staffing and Redacting ELIS information in PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).

Whenever you create a case, please check PCQS for ELIS information. If you get a response of "Person Found In: ELIS," ~~please create an ESC staffing.~~ you'll either create an SSC or ESC staffing. If the A number is between 30 and 70 million, please create an SSC staffing. Create an ESC staffing for any other A-number.

To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:

1. Is this a self-request or a request from Attorney/Representative/Others?
2. Is the case open or closed?

You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS, the "Primary Applicant Summary" default screen will display. Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:

A. Accepted
B. Optimized

C. Reopened
D. Closed

If the case state is accepted, optimized or reopened, the case is open. Closed means closed.

In the ELIS record, there will also be an IOE number. Please copy that number. On both pages of the SSC or ESC staffing letter, please replace the "Alien #" with the IOE number you copied from PCQS.

If you have a self-request, whether it is open or closed, you will replace the Staffing letter's second bullet, first sentence with the following language:

"Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office."

NOTE: Leave the second statement, "**DO NOT MAKE REDACTIONS**," as is, after the language you inserted. Do not delete.

If you have an open Attorney/Representative/Others request, please follow the same directions as the open or closed self-request above.

However, if you have a closed Attorney/Representative/Others request, replace the "Alien #" with the IOE number you copied from PCQS only. Do not insert the language mentioned earlier.

Different language will be inserted into the Acknowledgement letter, but will follow the same pattern as above. An open or closed self-request will be treated the same as an open Attorney/Representative/Others request. Please insert the following paragraph after the "fees" section in the Acknowledgement letter:

"From the USCIS Electronic Immigration System (ELIS) you may download:

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondences (G-28 Representation or Withdrawal request) from the View My Cases screen; and
(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instructions below to request your USCIS ELIS content."

If the Attorney/Representative/Others case is closed, do not make any changes to the Acknowledgment letter.

(b)(6)

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy [redacted] The subject of the e-mail should be "ELIS staffing" and the body of the e-mail should be the case number.

We have added a new Section 12.18.16a "ELIS Staffing /Ack Letter Decision Table to the FOIA/PA Assistant Guide as follows (new information in red):

12.16.18a "ELIS Staffing / Ack Letter Decision Table

Please use the following table to help you successfully create ELIS cases.

ELIS Staffing / Ack Letter Decision Table

Requester/Case State?	Staffing Letter	Acknowledgment Letter
Self-Request: Open (Accepted, Optimized or Reopened)	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Self-Request: Closed	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Open	Add IOE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Closed	Add IOE number only	No change to Acknowledgement Letter

We have added a new paragraph to Section 27.24. "Joint Automated Booking System (JABS)", of the FOIA/PA Processing Guide as follows (new information in red):

NOTE: If you find any one of the following, please refer the document(s) to the Drug Enforcement Agency (DEA):

1. Agency is DEA

2. DEA agency case number
3. Narcotics and Dangerous Drugs Information System (NADDIS) number

USCIS FOIA INFORMATION BULLETIN

June 21, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed the CBP-ICE and CBP-NVC letters in the Case Create References folder to read:

> You may wish to contact Customs and Border Protection. Please be sure to include dates and locations of any encounters.
>
> U.S. Customs and Border Protection
> Office of Diversity and Civil Rights
> Freedom of Information Act (FOIA) Division
> 90 K Street NE, 9th Floor
> Washington, DC 20229-1181

We removed the reference to ICE, because when ICE apprehends a person, they assign an A-number and we would have been able to find a record. For your reference only, this is the way it used to read:

> After assessing your request, we determined that the responsive records are not under the purview of USCIS. If such records exist, they would be maintained under the jurisdiction of the following government agency:
>
> U.S. Customs and Border Protection
> 799 9th Street NW, Mint Annex
> Washington, DC 20229-1177
>
> For your convenience, we have forwarded your request to that agency for consideration and direct reply to you. For additional information relating to the Department of Homeland Security (DHS) and its components, we encourage you to visit the DHS website at the following address: http://www.dhs.gov.
>
> You may also want to contact the Immigration and Customs Enforcement as you seek to obtain any records regarding the subject:
>
> Immigration and Customs Enforcement
> Freedom of Information Act Office
> 500 12th Street, SW, Stop 5009
> (202) 732-0300
> Washington, DC 20536-5009

(b)(7)(e)

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
June 10, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

The wording of paragraph 28 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Current language:

28. CONGRESSIONAL REQUESTS AND APPEALS

All Congressional Requests and Appeals are pulled out of the in-coming mail and handled by a supervisor. If you encounter a Congressional Request or an Appeal in Records Locator queue that was not previously addressed; send an e-mail to NRC, FOIAMSB mailbox, include the control number and alien number of the case and specific instructions as to what needs to be done. Put the case in Unit Chief. FOIA/PA Assistants assigned to mail will place the mail in the MSB or Appeals bin.

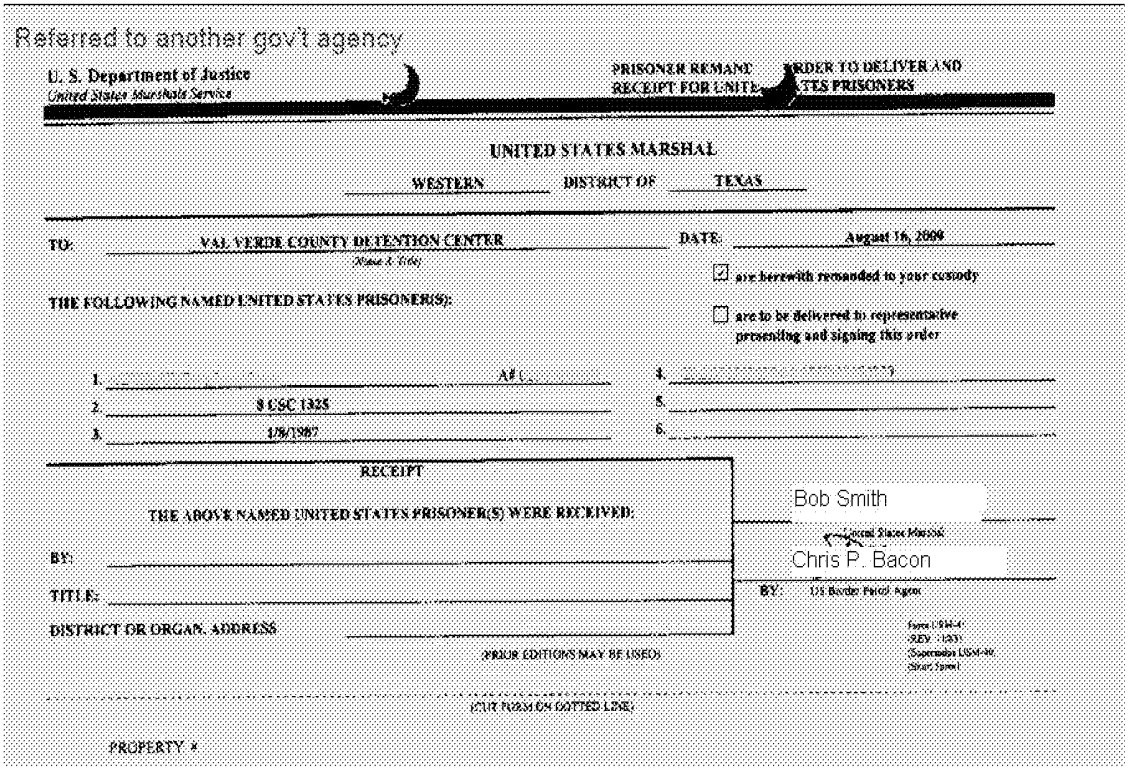
Here is the new paragraph:

28. CONGRESSIONAL REQUESTS AND APPEALS

a. Congressional requests. True congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. Most FOIA/PA requests with congressional correspondence should be handled under paragraph b. of this section, however, if you feel that you have a true congressional request or appeal, control the case, put the case in Unit Chief, and e-mail your supervisor the control number. A supervisor will either send the case to SIG or return the case to you for staffing.

b. Congressional requests on behalf of a constituent: These are requests that have some kind of congressional correspondence included with the request from the subject. These cases should be created in the same manner as any other FOIA or PA request. Please use the subject's name as the requestor, mark "self" in the source block, create the acknowledgment letter and go out for verification of identity or consent as needed. Insert a case note, and e-mail Vicki Ohrnell the control number.

Paragraph **28.02 REFERRAL WITH USCIS REDACTIONS** has been updated as follows:


Referred to another gov't agency

U. S. Department of Justice
United States Marshals Service

PRISONER REMAND RECEIPT FOR UNITED STATES PRISONERS

ORDER TO DELIVER AND

UNITED STATES MARSHAL

WESTERN DISTRICT OF TEXAS

TO: VAL VERDE COUNTY DETENTION CENTER (Name & Title)

DATE: August 16, 2009

☑ are herewith remanded to your custody

☐ are to be delivered to representative presenting and signing this order

THE FOLLOWING NAMED UNITED STATES PRISONER(S):

1. [redacted] A# [redacted]
2. 8 USC 1325
3. 1/8/1987
4. [redacted]
5. [redacted]
6. [redacted]

RECEIPT

THE ABOVE NAMED UNITED STATES PRISONER(S) WERE RECEIVED:

BY: [redacted]

TITLE: [redacted]

DISTRICT OR ORGAN. ADDRESS [redacted]

Bob Smith
(Deputy United States Marshal)

Chris P. Bacon
BY: US Border Patrol Agent

(PRIOR EDITIONS MAY BE USED)

(CUT FORM ON DOTTED LINE)

PROPERTY #

If you refer this page to U.S. Marshals Service, they will redact the name **Bob Smith** under (b)(7)(C) because he is a United States Marshal, but they will release the name **Chris P. Bacon** because he is a US Border Patrol Agent.

If there is information we would withhold, you must redact it before you refer the page to another government agency. ICE is an exception to this rule.

If there is information we redact on a page that we refer to another government agency, you must paste in the USCIS paragraph for that exemption and the USCIS final action letter appeal paragraph into the referral letter to the other government agency. ICE has provided us with guidance not to redact information before we refer to them, as they redact any exempt information, regardless of agency of origination.

The wording of paragraph 28.05 of the **Processing Guide** has been changed as follows:

28.05 Referring documents relating to third party individuals

If you are processing a case that contains documents that you normally refer to another agency but those documents **do no**t relate to the subject of record, please **do not** refer those documents. The exception would be if consent of all individuals has been given.

Mark as "Out of Scope" any TECS screen prints relating to third party individuals, if we would normally refer that screen print to another agency. Otherwise, withhold the TECS screen print in full citing (b)(7)(C) of the FOIA and exemptions (k)(2) and (b)(7)(C) on PA cases.

USCIS FOIA INFORMATION BULLETIN

June 9, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section 12.12.1.14.a Highlight the Correct File for Scanning, of the FOIA/PA Assistant's Guide as follows (new information in red):

12.12.1.14.a Highlight the Correct File for Scanning

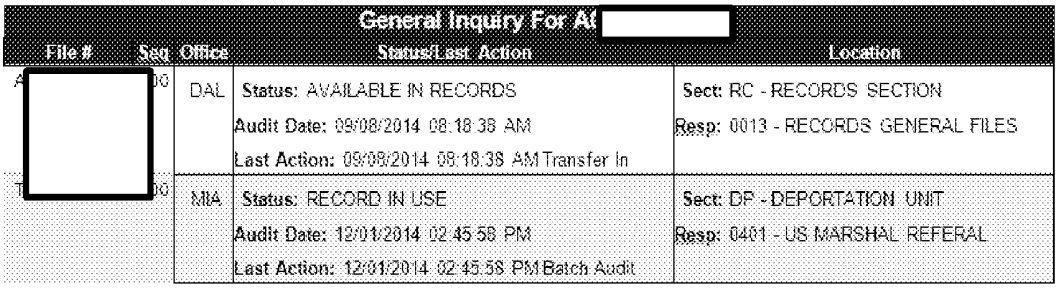
Section **12.18.11, T-files,** tells you never to crop the NFTS screen print.

However, if your screen print has more than one file, and you are requesting files from different locations, it can pose a problem for the contractor.

How will the contractor know which file(s) to scan? We have to make the correct file stand out to erase any doubt.

Consider the screen print example below. Here we have an A file and a T file at different locations. You will require two separate staffings, one to Dallas, the other to Miami – DRO (ICE).

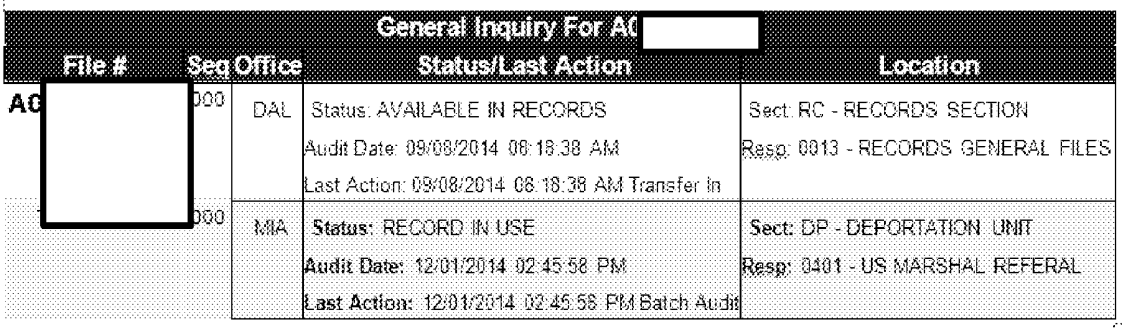
(b)(6)



General Inquiry For A[redacted]			
File #	Seq	Office	Status/Last Action	Location
A[redacted]	00	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
T[redacted]	00	MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DF - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

First, we will staff for Dallas. You find DAL under the Non FOIA section; click Request File, and the staffing sheet pops up. Next, highlight the DAL A-number, **bold** and increase the size to 10-font.

(b)(6)



General Inquiry For A[redacted]

File #	Seq	Office	Status/Last Action	Location
A[redacted]	000	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
[redacted]	000	MIA	**Status:** RECORD IN USE **Audit Date:** 12/01/2014 02:45:58 PM **Last Action:** 12/01/2014 02:45:58 PM Batch Audit	**Sect:** DP - DEPORTATION UNIT **Resp:** 0401 - US MARSHAL REFERAL

The first of your two staffing letters should look like this:

Staffed to: DAL
REQUESTED FILE

Office Code: NRC **Control Number:** NRC2015000000 **Date:** June 4, 2015

Alien Number: A[redacted] **Subject:** Happy G.

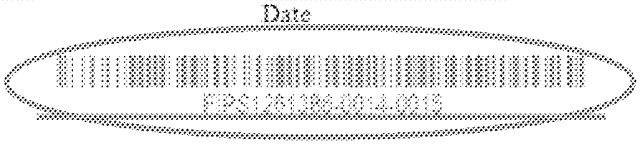
(b)(6)

General Inquiry For [redacted]				
File #	Seq	Office	Status/Last Action	Location
A0[redacted]	00	DAL	**Status:** AVAILABLE IN RECORDS **Audit Date:** 09/08/2014 08:18:38 AM **Last Action:** 09/08/2014 08:18:38 AM Transfer In	**Sect:** RC - RECORDS SECTION **Resp:** 0013 - RECORDS GENERAL FILES
T020000000	000	MIA	**Status:** RECORD IN USE **Audit Date:** 12/01/2014 02:45:58 PM **Last Action:** 12/01/2014 02:45:58 PM Batch Audit	**Sect:** DP - DEPORTATION UNIT **Resp:** 0401 - US MARSHAL REFERAL

This is to certify that I (we) have conducted a thorough search for the above listed A-file and this file:
____ is attached
____ could not be located.

Printed Name _____ Phone _____

Signature _____ Date _____



Make sure nothing interferes with the barcode at the bottom of the page. Click and drag the "This is to certify…" section up and away from the barcode if you need to.

Now we will prepare the staffing sheet for Miami – DRO (ICE). Since this is an ICE staffing, the staffing sheet will be in letter format. Place the entire screen print just below the word "Attachments" but above the barcode.

Highlight the MIA - DRO A-number, **bold** and increase the size to 10-font.

____ Attached is additional information to be used to reply to the requester.

____ Attached is our justification for withholding any responsive material.

____ The following records system number/title was search:

System	Results Positive	Negative
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I am responsible for the search of records conducted in my office encompassed by this request and the attached records were the only such documents located in response to this request.

Signature_____ Date_____

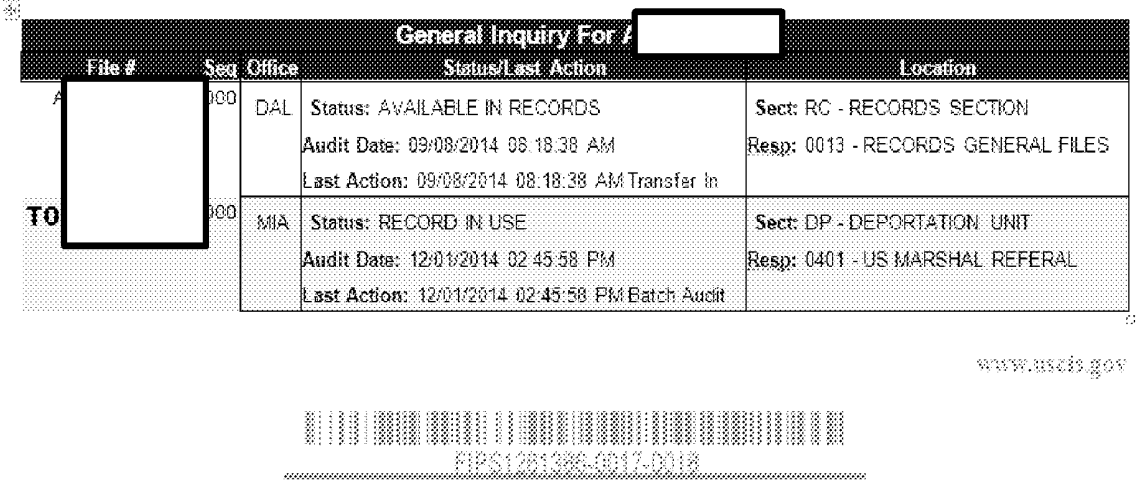
Printed/Typed Name_____

Title_____

Telephone #_____

Attachments(s)

(b)(6)



General Inquiry For A [redacted]

File #	Seq	Office	Status/Last Action	Location
A [redacted]	000	DAL	Status: AVAILABLE IN RECORDS Audit Date: 09/08/2014 08:18:38 AM Last Action: 09/08/2014 08:18:38 AM Transfer In	Sect: RC - RECORDS SECTION Resp: 0013 - RECORDS GENERAL FILES
TO	000	MIA	Status: RECORD IN USE Audit Date: 12/01/2014 02:45:58 PM Last Action: 12/01/2014 02:45:58 PM Batch Audit	Sect: DP - DEPORTATION UNIT Resp: 0401 - US MARSHAL REFERAL

www.uscis.gov

If your screen print is too large to fit between "Attachments" and the barcode, place the cursor before the screen print and then click "Ctrl + Enter." This will move your screen print to the next page.

USCIS FOIA INFORMATION BULLETIN

June 7, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section, 6.3.4.7, Border Crossing Card, to the *FOIA/PA Assistant's Guide* as follows (new information in red):

> **6.3.4.7 Border Crossing Card:** Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, then refer to Section 12.2 of this guide.

We have added new guidance to section 7, Certification of Agreement, Verification of Identity and Description of Records, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised (02/28/2013). Beginning **May 26, 2013**, USCIS will no longer accept prior versions of the G-28.

If the request scan date in FIPS is after May 25, 2013 and

- If certification of agreement is provided on no other place except Form G-28,
- Then the attorney must use a *properly executed* new Form G-28 (revision of 02/28/13).
- If the Form G-28 is an older version than the revision of 02/28/13, then you will close the case FC. Please refer to section 16b of this guide.
- If the new Form G-28 (revision of 02/28/13) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

If the request scan date in FIPS is on or before May 25, 2013 and

- If certification of agreement is provided on no other place except Form G-28,
- Then the version of Form G-28 does not matter, but it must be properly executed.
- If Form G-28 is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

Finally, if there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, it does not matter what version of Form G-28, or if it was properly executed.

We have re-written section 12.2, Border crossing card number, of the *FOIA/PA Assistant's Guide* as follows (new information in red)(~~deleted information in strikethrough~~):

Sometimes a person has no other record than a Border Crossing Card, and you will know this because the only record you can find for that person is an alien number between 80,000,000 and 86,999,999. If that is the only record you are able to find, select Category **OTHER**, then do the following:

a. Create the case.
b. If you have access to PCQS, search PCQS and print any data you find. It is better to provide PCQS screen prints, so if you do not have access to PCQS, please locate a person who has PCQS to print those screens. If that is not possible, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223.
c. Prepare the screen prints for scanning into this slot as responsive records. Please attach a "Scan As" sheet and mark it as "Responsive Records" with the screen prints to be scanned, and then take the responsive records to the designated person. (The current designated person will be posted by FOIA Operations on the ECN page.)
d. Open a RAFACS (not RAFACS/CIS) staffing slot. Make sure "Customize Letter" is selected. You do not have to modify the staffing letter.
e. Prepare a discussion explaining what you did, prepare any correspondence, and then pend the case.

~~Previously during the Case Create process, if a requester/subject provided a Border Crossing Card Number and all of the required PII (except an A-Number), we asked the requester/subject to provide additional information (Alien or receipt number, copies of documents from the service, etc…). We used this information to determine if the subject had an A-File. We would find the A-file only in very rare instances.~~

~~We no longer request additional information if the requester/subject provides all of the required PII (except an A-Number). Since Border Crossing Cards are strictly electronic records (no actual file), we will have the Border Crossing Card screen prints scanned into a RAFACS slot.~~

~~Use the Border Crossing Card Number provided; if you have access to PCQS, search PCQS and print any data found, otherwise, search and print CIS screens 9101, 9101-history (F8), 9222 and 9223. Open a RAFACS staffing slot. Make sure "Customize Letter" is selected. Prepare the screen prints for scanning into this slot as responsive records. Pend the case for responsive records. Please attach a "Scan As" sheet and mark~~

~~it as "Responsive Records" with the screen prints to be scanned. The case will be sent to the processor after screen prints are scanned in. Create as Track 1, category OTHER.~~

We have added new guidance to section 5.01, Certification of Agreement, of the *Processing Guide* as follows (new information in red):

Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, has been revised (02/28/2013). Beginning **May 26, 2013**, USCIS will no longer accept prior versions of the G-28.

If the case was created on or after June 7, 2013 and

- If certification of agreement is provided on no other place except Form G-28,
- Then the attorney must use a *properly executed* new Form G-28 (revision of 02/28/13).
- If the Form G-28 is an older version than the revision of 02/28/13, then you will close the case FC. Please refer to section 42 of this guide.
- If the new Form G-28 (revision of 02/28/13) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 27.11 of this guide.

If the case was created before June 7, 2013 and

- If certification of agreement is provided on no other place except Form G-28,
- Then the version of Form G-28 does not matter, but it must be properly executed.
- If Form G-28 is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 27.11 of this guide.

Finally, if there is adequate certification of agreement someplace else in the request, such as on Form G-639 or on a separate statement, it does not matter what version of Form G-28, or if it was properly executed.

We have added INTERPOL to the names of agencies we do not disclose upon referral. Please see Section 28.01.b of the *Processing Guide.*

We have added a clarification to Section 28.06, U.S. Department of State Documents, of the *Processing Guide* as follows (new information in red):

- Refer messages, letters, e-mails, checklists and cables having to do with visa determination or investigations. This includes any Visa Lookout System, CLASS or SAO Name Check Results as well as "VISAS" + any animal.

USCIS FOIA INFORMATION BULLETIN

June 6, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section, 27.53 to the Processing Guide as follows: (new information in red)

27.53 Aliens with Multiple Unconsolidated A-Numbers

27.53 Aliens with Multiple Unconsolidated A-Numbers

If the alien has multiple unconsolidated A-Numbers and both files are located at the NRC, please add them to the spreadsheet that Records Operations maintains at *S:\Record_Ops\Files_to_Consolidate.xls.* You are responsible for entering the alien numbers of the files that may possibly need consolidation. Records Operations will review the files and consolidate if necessary.

Please double-check that your A-Numbers have not already been entered into the spreadsheet. Don't forget to include your actions in your case summary discussion.

Note: If both files are not at the NRC, do not add the information to the spreadsheet.

USCIS FOIA INFORMATION BULLETIN

June 1, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

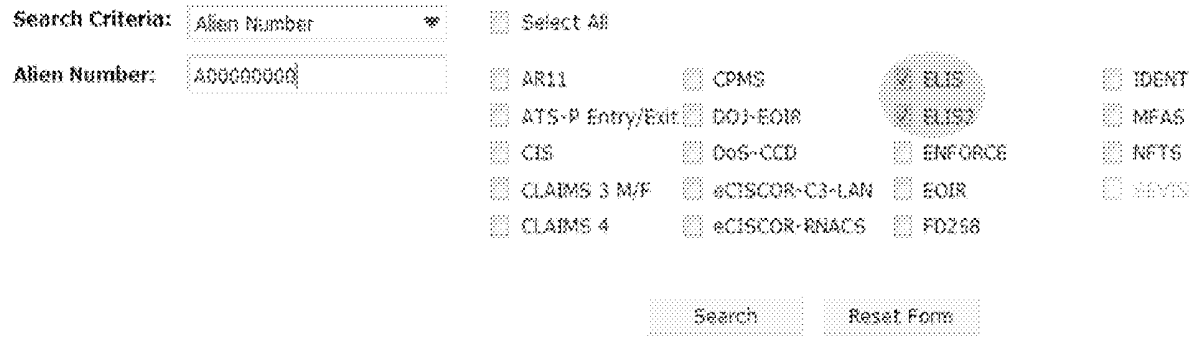
We have added a new section 12.18.16, Creating Staffing and Acknowledgement letters for ELIS cases, of the FOIA/PA Assistant's Guide as follows (new information in red):

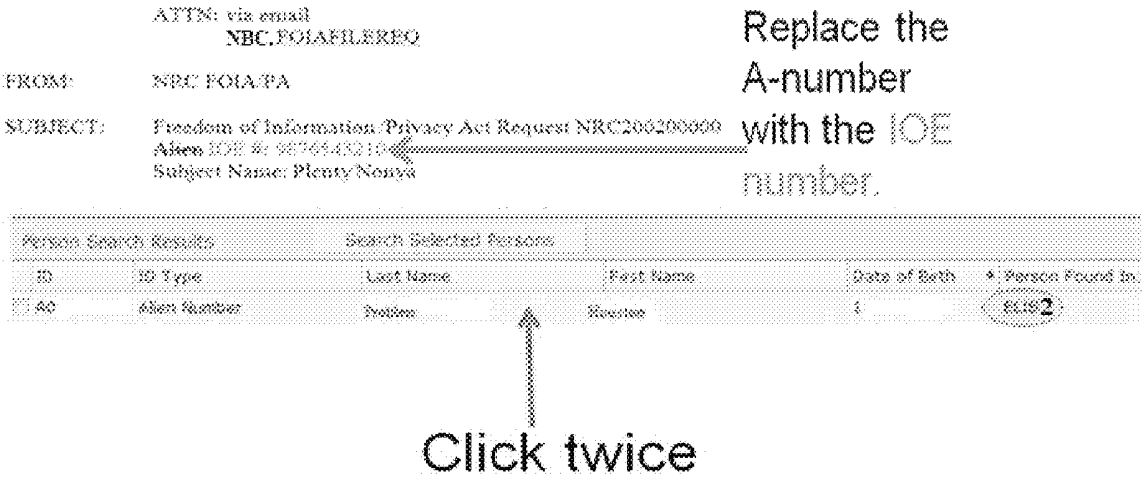
12.18.16.b Creating Staffing and Acknowledgement letters for ELIS2 cases

The slideshow ELIS Research Staff Redact – ELIS2 can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).

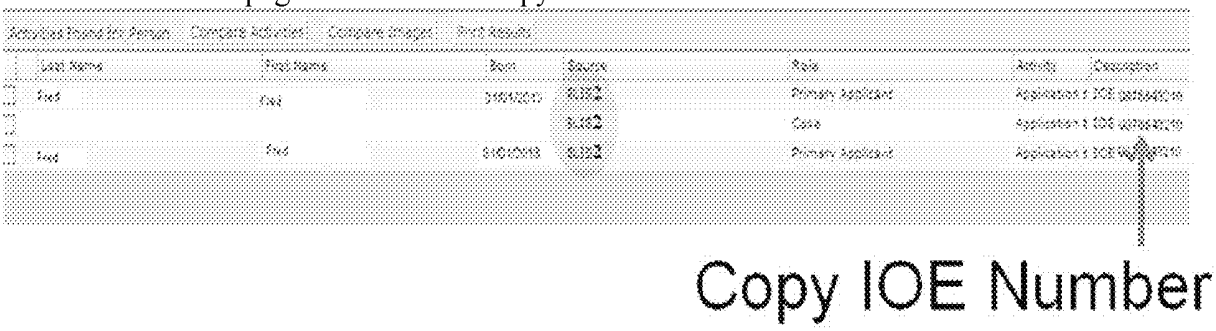
12.18.16.b.1 Find the IOE Number

Whenever you create a case, please check PCQS for ELIS and ELIS2 information.



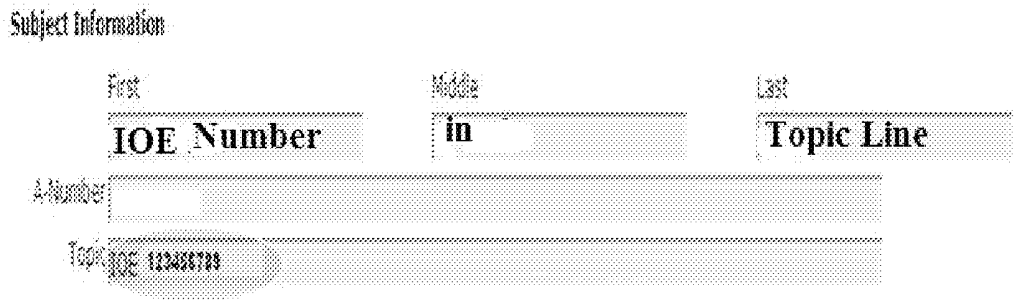


You'll come to the page below. Please copy the IOE number.



12.18.16.b.2 Create the Case/Put IOE Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

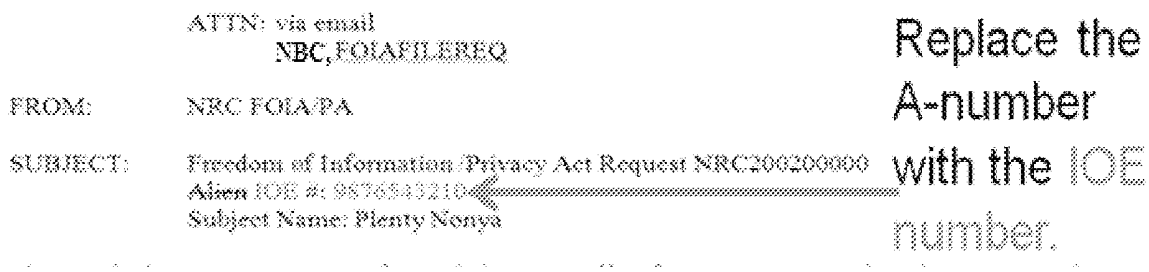


NOTE: Putting the IOE number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, you will be creating an NBC staffing (Form I-90, Application to Replace Permanent Resident Card).

12.18.16.b.3 Create Staffing and Acknowledgement Letters

On both pages of the NBC staffing letter, please replace the "Alien #" with the term IOE and the number you copied from PCQS as shown here:



12.18.16.b.3 Determine Requester

To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to answer this one question:

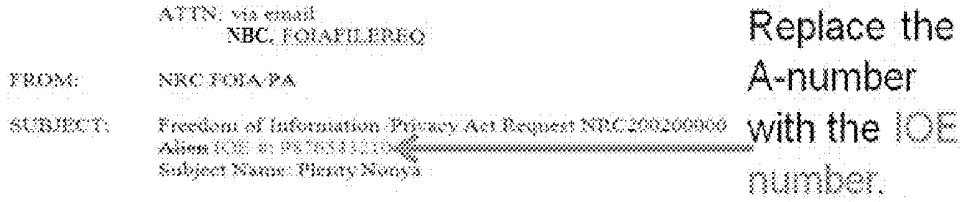
1. Is this a self-request or a request from Attorney/Representative?

If the answer is "yes," you insert language into the Staffing and Acknowledgement letters.

If the answer is "no," you only have to add the IOE number to the top and the bottom of the Staffing letter. There is no change to the Acknowledgement letter.

NOTE: The language you insert into the ELIS 2 Staffing and Acknowledgement letters is different from the language inserted into legacy ELIS (ELIS 1).

On both pages of the NBC staffing letter, please replace the "Alien #" with the IOE number you copied from PCQS.

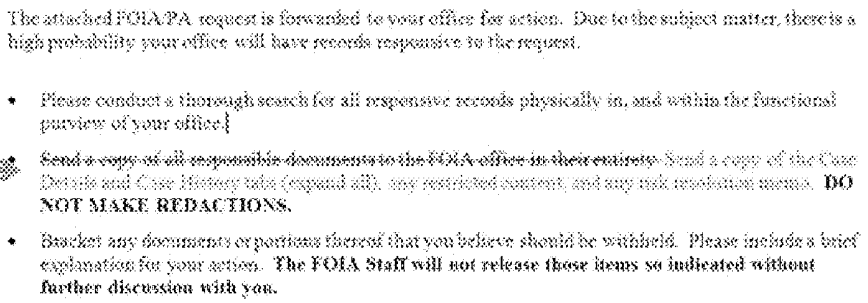


If you have a self-request or if the request is from an Attorney/Representative, replace the Staffing letter's second bullet, first sentence with the following language:

"Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."

NOTE: Leave the second statement, "**DO NOT MAKE REDACTIONS**," as is, after the language you inserted. Do not delete.

Delete the first part of the second bullet (shown in ~~strikethrough~~). Replace it with the sentence shown in red.



The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

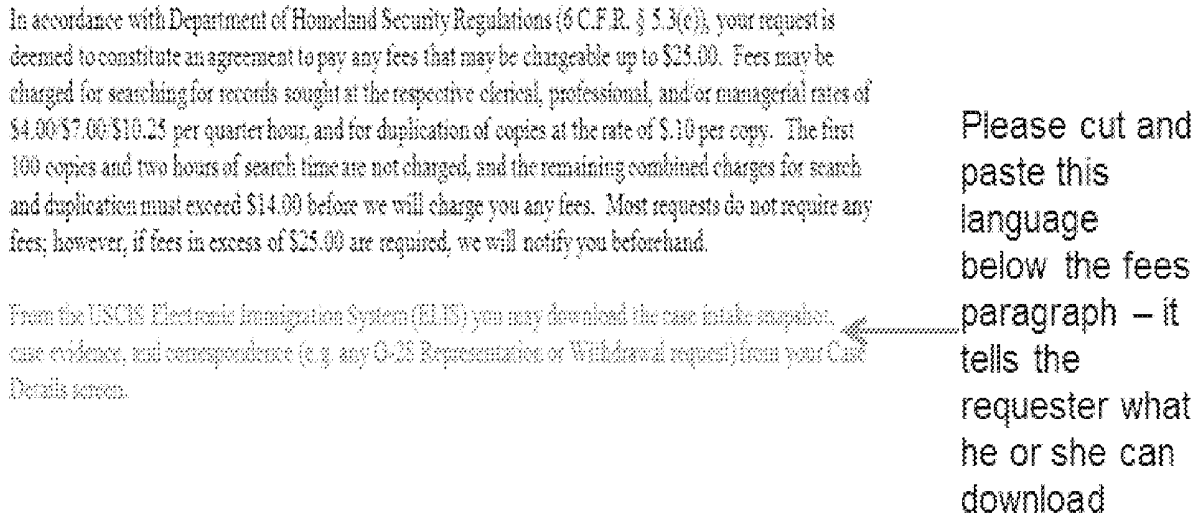
- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsible documents to the FOIA office in their entirety.~~ Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any task resolution memos. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release these items so indicated without further discussion with you.**

Different language will be inserted into the Acknowledgement letter, but will follow the same pattern as above. A self-request will be treated the same as an Attorney/Representative request.

Please insert the following paragraph after the "fees" section in the Acknowledgement letter:

"From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

See the following example:



In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

Please cut and paste this language below the fees paragraph – it tells the requester what he or she can download

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy [redacted] The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

(b)(6)

12.18.16.b.4 "ELIS 2 Staffing / Ack Letter Decision Table

Please use the following table to help you successfully create ELIS 2 cases.

Staffing / Ack Letter Decision Table
ELIS 2 only

Requester	Staffing Letter	Acknowledgment Letter
Self-Request or Attorney/Representative	Add IOE + number and insert – "Send a copy of the Case Details..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Anything else	Add IOE + number. Do not change the default language.	Do not change the default language.

USCIS FOIA INFORMATION BULLETIN

June 1, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section 12.18.16.b, Creating ELIS2 cases, of the FOIA/PA Assistant's Guide as follows (new information in red):

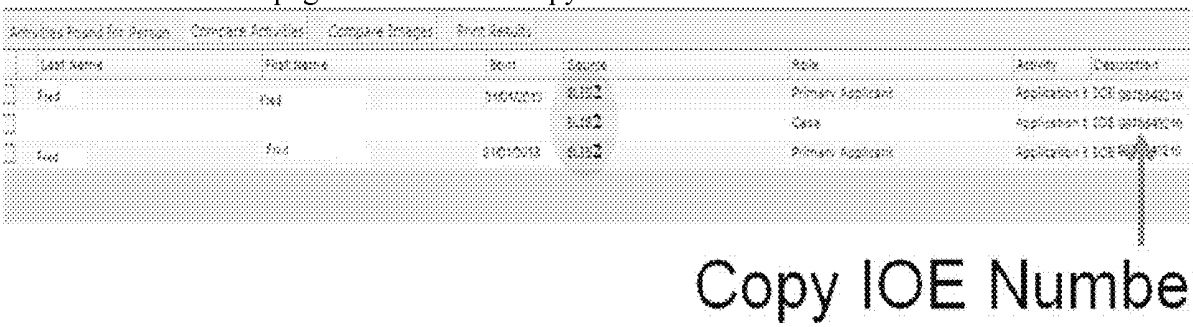
12.18.16.b Creating ELIS2 cases

The slideshow ELIS Research Staff Redact – ELIS2 can be found at O:\FOIA\FOIA Library\Case Create References and on ECN).

12.18.16.b.1 Find the IOE Number

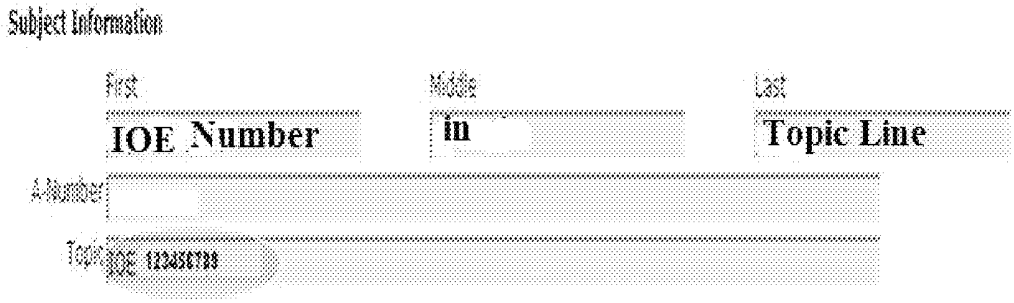
Whenever you create a case, please check PCQS for ELIS and ELIS2 information.

You will come to the page below. Please copy the IOE number.



12.18.16.b.2 Create the Case/Put IOE Number in Topic Line

Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.

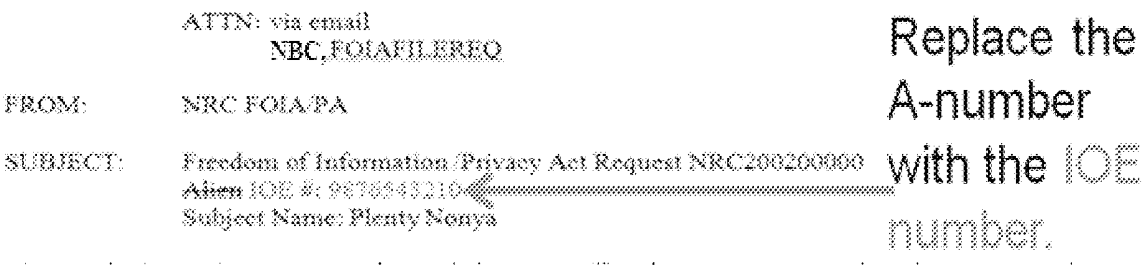


NOTE: Putting the IOE number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

Next, you will be creating an NBC staffing (Form I-90, Application to Replace Permanent Resident Card).

12.18.16.b.3 Create Staffing and Acknowledgement Letters

On both pages of the NBC staffing letter, please replace the "Alien #" with the term IOE and the number you copied from PCQS as shown here:



12.18.16.b.4 Determine Requester

To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to answer this one question:

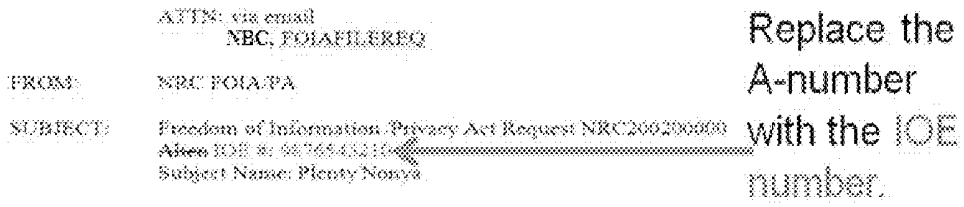
1. Is this a self-request or a request from Attorney/Representative?

If the answer is "yes," you insert language into the Staffing and Acknowledgement letters.

If the answer is "no," you only have to add the IOE number to the top and the bottom of the Staffing letter. There is no change to the Acknowledgement letter.

NOTE: The language you insert into the ELIS 2 Staffing and Acknowledgement letters is different from the language inserted into legacy ELIS (ELIS 1).

On both pages of the NBC staffing letter, please replace the "Alien #" with the IOE number you copied from PCQS.

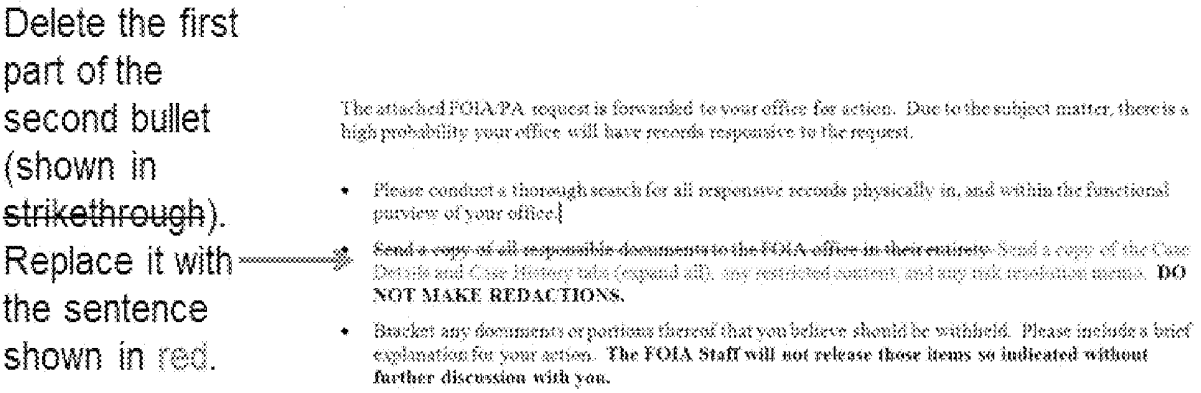


If you have a self-request or if the request is from an Attorney/Representative, replace the Staffing letter's second bullet, first sentence with the following language:

"Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memo."

NOTE: Leave the second statement, "**DO NOT MAKE REDACTIONS**," as is, after the language you inserted. Do not delete.

Delete the first part of the second bullet (shown in ~~strikethrough~~). Replace it with the sentence shown in red.



The attached FOIA/PA request is forwarded to your office for action. Due to the subject matter, there is a high probability your office will have records responsive to the request.

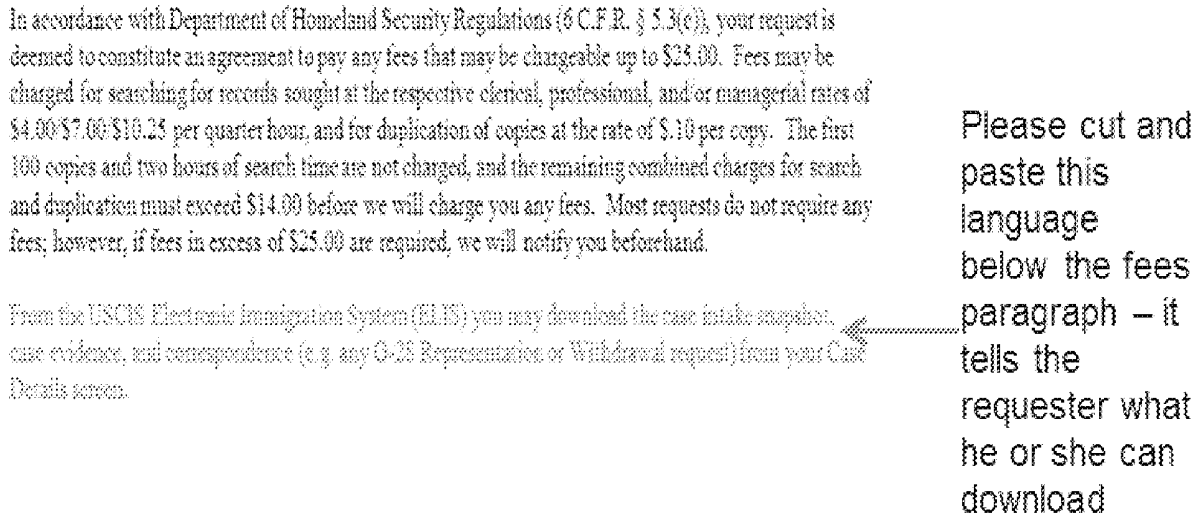
- Please conduct a thorough search for all responsive records physically in, and within the functional purview of your office.
- ~~Send a copy of all responsible documents to the FOIA office in their entirety.~~ Send a copy of the Case Details and Case History tabs (expand all), any restricted content, and any risk resolution memos. **DO NOT MAKE REDACTIONS.**
- Bracket any documents or portions thereof that you believe should be withheld. Please include a brief explanation for your action. **The FOIA Staff will not release these items so indicated without further discussion with you.**

Different language will be inserted into the Acknowledgement letter, but will follow the same pattern as above. A self-request will be treated the same as an Attorney/Representative request.

Please insert the following paragraph after the "fees" section in the Acknowledgement letter:

"From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

See the following example:



In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download the case intake snapshot, case evidence, and correspondence (e.g. any G-28 Representation or Withdrawal request) from your Case Details screen.

Please cut and paste this language below the fees paragraph – it tells the requester what he or she can download

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy [redacted]. The subject of the e-mail should be "ELIS 2 staffing" and the body of the e-mail should be the case number.

(b)(6)

12.18.16.b.5 "ELIS 2 Staffing / Ack Letter Decision Table

Please use the following table to help you successfully create ELIS 2 cases.

Staffing / Ack Letter Decision Table
ELIS 2 only

Requester	Staffing Letter	Acknowledgment Letter
Self-Request or Attorney/Representative	Add IOE + number and insert – "Send a copy of the Case Details..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Anything else	Add IOE + number. Do not change the default language.	Do not change the default language.

USCIS FOIA INFORMATION BULLETIN

July 27, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

When we published the April 1st version of the Guide, which directed us to refer all ICE documents to ICE, we inadvertently deleted the instructions for a Memorandum of Investigation or Report of Investigation *if* it was not prepared by ICE.

We have added a new section 27.47 to the *Processing Guide* to the guide to replace that information, as follows:

27.47 Report of Investigation or Memorandum of Investigation

Please note that a Report of Investigation or Memorandum of Investigation could be completed by CIS or CBP. If that is the case, please process the document. Otherwise, refer any Report of Investigation or Memorandum of Investigation completed by ICE to ICE for direct response to the requester. Do not hide the name of the agency. You should also refer a Report of Investigation or Memorandum of Investigation completed by legacy INS (prior to March 2003) to ICE if it was prepared by a Special Agent or other Investigator who would now work for ICE.

We have amended section 9.1 of the *FOIA/PA Assistant's Guide* as follows, new information in red:

If you find no A-file or receipt file for the subject, follow the referral guidelines set forth below. The list below includes examples of when to Refer (RF) to CBP and or ICE.

If you find an A-file, you should create the case and staff for the file. Please refer to the flow charts at Appendix H. Before you refer the case, you must verify we have no record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. In your Discussion, you should also name the systems you searched and state that you have sent the documentation to OA for scanning as CSD.

Referring the Case

A. Create the case as normal

B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RF: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are referring the request and click "Submit."
D. FIPS will automatically create two documents: a final action letter to the requester and a referral memorandum to the DHS component.
E. FIPS then generates the two Word documents
F. You will need to edit the letter to add needed information. After you exit from the Word documents, they will appear under the "Contents" tab.
G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for both documents, enter a case Discussion with your RF findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

We have amended section 9.2 of the *FOIA/PA Assistant's Guide* as follows, new information in red:

If we receive a request for specific records that belong to an agency outside of DHS, we close it and write a "redirect letter." If it is a general request for "My Complete A-File" or "All my records," you must conduct a search for responsive records.

If you find an A-file, you should create the case and staff for the file. Please refer to the flow charts at Appendix H. Before you redirect the case, you must verify we have no record. When conducting research, do the queries and provide screen prints of CIS 9103, CIS 9102, CIS 9104 and PCQS or CLAIMS searches. There should be no less than two pages and may be lengthier if the subject has provided multiple names. Prepare a "Scan As" sheet to be attached to the screen prints and take them to the OA room for scanning as CSD. In your Discussion, you should also name the systems you searched and state that you have sent the documentation to OA for scanning as CSD.

Redirecting the Case to another Agency or Unit

A. Create the case
B. Conduct a search for responsive records. Prepare screen prints and "Scan As" sheet.
C. Under the "Tasks" tab, select Final Action Letter. Select "RD: Referred to a DHS Component" as the final action code. Under "Redirects/Referrals" select the component to which we are redirecting the request and click "Submit."
D. FIPS will automatically create a document: a final action RD letter to the requester.
E. FIPS then generates the Word document.
F. You will need to edit the RD letter/document to add needed information. After you exit from the Word document, it will appear under the "Contents" tab.

G. Click on the "Check in Document" icon and you will get a "Save" dialog box. Click "Open."
H. After you have done this for the document, enter a case Discussion with your RD findings stating that you have sent the screen prints to be scanned as CSD.
I. Send the case to Up-front Approver.

USCIS FOIA INFORMATION BULLETIN

July 26, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added new information to Section 7, CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity or Certification of Agreement. Non-Privacy Act Record requests frequently fall under SIG. Such a request may arrive by mail, fax or e-mail, and do not require a signature. Requesters must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a requester establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the requester is not required to establish his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

We have changed section 8.19 Situation: Certification of Record of the *FOIA/PA Assistant's Guide* as follows (~~old information in strikethrough~~ new information in red):

8.19 SITUATION: Certification of record

When creating a new case, insert a Discussion "certified documents requested."

Create the case as normal. If you are closing the case as no record, total denial or failure to comply, there is no need to address certification of record in the final action letter. If you are not closing the case NR, TD or FC, and if the requester does not want a copy of the whole file, but specifically requests only a certified copy of a particular document, you will be closing the case NB. According to the situation, please add the following paragraph(s) into your final action letter:

NB Situation 1: If a request is only a request for a certified copy of a Name Change document, insert the following paragraph:

> Regarding your request for a certified copy of Name Change document, you may check with the Court that issued and certified the Name Change document.

NB Situation 2: If a request is only for a certified copy of Certificate of Naturalization of a living person and not a request for the whole file:

> This is in response to your request for a certified copy of your Certificate of Naturalization.
>
> To request a "Certified True Copy" of your Certificate of Naturalization, and if you have the original document, you must make an appointment at your local USCIS office by using the on-line InfoPass Appointment Scheduler. If you do not have the original document, to request a replacement of your Certificate of Naturalization, you must fill out Form N-565, Application for Replacement Naturalization/Citizenship Document. Please see www.uscis.gov for more information about these processes and the downloadable Form N-565.
>
> If you have additional questions, you may contact your local USCIS Office or call the National Customer Service Center at 1-800-375-5283 (TTY 1-800-767-1833).

If the request is for a copy of the whole file, and there is a request for certified copy of a naturalization certificate of a deceased person (but not Italian dual citizenship – if it is an Italian dual citizenship request, please go to section 8.20 of this guide), or if it is a request for any other documents that may be within the file, you will not close the case NB. Please staff for the file and add this paragraph to your acknowledgment letter:

> You requested a certified copy of a U.S. Citizenship and Immigration Services (USCIS) record. The National Records Center does not certify documents and is responding with a copy of these records as required under the Freedom of Information Act/Privacy Act.

~~When creating a new case, insert a Discussion "requester wants documents certified." The processor or approver will handle the certification process.~~

~~Certification of records is done in accordance with 8 C.F.R. § 103.7(d) and the Records Operations Handbook (ROH).~~

~~The NRC will certify certain documents from A-files as being true and correct copies. The physical file must be located at either the NRC or the FRC. Genealogy requests that were received, staffed and processed by NRC can also be certified by the NRC. The NRC will not certify copies of documents that belong to other agencies. Information will be provided to the requester on how to~~

~~obtain certified copies of these documents. The NRC can also provide a certified letter giving information such as the date of entry and the status of the individual.~~

~~First, evaluate if the request qualifies under the Genealogy Program. Refer to the section entitled Case Specifications, Category 4 (Other).~~

~~NRC will *not* certify naturalization certificates for *living persons*. If the individual has his or her original naturalization certificate and want or need a certified copy of it, he or she must make an INFOPASS appointment. An individual must submit an N-565, Application for Replacement Naturalization/Citizenship Document if he or she has lost or misplaced the original.~~

~~Records Services Branch, USCIS does all certificates of non-existence; these requests must be submitted in writing to the address shown below:~~

~~U.S. Citizenship and Immigration Services~~
~~ATTN: Records Service Branch~~
~~1200 First Street, NE, 2nd Floor~~
~~Washington, DC 20529-2204~~

We have changed section 16a. TD (total denial) CASE CLOSINGS, section H. back to Up-front Approver as follows (new information in red, ~~deleted portion in strikethrough~~):

16a. TD (total denial) CASE CLOSINGS

Send to Up-front ~~Case~~ Approver.

We have added referral addresses to the Case Processing References folder.

We have added a new Section 5.03, Requests for Non-Privacy Act Records, to the *Processing Guide* as follows (new information in red):

If a person is not requesting a Privacy Act Record, then there is no requirement to establish Verification of Identity or Certification of Agreement. Non-Privacy Act Record requests frequently fall under SIG. Such a request may arrive by mail, fax or e-mail, and do not require a signature. Requesters must provide name, mailing address and adequate description of the records they are seeking. By submitting the request, the person is agreeing to pay fees up to $25.00, unless they specify more.

Additionally, if a requester establishes that the subject of record is deceased, or if the subject of record is more than 100 years old, then the requester is not required to establish

his or her own Verification of Identity. The same requirements apply to a request for the file of a deceased person as apply to a request for a Non-Privacy Act Record.

We have added a new Section 27.27.e to the *Processing Guide* as follows (new information in red):

> 27.27.e If you are processing a FOIA case, there are certain USCIS personnel whose names you should withhold even when not performing a law enforcement function, citing Exemption (b)(6). Those personnel are:
>
> (1) Refugee Officers
> (2) Asylum Officers
> (3) FDNS personnel.
>
> In addition to that, there are times you must use your judgment. If any person is working overseas, especially in a sensitive region, and if you feel that person could be a potential target for extortion, kidnapping or interference in performance of duty, you should protect that person's name, direct line phone numbers and e-mail addresses, along with any other identifying information. If you have a doubt, please contact a supervisor.

We have added new information to Section 27.31.n of the *Processing Guide* as follows (new information in red):

> 27.31.n Death extinguishes the right to privacy. Sensitive or graphic personal details relating to an individual's death may be withheld to protect family members. Examples of this could be photographs of a death scene or results of an autopsy.
>
> We always process the file of a deceased person under the FOIA, regardless of the subject of record's status at time of death.
>
> PII rules in this section generally apply to living persons requesting a copy of their own files. Third-party documents and PII rules are very different when you are processing the file of a deceased person, and that is because you are protecting the identities of every person except the deceased person. You must redact names and protect identities of any individual who could be alive, unless we have certification of agreement to release information from the individual. For instance, when you process the file of a deceased person, you would release only the name of the subject of record on a birth certificate, unless there is some other reason to release the other names and identifying information, for instance:
>
> 1. The requester is a child on the birth certificate and the requester provided signed verification of identity with the request.
> 2. The requester also provided proof of death of other party(ies) to the birth certificate.

3. You know that other party(ies) to the birth certificate are more than 100 years old.
4. You know from some other source, such as news media or SSDI that other party(ies) to the birth certificate are deceased – and if that is the situation, please provide your source of information in your case summary discussion.

When you process the file of a deceased person, you will partially withhold other documents, such as marriage certificates, joint tax returns and even documents that were originally provided by the subject of record, all of which you would normally release if a living person requested a copy of his or her own file. Additionally, you must review death certificates and possibly protect PII of the person reporting the death.

A requester is not required to establish his or her own identity to request the file of a deceased person. If the requester did not do so, you must withhold the requester's own PII that may be within the deceased person's file.

We have modified Section 27.36, **Choicepoint/Discovery Plus/CLEAR/Accurint/LexisNexis Person Searches** of the *Processing Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

Choicepoint and Discovery Plus (there could be others such as CLEAR, LexisNexis Faces of the Nation, and Accurint) are research tools used by adjudicators or investigators. These screen prints are compiled for law enforcement investigatory purposes. Fully withhold documents from systems such as these citing Exemption (b)(7)(E). If there is any third party PII, please also cite Exemption (b)~~(6)~~(7)(C). If you are processing a Privacy Act case, you will need to apply Exemption (k)(2). Apply only the applicable exemptions.

USCIS FOIA INFORMATION BULLETIN

July 20, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended section 27.45.f of the *Processing Guide* as follows, new information in red:

27.45.f TECS I-94 printouts

27.45.f.1 I-94 Departure Record (computer generated) –should be released in full.

27.45.f.2 I-94 Arrival/Departure Display - Please withhold the TID number and the Inspector Number, citing Exemption (b)(7)(C), or (k)(2) and (b)(7)(C) if PA.

We have amended section **27.38 Processing Form I-181, Memorandum of Creation of Record of Lawful Permanent Residence** of the *Processing Guide* as follows, new information in red:

If this is a first party request, release Form I-181, Memorandum of Creation of Record of Lawful Permanent Residence if marked (stamped or handwritten) approved. Keep in mind there may be an IBIS stamp on the form, so you might not always fully release it.

The same rule applies if the Form I-181 is marked denied or terminated. You should fully release it unless there is an IBIS stamp. If there are additional copies without markings following a denied or terminated copy, please fully withhold those copies, citing Exemption (b)(5).

If you are processing a FOIA and the I-181 **has not** been stamped approved, terminated or denied, then please fully withhold it, citing Exemption (b)(5).

We have added a new section **28.01.h** to the *Processing guide*, as follows:

28.01.h Please treat attachments as independent documents. That is to say, if you refer a cover letter, you should not refer all attachments just because they are attachments. Instead, you should process those documents according to guidance we have already. For example, if an attorney addresses a letter to ICE and says Exhibit A attached is the subject's birth certificate, we should refer the

letter addressed to ICE, but not the birth certificate. We know how to process the birth certificate, and ICE does not need that birth certificate in order to know how to withhold or release the cover letter.

We have amended Appendix H, the section dealing with **Form I-140**, ~~superceded information in strikethrough~~, new information in red:

If the petitioner is an individual, ~~withhold the petition in full~~ and if the case is a FOIA, and if you do not have consent from the petitioner, you would release only information relating to the beneficiary. Please protect any highly personal information.

We have amended section 6.3.1.1 Track 1 – of the *FOIA/PA Assistant's Guide*, ~~superceded information in strikethrough~~, new information in red:

> Track I requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you ~~should create under category Asylum and Alien file for refugee requests. Assign those to Track 2~~).

> Track I requests for receipt files and requests for partial records such as a specific document. A specific document request consists of three documents or less (except asylum or refugee requests, which you must evaluate more carefully – please refer to section 8.24 SITUATION: Requests for Asylum or Refugee documentation).

We have added a new section **8.24** SITUATION: Requests for Asylum or Refugee documentation to the *FOIA/PA Assistant's Guide*, as follows:

Asylum and refugee A-Files can be very large. We frequently see voluminous evidence of past persecution or conditions that would jeopardize the life or safety of the applicant. Because of this, we do not adhere strictly to the "three documents or less" rule when deciding whether we have a Track 1 or Track 2 case. The two examples below show first, a Track 1 and second, a Track 2:

Example 1, Track 1:

By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ All of my records ☒ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

All Asylum applications form I-589

(Consent is required for records of U.S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

All Asylum applications form I-589

Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)*

I need documentation to establish my daughters eligibility for NACARA

An asylum application and a Form I-589 are the same thing. They are usually about 10 pages. There are some things we might do to help decide whether this is Track 1 or Track 2. For instance, we might want to ask a more experienced creator what it takes to establish eligibility for NACARA. For NACARA, if the requester can produce a Form I-589 that was accepted by the service and lists the daughter on it, the requester can establish eligibility. We could conclude that all the requester needs is the Form I-589. Alternatively, we might call the attorney's office to ask if they mean only the Form I-589 and nothing else. In either case, you would create a Discussion explaining what you did and why, and modify the acknowledgment letter, using language as close as possible to the request while remaining grammatically correct, stating, for example, "you specifically requested all Forms I-589, Asylum Applications." If we do not state it that specifically in the acknowlegment letter, the processor will be forced to process the case as if it were a request for the entire file. An example of such a failure would be "you specifically requested asylum documents."

Example 2, Track 2:

By my signature, I consent to allow the requester named in Number 2 above to review (Check applicable box):

☐ All of my records ☐ A portion of my records *(If a portion, specify below what part, i.e., copy of application.)*

(Consent is required for records of U.S. citizens (USC) and lawful permanent residents (LPR).)

4. Information Needed to Search for Record(s)

Identify the documents, records, or information you are seeking. Be as specific as possible.

I-589 & Statement, evidence, decisions and all related documents.

Purpose: *(Optional: You are not required to state the purpose of your request. However, doing so may assist USCIS in locating the records needed to respond to your request.)*

This may as well be a request for the entire file. Even if this request had only listed three things: "I-589, evidence and decisions," we should still create this as a Track 2 rather than a Track 1 because "evidence" could imply hundreds of pages.

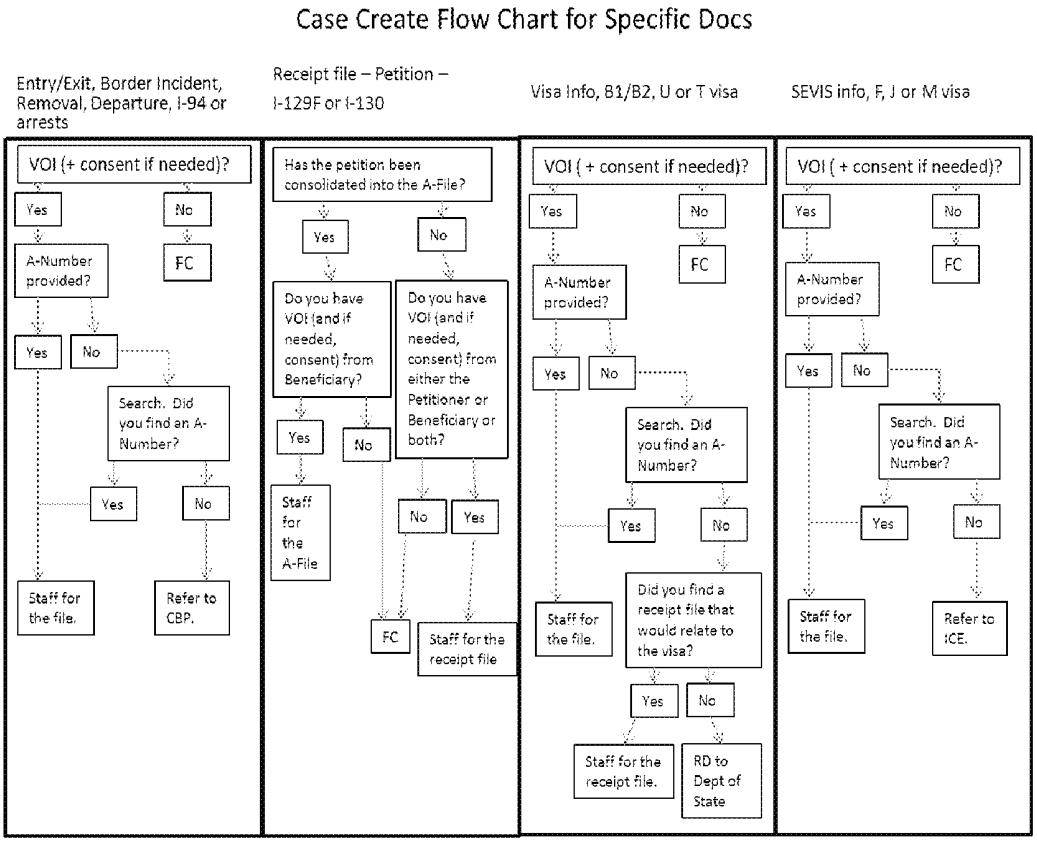
There are other times that the decision to assign the case to Track 1 or Track 2 is not clear, and at those times it helps to speak with more experienced creators, your supervisor, or as a last resort, create a Discussion and send the case to Unit Chief.

USCIS FOIA INFORMATION BULLETIN

July 13, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have modified the Case Create Flowchart for Specific Documents of Appendix H of the *FOIA/PA Assistant's Guide*, as follows:



Section 27.33 of the *Processing Guide* has been changed. ~~Superceded version in strikethrough~~, new version in red:

27.33 Supporting Documents or Exhibits submitted with applications or petitions

~~If you are processing an I-129F or I-130 petition, (whether it's in an A-file or a receipt file)~~

- ~~*with* the consent of the beneficiary,~~
- ~~but *without* the consent of the petitioner,~~
- ~~then protect the PII of the petitioner in any attached exhibits the same as you would protect the PII of the petitioner in the left-hand column of the I-129F or I-130, (such as withholding in full the petitioner's Resident Alien Card, or partially withholding the petitioner's W-2's),~~
- ~~*unless* the FOIA requester is the same attorney as the attorney who filed the petition AND there is a G-28 within the file signed by the petitioner showing representation by that attorney. In such a case, release the PII of the petitioner to the attorney.~~

Note: Documents filed with the court, or that have been served on the subject or their attorney/representative do not fall under this rule.

27.33 Supporting Documents or Exhibits Submitted with Petitions

An I-129F or I-130 petition, if submitted by an attorney, will be accompanied by a Form G-28 for each party. The G-28 is valid for representation specifically for the benefit being sought and does not carry over to other actions. As a result, when we process a subsequent FOIA request from the beneficiary, we cannot rely on the previously submitted G-28 in order to release personal information pertaining to the petitioner. Unless the FOIA request contains consent of both parties, the processor must withhold sensitive or personally identifiable third party information in accordance with the guidelines in section 27.31, Third-party Documents and PII.

For example, an attorney files an I-130 with the agency. He represents both the petitioner and the beneficiary in the filing and submits G-28's for both parties with the I-130. He files a FOIA request 12 months later, but includes with his FOIA request consent from the beneficiary only. The beneficiary has not adjusted status, so the case is FOIA. In order to protect the interest of USCIS, without consent for the purpose of the FOIA case you are processing, you should not release the information of the petitioner to the attorney, even though the petitioner's information was originally submitted by the same attorney.

Note: Documents filed with the court, or that have been served on the subject or their attorney/representative do not fall under this rule.

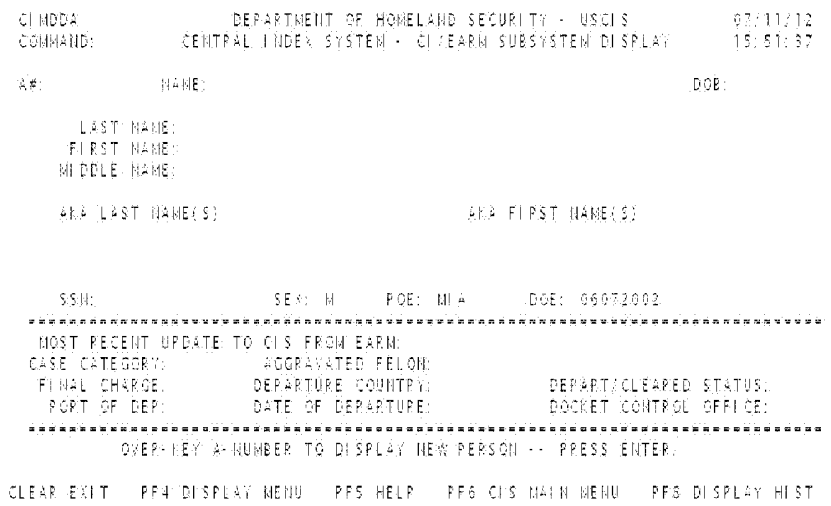
Section 28.14, **ICE Documents**, of the *Processing Guide* has been changed. Added information in red:

Refer any document originating with, authored by or addressed to Immigration and Customs Enforcement to ICE. Do not hide the name of the agency. Please also refer any legacy INS document having to do with OPLA, detention or deportation to ICE. Generally speaking, legacy INS functions that became ICE are deportation, detention and

removal. Most attorney work product has to do with removal and deportation, which is an ICE function. If attorney work product does not concern removal and deportation, it may have been prepared by a USCIS attorney. Ordinarily, if the case contains third party documents belonging to another agency, we do not refer those documents. The exception to this rule is ICE. Even if the ICE-authored document refers to a third party from whom we do not have consent, refer the page to ICE.

We have added a new section 28.14.1 to the *Processing Guide*, as follows:

> **<u>28.14.1</u>** **EARM and/or DACS subsystem displays** can be accessed from Central Index System. If the subsystem display is blank and there is no data for the individual, then there is no need to refer the screen to ICE. However, if the subsystem display does contain information, since ICE owns that information, ICE should decide whether to withhold or release it. Please refer those screens to ICE.



We have added new information to section 28.15, **<u>Referring or Processing Documents Originating from NVC</u>**, of the *Processing Guide*, as follows:

If you must inform a requester that a specific receipt file is at the National Visa Center, you may add the following paragraph to your final action letter:

The petition [insert petition information] has been approved and forwarded to the National Visa Center for processing. It is no longer under the control of USCIS. To reach the National Visa Center (Immigrant visa inquiries, including assistance regarding

the new DS-260 Online Immigrant Visa Application) call: 603-334-0700 or e-mail: NVCINQUIRY@state.gov.

USCIS FOIA INFORMATION BULLETIN

July 10, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 7.3.2, Finding Multiple Matches of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

7.3.2 Finding Multiple Matches

~~You may possibly find multiple matches, and you may be unable to confirm a match to the records due to limited information provided by the requestor.~~ Sometimes a requestor provides complete Verification of Identity, but you still cannot locate the Subject of Record. Common subject names will result in multiple name and date of birth matches. You may find no matches at all. You may need ~~all the~~ additional beneficiary and/or petitioner PII to find a petition. In situations like this, we do not have a reasonable description of the records the requestor wants. We will have to ~~send~~ ask for additional requestor documentation, specifically:

A. Alien Number (if known)
B. Application/Petition Receipt Number (if known).

Additionally, we may ask for items of information such as names of the mother and father. If you have found more than one possible match, and those matches have parents' names in CIS, we can narrow our search or confirm we have the right A-Number. The requestor is not required by law or regulation to provide that information, but if the requestor does not, we may be unable to locate a responsive record.

Please request the additional PII with your Acknowledgement Letter. Check all relevant boxes on the requestor documentation worksheet, save the letter, and check it in. Do not staff for a file if you are sending for requestor documentation. In the "Contents" tab, you will see a Pending slot for Requestor Documentation. Send the case to Pend. After we receive a response from the requestor, a FOIA/PA Assistant or Government Information Specialist working in Records Locator queue will request the file. The processor will use the requested information to verify the release of the correct records.

Note: if the requestor entered "unknown," or "none" for any element of the above PII, please do not request this information as part of the Acknowledgement Letter. For example, if the requestor entered "unknown," "none" or "N/A" under *Alien Number,* it does not make sense to

ask for their A-Number. You may have to use discretion. If you found parents' names in CIS and it would help to match the person to the A-Number, you may ask them for parents' names, even though the requestor may have entered "unknown," "none" or "N/A" under *Father's Name* and *Mother's Name.* If in doubt, please consult a supervisor.

We have updated section 32, RECORDS LOCATOR QUEUE, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

32. RECORDS LOCATOR QUEUE

Cases assigned to Records Locator queue will require some kind of action. Some of the most common reasons are:
• The staffing has to be re-pended (please refer to section 33)
• Additional PII ~~or certification of agreement is~~ needed to verify the correct file (please refer to section 32.7)
• Requestor docs have been received (please refer to section 32.8)
• The wrong records were scanned into the case (please refer to section 32.9)
• We need to send an interim interest letter to an incarcerated individual (please refer to section 32.10)
• The file is lost or we got a response of not found or consolidated from a service center (please refer to section 32.11)
• Requestor writes to request the record on paper (please refer to section 32.12)
• Requestor wants to change the track of their case (please refer to section 34).

We have updated section 32.7, Additional PII Needed, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~):

32.7 Additional PII needed: Sometimes when a processor retrieves a case, he or she will determine that additional PII ~~or verification of identity~~ is needed from the requestor/subject. You will have to create another Acknowledgement Letter and check the other documentation box. The Requestor Documentation Attachment will automatically be added to the Acknowledgement Letter. Check the boxes required and pend the case for Requestor Documentation. If the processor is asking for information that is already present in the scanned documents, put in a Discussion asking for clarification on what the processor is requesting. You may also have to point them to the slot where the information is currently contained. Send the case to Unit Chief with a Discussion.

We have updated section 5.02, Verification of Identity, of the Processing Guide as follows (~~deleted information in strikethrough~~, new information in red):

5.02 Verification of Identity

If the requestor is asking for records concerning *(a living)* individual, ~~and if~~ there is only one signature, and ~~it~~ the request does not fall under one of the categories above for certification of agreement and/or verification of identity, create a new Discussion stating the problem and ~~send the case to Records Locator~~ either close the case as a Total Denial or a Failure to Comply, based on the decision matrix shown below.

Who is the Requestor?	Certification	VOI	Close?
Self	Not needed	If adequate	No close - staff
Self	Not needed	If inadequate	FC – Sec. 16b
3rd Party (incl Atty)	If adequate	If adequate	No close - staff
3rd Party (incl Atty)	If inadequate then	Does not matter	TD – Sec. 16a
3rd Party (incl Atty)	If adequate	If inadequate	FC – Sec 16b
3rd Party (incl Atty)	Other proof (death cert, proof of guardianship)	Must establish identity of subject of record	No close - staff

We have updated paragraph 6.1.f. of section 6, PREPARING RECORDS FOR DISCLOSURE, of the Processing Guide as follows (~~deleted information in strikethrough~~, new information in red):

6.1.f. Confirm certification of agreement, verification of identity, and reasonable description of records being sought. For more information, read section 5, CERTIFICATION OF AGREEMENT AND VERIFICATION OF IDENTITY. If the requestor has specified that it is a third party request, please read the section 12, THIRD PARTY REQUESTS. Otherwise, if you do not have the necessary certification of agreement or verification of identity, ~~please consult with your supervisor~~ please close the case as a Total Denial or Failure to Comply based on the decision matrix found in section 5.02, Verification of Identity.

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
July 8, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

A new flow chart for Lost File procedure has been added to **APPENDIX H: CASE CREATE FLOW CHARTS** in the **FOIA/PA Assistant's Guide**.

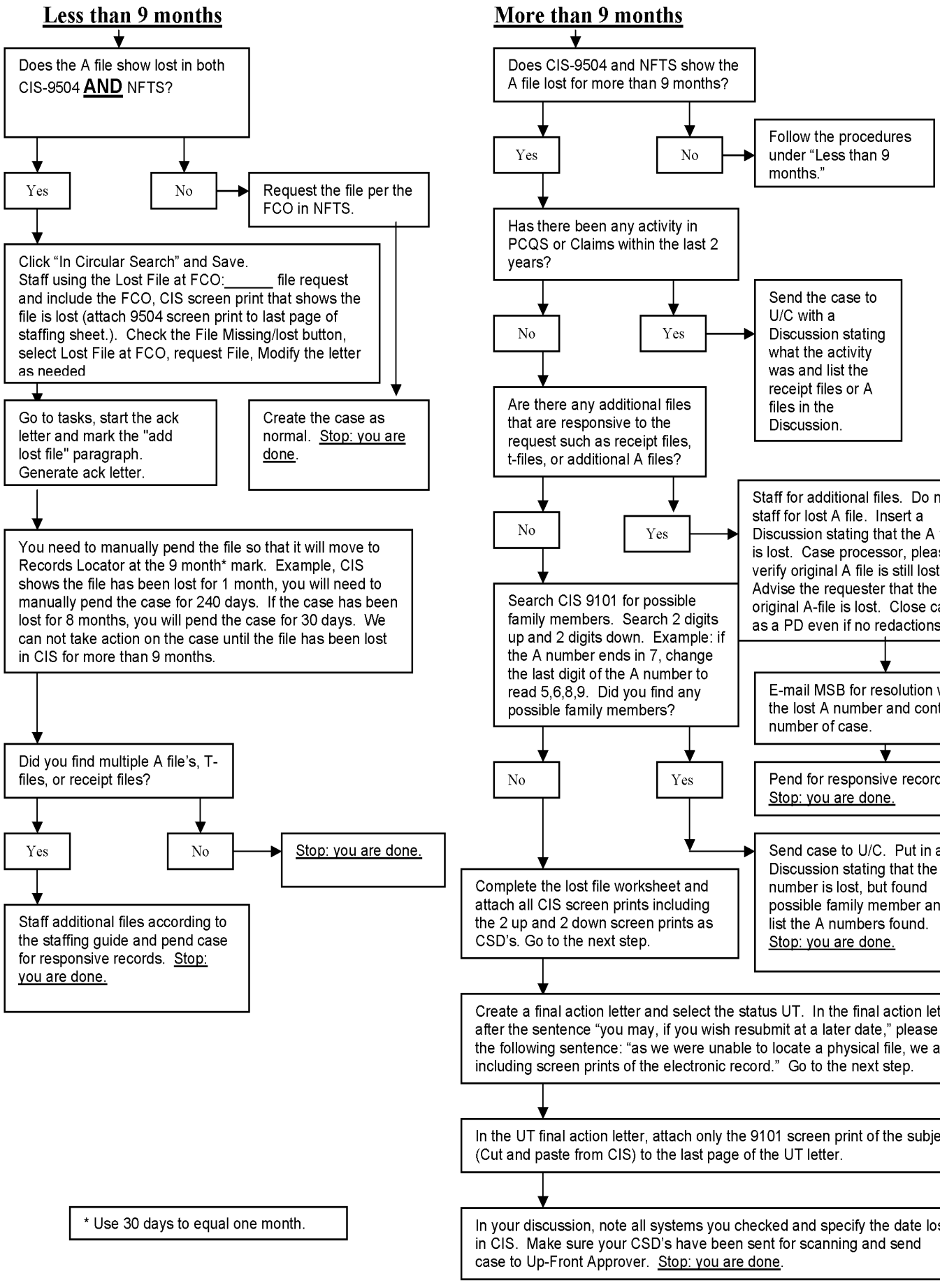
Additionally, in paragraphs

12.7.2 Files Lost or Not Found LESS THAN NINE MONTHS
and
12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS
the following new sentence has been added:

Note: Please refer to the **Lost File Flowchart** which you will find in Appendix H.

(the new flowchart follows on the next page)

Lost File Flowchart



A third Exception to paragraph **43. A-FILES CONTAINING MEDIA** of the **Processing Guide** will be added as follows:

3. If the media in the case is not responsive to the request (mostly in track 1), please send an e-mail to MSB and let them know that the media is not responsive and does not need to be mailed out. After this, please prepare a Discussion detailing what you have done so that the approver will know you have taken care of it.

A new bullet has been added to paragraph ***28.06 U.S. Department of State documents*** of the **Processing Guide** as follows:

- Refer any State Department document, whether it pertains to a nonimmigrant visa or an immigrant visa, if it bears the following warning:
  Sensitive But Unclassified (SBU) – Information Protected under INA 222(f) and 9 FAM 40.4
  This record cannot be transferred or reproduced in its entirety without the permission of the Department of State – Bureau of Consular Affairs (Visa Services)

Paragraph 6.1.1.10 of the **FOIA/PA Assistant's Guide** has been changed as follows:

Old version:
6.1.1.10 If the only evidence of an attorney is an envelope or letter, but there is not a duly executed Form G-28, create the case using the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope or letterhead.

New version:
6.1.1.10 If the request came to us on Form G-639, always use the name and address of the requester in Section 2, "*Requester Information.*" Do not use the address on the envelope, or Form G-28 or letterhead *unless* the requester did not use Form G-639 *or unless* Section 2 of Form G-639 is illegible. If the address on the G-639 is a foreign consulate office, or is a congressional office, you may use the address listed on the G-28, or other documents in the request, such as an envelope. If you can find no other address, insert a case note and send the case to U/C.

Be careful - it is easy to miss apartment or suite numbers because the space for them is at the right side of Form G-639.

The following has been added to 6.4 SEARCH FOR DUPLICATE CASES of the **FOIA/PA Assistant's Guide**: (old text lined through, new text in red)

This does not include instances in which the requester has faxed the request and then mailed it. If you open a case and find that the exact same request has very recently been created, chances are that you have opened the mailed copy which followed a few days after the fax. ~~Close this case as ER (created in error).~~ Do not create such a case. Click "Send to Research." That case will go and you will be ready for your next case.

Ordinarily, you will search by Alien Number, and if you do not find a duplicate or similar case, your search will be complete. If the requester did not provide an alien number, you may search by the subject's last name and first name, or even by the requester's last name and first name. You may use a percent sign (%) as a wild-card for these searches. For example, if the requester's name is Jaime Vazquez, but you see he also has spelled his name Vasquez – you can search by Subject Last Name "Va%" and Subject First Name "Jaime."

Further on within paragraph 6.4, in the examples, there are two more changes:

~~Create a Final Action Letter and select final action code ER: Created in Error. After this, send the case to Up-front Approver~~ Do not click "Create Case." Click "Send to Research." You will then be ready for your next case.

If you determine that it is not a true duplicate, please insert a new Discussion entitled "Similar Case" in each of the cases, so that a processor or approver can review both.

If the date of the request is either the same as your request or within a very few days and:

1. The requester is the same, and
2. The information being requested is the same in both requests,

Do not close this case as a duplicate. ~~Instead, close this case as ER (created in error~~) Do not click "Create Case." Click "Send to Research."

USCIS FOIA INFORMATION BULLETIN

January 25, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have revised section 27.45.b of the *Processing Guide*, as follows (new information in red):

> **27.45.b TECS II Person Subject Display**
> we should refer TECS screen prints originating with Immigration and Customs Enforcement to ICE. Please process the TECS screens originating with Customs and Border Protection (CBP). The "TECS RECORD ID" in the upper left hand corner indicates who the screen print belongs to as does information listed in the "CONTACT" portion of the screen print.
>
> The last three letters of the "TECS RECORD ID" identify the contact or the TECS record owner. At some point, TECS codes could become public knowledge. Certain TECS codes disclose the record concerns a NAILS lookout or other critical piece of law enforcement information. APPENDIX F of this guide has a listing of TECS codes. Please look up the last three characters of the TECS code. Ordinarily, we release the TECS RECORD ID number, and most of the codes would disclose nothing. However, for example, if the last three characters are B10, you search B10 and see the code refers to TIPOFF / TERRORIST, then you should withhold the TECS RECORD ID, citing Exemption (b)(7)(E), or (k)(2) and (b)(7)(E) if PA. If you are unsure of whether to withhold the TECS RECORD ID, please contact a supervisor. If the TECS code is not in APPENDIX F, you may make a decision to withhold or release based on the content of the narrative. Again, if you are unsure, please contact a supervisor. It may be necessary to send the case to admin until QA/CS is able to determine what the code is.
>
> When you are processing a TECS record originating from CBP, first, you should withhold the TID number, citing Exemption (b)(7)(C), or (k)(2) and (b)(7)(C) if PA. Next, beginning with the portion of the screen print titled "CONTACT" and ending just above the computer function keys, you should redact this entire area citing Exemptions (b)(7)(C) and (b)(7)(E), or (k)(2) (b)(7)(C) and (b)(7)(E) if PA.

We have revised section 6.2.2.4 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

6.2.2.4 Do not enter the petitioner's A-Number if the request is only for a copy of an unconsolidated petition filed on behalf of someone else. If the request is for all records, we would need to staff for the A-Number and receipt file. If the subject of the A-Number and beneficiary are different people, you must create ~~multiple~~ additional cases.

We have revised section 6.3.6.7 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

6.3.6.7 If there is an Expedited Treatment Requested cover sheet, and if you determine during case create that you must create additional cases ~~this needs to be a ***multiple case***~~, you must check the Expedited Treatment Requested box (and create the appropriate response letters) for each child case. On the other hand, it might be that we will treat only the parent case as an expedited treatment request. The Supervisor will make the determination or the supervisor will make a statement to that effect on the cover sheet, and of course, in such a situation, you would not mark the child cases as expedited treatment requests. Send the case to the Unit Chief Queue (UC) if an approval or denial is needed. Refer to section 6.6 of this guide ~~Multiple Case Guidance~~ when creating additional ~~multiple~~ cases.

We have revised section 6.3.9.4 of the *FOIA/PA Assistant's Guide*, as follows (~~deleted information in strikethrough~~, new information in red):

NOTE: If you are creating ~~multiple~~ additional cases, you should do so ~~"Create Additional Cases"~~ before you prepare the Acknowledgment Letter and File Request(s) for the original case. For instructions, please refer to section 6.6 of this guide.

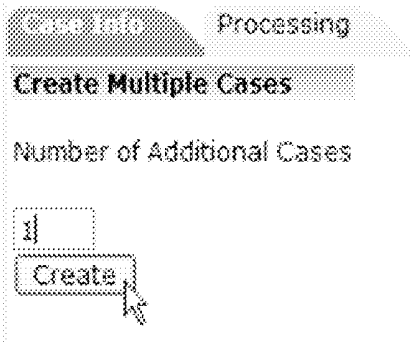
We have added a new section 6.6, Creating Additional Cases, to the FOIA/PA Assistant's Guide (new section in red):

6.6 Creating Additional Cases

At times, you may have to create additional cases. For instance, a requester might send in one G-639 and ask for "all petitions filed for my three children, whose birth certificates are attached." Those petitions may be consolidated into the children's A-files, or they may be unconsolidated. When the requester is seeking information relating to more than one person on one FOIA request, you must create an additional case for each individual. This is true even if you are going to close all of the cases FC.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases.

FIPS will ask how many cases need to create and will then create them.



The first case created from the request becomes the "Parent case;" all subsequent cases created (one case for each subject) become the "Child cases." FIPS assigns consecutive case control numbers to the Parent case and all related Child cases, and the cases are given higher priority in the queue so that the Case Creator can process all related cases together. Requester data from the Parent case is automatically added to all related child cases, as are the initial request letter and any related case supporting documents.

If you forget to create additional cases before you create acknowledgment letters, those documents will carry over into the Child cases. All is not lost. You may simply change the acknowledgment letters and save them in the Child cases. Unfortunately, you will have to cancel the staffings. Go to the Contents tab, click on "Staffing Response" or "Responsive Records," click on "Manage Document," maximize that screen, click on "Cancel Request," and then go back to the Tasks tab and create a new file request based on the correct set of responsive records.

After you have created the first case, but before you have prepared a staffing letter or an acknowledgment letter, go to the Tasks tab and click on Create Additional Cases. FIPS will ask how many cases need to create and will then create them semi-sequentially. That is to say, FIPS will number the cases in sequence, but if another person creates a case while the process is ongoing, that case will take the next available number, so your additional cases might not have exactly sequential numbers. FIPS has the ability to

create a parent case with up to 25 child cases. FIPS will automatically insert into each case a note remarking on the fact that the current case is a part of a parent/child case.

When the requester is seeking information relating to multiple individuals on one FOIA request, you must create a separate case for each individual.

After FIPS finishes creating the new case(s), you will need to create an acknowledgement letter, request any additional information (if applicable) and staff for responsive records. Of course, nothing is ever this simple all of the time. Now you are ready to determine consent and PII.

USCIS FOIA INFORMATION BULLETIN

January 20, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated Section 43, A-FILES CONTAINING MEDIA of the FOIA/PA Processing Guide as follows (new information in red, deleted information in strikethrough):

~~If the case you are processing contains a CD, cassette, tape or any kind of media *except* Dictaphone, Gray Audograph, Steno-Disc or floppy disk, please follow the instructions below.~~
Once a case is processed, the processor should send an e-mail to the NRC, FOIAMEDIA mailbox with "Media" in the subject line. Include the control number, A-number, and page(s) number where the media can be located.

Modify the final action letter by inserting the following sentence:
"The copy of the media located in your file will be addressed under a separate cover."

If you believe the media has a transcript, please process and when you e-mail the FOIA Media mailbox, state you believe it is a transcript and also note where the transcript is located in the file.

In the Summary Discussion, annotate that the file contained media and that you have notified **NRC, FOIAMEDIA**. This should be done in every circumstance.

All files that contain media will be addressed. A separate letter is sent by the employee processing the media.

EXCEPTIONS:
1. ~~If the file contains a **transcript** of the media, review the transcript and process it accordingly. In such a case, we do not copy the media. Do not redact the page with the image of the recording, and do not mention it in the Final Action Letter.~~ **~~Please send an e-mail to the NRC, FOIAMEDIA mailbox to let them know that there is a transcript of the media in the file.~~**
~~2. If the file contains a **photograph of a Dictaphone, Gray Audograph, Steno-Disc or floppy disk** recording, we cannot reproduce it and send it to the requester because we do not have the equipment. Please do not tell the requester we will. Do not redact the page with the image of the recording, and do not mention it in the Final Action Letter.~~ **~~Please~~**

~~**send an e-mail to the NRC, FOIAMEDIA mailbox to let them know that there is a transcript of the media in the file.**~~

~~3.~~ If the media in the case is **not responsive to the request** ~~(mostly in track 1),~~ i.e., a track 1 request for specific documents, please send an e-mail to NRC, FOIAMEDIA and let them know that the media is not responsive and does not need to be mailed.

~~After this~~ Next, please prepare a detailed d~~D~~iscussion. ~~detailing what you have done, so that the approver will know you have taken care of it. Please~~ Since the media did not need to be mailed, please don't mention it in the Final Action Letter.

We have added information to Section 12.10, FOIA SAFE of the FOIA/PA Assistant's Guide as follows (new information in red):

You may have an instance where NFTS shows an A and T-file at the same location, but only one of the files is classified.

In a regular case, you would create one staffing for both files.

However, classified and regular A (or T) files are most often sent to us at separate time frames.

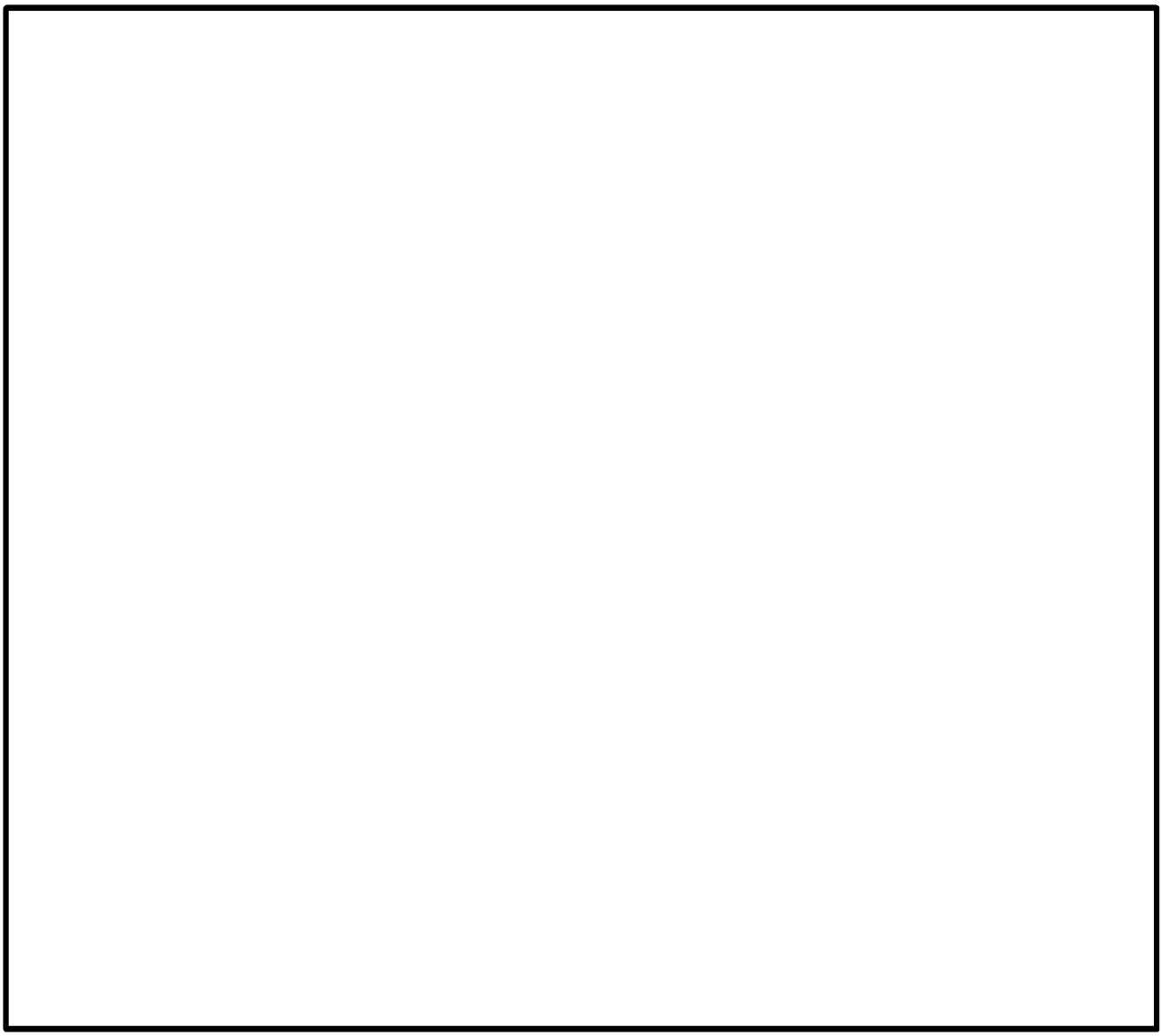
Therefore you'll need to create two separate staffings for the same location.

In the example below, you would create two staffings, both to KND.

(b)(6)

File #	Seq	Office	Date/Last Action	Location
A [redacted]	000	KND	**Status:** AVAILABLE IN RECORDS **Audit Date:** 10/20/2009 10:28:19 AM **Last Action:** 10/20/2011 10:28:19 AM Batch Audit	**Sect:** ZW - Classified Files **Resp:** 0 - Classified Files
T [redacted]	000	KND	**Status:** RECORD IN USE **Audit Date:** 10/09/2009 08:04:13 AM **Last Action:** 10/09/2010 08:04:13 AM Batch Audit	**Sect:** NC - Decisional **Resp:** 00 - N-400

(b)(7)(e)



USCIS FOIA INFORMATION BULLETIN

January 17, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed Section 23.3, FIPS PROBLEM of the FOIA/PA Assistants Guide as follows (new information in red, ~~deleted information in strikethrough~~):

(b)(6)

23.3 FIPS PROBLEM (NRC, FIPSPROBLEM)

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: NRC, FOIA PROGRAM, NRC, FIPSPROBLEM, [redacted] and your supervisor. ~~the current Assistant Director/FOIA PA and Supervisory Management Program Analyst.~~

We have changed the title of Section 22, **SAVE YOUR WORK FREQUENTLY AND REVIEW EXEMPTIONS** in the Processing Guide to "**FIPS**."

SAVE YOUR WORK FREQUENTLY AND REVIEW EXEMPTIONS is now section 22a.

We have added Section 22b, FIPS PROBLEM in the Processing Guide. It is the same as Section 23.3 in the FOIA/PA Assistants Guide.

We have changed Section 27.31, Part b, Third-party Documents and PII of the Processing Guide as follows (new information in red):

27.31 Third-party Documents and PII

27.31.b With the exception of law enforcement personnel (Exemption (b)(7)(C)) and Refugee Officers (Exemption (b)(6)), no privacy right will outweigh the public's right to know the name of the individual who performs an official act as part of their job. Consequently, you should not hold the names of doctors, notaries, attorneys, District Directors, judges, court clerks, translators, tax preparers, USCIS employees (other than Refugee Officers), etc. contained in an A-file.

We have changed Section 6.3.4.4, Significant Interest Group (SIG) Requests of the FOIA/PA Assistants Guide as follows (new information in red, ~~deleted information in strikethrough~~).

6.3.4.4 Significant Interest Group (SIG) Requests – Generally speaking, SIG processes ~~N~~non-A-File FOIA requests with a few exceptions. ~~except A-File requests from the Media or A-Files belonging to high-profile individuals. If the request is not for USCIS records, then it is not a SIG request and should be handled accordingly (refer, redirect, etc.).~~ Please send requests involving A-files belonging to high-profile individuals, along with all A-file requests submitted by the media, to SIG for handling.

We have changed Section 6.3.4.4.1, Significant Interest Group (SIG) Requests of the FOIA/PA Assistants Guide as follows (new information in red, ~~deleted information in strikethrough~~).

6.3.4.4.1 ~~It is a SIG request if:~~ Direct the following requests to SIG for handling if:

a. The FOIA request is for congressional correspondence;
b. The FOIA request is from a member of the media;
m. The FOIA request is for emails.

We have changed Section 6.3.4.4.2, of the FOIA/PA Assistants Guide as follows (new information in red):

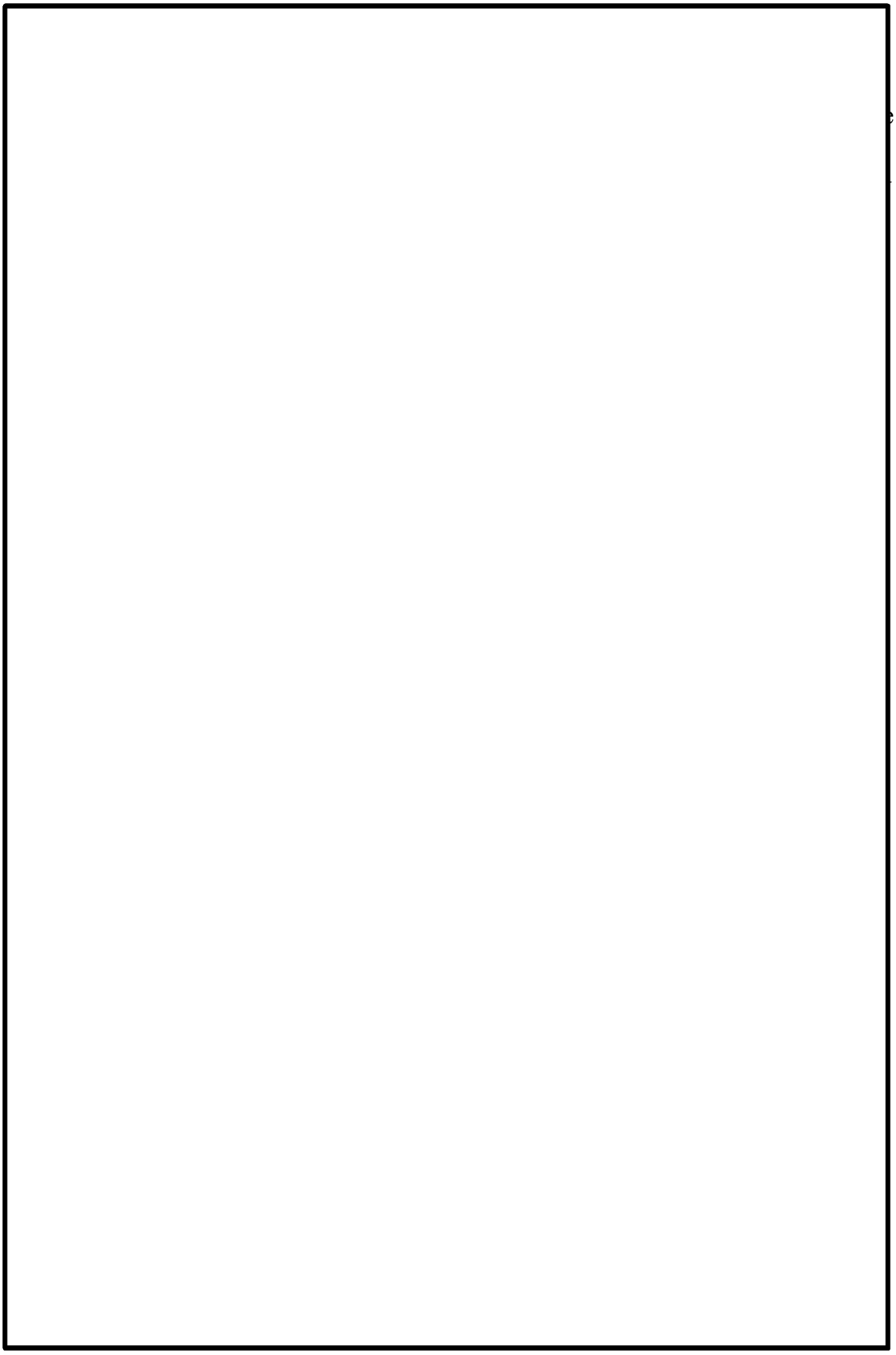
6.3.4.4.2 If you believe a request qualifies as a SIG request, create the case in the NRC queue, but do not staff or create an acknowledgment letter. Create the case as follows: Track 2; Type: FOIA Request; Source: Others; Category: Others. Do not enter subject's name or A-Number. You must enter a short description into the Topic block. Send an e-mail to NRC, FOIASIG and enter a discussion note into FIPS explaining the situation. Send the case to Unit Chief.

When the FOIA request is for both an immigration file and e-mail, please staff for the file. Next, create a RAFACS staffing slot for the e-mail. Send an e-mail to NRC, FOIASIG, explain the situation in a discussion and send the case to Unit Chief.

We have added a new Section 27.51, to the Processing Guide as follows (new information in red):

(b)(7)(e)

(b)(7)(e)



We have added a new Section 12.7.17, to the FOIA/PA Assistants Guide as follows (new information in red):

12.7.17 RAFACS Staffings

Occasionally when someone requests a file, we are unable to find it. Do we just close it "NR?" In certain cases, we can.

However, if we can find something that belongs to the requester, such as a Border Crossing Card, CLAIMS or PCQS screen prints, we cannot close the case "NR."

Staff to RAFACS all requests that you can't find what the requester is asking for, but you can find other documents that relate to the subject of record. After doing so, please change the case to Track 1.

USCIS FOIA INFORMATION BULLETIN

January 11, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a new section 12.7.15 to "Staffing Scenarios" in the *FOIA/PA Assistant's Guide*, as follows (new paragraph in red):

12.7.15 Hidden Patriot Investigation Case

(b)(7)(e)

When you enter your file number into NFTS and the result of the search shows the FCO location is WAS, the code is IX, and the description is [redacted] please do the following: Staff for the file at SAC Washington and create the following discussion note: [redacted] nvestigation case. Staffed for file at SAC Washington. Once file is scanned into responsive records, please forward case to the current designated processor for processing." Refer to screen print below.

(b)(7)(e)

General Inquiry For A*********			
File #	Seq	Office	Location
A*********	000	WAS	Sect: IX Resp: 0[redacted]

We have amended section 27.31.i of the *Processing Guide*, as follows (new sentences in red):

> 27.31.i Other than deliberative grand jury documents, release court documents, such as transcripts and filed exhibits in full if the subject is named in the document. An exception to this rule is if there is information in a pleading or exhibit clearly showing it was filed for in camera or ex parte review or filed under seal – in that situation, even though it was filed with the court, you fully withhold it, citing Exemption (b)(5), or (d)(5) and (b)(5) if the case is Privacy Act. If you are unsure, please contact a supervisor. Grand Jury deliberative documents, including witness statements, are covered under Exemption (b)(3), Rule 6(e). We withhold grand jury forepersons' and members' names under Exemption (b)(7)(C), or (k)(2) and (b)(7)(C) if the case is Privacy Act.

We have amended section 27.37 of the *Processing Guide*, as follows (new sentences in red):

27.37 Certificate of Service and Documents Filed in Court

If you find documents that were submitted as exhibits by the subject or his/her representative, and there is a stamp on the documents clearly indicating they were filed with a court, please release these documents in full. In addition, if there is a certificate of service that certifies exhibits were filed with a court, you can release the exhibits listed in the certificate of service in full. An exception to this rule is if there is information in a pleading or exhibit clearly showing it was filed for in camera or ex parte review or filed under seal – in that situation, even though it was filed with the court, you fully withhold it, citing Exemption (b)(5), or (d)(5) and (b)(5) if the case is Privacy Act. If you are unsure, please contact a supervisor. It is important not to confuse this procedure for handling exhibits filed with a court with exhibits that are submitted along with a petition. For information on supporting documents or exhibits submitted with petitions, please refer to section 27.33.

We have again amended Section 27.35 as follows, new information in red, ~~deleted information in strikethrough~~:

27.35 Asylum/Refugee Interview Notes

27.35.a **Notes and worksheets:** Ordinarily, we fully withhold asylum/Refugee interview notes and question/answer worksheets that pertain to the interview, citing Exemption (b)(5), because they are privileged deliberative process. Unless otherwise stated in this section, please fully withhold asylum/refugee interview notes and question/answer worksheets, if they pertain to the interview, citing Exemption (b)(5) if processing under the FOIA and Exemptions (d)(5) and (b)(5) if processing under the PA. **NOTE:** It doesn't matter whether the subject signed the form or not, please withhold asylum/refugee interview notes and question/answer worksheets, if they pertain to the interview, as stated above.

27.35.b In addition, if you are processing an asylum or refugee case as FOIA, you should withhold anything that would identify family members or other third parties, citing Exemption (b)(6). This also includes all factual question/answer notes and worksheets.

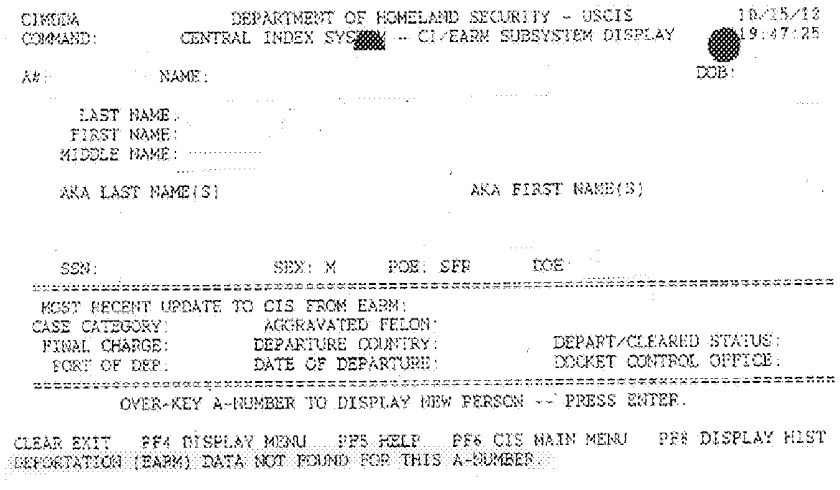
27.35.c **Form I-870, Record of Determination/Credible Fear Worksheet:** For a first party request, release everything up to SECTION IV, Credible Fear Findings, which is on page 5, unless there is something before

SECTION IV that, in your judgment, should be withheld. If in doubt, please consult a supervisor. Unless it is blank, fully withhold SECTION IV. Next, you should release SECTION V (again, unless there is something that, in your judgment, should be withheld) and then, if there is anything written in ADDITIONAL INFORMATION/CONTINUATION, evaluate it for deliberative process. If the case is FOIA, we cite (b)(5) and if PA, we cite (d)(5)/(b)(5). If this is not a first party request, please refer to guidance in section 27.16.

27.35.d **Other Worksheets:** Some worksheets, although they come from asylum offices, do not pertain to the interview. Some examples are the *Flowchart of the Asylum Process*, *ABC Eligibility Checklist* and the *Asylum and NACARA § 203 Background Identity and Security Checklist.* If a question/answer worksheet does not pertain to the interview, please process it according to section 27.42 of this guide.

We have amended section 28.14.1 of the *Processing Guide*, as follows (new sentence in red):

28.14.1 EARM and/or DACS subsystem displays can be accessed from Central Index System. If the subsystem display is blank and there is no data for the individual, then there is no need to refer the screen to ICE. Also, we have received guidance from ICE that if the phrase "DEPORTATION (EARM) DATA NOT FOUND FOR THIS A-NUMBER" appears below the display, and it pertains to the subject of record, we may release it. However, if the subsystem display does contain EARM information, since ICE owns that information, ICE should decide whether to withhold or release it. Please refer those screens to ICE.



We have again amended Appendix C: Processing Tables (USCIS Miscellaneous Documents) as follows, new information in red:

Asylum/Refugee flowcharts and worksheets that pertain to the interview	Withhold in full (b)(5)	Withhold in full (d)(5) and (b)(5)
Blank asylum/refugee flowcharts	Release	Release
Record of Determination/Credible Fear Worksheet, I-870	See section 27.35.c	See section 27.35.c

We have amended section 43, A-FILES CONTAINING MEDIA of the *Processing Guide*, as follows (~~old address in strikethrough~~ ,new address in red):

If the case you are processing contains a CD, cassette, tape or any kind of media *except* Dictaphone, Gray Audograph, Steno-Disc or floppy disk, please follow the instructions below.

Once a case is processed, the processor should send an e-mail to the ~~NRC, NRCFOIAMSB~~ NRC, FOIAMEDIA mailbox with "Media" in the subject line. Include the control number, A-number, and page(s) number where the media can be located.

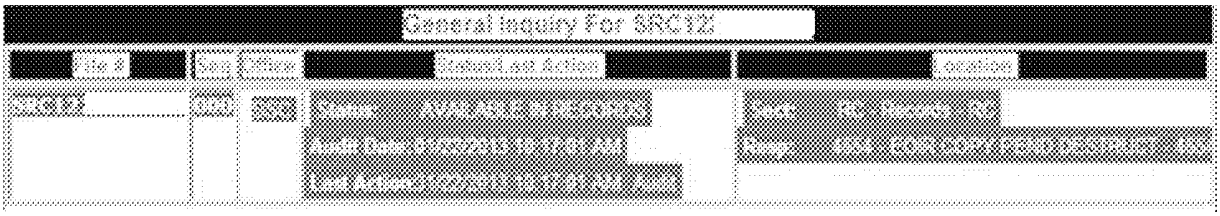
USCIS FOIA INFORMATION BULLETIN

April 25, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

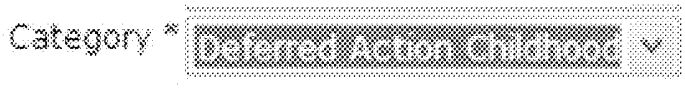
We have added a new Section 12.11 to the FOIA-PA Assistant's Guide as follows (new information in red):

12.11 Do not staff for a receipt if the responsible party is "PEND DESTRUCT." If you find a receipt file, but NFTS shows it is in "PEND DESTRUCT," depending on the type of request, you may simply be staffing for the A-file and disregarding the receipt or you may be printing the electronic record from PCQS and creating a RAFACS staffing for those pages. If you are unsure, please consult a supervisor.



We have added new Sections19.3 "**Deferred Action for Childhood Arrivals"** and 19.4 "**Track 1, Specific Documents"** to the Processing Guide as follows (new information in red):

19.3 Deferred Action for Childhood Arrivals



Please change the Category to "Deferred Action Childhood" if you see Form I-821D in the file or other evidence that the person filed for consideration of Deferred Action for Childhood Arrivals (for example, an approval notice).

Click "Save" and then insert a Discussion with the page number where you found the Form I-821D or other evidence.

19.4 Track 1, Specific Documents

If the requester asked for specific documents, please view the acknowledgment letter. Case creators modify the specific document language in the acknowledgement letter to be as close as possible to the language the requester used in the request. The letter should have a sentence such as "You specifically requested a copy of your petition for name change," or whatever specific document the requester mentioned. If the acknowledgment letter contains the sentence "**You specifically requested Specific Doc Information**," we will have to process the whole file. Your supervisor may reassign the case to a track 2 processor or may have you process the whole file. If you are unable to contact a supervisor immediately, please place the case in Administrator pending further guidance. Please add a discussion explaining what happened and send an e-mail to your supervisor with the case number as the subject and with the body of the e-mail as follows: "Words 'Specific Doc Information' left in acknowledgment letter. Case in Admin."

We have added information to Section 27.01, **Exemption Marking Placement**, of the Processing Guide as follows (new information in red):

If you are citing only one exemption on an entire page, you may either place the exemption stamp as close as possible to the information redacted or you may place an exemption stamp once at the top and once at the bottom of the page. The only time you may place a stamp once at the top and once at the bottom is when you are citing only one exemption on the entire page, or if the case is PA, only one FOIA exemption and only one corresponding PA exemption.

We have added information to Sections 28.06.a.17 of the Processing Guide as follows (new information in red):

including SEVIS screen prints

We have added information to Sections 28.14, **ICE Documents** and 28.14.b **SEVIS**, of the Processing Guide as follows (new information in red):

unless the document bears the State Department Bureau of Consular Affairs warning. In that situation, please refer to section 28.06.a.17 of this guide.

USCIS FOIA INFORMATION BULLETIN

April 18, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have re-written Section 6.3.7 "**Is there a request for fee waiver?"** of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

> ~~Also note: the requester must ask for a fee waiver. Simply including a DOJ Fee Waiver form does not constitute a request for fee waiver. If the requester has written any statement to the effect of a request for fee waiver on the form, then you treat it as a request for fee waiver.~~
>
> If there is no coversheet, how will you recognize a fee waiver request? Please follow these guidelines:
> 1. If the requester mentions fee waiver at all, treat it as a request for fee waiver.
> 2. If the requester says anything about not being required to pay, treat it as a request for fee waiver.
> 3. If the form is titled "Fee Waiver Request," treat it as a request for fee waiver.
> 4. You may call the requester to verify that it is a fee waiver request. If you call, please insert a Discussion. If you tried to call but were not able to speak with the requester, please insert a Discussion saying so.
> 5. If the requester provides some statement of financial insolvency but makes no mention of fee waiver request or does not mention inability to pay, then it does not constitute a fee waiver request, and we ignore it.
> 6. Contact a supervisor if you are unsure. If you have specific guidance from a supervisor, please insert a Discussion saying so.

We have modified Section 23.3 "FIPS PROBLEM" of the FOIA/PA Assistant's guide and Section 22b "FIPS PROBLEM" of the Processing Guide as follows (~~deleted information in strikethrough~~, new information in red):

Send e-mails to **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, [redacted] and your supervisor** ~~the FIPS Problem mailbox~~:

A. If you are receiving FIPS errors, including if FIPS spontaneously closes
B. If responsive records need to be copied from one case to another
C. If records are incorrectly scanned in a case and need to be removed
D. If FIPS is running unusually slow.

(b)(6)

If there are errors in FIPS or FIPS is running slowly, copy the following people on the e-mail: **NRC, FIPSPROBLEM, NRC, FOIA PROGRAM, [redacted] and your supervisor.** Include the following in the subject line of your e-mail:

- If you are at a Work Stoppage and cannot do any work in FIPS, please title your subject line: **WORK STOPPAGE**, control number and issue.
- If the case you are working on has a problem that is preventing you from completing it, please title your subject line, **CASE NEEDS CORRECTION**, control number and issue
- If the message deals with a problem you can work around, please title your subject line: **FYI ONLY**, control number and issue.

In all cases, in the body of your message, please follow the same format listed below. Attach sanitized screen prints if applicable.

All e-mails to **FIPSPROBLEM, NRC, FOIA PROGRAM, [redacted] and your supervisor** ~~FIPS Problem mailbox~~ must contain specific instructions, including a description of the problem and the role of the case; standalone, create, locator or processing and the control number or REQ number if you were creating the case.

(b)(6)

- Are you teleworking or at the office?
- Temporarily: What operating system are you using? XP or Win7?
- What is your cube number?
- What is you work extension number?
- If there are errors in FIPS or FIPS is running slowly, include the following information in the e-mail:
  - What were you doing when the problem began?
  - Did you get an error message? If so, include the message or a screenshot of the message.
  - Is it slow or not responding at all?
  - What other Internet sites do you have open?

- If you are viewing or editing Responsive Records:
  - How many pages of responsive records are there?
  - Do you have thumbnails on?
  - Were you checking in a document, image file or letter?

- If you were doing a search:
  - If you were using a wild card, which field(s) and what criteria?
  - If you were searching on one field or more, which fields (e.g. first and last name)?

We have re-written Section 7 **DECISION TO PROCESS AS FOIA OR PA** of the Processing Guide, as follows (new information in red):

7.1 Your decision to process as FOIA or PA must be based on the file that is scanned in, not based on information in CIS and CLAIMS, unless there are exceptional circumstances and you are directed by a supervisor. If you receive guidance, please insert a Discussion to explain.

7.3 Q: There is a Form I-181, but it is not stamped, nor does it have a signature … is it invalid?
A: Not necessarily. A computer-generated I-181 for a SAW applicant does not have a stamp or signature, but is nevertheless proof of LPR and means you process the case as PA. The computer-generated I-181's for SAW applicants are frequently difficult to read. There are four possible classes of admission for SAW applicants who adjusted: S16, S26, W16 and W26. You might see computer generated I-181's for asylees, but those must be stamped.

7.4 Q: My subject of record adjusted status from AS1 to AS6. The date on the stamp is 2010, but the "As of" date is 2009 … is that a counterfeit document?
A: No. Asylees and refugees may back-date their adjustment of status date to the day they were originally granted asylum or status as a refugee. In those instances, the "as of" date on the I-181 and in CIS can be different than the date of the approval stamp.

7.5 Q: This file has both an Order of Deportation and an approved, stamped I-485, so which one am I supposed to use to determine FOIA or PA?
A: The most recent action in the file is the one that determines status. If a person was granted W16 in 1990, but there is an Order of the Immigration Judge in 1995 which orders deportation, the case is a FOIA. Conversely, if there is an executed warrant of deportation in 1987, but there is an Order of the Immigration Judge in 2008 which grants status under Section 245 of the INA, the case is a PA.

7.6 Q: The only proof of LPR I can find is a photocopy of the green card. The file does not have any I-485 or I-181 approved and stamped. Can I use the copy of the green card as my proof of LPR?
A: Not usually. Please look for documentation other than form I-551, the Permanent Resident Alien card, since there is frequently a counterfeit or photo-substituted I-551 that CBP has confiscated within a file. If there is no other documentation of lawful permanent residence, you may process the case as PA if the CARD (9222) information in CIS or PCQS matches the information on the I-551 AND your supervisor has seen the information and agrees with you. If you are processing as PA under those circumstances, please add that

information to your summary discussion.

7.10 Q: It is more than two years after my subject of record was granted CR6 status. There is a Form I-751 in the file. It has not been adjudicated, and it was accepted after my subject's status expired. Did you not say a person's status automatically terminates if he or she fails to file Form I-751 within the 90 days preceding the second anniversary of CR status?

A: Yes, that is true. Their status automatically terminates.

Q: Why would the service accept the I-751 after the expiration date?

A: Money. It is very expensive to issue a Notice to Appear, arrest the alien, and bring them before an Immigration Judge. The alien may be forgetful rather than criminal or engaging in fraud. USCIS practice is to accept and adjudicate Form I-751 and adjudicate it on its merits even after the second anniversary has passed, as long as there is no letter of rescission or termination in the A-file. For FOIA purposes, if there is a Form I-751 in the file and the service accepted it for processing, whether it was filed before or after the second anniversary does not matter, meaning we would still process the case as PA.

USCIS FOIA INFORMATION BULLETIN

September 27, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed Section 6.4, SEARCH FOR DUPLICATE CASES, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

By highlighting the case you wish to review and then clicking the "Edit" icon, FIPS will open the case for your review. You then review the request to ensure that:

A. If there has been a case that was closed G1 or PD within six months from same requester – close the case with final action code DP. Modify the final action letter as follows:

   Upon review of the FOIA/PA Tracking System, we discovered that your request had been duplicated within the system. This request has been closed out. The original request NRC201xxxxxxx, was closed on (insert case close date) and a copy of the requested records were mailed to you on that date. Please contact us if you have not received a copy of the records.

B. This does not include cases that were closed with any other final action code.

We have changed Section 7, CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS, of the *FOIA/PA Assistant's Guide* as follows (new information in red):

If the petitioner is the requester and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is the subject of record. We must have VOI of the subject of record and ~~the beneficiary's~~ certification of agreement if the requester is other than the subject of record. *If we are staffing the subject of record's A-file, and if the requester is not the same person as the subject of record, then we need certification of agreement from the subject of record.* If the petition has not been consolidated into the beneficiary's A-file, and the petitioner or the beneficiary is the requester, we may staff for it. Information in PCQS or CLAIMS is retrievable by either the petitioner's or beneficiary's name. In some situations, we are not able to staff for a petition because it is consolidated into the beneficiary's A-file and we do not have certification of agreement or VOI from the beneficiary – BUT PCQS or CLAIMS screenprints would provide the requester with the information he or she is requesting. If that is the situation, and we have the petitioner's VOI

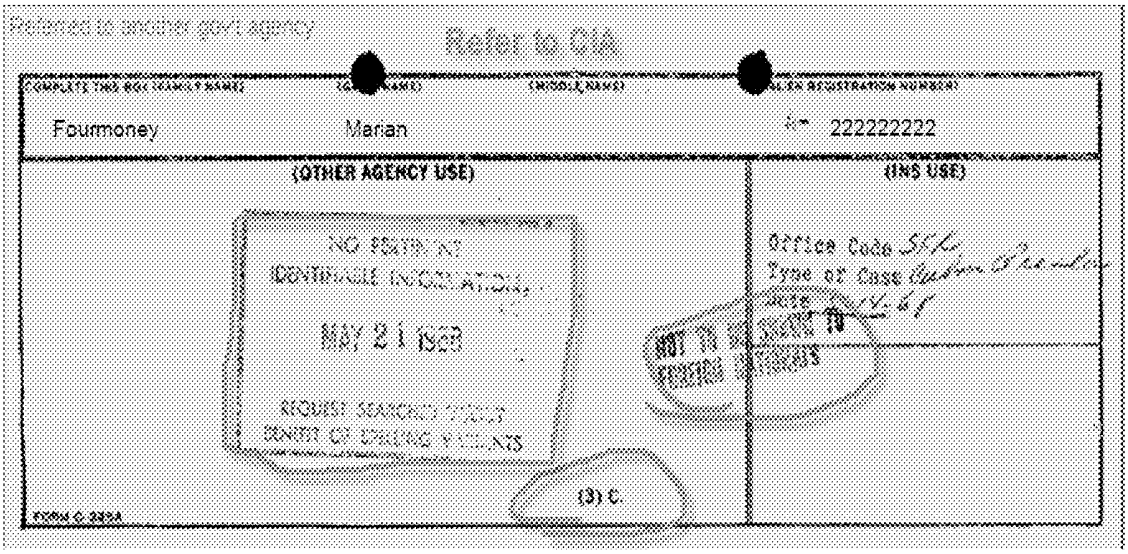
(and certification of agreement, if necessary) then you should provide those screenprints with a RAFACS staffing.

We have added a sentence to Section 27.19, National Automated Immigration Lookout System(NAILS), of the *Processing Guide* as follows (new information in red):

Although CBP owns the system, individual records may contain information that belongs to ICE, and if so, we refer those pages to ICE (see Section 27.45).

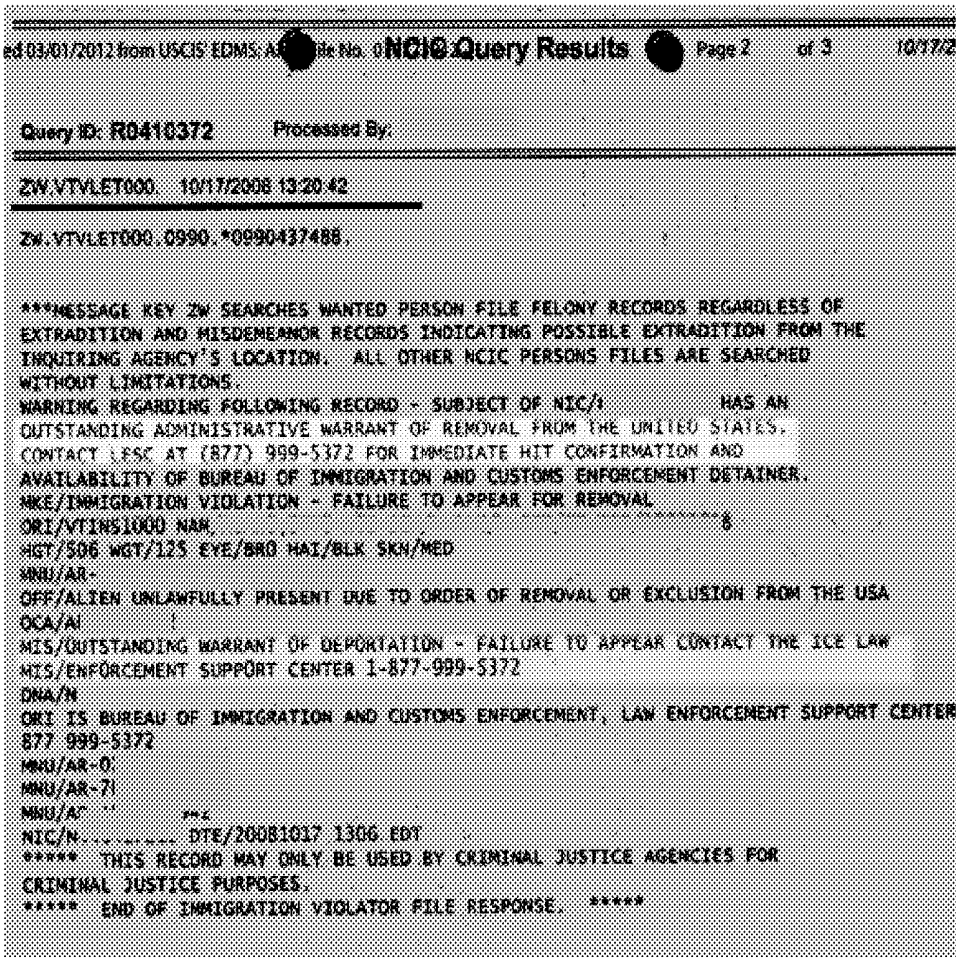
We have added new information to Section 27.31.h and to Appendix H, FORMS WITH EXPLANATION OF REDACTIONS, the section on G-325, Biographic Information, of the *Processing Guide* as follows (new information in red):

Page 3(c) of the G-325 is designated for CIA. If INS/USCIS sent the form to CIA to conduct a name check and we have received a response, the page should be referred to CIA for release determination. Please hide the name of the agency. If there is no stamp or response in the bottom section, please process the page normal. The markings are similar to the ones shown below:



We have added a new Section, 28.14.h, to the *Processing Guide* as follows (new information in red):

Please refer to ICE screenprints with outstanding warrants of deportation or removal or a notice to contact LESC. Example below:



ed 03/01/2012 from USCIS EDMS; A[redacted]e No. 0 **NCIC Query Results** Page 2 of 3 10/17/2

Query ID: R0410372 Processed By:

ZW.VTVLET000 10/17/2008 13:20:42

ZW.VTVLET000.0990.*0990437488.

***MESSAGE KEY ZW SEARCHES WANTED PERSON FILE FELONY RECORDS REGARDLESS OF
EXTRADITION AND MISDEMEANOR RECORDS INDICATING POSSIBLE EXTRADITION FROM THE
INQUIRING AGENCY'S LOCATION. ALL OTHER NCIC PERSONS FILES ARE SEARCHED
WITHOUT LIMITATIONS.
WARNING REGARDING FOLLOWING RECORD - SUBJECT OF NIC/I HAS AN
OUTSTANDING ADMINISTRATIVE WARRANT OF REMOVAL FROM THE UNITED STATES.
CONTACT LESC AT (877) 999-5372 FOR IMMEDIATE HIT CONFIRMATION AND
AVAILABILITY OF BUREAU OF IMMIGRATION AND CUSTOMS ENFORCEMENT DETAINER.
MKE/IMMIGRATION VIOLATION - FAILURE TO APPEAR FOR REMOVAL
ORI/VTINS1000 NAM
HGT/506 WGT/125 EYE/BRO HAI/BLK SKN/MED
MNU/AR-
OFF/ALIEN UNLAWFULLY PRESENT DUE TO ORDER OF REMOVAL OR EXCLUSION FROM THE USA
OCA/A
MIS/OUTSTANDING WARRANT OF DEPORTATION - FAILURE TO APPEAR CONTACT THE ICE LAW
MIS/ENFORCEMENT SUPPORT CENTER 1-877-999-5372
DNA/N
ORI IS BUREAU OF IMMIGRATION AND CUSTOMS ENFORCEMENT, LAW ENFORCEMENT SUPPORT CENTER
877 999-5372
MNU/AR-0
MNU/AR-7
MNU/A
NIC/N DTE/20081017 1306 EDT
***** THIS RECORD MAY ONLY BE USED BY CRIMINAL JUSTICE AGENCIES FOR
CRIMINAL JUSTICE PURPOSES.
***** END OF IMMIGRATION VIOLATOR FILE RESPONSE. *****

USCIS FOIA INFORMATION BULLETIN

September 21, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended Section 27.35 of the *Processing Guide* as follows, new information in red, ~~deleted information in strikethrough~~:

27.35 Asylum/Refugee Interview Notes

Please fully withhold asylum/Refugee interview notes and question/answer worksheets, citing Exemption (b)(5), because they demonstrate deliberative privilege. In addition, if you are processing the case as FOIA, you should withhold anything that would identify family members or other third parties, citing Exemption (b)(6). This also includes all factual question/answer notes and worksheets.

Fully withhold asylum/refugee interview notes and question/answer worksheets, citing Exemptions (d)(5) and (b)(5) if processing under the PA.

NOTE: It doesn't matter whether the subject signed the form or not, please withhold asylum/refugee interview notes and question/answer worksheets as stated above.

We have amended Appendix C: Processing Tables (USCIS Miscellaneous Documents) as follows, new information in red, ~~deleted information in strikethrough~~:

Asylum/Refugee flowcharts and worksheets	~~Partially~~ Withhold in full (b)(5), ~~if applicable (deliberative process)~~	Withhold in full (d)(5) and (b)(5), ~~if applicable~~
Blank asylum/refugee flowcharts	Release	Release

We have amended Section 12 of the FOIA/PA Assistants *Guide* as follows, new information in red, ~~deleted information in strikethrough~~:

12. REQUESTING THE RESPONSIVE RECORDS

If the file is located at COW with the Responsible Party Code (RPC) of RK, create the case and refer to ICE. RK cases belong to the Witness Protection Program. Please insert a Discussion after you have created the case. The title of the Discussion should read "File is at RK." ~~Send the case to Unit Chief. Send your supervisor an e-mail with the control number of the case and that the file is located at COW with an RPC of RK.~~

General Inquiry For A30000001

File #	Seq	Office	Status/Last Action		Location	
A30000001	000	COW	**Status:**	In Use	**Sect:**	RK - Adjudications
			Audit Date:	05/09/2011 01:55:40 PM	**Resp:**	0117 - Adjudication II - - 0117
			Last Action:	05/09/2011 01:55:40 PM Batch Audit		

We have added Section 12.1.4 of the FOIA/PA Assistants *Guide* which reads as follows:

12.1.4 Empty Jackets

If NFTS indicates the file as an "Empty Jacket," you will normally not create a file request. The only time you ever staff for an empty jacket is if the FCO is HAV. If you are unsure, please contact MSB. If the FCO is not Havana, and the only A-number you found is an empty jacket, your next step is probably to conduct a no records search, depending on the situation (No Record instruction is at Section 12.7.6). If you found a receipt file, please refer to Section 12.7.12.

General Inquiry For A300000000

File #	Seq	Office	Status/Last Action		Location	
A30000000	000	HAV	**Status:**	EMPTY JACKET	**Sect:**	ADJ - Adjudications
			Audit Date:	05/09/2010 01:55:40 PM	**Resp:**	0000 - Adjudication II - - 0000
			Last Action:	05/09/2010 01:55:40 PM Batch Audit		

USCIS FOIA INFORMATION BULLETIN

September 16, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

NAMES OF REFUGEE OFFICERS

For the time being, please redact names of refugee officers, citing Exemption (b)(6). We will address this issue in greater detail later.

NFTS: LOST FILE NOTED IN "COMMENTS"

The following new bullet has been added to sub-paragraph 12.1.1.6, "Blued-in information" of the FOIA/PA Assistant's Guide:

- Comments may be important because a File Control Office may not be able to change a file location to "LOST" in NFTS. When that happens, the records person at the FCO will notate in Comments that the file is lost. If that is the situation, please refer to the Lost File Flowchart in Appendix H of this guide.

NATIONAL VISA CENTER ADDRESS CHANGE

You may have noticed that if you refer something to NVC, the address is Washington D.C. instead of Vermont. That is based on guidance from U.S. Department of State, and we did it on purpose. Please do not change the NVC referral address back to the NVC Congressional Unit in Vermont.

Paragraph 28.17, <u>Referring or Processing documents originating from NVC</u> of the Processing Guide has been changed as follows: (new portion in red)

Although the letterhead on the document below reads United States Department of State, this document was issued by the National Visa Center. We should refer the document to them for processing. Refer any documents in the file originating with NVC if the subject matter is related to fraud, investigation or opinion. Please change the term "another government agency" to the National Visa Center in the Final Action letter. A sample of a

referral letter, the referral list dropdown box, and a paragraph from the Final Action Letter are below.

Process the document if it is addressed to the subject or the subject's attorney or representative, or if the subject has received or has signed it. Use the same guidelines for processing or referring documents to NVC that we use for processing or referring documents to the U.S. Department of State.

FOIA INFORMATION BULLETIN

September 14, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended Section 42 of the *Processing Guide* as follows, new information in red, ~~deleted information in strikethrough~~:

42. FAILURE TO COMPLY (FC) CASE CLOSINGS

~~If you are closing a case FC because of consent, verification of identity or reasonable description of records sought, please the wording of the "Unperfected Letter" which you may find at:~~

In the past, we assumed consent could be implied from the subject providing proper VOI, (including a signature under penalty of perjury or a notarized signature) alone. If our assumptions were valid, the consent paragraph above would be correct. We would be able to use the FC letter with the consent paragraph shown below.

(Consent) "Because the records you seek are those of a personal nature, DHS' regulations require you to provide consent from the records subject before a disclosure of records can be made. On [Date] we sent correspondence requesting you provide us with proper consent. Proper consent is defined under 6 CFR § 5.21 as either a notarized signature, a signature signed under penalty of perjury, or proof of death. Although you are not required to use form G-639 to provide consent, a notarized signature in section 7, or a signature at the bottom of section 8 would fulfill this requirement."

However, it has been decided that we not only need proper VOI (Block 4 with signature) from the subject of record, we also need a signature in the consent block (Block 3 of the Form G-639 dated 01/29/2012) in order to release the documents to a third party (attorney, family member, etc…). Since the consent portion of current FC letter is no longer valid, we needed a replacement.

In addition, since the Form G-639 changed on 01/29/2012, the blocks for consent and VOI are now 3 and 4 instead of 7 and 8, respectively.

To solve both these issues, we have two letters that we copy and paste in place of the FC letter, called Unperfected Request letters.

One letter, simply called "Unperfected Letter," is for unperfected requests on the 01/29/2012 version of the Form G-639. You can find this letter at http://ecn.uscis.dhs.gov/team/esd/Division/NRC/Branches/FOIA_OPS/Case%20Create%20Libra ry/Forms/AllItems.aspx

The other letter, called "Unperfected Letter for Older G-639 version" is for any other version of the Form G-639. You can also find this letter at the link shown above.

Alternatively, you may go to O:\Foia\FOIA LIBRARY\Case Create References\Case Create References and find both Unperfected Letters.

Notes:

1. These letters are also used when you do not have a reasonable description of records sought.
2. A self-requester only needs to provide VOI (with signature). No consent is needed to request your own record.

We have amended Section 27.45 of the *Processing Guide* as follows, new information in red, ~~deleted information in strikethrough~~:

27.45 Processing TECS, ~~DACS,~~ and NCIC/NLETS Screen Prints with Search Results

Most cases contain one or more screen prints from TECS, ~~DACS~~, EARM and/or NCIC/NLETS.

(b)(7)(e)

Types of information to be redacted on these screen prints could be comments, information regarding information relating to a [redacted] information is normally seen on NAILS screen [redacted]ion is exempt from release citing Exemption (b)(7)(E) of the FOIA and (k)(2) and (b)(7)(E) of the PA.

Note: DACS screen prints are referred to ICE.

USCIS FOIA INFORMATION BULLETIN

September 7, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added a box to and amended the I-589 paragraph in

Appendix H of the *Processing Guide* as follows, new sentence in red, ~~deleted information in strikethrough~~:

I-589, Application for Asylum and for Withholding of Removal

The Form I-589 is used to apply for asylum in the United States and for withholding of removal. If the subject of record is the primary asylee, please fully release the I-589, unless there are protected systems check results on the first page. ~~This application may include spouses and unmarried children under 21 who are physically present. If a copy of the Form I-589 is in a rider's file, please withhold third-party information on requests made by the petitioner or by an attorney/representative of the petitioner where consent is present. If the requester is a party to or rider on the application, release the form in part to that individual. Release only the top of each document and the rider's information. Redact all other third party information from the I-589.~~

Where is the I-589?	Who is the requester?	They get
Asylum Applicant's File	Asylum applicant	Everything except protected systems check results
Rider's File	Rider	Only their own information and the signatures
Asylum Applicant's File	Rider	Either consent from the asylum applicant or nothing
Rider's File	Asylum applicant	Either consent (or proof of parentage, usually) from the rider or nothing

For more processing instructions, please see section 27.16 of this guide. The block titled "FOR USCIS USE" may contain exempt information, such as IBIS results, law enforcement initials and/or identifying numbers, and possibly deliberative commentary.

We have added boxes to the I-129f and I-130 paragraphs in Appendix H of the *Processing Guide* as follows:

Where is the I-129F?	Who is the requester?	They get
Unconsolidated	Petitioner	Everything except protected systems check results
Unconsolidated	Beneficiary	Only their own information and the signatures, unless they have consent from the Petitioner
Beneficiary's File	Petitioner	Either consent from the Beneficiary or nothing
Petitioner's File	Beneficiary	Either consent from the Petitioner or nothing

Where is the I-130?	Who is the requester?	They get
Unconsolidated	Petitioner	Everything except protected systems check results
Unconsolidated	Beneficiary	Only their own information and the signatures, unless they have consent from the Petitioner
Beneficiary's File	Petitioner	Either consent from the Beneficiary or nothing
Petitioner's File	Beneficiary	Either consent from the Petitioner or nothing

We have again re-written the I-140 paragraph in Appendix H of the *Processing Guide* as follows, new paragraph in red, ~~deleted paragraph in strikethrough~~:

~~Form I-140 is used to petition for an immigrant visa based on employment. This form can be completed by a person or company/organization. If the petitioner is an individually owned or closely-held business, you need consent from the petitioner to release the petitioner's information. Companies in general do not have personal privacy protection, so if the petitioner is a company, you do not need the company's consent and you may release most information about the company. You should still protect any information that would reveal information about the owners' personal finances, citing Exemption (b)(6). If the subject who~~

~~requests the file worked for the company, release the TIN to the subject. Otherwise, if you are processing under FOIA, you will withhold the employer's TIN citing Exemption (b)(3) and § 6103 of 26 USC, but release the remaining information on this form to the requester. If the petitioner is an individually owned or closely-held business, and if the case is a FOIA, and if you do not have consent from the petitioner, you would release only information relating to the beneficiary. Please protect any highly personal information. If the petition has been consolidated into the beneficiary's A-file, the petitioner must have consent from the beneficiary to obtain a copy of it. If the petition has not been consolidated, the petitioner or beneficiary may obtain a copy of it. For an unconsolidated petition, you should fully release to the petitioner, other than protected system check results or possibly deliberative process. The block titled "For USCIS Use Only" could contain exempt information.~~

Form I-140 is used to petition for an immigrant visa based on employment. This form can be completed by a person or company/organization.

- If the petitioner is an individually owned or closely-held business, you need consent from the petitioner to release the petitioner's information.
- If the petitioner is an individually owned or closely-held business:
  - *and* if the case is a FOIA,
  - *and* if you do not have consent from the petitioner,
  - *then* you would release only information relating to the beneficiary. Please protect any highly personal information.
- Companies in general do not have personal privacy protection, so if the petitioner is a company, you do not need the company's consent and you may release most information about the company. You should still protect any information that would reveal information about the owners' personal finances, citing Exemption (b)(6).
- If the subject who requests the file worked for the company, release the TIN to the subject. Otherwise, if you are processing under FOIA, you should withhold the employer's TIN citing Exemption (b)(3) and § 6103 of 26 USC, but release the remaining information on this form to the requester.
- Even if the subject worked for the company, the company's tax return may have been prepared by an accounting firm that lists their TIN. If you are processing under FOIA, you should withhold the accounting firm's TIN citing Exemption (b)(3) and § 6103 of 26 USC. If you are processing under FOIA, and if the accountant is an individual who lists his or her social security number, you should protect that number, citing Exemption (b)(6).
- If the petition has been consolidated into the beneficiary's A-file, the petitioner must have consent from the beneficiary to obtain a copy of it. If the petition has not been consolidated, the petitioner or beneficiary may obtain a copy of it. For an unconsolidated petition, you should fully release to the petitioner, other than protected system check results or possibly deliberative process. The block titled "For USCIS Use Only" could contain exempt information.

We have modified the instructions for Form I-205 in Appendix C of the *Processing Guide* as follows, new instruction in red:

Warrant of Removal/Deportation, I-205 (2 pages) NOTE: If the Form I-205 is accompanied by a Customs Fugitive Report, please refer to section 27.41 of this guide.	Refer to ICE if there is any ICE or Legacy INS ICE function signature. Otherwise, withhold in full if it has not been served. Release in full if it has been served and there is no ICE or Legacy INS ICE function signature.	(b)(5) and (b)(7)(C)	(d)(5), (b)(5), (k)(2) and (b)(7)(C)

USCIS FOIA INFORMATION BULLETIN

October 25, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

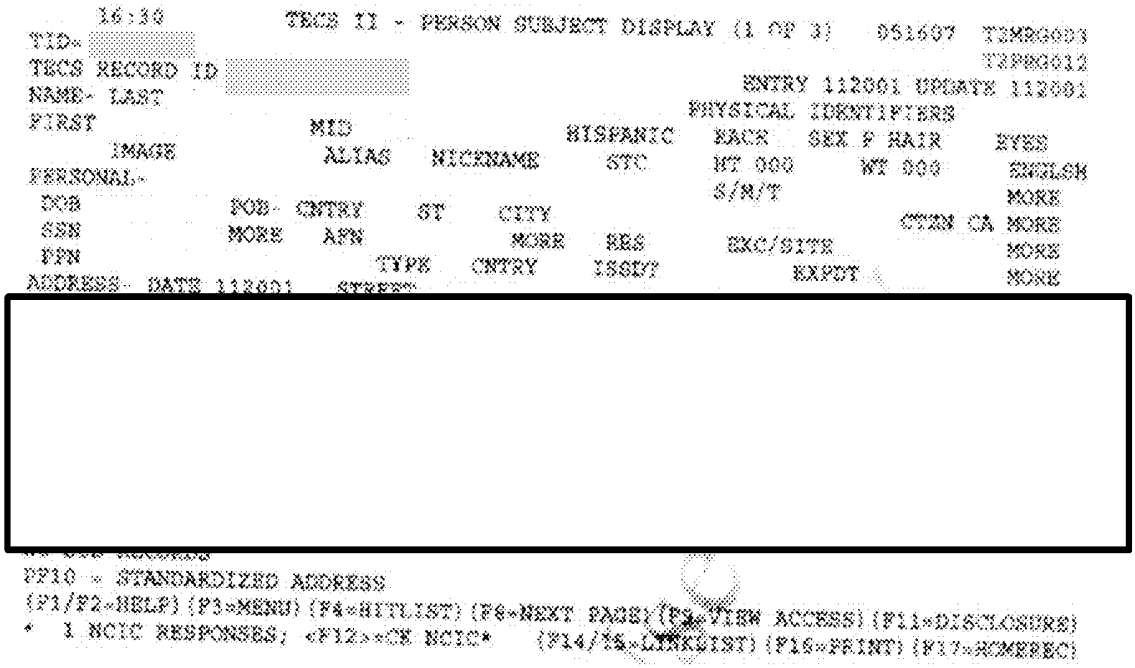
We have added a new Section 12.7.16, Staffing ELIS, to the *FOIA/PA Assistant's Guide* as follows (new information in red):

Whenever you create a case, please check PCQS for ELIS information. If you get a response of "Person Found in: ELIS," please create an ESC staffing. In the ELIS record, there will be an IOE number. Please copy that number. On both pages of the ESC staffing letter, please replace the "Alien #" with the IOE number you copied from PCQS.

We have added new information to Section 27.45.b, TECS II Person Subject Display of the *Processing Guide* as follows (new information in red):

We do not refer anything to FAA. If there is a hit in the FAA Pilot Directory, please process as follows (see the example provided):
Withhold everything from CONTACT down to NO SUB-RECORDS, citing (b)(7)(C) & (b)(7)(E), or a(k)(2), (b)(7)(C) & (b)(7)(E) if PA.
The TECS RECORD ID, which has been removed from the example, ends in "F02." We should take that out with (b)(7)(E), or a(k)(2) & (b)(7)(E) if PA.
Finally, if we think the screen was possibly printed by CBP, we should take out the TID with (b)(7)(C), or a(k)(2) & (b)(7)(C) if PA.

(b)(7)(e)



USCIS FOIA INFORMATION BULLETIN

October 23, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 40. Final Action, paragraph 40.01.g of the Processing Guide as follows (new information in red, deleted information in strikethrough):

Section 40. Final Action, paragraph 40.01.g

If you do not refer any pages, please delete the following sentence from your final action letter:

"Additionally, we have referred [# of pages] in [its/their] entirety to [government agencies name] for their direct response to you."

If you do refer pages, you will have to modify the sentence to reflect the agency and number of pages, for example:

"Additionally, we have referred ~~3 pages in their entirety to US-Visit and~~ 1 page in its entirety to the Department of State for their direct response to you."

In that paragraph, please do not mention Immigration and Customs Enforcement, or how many pages you are referring to them. If you are referring pages to ICE, you will mention them in the following paragraph:

"During our review, USCIS located # of pages of potentially responsive documents that may have originated from U.S. Immigration and Customs Enforcement (ICE). USCIS has sent the document(s) and a copy of your FOIA request to the ICE FOIA Office for consideration and direct response to you. Should you wish to contact ICE concerning the status of the processing of the document(s), please contact the ICE FOIA Office via phone at (866) 633-1182 or via e-mail at ICE-FOIA@dhs.gov. The ICE FOIA Office mailing address is 500 12th Street, S.W., MS 5009, Washington, D.C. 20536-5009."

If you are not referring any pages to ICE, please delete that paragraph. If you referred any pages, please leave the paragraph exactly the way it is.

We have updated section 8.13 REQUESTS: Inmate in Federal Custody of the FOIA/PA Assistants Guide as follows (new information in red):

8.13 REQUESTS: Inmate in Federal Custody

The Bureau of Prisons (BOP), an agency of the U.S. Department of Justice, will not deliver incoming mail to a person housed in their custody unless it contains the subject's Register Number. Upon entry into BOP custody, each inmate is assigned an eight digit Register Number (i.e. xxxxx-xxx) by which he/she is identified throughout his/her commitment. The first five digits are unique identifiers for that specific inmate, the last three digits, separated from the first five by a dash, indicate the jurisdiction from which the inmate originally entered the corrections system. It is imperative that the correspondence contain the Register Number in the proper format. BOP Register numbers are created for the subjects in the name in which they received a conviction sentence from a federal court or a legal document charging them of an immigration violation and/or removal. This name could be their birth name or an alias name.

ICE will not deliver mail to an ICE detainee unless we include the alien number in the address. Please include the alien number in the address of an ICE detainee, if you are addressing correspondence to the alien in the ICE detention facility. In order to avoid PII spills, OA will prepare an outer envelope without the alien number and mail it in that.

If the inmate is not in federal custody (i.e., Bureau of Prisons location or ICE detention facility) but held at a non-federal correction facility (such as a state prison or county jail), DO NOT put the alien number in the address.

We have updated section 12.16 Receipt Numbers of the FOIA/PA Assistants Guide as follows (new information in red, deleted information in strikethrough):

Section 12.16 Receipt Numbers

~~If the petitioner is the Requestor, and if the petition has been consolidated into the beneficiary's A-file, then the beneficiary is always the subject of record. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." For that reason, even though the Requestor may have listed the petitioner as the subject of record, if you discover that the petition is consolidated into the beneficiary's file, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639.~~

If you discover that the petition is consolidated into the beneficiary's file, and you **do** have consent from the beneficiary, you must change the name of the subject in FIPS to the beneficiary. The beneficiary's A-number goes in the A-number field, even if the Requestor entered the petitioner's A-number on the G-639. We must address any correspondence about that petition citing the beneficiary as the "subject of record" or the "records' subject." This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record in order to staff for the record.

If the petition is consolidated into the beneficiary's file, and you **do not** have consent from the beneficiary, you will close the case as Total Denial and include the following blurb as the second sentence in the first paragraph of the TD letter:

> "It is the policy of USCIS to file any adjudicated petitions, such as the Form I-129F or Form I-130 in the beneficiary's record after issuance of a visa. Beneficiary consent is required to obtain any petitions from their record."

This is legally important because we must have VOI of the subject of record and we must have certification of agreement if the Requestor is other than the subject of record. *If we are staffing the subject of record's A-file, and if the Requestor is not the same person as the subject of record, then we need certification of agreement from the subject of record.*

If the petition has not been consolidated into the beneficiary's A-file, whether the petitioner or the beneficiary is the Requestor, we may staff for it. In this situation, we list the subject of record the way it is listed in the request letter, whether the petitioner or the beneficiary.

PCQS or CLAIMS screen-prints usually would not provide the Requestor with the information he or she is requesting, because the Requestor is asking for a copy of the file. Rarely, a petitioner may only need a particular piece of information, such as proof of filing to prove Section 245i eligibility. If that is the situation, and we have the petitioner's VOI (and certification of agreement, if necessary) then you should provide those screen-prints with a RAFACS staffing. This is not usually what happens, so providing screen prints is an exception, not the rule.

USCIS FOIA INFORMATION BULLETIN

October 21, 2011

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Example 3 of Paragraph 41. **WHEN DO YOU CLOSE A CASE WITH NO REDACTIONS AS A PD?** of the *Processing Guide* has been rewritten as follows (~~old version in strikethrough~~) (new version in red):

Example 3 - The requester specifically asked for an I-130 she/he filed showing the receipt number and/or the approval date. ~~(I-130 could not be located.) We provide the requester screen prints from CLAIMS containing this information. This case would be closed as a PD. The final action letter should specifically address the I-130 and what is being provided. Closing this case as PD allows the requester to appeal our response since a specific document was requested.~~

Example 3 - The requester specifically asked for an I-130 she/he filed showing the receipt number and/or the approval date. The I-130 was never consolidated into an A-file, NVC does not have the petition, and the only record remaining is screen prints from PCQS and/or CLAIMS, and possibly an NFTS screen print verifying that the I-130 has been destroyed. We provide the requester screen prints containing this information. Please close the case as a G1, unless you have made redactions on the screen prints. There is nothing else we can provide them, therefore nothing to appeal. On the other hand, if the file is scanned in and we have provided them something other than what they wanted, we still close that PD as described in Example 1, above.

Part I-08: Retention and Disposition of Records of the **Records Operations Handbook** provides that if a petition (I-130 or I-140) is denied, and an A-File is created, the petition becomes a permanent part of the A-File and has a life cycle equaling that of the A-File. If a petition is approved but not used, and never becomes part of an A-File, it is to be disposed of three years after a visa number becomes available (the visa number may not become available for twenty years or longer). In such a case, your final action letter should state that the original petition has been destroyed in accordance with federal disposition instructions, and because of that, we are able to provide only the remaining electronic record from our database.

Paragraph 27.48.i , I-213, Report of Deportable/Inadmissible Alien of the *Processing Guide* has been rewritten for clarification (~~old version in strikethrough~~) (new version in red):

(b)(7)(e)

27.48.i.1 Release boxes titled "INS Systems Checks" "Immigration Record" or "Criminal Record." unless they specifically state "IBIS [redacted] "DACS [redacted] "NAILS [redacted] r "EARM [redacted] " Normally the boxes will say, "See narrative," "[redacted]. ~~In this instance~~ In those instances, release the boxes but withhold the results of DACS, EARM, IBIS and/or NAILS in the "Narrative" under "INS Systems Checks." Withhold results from those systems listed citing Exemption (b)(7)(E) (or (k)(2) and (b)(7)(E), if PA).

27.48.i.2 If the information in the INS System Checks, Immigration Record or Criminal Record blocks on the I-213 contains a class of admission (COA) such as "EWI" (entered without inspection) or a remark such as "see narrative" ~~the information can be released~~ please release the information.

(b)(7)(e)

27.48.i.3 If the INS System Checks, Immigration Record or Criminal Record block contains a remark ~~such as~~ [redacted] specifically indicating ~~in that block that a law enforcement (~~ a result for EARM, IBIS, DACS, or [redacted] ~~systems search was conducted~~, withhold the block, citing Exemption (b)(7)(E) (or (k)(2) and (b)(7)(E), if PA).

(b)(7)(e)

27.48.i.4 Review the narrative for information that relates to these blocks and any other comments. If the systems checked are listed in the narrative but there is not an annotation showing the hit was positive or negative, release the systems listed. Where there is an annotation of positive or negative relating to a law enforcement systems check, redact the words [redacted] citing Exemption (b)(7)(E) (or (k)(2) and (b)(7)(E), if PA). Do not redact results of non-law enforcement systems, such as CIS and CLAIMS.

A clarification paragraph has been added to **27.46 Screen Prints** of the *Processing Guide*, as follows:

Occasionally, the requester has asked for receipt file which has been destroyed and we are able to provide screen prints only. Close those cases as G1, unless you have made redactions on the screen prints. For more information, please refer to Paragraph 41, When do you close a case with no redactions as a PD?

A new paragraph **27.46.f, Marriage Fraud Mainframe System screen prints** has been added to the *Processing Guide*, as follows:

Unless there is an active investigation, fully release Marriage Fraud Mainframe System screen prints to first party requesters. The Marriage Fraud Amendment System is not a secret system. If there is evidence in the file that there is an active marriage fraud investigation, fully withhold the screen print, citing Exemption (b)(7)(E).

Paragraph 36. <u>REQUESTS FOR ENTRY AND EXIT INFORMATION</u> of the *Processing Guide* has been rewritten for clarification (new information in red):

You may not locate the specific entry/exit information requested, or you may locate no entry/exit information at all. If you are able to send other entry/exit information that may provide the requester with needed information, please do so. If you do not locate the entry/exit information within the file, please close the case as "No Record." Either way, you must address the issue specifically in the final action letter, stating that the document requested was not located in the file and suggesting that the requester/subject contact CBP for the information.

We have added a sentence to **Paragraph 8.21** of the *FOIA/PA Assistant's Guide*, as follows, (added material in red):

NFTS may show that the file has been retired and is at a Federal Records Center. If that is the case, request the file.

Paragraph 32.12 of the *FOIA/PA Assistant's Guide* is no longer valid because creators now Up-Front close requests without good VOI. The following has been deleted:

> **32.12 If the requester/subject does not return proper verification of identity**, generate a FC letter and replace the contents of the letter with the template letter Failure to comply letter-Consent. The template is located at: O:\FOIA\FOIA Library\Case Create References\Case Create Template Letters\Failure to Comply Letter. Send the case to approver when you are finished.

We have added a sentence to **Paragraph 34** of the *FOIA/PA Assistant's Guide*, as follows, (added material in red):

After you have changed the track, send an e-mail to NRC, FIPSPROBLEM and copy NRC, FOIA PROGRAM and your supervisor. The e-mail should include the case number and the action you took.

Paragraph 36 of the *FOIA/PA Assistant's Guide* is no longer valid because a person working Records Locator role may now create an acknowledgment letter. The following has been deleted:

36. CASES NEEDING ACKNOWLEDGEMENT LETTERS

Cases received in Records Locator queue that need acknowledgement letters must be re-assigned to a Troubleshooter in the Case Create role. Please contact a supervisor with the NRC Control Number and ask that the case be re-assigned to you in the Case Create role.

Paragraph 6.4, **SEARCH FOR DUPLICATE CASES** of the *FOIA/PA Assistant's Guide* has been changed as follows (~~old version in strikethrough~~) (new version in red):

~~Just before you create the case,~~ Before you begin filling in the worksheet, you should look for duplicates.

A new **Appendix J: 16 RULES OF CASE CREATE** has been added to the *FOIA/PA Assistant's Guide*

USCIS FOIA INFORMATION BULLETIN

October 10, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed the title and updated Section **9.3** of the FOIA/PA Assistant's Guide, **Entry/Exit Information and Border Apprehension Referral to CBP** as follows (new information in red, (~~deleted information in strikethrough~~):

9.3 Entry/Exit Information and Border Apprehension Referral to CBP

CBP handles FOIA requests for entry and exit information dating back to 1982, but no earlier, inspection, Port of Entry (POE), requests for information relating to air and/or marine incidents, or the U.S. Border Patrol Academy, legacy Customs or legacy Inspections. Key words that you could see on a request relating to CBP are inspection, Port of Entry, Bridge of the Americas, Friendship Bridge, and smuggled goods. A FOIA request for this ~~type of~~ information should be referred to **CBP** at the address shown below.

U.S. Customs and Border Protection

FOIA Division

90 K Street, NE, 9th Floor

Washington, DC 20229-1181

You will need to modify the referral letter; any information you can provide as to what the requester is asking for will be helpful to CBP. For instructions on Referrals (RF) see Section 9.1.

Border apprehension referrals are treated differently. If the Border apprehension date is 1998 or earlier, do a thorough search. If you cannot find a record, please close the case NR and add the following paragraph to your NR letter:

"You may wish to contact Customs and Border Protection, WWW.CBP.GOV. Their website offers information on filing your FOIA request electronically. Please be sure to include dates and locations of any encounters. Please note they do not have complete records for incidents prior to 2000."

Note 1: If the request is for entry/exit, the date was prior to 1982 and you cannot locate a record, do not refer the case to CBP. Do a thorough search and then close NR.

Note 2: If the request is for entry/exit information and the requester/subject provided an alien number, request the file.

Entry exit / Departure information
Copy of an I-877
Any reports or incidents at the airport.
Copy of I-94 card
Arrests at the border
Voluntary departures
Border stops

Note 3: If the request is for all records as well as a specific incident or entry, the request must state a specific incident, such as a time or place. If you do not find any record, you will then refer to ICE or CBP as needed.

We have added a new section, **27.54, Off-line Exemption Spreadsheet Procedures**, to the FOIA/PA Processing Guide, (new information in red):

27.54 Off-line Exemption Spreadsheet Procedures

Use this spreadsheet when you have to process an off-line, supplemental release. You will be tracking the pertinent data for inclusion in DHS' annual report.

Supervisors will:

1. Provide the processor tracking the information with a blank copy of the off-line exemption tracker.
2. Have the processor return it to you when completed.
3. Enter the information into the spreadsheet located in the Ops Supervisors folder on the S: drive.

Processors need to document:

1. Date supplemental release was processed off line.
2. NRC Control number
3. Agency Cited for
4. Number of times each exemption was used
5. Number of pages redacted, broken down by PD and WIF

NOTE 1: Anything that needs more explanation (ex. B3 citation with the statute) can be recorded in the notes column.

NOTE 2: Please don't confuse the off-line exemption spreadsheet with the New Exemption Tracker, which is only used for classified records.

We have updated Section 7, CERTIFICATION OF AGREEMENT, VERIFICATION OF IDENTITY, AND DESCRIPTION OF RECORDS of the FOIA/PA Assistant's Guide as follows (new information in red, ~~deleted information in strikethrough~~):

Form G-28, *Notice of Entry of Appearance as Attorney or Accredited Representative*, was revised on 02/28/2013. ~~Beginning~~ As of **May 26, 2013**, USCIS ~~will~~ no longer accepted prior versions of the G-28.

As a FOIA/PA Assistant, this may affect your decision on certification of agreement in the following instances:

• If certification of agreement is provided on no other place except Form G-28,
• Then the attorney must use a properly executed new Form G-28 (revision of 02/28/13).
• If the Form G-28 is an older version than the revision of 02/28/13, then you will close the case FC, not TD. Please refer to section 16b of this guide.
• If the new Form G-28 (revision of 02/28/13) is not properly executed, then you will close the case TD (inadequate Certification of Agreement). Please refer to section 16a of this guide.

USCIS FOIA INFORMATION BULLETIN

October 5, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended Section 27.31.a of the *Processing Guide* as follows, ~~deleted information in strikethrough,~~ new information in red:

27.31.a Most files contain third party documents and PII. We should fully withhold this information unless we can tell it was provided to us by the subject of the file ~~or requester~~ if it is a first party FOIA request. Whether to disclose or release third party documents in a FOIA case hinges on consent.

We have amended Section 27.31.o of the *Processing Guide* as follows, ~~deleted information in strikethrough,~~ new information in red:

27.31.o Fully release documents completed by the subject of record ~~requester or his or her representative~~ if it is a first party FOIA request. For example, an I-485 completed by the alien to adjust status might include family members' PII. This rule does not apply to documents we refer. For example, the requester may have completed an application for non-immigrant visa. Since the U.S. Department of State has specified a non-immigrant visa application as a document they need to review, we are not deciding whether to release or withhold it.

We have amended Section 27.45.g.7 of the *Processing Guide* as follows, ~~deleted information in strikethrough~~

27.45.g.7 Withhold all names of any person acting in a law enforcement capacity on these documents with exemption (b)(7)(C) [or (k)(2) and (b)(7)(C), if PA]. Note that you may also see names and alien numbers of other individuals that are exempt from release. Withhold these also, citing exemption (b)(7)(C) [or (k)(2) and (b)(7)(C), if PA]. ~~Withhold the subject's parents names, citing Exemption (b)(6), if the case is a FOIA.~~ Sometimes I-213's that relate to third party individuals who were arrested at the same time as the subject are placed in the file for investigatory purposes. Withhold these in full, citing Exemption (b)(7)(C) of the FOIA or (k)(2) and (b)(7)(C) of the PA.

We have amended Section 28.09, Federal Bureau of Investigation Documents of the *Processing Guide* as follows, ~~deleted information in strikethrough~~:

There may be a document originating with FBI marked with the following warning at the bottom:

> "This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; and its contents are not to be distributed outside your agency."

Please refer any document with such a marking to FBI, and ~~do not~~ hide the name of the agency.

We have amended Section 28.13, Joint Terrorism Task Force (JTTF) of the *Processing Guide* as follows, ~~deleted information in strikethrough~~:

Refer any documents created by the Joint Terrorist Task Force (JTTF) to JTTF. ~~Do not~~ ~~h~~ Hide the name of the agency.

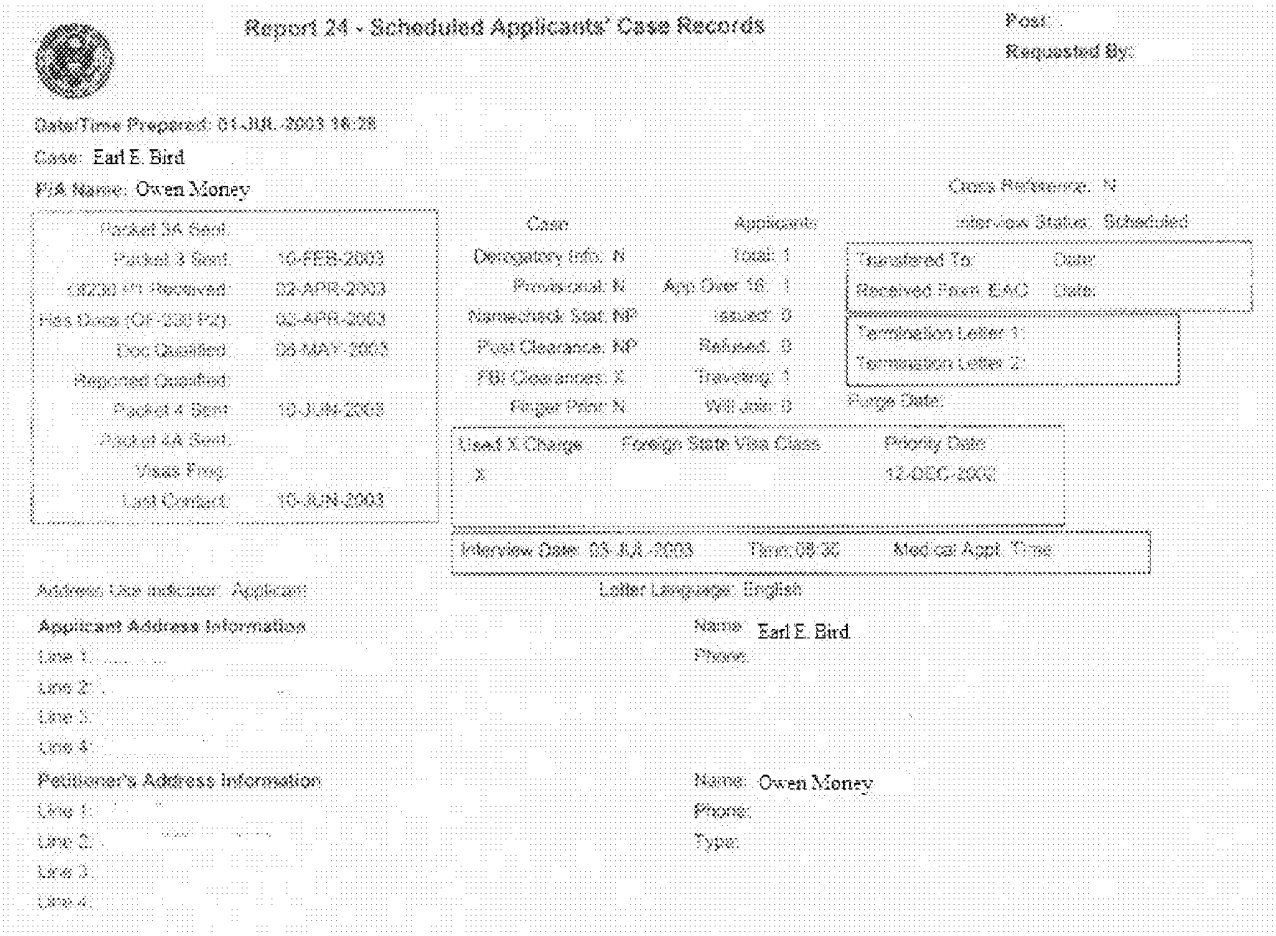
USCIS FOIA INFORMATION BULLETIN

November 30, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 28.06.a.5., U.S. Department of State Documents of the FOIA/PA Processing Guide as follows (new information in red):

28.06.a.5. Process the Report 24. (Withhold in full, (b)(7)(C) and (b)(7)(E) if FOIA or (k)(2), (b)(7)(C) and (b)(7)(E) if PA).


Report 24 - Scheduled Applicants' Case Records

Post:

Requested By:

DateTime Prepared: 01-JUL-2003 10:28

Case: Earl E. Bird

FSA Name: Owen Money

Cross Reference: N

Interview Status: Scheduled

Packet 3A Sent	
Packet 3 Sent	10-FEB-2003
I-824 (P) Received	02-APR-2003
Pass Back (OF-230 P2)	02-APR-2003
Doc Qualified	28-MAY-2003
Preported Qualified	
Packet 4 Sent	10-JUN-2003
Packet 4A Sent	
Visas Freq	
Last Contact	10-JUN-2003

Case		Applicants	
Derogatory Info: N		Total: 1	
Provisional: N		App Over 16: 1	
Namecheck Stat: NP		Issued: 0	
Post Clearance: NP		Refused: 0	
FBI Clearances: 2		Traveling: 1	
Finger Print: N		Will Join: 0	

Transferred To: Date:

Received From EAC Date:

Termination Letter 1:

Termination Letter 2:

Purge Date:

Used X Charge	Foreign State Visa Class	Priority Date
X		12-DEC-2002

Interview Date: 03-JUL-2003 Time: 08:30 Medical Appt. Time:

Letter Language: English

Address Use Indicator: Applicant

Applicant Address Information

Line 1:

Line 2:

Line 3:

Line 4:

Name: Earl E. Bird

Phone:

Petitioner's Address Information

Line 1:

Line 2:

Line 3:

Line 4:

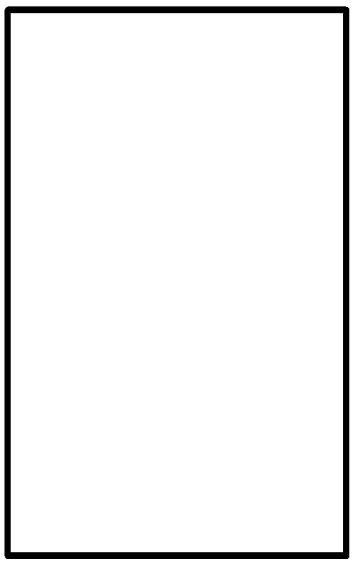
Name: Owen Money

Phone:

Type:

We have updated section 21, Classified Records of the FOIA/PA Processing Guide as follows (new information in red, deleted information in strikethrough):

(b)(6)



We have updated section 27.27.e, Names of certain government employees and PII on law enforcement documents, of the FOIA/PA Processing Guide as follows (new information in red):

27.27.e If you are processing a FOIA case, there are certain USCIS personnel whose names you should withhold even when not performing a law enforcement function, citing Exemption (b)(6) or (b)(7)(C) if FOIA, (k)(2) and (b)(7)(C) if PA. Those personnel are:

(1) Refugee Officers (b)(6)
(2) FDNS personnel (b)(7)(C) or (k)(2), (b)(7)(C)

In addition to that, there are times you must use your judgment. If an asylum or adjudications officer is working overseas, especially in a sensitive region, and if you feel that person could be a potential target for extortion, kidnapping or interference in performance of duty, you should protect that person's name, direct line phone numbers and e-mail addresses, along with any other identifying information. If you have a doubt, please contact a supervisor.

USCIS FOIA INFORMATION BULLETIN

November 14, 2012

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have amended Section 6.3.4.6, Genealogy of the *FOIA/PA Assistants Guide* as follows, ~~deleted information in strikethrough~~, new information in red:

> ***6.3.4.6 Genealogy*:** Genealogy cases are requests for searches and/or copies of historical records relating to a deceased person. The lists below represent the records that the public would be able to request from the Genealogy Program:
>
> A. Naturalization Certificate Files (C-files) from September 27, 1906 to April 1, 1956
>
> B. Alien Registration Forms from August 1, 1940 to March 31, 1944
>
> C. Visa files from July 1, 1924 to March 31, 1944
>
> D. Registry Files from March 2, 1929 to March 31, 1944
>
> E. Alien Files (A-files) numbered below 8 million (A8000000) and documents therein dated prior to May 1, 1951
>
> The case is not Genealogy unless it meets one of the above criteria. If there is a cover sheet with instructions, such as a Hybrid Genealogy cover sheet, please follow the instructions on the cover sheet, rather than the instructions in this paragraph. If the case you are creating does meet the criteria for Genealogy, select Category **OTHER,** then do the following:
>
> a. Create the case.
> b. Do not staff for the file or create an acknowledgement letter.
> c. Select Final Action Letter and redirect (RD) the case to "USCIS Genealogy Program." Use the "RD –Genealogy" letter unless you have a request for dual Italian Citizenship. If you have a request for dual Italian Citizenship use the "Genealogy form –ItalianCit" letter. Both letters are located on the O drive (O:\Foia\FOIA LIBRARY). Copy and paste the appropriate letter over the default letter.

d. After the case is created and the letter has been generated, prepare a discussion and send the case to Up-Front Approver.
e. Send an email to the designated person who handles genealogy cases (The current point of contact will be posted by FOIA Operations in ECN) with the control number to review and case note accordingly.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in the Case Create queue to send an acknowledgment letter and staff for records.

If it does meet the criteria, the case will be closed by the Up-Front Approver.

USCIS FOIA INFORMATION BULLETIN

November 8, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have deleted Section 28.07, US-Visit Documents, of the *Processing Guide* as follows ~~(deleted information in strikethrough)~~:

~~Refer all documents originating with US-VISIT for their direct response to the requester. Do not hide the name of the agency.~~

~~Refer Arrival Departure Information System (ADIS) screen prints to US-VISIT.~~

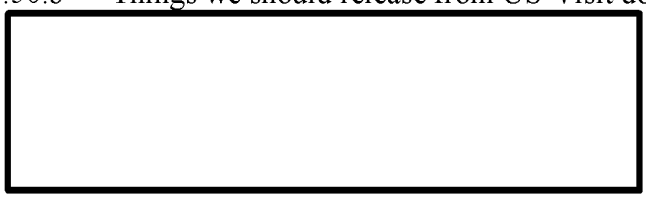
~~Please do not place any redactions on documents you are referring to US-VISIT.~~

We have added a new Section 27.50, US-Visit Documents, to the *Processing Guide* as follows (new information in red):

27.50.a Redact the following from US-Visit documents, including ADIS:

(b)(7)(e)

27.50.b Things we should release from US-Visit documents, including ADIS:



(b)(7)(e)

27.50.c Aliases on US-Visit documents

1. You, the processor, must decide if there is more likely than not an invasion of privacy. If you decide there probably would be an invasion of privacy, withhold (b)(7)(C), or a(k)(2) + (b)(7)(C) if PA.
2. Sometimes the alias is the main reason an alien got denied a benefit. It's called "misrepresentation of a material fact" or "fraud." In some cases, the alien made up a name on the spot, while in other cases they used the actual identity of another person.

We have changed Section 27.40, Processing Form I-696, of the *Processing Guide* as follows (new information in red, ~~deleted information in strikethrough~~):

~~Unless it is blank~~, If you determine there is reasonably foreseeable harm, fully withhold the second page of the I-696 citing Exemption (b)(5) of the FOIA or Exemption (d)(5) and (b)(5) if processing under the PA, otherwise, release the page. If you are unsure, please consult a supervisor.

USCIS FOIA INFORMATION BULLETIN

November 4, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

One bullet of paragraph 27.04, Out of Scope of the *Processing Guide* has been changed as follows (~~old version in strikethrough~~) (new version in red):

- ~~Documents titled "Best Available Image."~~ Documents not a part of the A-file but inserted by the scanner at the digitization facility, for instance, documents marked "Best Available Image" or "The TOC is not part of the certified copy of the A-file."

Two portions of Paragraph 7.2, Verification of Identity of the *FOIA/PA Assistant's Guide* have been changed as follows (~~old version in strikethrough~~) (new version in red):

If the requester did not provide all four required pieces of information, ~~you must send for additional requester documentation~~ please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library.

If the requester is asking for records concerning *(a living)* individual, and if there is only one signature and it does not fall under one of the categories above, ~~request consent and/or verification of identity using the Track 1, Track 2 or Track 3 Ack Letter Requester Docs located at:~~ ~~*O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters*~~ ~~or the form "Requester Documentation Attachment" located at:~~ ~~*O:\Foia\FOIA_LIBRARY\Case_Create_References\Case_Create_Template_Letters \Requester_Docs_Attachment*~~ ~~. Check the first box on the document~~ please select "Final Action Letter" from the Tasks tab, select "FC" from the final action codes list, and paste in the body of the "Unperfected Request Letter" which you may find in the Case Create Template Letters folder of the FOIA Library. The exception to this rule is a Third-Party Request (see paragraph 7.4).

USCIS FOIA INFORMATION BULLETIN

May 31, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed the top portion of the TD No Agreement Language letter found at O:\Foia\FOIA LIBRARY\Case Create References\Case Create References as follows (new information in red):

After carefully considering your request, it must be denied in its entirety pursuant to 5 U.S.C. § 552(b)(6) (Exemption 6). In order to obtain these records your request must demonstrate one or more of the following criteria:

- Written authorization from the individual(s) permitting disclosure of the records to you;
- Proof of parentage with the requester's verification of identity if the subject of record is a minor at the time of the request, or
- Proof of court-appointed guardianship with the requester's verification of identity, or
- Proof that the subject [or subjects] of your request [is] [are] deceased; or
- A clear demonstration that the public interest in disclosure outweighs the personal privacy interest(s) of the individual(s) and that significant public benefit would result from the disclosure of the requested records.

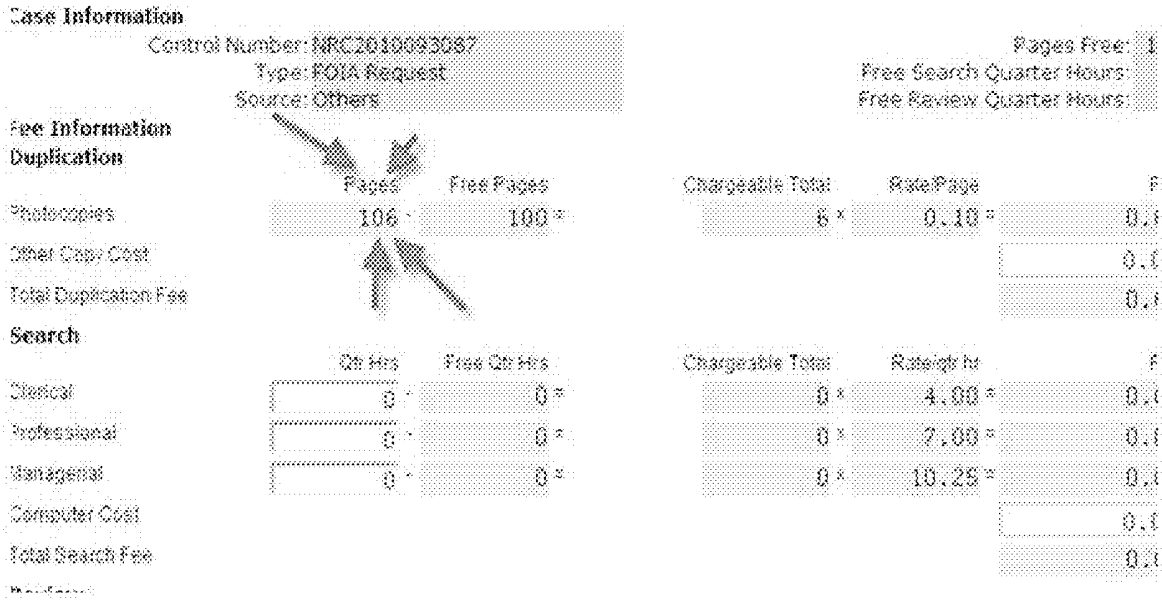
USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
May 27, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

A new paragraph: **40.08** **Ensuring you get credit for pages** has been added to the processing guide:

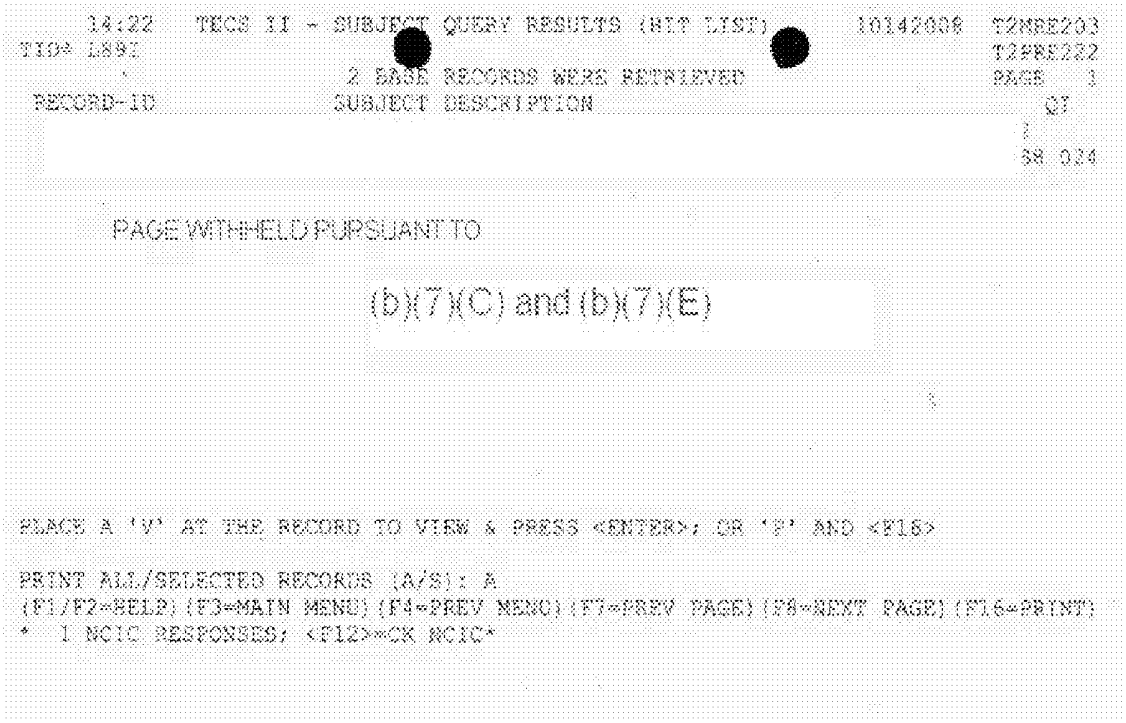
Before you send your case to approver, click on the Fee tab. If the 'pages' field is blank, click on the Processing tab then back to the Fee tab, and it should populate the pages field.



Paragraph 27.46.e **TECS (The Enforcement Communications System)** of the Processing guide and Appendix C, Processing Tables, have been amended (the following portion has been added):

(b)(7)(e)

Please fully withhold TECS II – SUBJECT QUERY RESULT [redacted] citing Exemptions (b)(7)(C) and (b)(7)(E), or (k)(2)/(b)(7)(C) and (b)(7)(E) if the case is PA. As always, please evaluate for any other exemptions that may apply.



28.08 **Bureau of Prisons documents** of the Processing Guide is being revised as follows:

Refer all documents originating with the Bureau of Prisons (BOP) for their direct response to the requester. Withhold the name of the agency. Do not refer Inmate Locator screen prints to BOP because that information is available to the public through their website. The Pre-Sentence Investigation Report (PSIR) does not originate with BOP, however BOP has a policy not to release the report to a person while he or she is an inmate. After the person is no longer an inmate, BOP gives the person report without redaction. BOP will return the PSIR to us if we refer it to them, and for that reason, we will no longer refer the PSIR to BOP under any circumstances. If the mailing address for the responsive record is to a federal correctional institution, please fully withhold the PSIR, citing Exemptions (b)(5) and (b)(7)(C) or (d)(5)/(b)(5) and (k)(2)/(b)(7)(C) if the case is a PA. Otherwise, evaluate the report for sensitive information about the victim and withhold that information, citing (b)(7)(C), but otherwise release it fully.

Paragraph 27.30 **Tax Returns** of the USCIS FOIA Processing Guide has been amended as follows: (new addition in red):

Redact third party documents such as W2's, and tax returns in part, submitted with the Affidavit of support. Release the name of the document and the names of the individual. Release the document if consent of the subject or the third party is present.

Release the tax return in full if the subject of the file or requester is a party to it. Partially withhold the tax return if the subject of the file is not a party to it, including a subject listed as a dependent.

If you are processing a FOIA case, fully withhold the Earned Income Credit sheet of a third party when there is no consent. Release of any part of the form would provide sensitive information about the third party's economic status.

Paragraph 6.3.4.6 of the FOIA/PA Assistant's Guide will be changed as follows: (changed portion in red)

As it reads now:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Close the request as an ER and send to Up Front Approver
b. Send an e-mail to the OA room and include the following information:
    1) REQ#
    2) NRC#
    3) Scanner's initials
    4) Date scanned

The OA room will pull the original request, include it in the current days count and follow return procedures.

Proposed change:

The case is not Genealogy unless it meets one of the above criteria. If the case you are creating does meet the criteria for Genealogy, create it as **OTHER** then do the following:

a. Create the and control the case.
b. Do not staff for any records and do not prepare an acknowledgment letter.
c. Send the case to Unit Chief with a discussion explaining it is a possible Genealogy
d. Send an email to the designated person who handles genealogy cases (currently Donna Brasfield) with the control number.

The designated person will review the request to determine if it is, in fact, a genealogy.

If it does not meet the criteria for genealogy it will be returned to you in Case Create to send an acknowledgment letter and staff for records.

If it does meet the criteria, the designated person will create a letter referring the requester to the Genealogy program and will close the case as ER.

Paragraph 12.5 Receipt Numbers of the FOIA/PA Assistant's Guide will be changed as follows:

As it reads now:
Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA MSC/NBC file request. **Do not request DIG T-files at HBG with RPC codes XX or ZG.** Refer to the Staffing Sheet Guide for the most current information.

Updated Paragraph:

Do not request receipt files from any offices other than one of the five Service Centers (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN). For receipt files at HBG, use the NON-FOIA HBG file request. **Do not request DIG T-files at HBG with RPC codes XX, XY, ZG, ZY, or ZZ.** Refer to the Staffing Sheet Guide for the most current information.

USCIS FOIA INFORMATION BULLETIN

May 24, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed paragraph 6.1.1.17, found under section 6.1.1 (RULES FOR ENTERING INFORMATION ON THE FIPS WORKSHEET) of the *FOIA/PA Assistant's Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

6.1.1.17 ~~If an attorney represents the subject, the first line of the address should be the name of the law firm the attorney is affiliated with, or, Attorney at Law, or "c-o" and the law firm name or the name of the attorney. If the attorney's name is part of the firm's name, then the first line of the address should be "Attorney at Law." If the attorney's name is not part of the firm's name, then the firm's name should be the first line of the address. For example, if the requesting attorney is Manuel Solis, and the firm's name is "Law Offices of Manuel Solis," the first line of the address should be "Attorney at Law." For another example, if the attorney's name is Spiro Serras and the firm's name is "Wilens and Baker," the first line of the address should be "Wilens and Baker."~~

6.1.1.17 Properly addressing attorney(s) as third party requesters in FIPS.

Example 1: If the attorney(s) is not affiliated with a law firm, then the first line of the address should be "Attorney at Law."

Requester	**Address**
Christopher T. Stender, (Esquire)	Attorney at Law 111 By Himself Sample, MS 44444

Example 2: If the attorney(s) name is part of the firm's name, then the first line of the address should be "Attorney at Law."

Requester	**Address**
Manual Solis, of (Law Offices of Manuel Solis)	Attorney at Law 111 His office Borderline, AK 22222

Example 3: If the attorney(s) name is not part of the firm's name, then the firm's name should be the first line of the address.

Requester	**Address**
Spiro Serras, of (Wilens and Baker)	Wilens and Baker 111 Their Office Aroundthebend, OK 33333

If the address on the request is a residential address under the name of someone other than the subject or requester, you must add 'c-o' and the listed person's name (FIPS will not allow c/o). If USPS does not show the requester or subject name on the request as living at that address, the mail will be returned. Using 'c-o' (in care of) allows USPS to deliver the mail to that address as long as the person listed receives mail at that address.

USCIS FOIA INFORMATION BULLETIN

May 23, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added and rearranged information to Section 28.

"Congressional Requests and Appeals", of the FOIA/PA Assistant's Guide as follows (new information in red):

28. CONGRESSIONAL REQUESTS AND APPEALS

Most FOIA/PA requests with congressional correspondence are written on behalf of a constituent and are actually a FOIA/PA request for an individual's records. These cases should also have an instruction sheet from Congressional, NRC. Simply create the case according to the directions. If you open a case with congressional correspondence, but there is no instruction sheet, please create the case as you normally create any other case, including staffing for the file and creating the acknowledgment letter or final action letter. After you have created the acknowledgment letter and staffing, or the final action letter, as appropriate, please send an e- mail to Congressional, NRC. The subject of the e-mail should be "Congressional Correspondence and the body of the e-mail should be the control number. Please CC your supervisor. Next, create a discussion entitled "Congressional Inquiry" and state in the comment field that you have sent an e-mail to Congressional, NRC. Finally, pend the case.

However, true congressional requests are requests from a congressman or senator for information which usually does not relate to an alien file or receipt file. The case should have an instruction sheet from Congressional, NRC. SIG processes true congressional requests. Simply create the case according to the directions and pend the case.

We have added another form (Assessment Sheet, second page shown below), to the USCIS Miscellaneous Documents list in the FOIA/PA Processing Guide as follows:

USCIS MISCELLANEOUS DOCUMENTS

TITLE/SUBJECT	FOIA EXEMPTION	PA EXEMPTION
Assessment to reject, terminate, grant or refer (relates to Asylum)	Withhold in full (b)(5)	(d)(5) and (b)(5)
Assessment Sheet (Preliminary Assessment)	Review for (b)(5) (deliberative process), otherwise release	Review for (d)(5) and (b)(5) (deliberative process), otherwise release
Asylum/Refugee flowcharts and worksheets that pertain to the interview	Review for (b)(5), otherwise release.	Review for (d)(5) and (b)(5), otherwise release.
Blank asylum/refugee flowcharts	Release	Release

A7

Assessment Sheet

Preliminary Assessment: (Complete for ABC cases only)

_____ Grant
_____ Deny

Request Based On

___ Race
___ Nationality
___ Religion
_x_ Political Opinion
___ Membership in Particular Social Group

Documents:

___ Specific
___ Generalized

___ Relevant
___ Irrelevant

_x_ No Documentation

Verbal Testimony:

_x_ Specific
___ Generalized

_x_ Consistent with I-589
___ Inconsistent w/ I-589 (Explain Below)
___ Convincing
___ Unconvincing

___ Credible
___ Not Credible

SUMMARY:

The applicant is a twenty-three year old male, native and citizen of who entered the United States on July , near California, and was not inspected. He fears harm from the of , because of his political opinion.

Please see the attached copy of the Notice of Intent to Deny, which has been mailed to the applicant.

USCIS FOIA INFORMATION BULLETIN

May 17, 2013

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have changed section 7.1, **Certification of agreement of parents or guardians,** of the *FOIA/PA Assistant's Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

If the requester asserts parentage or guardianship but does not provide proof, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings.

~~Request the proof of parentage by marking "other" on the requester documents page and insert the following~~

- ~~If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent. If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. The signature of the parent/guardian must be notarized or signed under penalty of perjury. Minors may also request their own files themselves. They do not have to have the certification of agreement of a parent or guardian to make this request. An attorney may also represent a minor.~~

~~You may need to modify the font on the requester documents section "other field" if needed, to fit onto the one page without interfering with the FIPS barcode on the bottom of the page. Do not modify the acknowledgement letter except with supervisor approval.~~

We have changed section 7.5, **Certification of agreement of parents or guardians,** of the *FOIA/PA Assistant's Guide* as follows (new information in red, ~~deleted portion in strikethrough~~):

If the requester says the subject is deceased and did not provide proof of death, but the subject is not over 100, we will close the case as a total denial (TD). For TD procedure, please refer to section 16a, TD (total denial) Case Closings. ~~we must send for requester documentation. If that is the situation, do not staff for the file.~~

We have changed section 23, FOIA Safe Procedure of the *Processing Guide* as follows (new information in red, ~~deleted portion in strikethrough~~): (b)(6)

2. Send the case to Admin and contact [redacted] via e-mail. Copy your supervisor on the e-mail also.

We have changed section 27.25.b, FBI Systems Check Results, of the *Processing Guide* as follows (new information in red):

Next, there is no need to withhold a response that does not indicate any result, positive or negative, such as PENDING or UNCLASS.

We have added a new section 27.25.j, IAFIS and NCIC, to the *Processing Guide* as follows (new information in red)

27.25.j IAFIS and NCIC

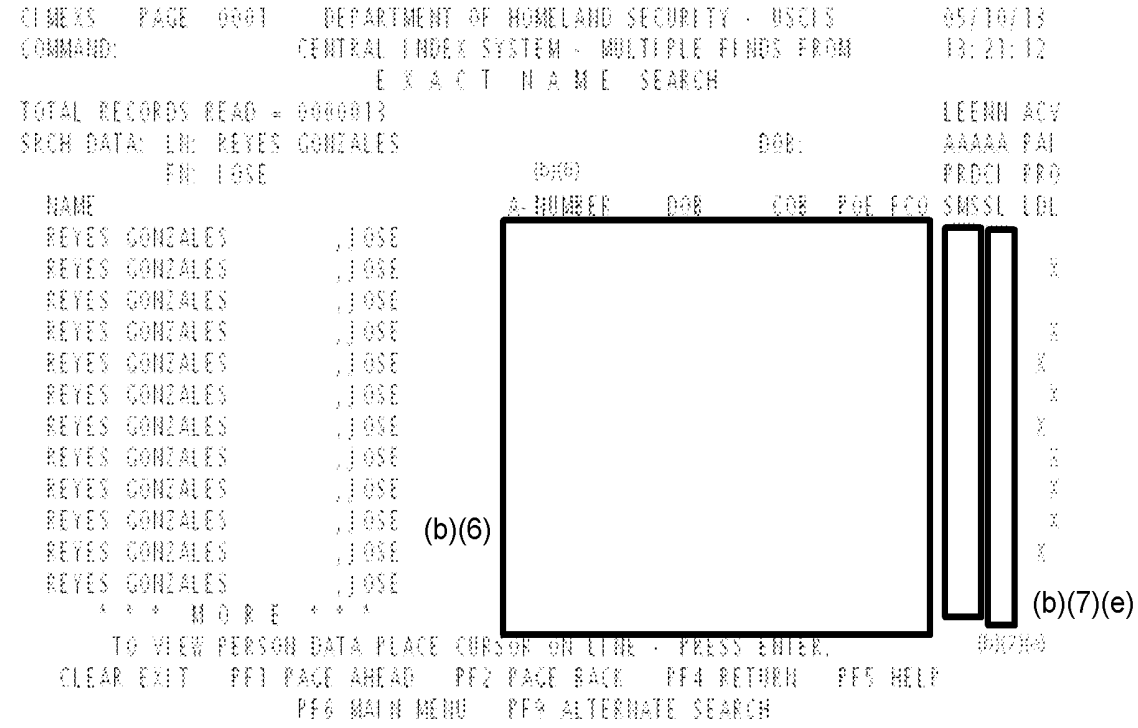
Since FBI is the lead agency for both IAFIS and NCIC, does that mean all results of IAFIS and NCIC are exempt?

No.

We may release criminal history that relates to the subject of record, but we may not release wants, warrants, fugitive or terrorist information. RAP sheets may show "IAFIS response" or "NCIC Interstate Identification Index," but since they pertain to criminal history rather than wants, warrants, fugitive or terrorist information, we may release them to the subject of record. On the other hand, we will withhold IAFIS or NCIC "positive" or "negative" because it could have to do with wants and warrants.

We have added new information to section 27.43.c of the *Processing Guide* as follows (new information in red)

For exact name or sounds-like searches, please withhold the columns beneath EARM, DACS or NAIL, whether or not there are X's. Note the example:



We are revising Appendix C, Processing Tables, of the *Processing Guide* so it will match prior ICE guidance. Where we change it, it is in light blue letters.

USCIS FOIA INFORMATION BULLETIN

May 16, 2014

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have added information to Section 12.12.1.6 "Blued-in" information, of the FOIA/PA Assistant's Guide as follows (new information in red):

A. If "Retire" had been blued in, it would have been important. We would have used that inquiry screen to staff from the FRC or RDF if it was retired at RDF. If the Center in the Accession Data is other than the Kansas City area, staff to Non-FOIA for the FCO. Release 6.1.1.0 of NFTS expanded the Kansas City FRC to three locations – Lee's Summit, Lenexa and North Kansas City. All three of those locations are FRC staffings unless the file is digitized.
B. For any FRC other than those three locations, you should create a Non-FOIA staffing to the FCO listed under "Office." It can be confusing. Please refer to the example at the bottom of this section, in which you would staff to Non-FOIA Office, BAL.

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
May 13, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

The wording of paragraph 28.05 of the **Processing Guide** has been changed (~~deleted portion stricken through~~):

28.05 Referring documents relating to third party individuals
If you are processing a case that contains documents that you normally refer to another agency but those documents **do no**t relate to the subject of record, please **do not** refer those documents. The exception would be if consent of all individuals has been given.

Mark as "Out of Scope" any TECS screen prints relating to third party individuals. ~~in full citing (b)(7)(C) of the FOIA and exemptions (k)(2) and (b)(7)(C) on PA cases.~~

Paragraph 12.7.6 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

> When conducting "no record" research, do the query and provide screen prints of all searches as directed. ~~Open a RAFACS *(not RAFACS/CIS)* staffing slot only. Click on "Customize Letter."~~ Print the appropriate CLAIMS screen prints (this should be no less than six pages and may be lengthier if subject has provided multiple names or multiple alias names). Prepare a "Scan As" sheet to be scanned as case supporting documents ~~responsive records~~ for the case number you have just created, attach it to the screen prints and take those to the OA room for scanning as CSD ~~person designated to scan RAFACS only responsive records. Pend the case~~ prepare a Final Action Letter with closing code NR. Insert a Discussion outlining the systems you searched and stating that you have sent the documentation to OA for scanning as CSD. Send to Up-front Approver.

Paragraph 12.7.12 of the **FOIA/PA Assistant's Guide** has been changed as follows (added portion underlined ~~deleted portion stricken through~~):

12.7.12 Receipt files

12.7.12.1 Do not request receipt files from any offices other than one of the five Service Centers (**ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN)**. For example, LOSJ9163201111, DALC922740405 or SPM9606900035, etc., are not receipt files we can request.

12.7.12.2 If the requester does not specifically ask for a receipt file and provides an alien number, request the alien file only. If the requester specifies a receipt file, search NFTS and staff for that receipt file OR if the receipt has been consolidated into an alien file, staff for that alien file.

12.7.12.3 If the requester does not provide any receipt number or alien number, then you must research CIS, CLAIMS and ~~possibly~~ PCQS.

Be cautious about requesting receipt files that are for EAD cards only. There should be another application/petition filed in conjunction with this EAD card. If the only receipt numbers you can find is for an EAD card, and they are within the seven-year retention time, then yes, you will request the EAD card.

If they provide a receipt number, you must research CLAIMS, PCQS and NFTS thoroughly. Ensure the receipt file has not been consolidated into a T-file or into an A-file. Please request the A-file or T-file if the receipt file has been consolidated. Check CLAIMS to be sure that the Service did not reject the receipt. Receipts that are shown as rejected in CLAIMS are returned to the submitter by the Service Center. Print the CLAIMS screen(s) that shows the receipt was rejected by the service. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

If there is no location information in NFTS, and if NVC does not have the receipt, but there is a record in PCQS, print any PCQS screen(s) concerning the petition. Create a File Request to RAFACS (not RAFACS/CIS). Leave the "Customize Letter" button selected. Attach a "Scan As" cover sheet to the screen prints, mark the box "Responsive Records" and take to person designated to scan RAFACS-only responsive records. Pend the case.

~~**12.7.12.4** If there is no information about the receipt file in NFTS, regardless of the prefix of the receipt number, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."~~

Proposed new paragraph

12.7.12.4 As a matter of last resort, if there is neither information about the receipt file in NFTS nor PCQS and you have called National Visa Center and determined NVC does not have the receipt, you should staff to the owner of the receipt file and paste in the CLAIMS screen. This information can be located on the CLAIMS inquiry screen upper right hand corner. The CLAIMS screen will show "owned by."

We are proposing a new paragraph, **27.49 Processing Marriage Fraud Interviews / Stokes Interviews** *to be added to the processing guide:*

A marriage fraud interview is frequently part of the process of removing the conditions on permanent residency. If the outcome is favorable, we won't usually see the marriage fraud interview in the A-file. Ordinarily, we would fully release any question/answer notes taken during a marriage fraud interview to either party, unless there is deliberative process.

The adjudicator may divide the notes page in half, recording questions and answers on the left-hand side of the page, while using the right-hand side of the page to record impressions, opinions and deliberation. In such a case, you will normally withhold the right-hand side of the page, citing Exemption (b)(5) of the FOIA, or Exemptions (d)(5) of the PA and (b)(5) of the FOIA if the case is PA.

Even though we would fully release the interview under normal circumstances, you must still evaluate for the possibility of other exempt material. For instance, you may find clearly unwarranted invasion of personal privacy of one of the parties, depending also upon circumstances within the file, for example, matters having to do with VAWA or asylum. If you are unsure, please consult your supervisor.

USCIS FOIA INFORMATION BULLETIN

May 12, 2015

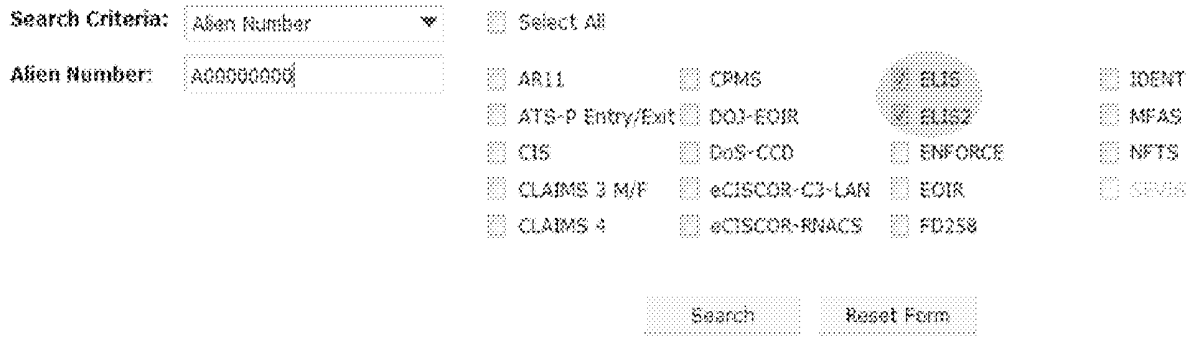
The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated section 12.18.16, Creating Staffing and Acknowledgement letters for ELIS cases, of the FOIA/PA Assistant's Guide as follows (~~deleted information in strikethrough~~, new information in red):

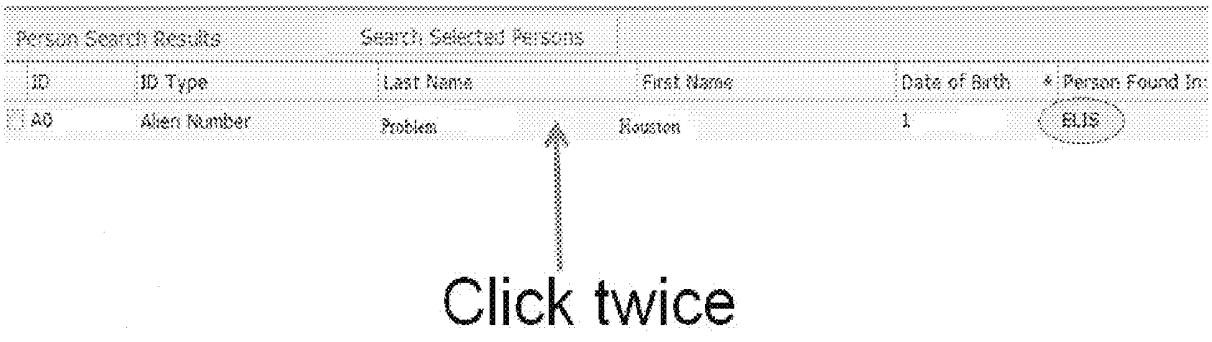
12.18.16 Creating Staffing and Acknowledgement letters for ELIS cases
(The updated slideshows; ~~Researching, Staffing and Redacting ELIS information in PCQS~~ ELIS Research Staff Redact – ELIS, and ELIS Research Staff Redact -- PCQS can be found at O:\FOIA\FOIA Library\Case Create References, also in Connect and ECN).

12.18.16.1 Find the IOE Number

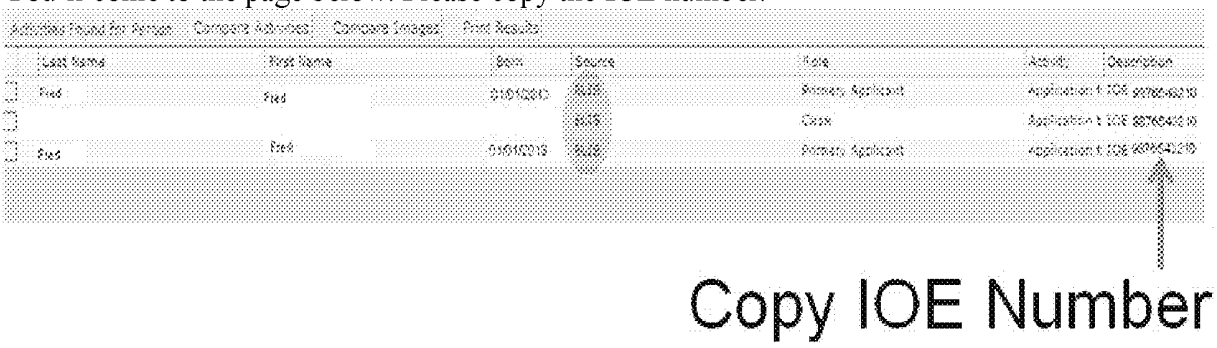
Whenever you create a case, please check both the ELIS and ELIS2 blocks in PCQS to search for ELIS information.



If you get a response of "Person Found In: ELIS," please click twice to get your IOE number.



You'll come to the page below. Please copy the IOE number.

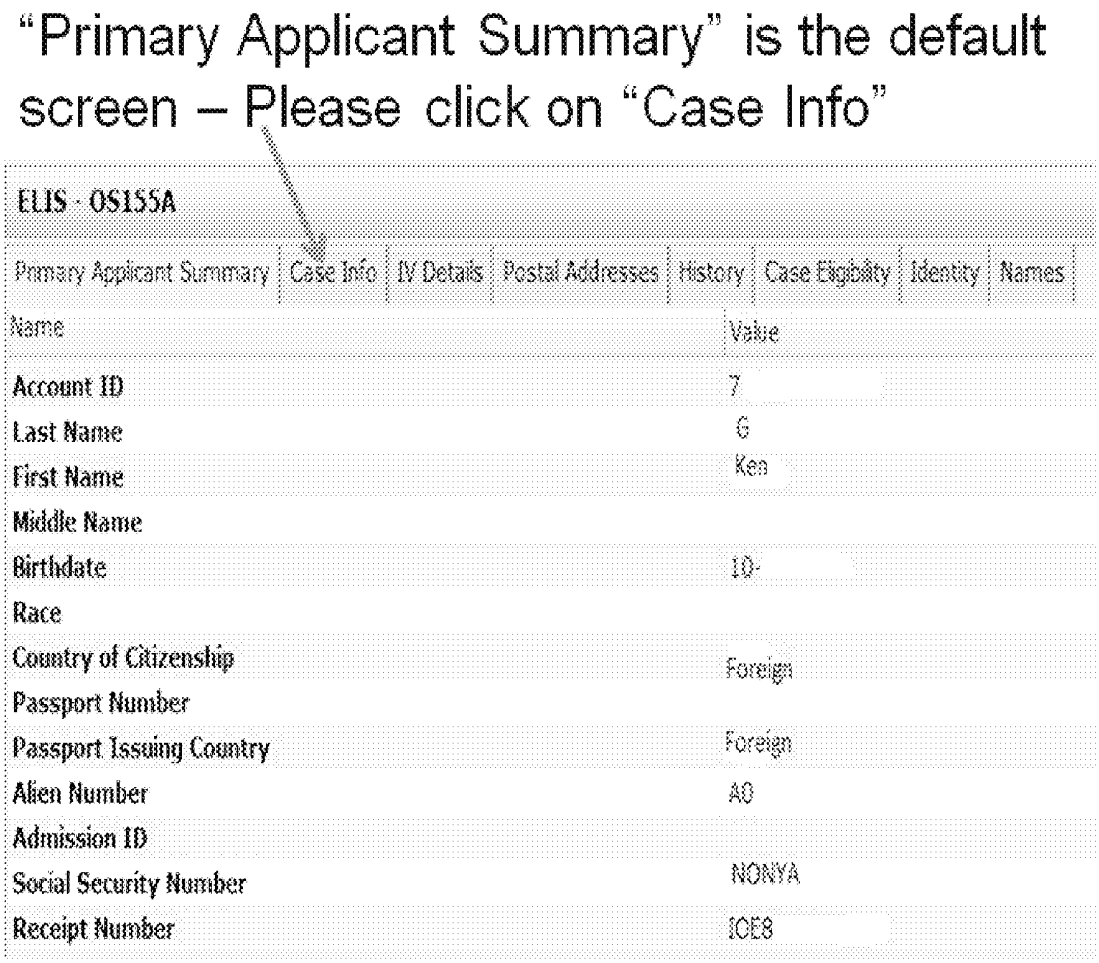


12.18.16.2 Determine Requester/Case Open or Closed

To determine what language (if any) gets copied and pasted into the Staffing and Acknowledgment letters, you have to know two things:

1. Is this a self-request or a request from Attorney/Representative/Others?
2. Is the case open or closed?

You can see if the case is open or closed on the ELIS Case Info screen. If you double-click the person's information in PCQS (same place where you copied the IOE number above), the "Primary Applicant Summary" default screen will display.



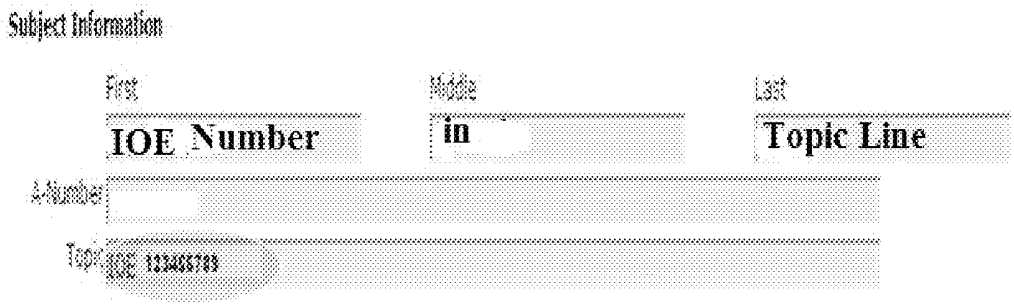
Please click to display the "Case Info" screen. On the left side of the Case Info screen, you'll see a category called "Case State." Across from the Case State, you'll see one of four options:

A. Accepted
B. Optimized
C. Reopened
D. Closed

If the case state is accepted, optimized or reopened, the case is open. Closed means closed.

12.18.16.3 Create the Case/Put IOE Number in Topic Line

~~In the ELIS record, there will also be an IOE number. Please copy that number.~~ Fill out the FIPS worksheet as you normally would, except paste "IOE" and the number into the "Topic" line on the FIPS worksheet.



NOTE: Putting the IOE number in the Topic line is the only way we have to track ELIS and ELIS2 cases.

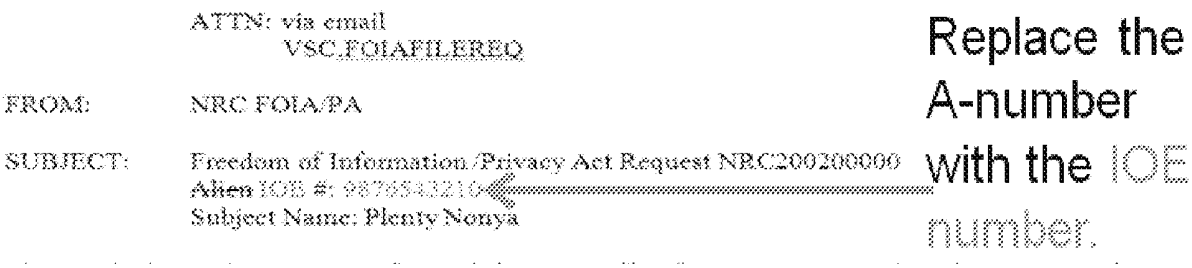
Next, you'll either create an SSC or ESC staffing.

12.18.16.4 Create Staffing and Acknowledgment letters

If the A number is between 30 and 70 million, please create an SSC staffing (Immigrant Visa case, Form OS-155A).

Create an ESC staffing for any other A-number (Form I-539, Application to Extend or Change Nonimmigrant Status).

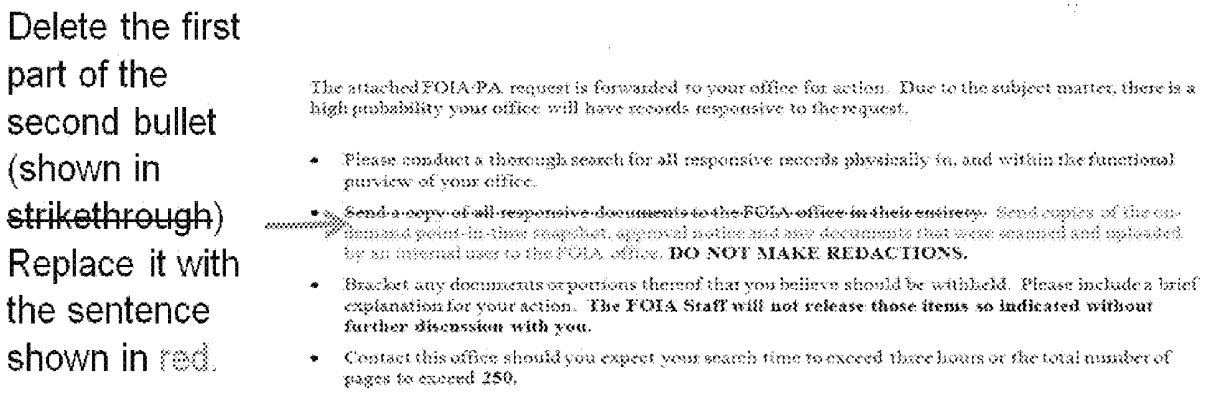
~~In the ELIS record, there will also be an IOE number. Please copy that number.~~ On both pages of the SSC or ESC staffing letter, please replace the "Alien #" with the term IOE and the number you copied from PCQS as shown here:



If you have a self-request, whether it is open or closed, you will replace the Staffing letter's second bullet, first sentence with the following language:

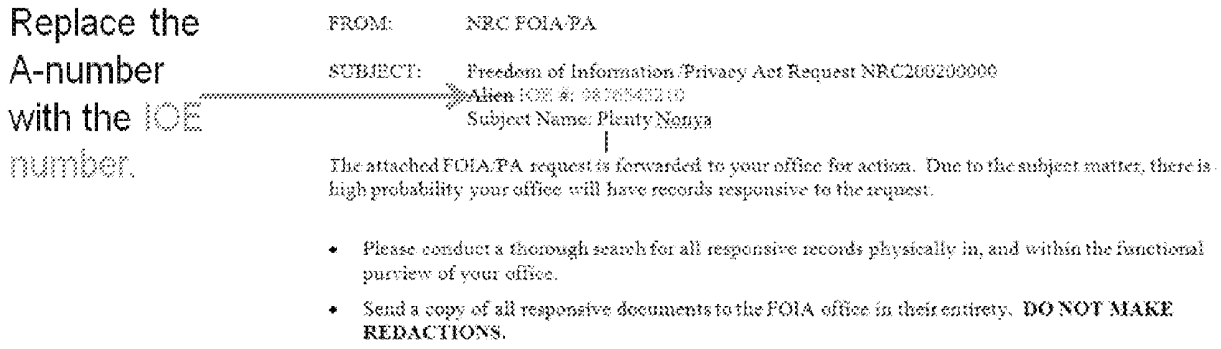
"Send copies of the on-demand point-in-time snapshot, approval notice and any documents that were scanned and uploaded by an internal user to the FOIA office."

NOTE: Leave the second statement, "**DO NOT MAKE REDACTIONS**," as is, after the language you inserted. Do not delete.



If you have an open Attorney/Representative/Others request, please follow the same directions as the open or closed self-request above.

However, if you have a closed Attorney/Representative/Others request, simply replace the "Alien #" with the IOE number you copied from PCQS only. Do not insert the language mentioned earlier.



Different language will be inserted into the Acknowledgement letter, but will follow the same pattern as above. An open or closed self-request will be treated the same as an open Attorney/Representative/Others request.

Please insert the following paragraph after the "fees" section in the Acknowledgement letter:

"From the USCIS Electronic Immigration System (ELIS) you may download:

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondences (G-28 Representation or Withdrawal request) from the View My Cases screen; and
(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instructions below to request your USCIS ELIS content."

See the following example:

In accordance with Department of Homeland Security Regulations (6 C.F.R. § 5.3(c)), your request is deemed to constitute an agreement to pay any fees that may be chargeable up to $25.00. Fees may be charged for searching for records sought at the respective clerical, professional, and/or managerial rates of $4.00/$7.00/$10.25 per quarter hour, and for duplication of copies at the rate of $.10 per copy. The first 100 copies and two hours of search time are not charged, and the remaining combined charges for search and duplication must exceed $14.00 before we will charge you any fees. Most requests do not require any fees; however, if fees in excess of $25.00 are required, we will notify you beforehand.

From the USCIS Electronic Immigration System (ELIS) you may download:

(1) the case intake snapshot, documents uploaded in response to a Request for Evidence and correspondence, (G-28 Representation or Withdrawal request) from the View My Cases screen; and

(2) notices, if any, from the View Messages screen.

NOTE: Since you can download the USCIS ELIS content above, we will not be providing this material in our response to you. However, if you are unable to access USCIS ELIS, please follow the instruction below to request your USCIS ELIS content.

Please insert (cut and paste) this language below the fees paragraph – tells the requester what he or she can download

If the Attorney/Representative/Others case is closed, do not make any changes to the Acknowledgment letter.

Any time you create an ELIS staffing, please send an e-mail to NRC, FOIA QA-CS and copy Tracy Bellisime. The subject of the e-mail should be "ELIS staffing" and the body of the e-mail should be the case number.

12.18.16.5 ELIS Staffing / Ack Letter Decision Table

ELIS Staffing / Ack Letter Decision Table

Requester/Case State?	Staffing Letter	Acknowledgment Letter
Self-Request: Open (Accepted, Optimized or Reopened)	Add ICE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Self-Request: Closed	Add ICE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Open	Add ICE number and insert – "Send a copy of the on-demand..."	Insert the language that begins, "From the USCIS Electronic Immigration System (ELIS)..."
Third Party (including Atty/Rep/Others) – Closed	Add ICE number only	No change to Acknowledgement Letter

USCIS FOIA INFORMATION BULLETIN

O: FOIA/FOIA LIBRARY/FOIA INFORMATION BULLETIN
May 6, 2011

The **FOIA Information Bulletin** is a publication issued by the FOIA Program Office as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have numbered the paragraphs of the FOIA/PA Assistant's Guide for the same reason we numbered the paragraphs of the Processing Guide: page numbers frequently change when there is a change or new paragraph added to the guide, and numbered paragraphs can help avoid confusion.

The wording of paragraph 5.01 of the **Processing Guide** has been changed (changed portion is underlined):

5.01 Consent relating to records concerning a minor or person judicially determined to be incompetent

If a parent is filing on behalf of a minor child, the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming the requester as a legal parent. If guardians file on behalf of their wards, they must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or signed under penalty of perjury (6 C.F.R. § 5.21(e)).

Minors may request their own files; they do not need consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 7.1,* Consent of Parents or Guardians,** *of the* ***FOIA/PA Assistant's Guide *has been changed (changed portion is underlined):*

If a parent is filing on behalf of a minor child, then the parent must submit proof of parentage. Proof of parentage can be in the form of a birth certificate, adoption decree or similar document, naming them as a legal parent.

If a guardian is filing on behalf of a minor or person judicially determined to be incompetent, he or she must submit proof of guardianship. No consent is necessary from the minor child or the person judicially determined to be incompetent, however the parent/guardian must provide his or her own verification of identity that is notarized or

signed under penalty of perjury [6 C.F.R. § 5.21(e)]. The case processor will have to request more information if he or she cannot determine parentage or guardianship within the file.

Minors may request their own files; they do not have to have the consent of their parents or guardians to do so. Attorneys may represent minors also.

Paragraph 12.7.11 T-files *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

The exception to this rule – We do not receive A-files from ESC, SSC, NSC, WSC or RDF for scanning. Those offices either scan directly into FIPS for us or we export the A-file from EDMS. Therefore, if the A-file is at one of the above service centers and there is a T-file anywhere else, including at the NRC, you will have to staff for the T-file. MSC is the only service center that sends the A-file to the NRC for scanning. Another example of when we staff for an in-house T-file is when the responsive records are scanned in simultaneously with the request.

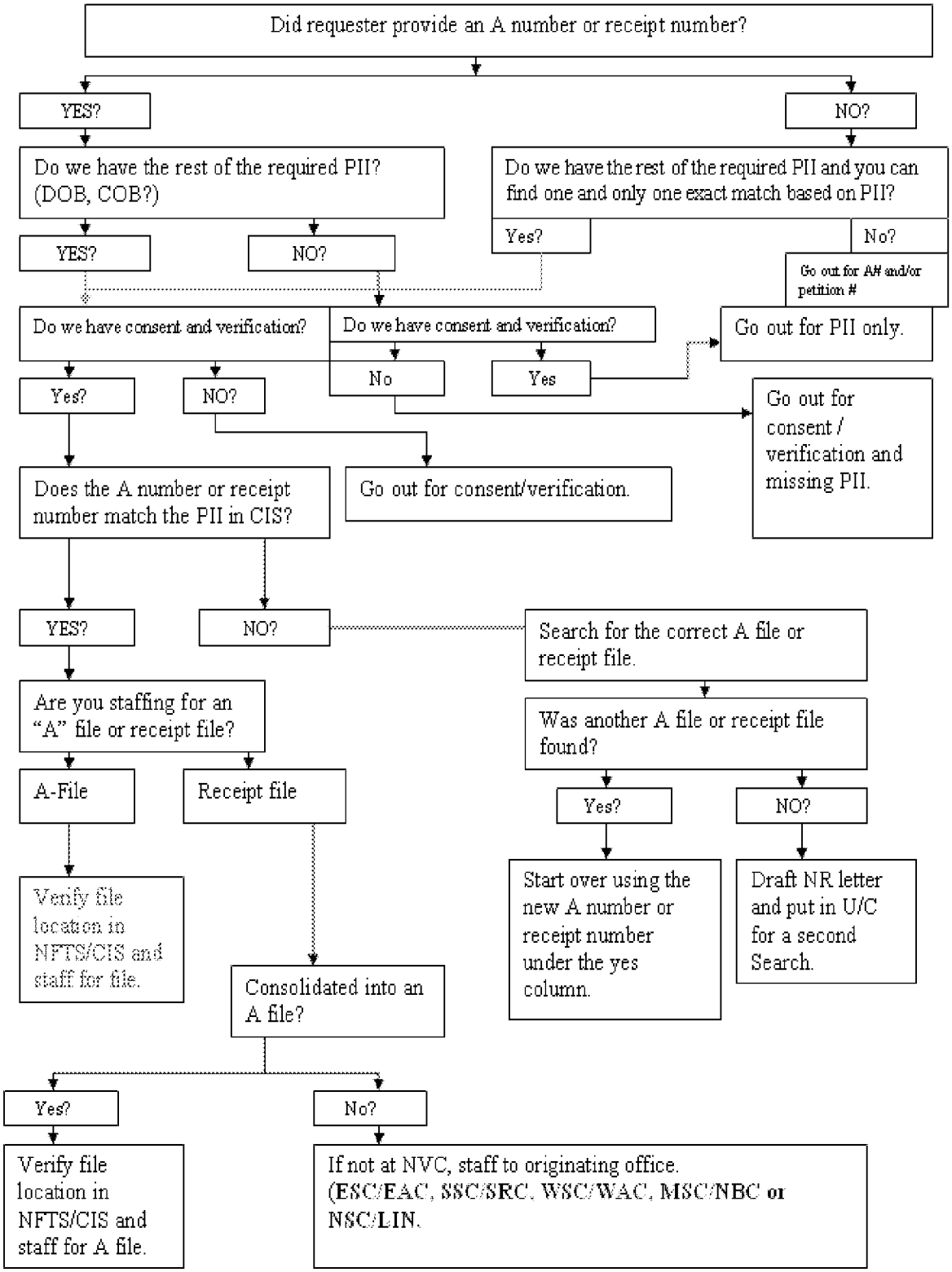
Paragraph 12.7.3 Files Lost or Not Found MORE THAN NINE MONTHS *of the* ***FOIA/PA Assistant's Guide*** *has been changed* (changed portion is underlined):

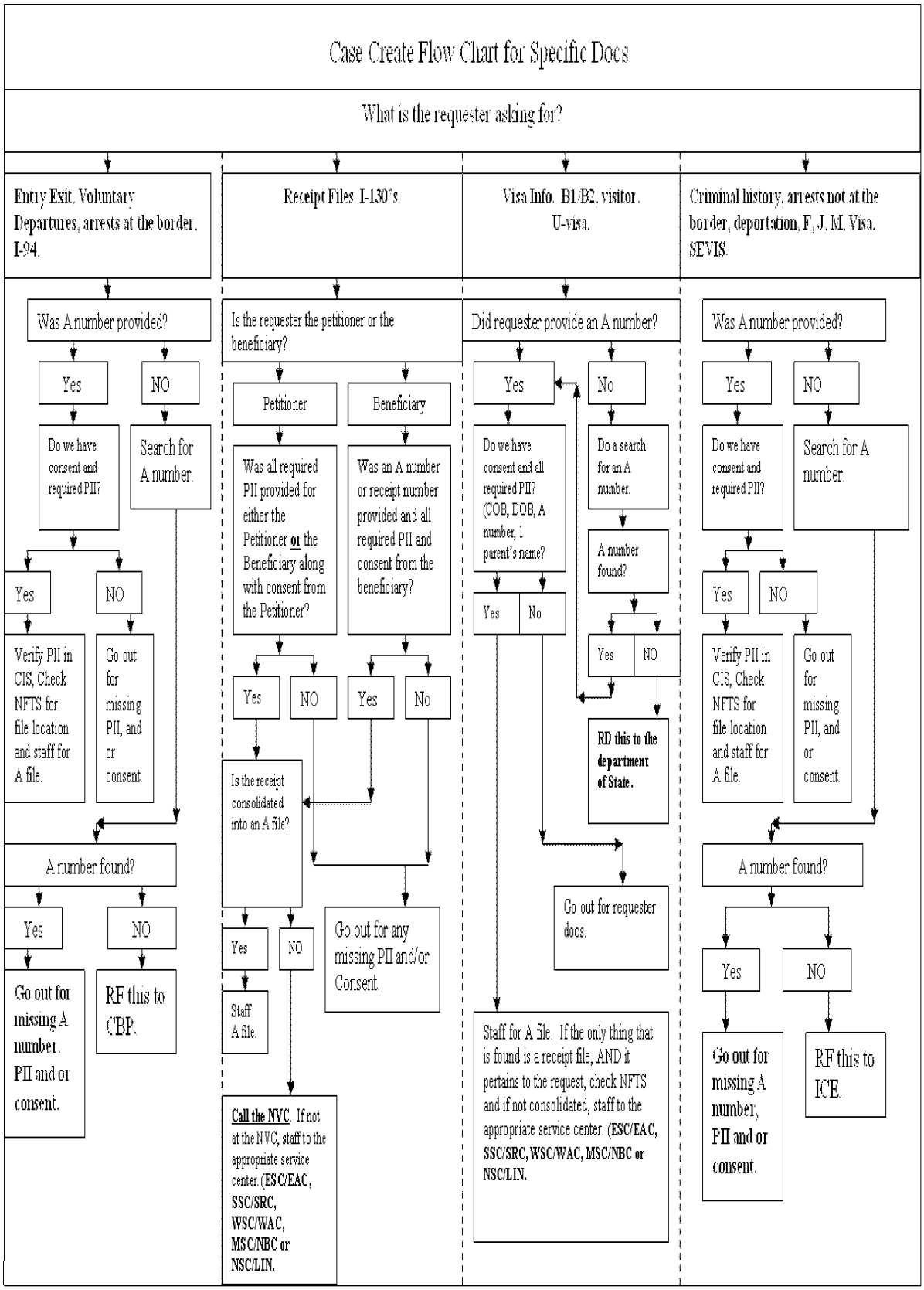
12.7.3.9 **If the A-file is lost but other records exist** (such as receipt files we would normally request or other a-files, including T-Files, wherever they may be, including NRC) Request the additional records. Put in a Discussion that reads:

> A-file number XXXXXXXXX is currently showing as lost. Staffed for the following additional files: XXXXXXX, XXXXXXX, XXXXXXX. Once they are received, please review. Please also verify that the original a-file is still lost. If the original a-file has been consolidated in fact but not in the systems, please process and send your case to approver. Also send an e-mail to the MSB for resolution. Include both a-numbers. If no documents exist from the original a-file, please process what is available. Advise the requester that the original a-file is lost. Your case will close as a PD even if no redactions are made. Thank you.

APPENDIX H: CASE CREATE FLOW CHARTS has been added to the FOIA/PA Assistant's Guide, the charts follow:

Case Create Flow Chart for All my records.




Case Create Flow Chart for Specific Docs
What is the requester asking for?
Entry Exit, Voluntary Departures, arrests at the border, I-94.
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number.
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent.
RF this to CBP.
Receipt Files I-130's.
Is the requester the petitioner or the beneficiary?
Petitioner
Beneficiary
Was all required PII provided for either the Petitioner or the Beneficiary along with consent from the Petitioner?
Was an A number or receipt number provided and all required PII and consent from the beneficiary?
Yes
NO
Yes
No
Is the receipt consolidated into an A file?
Yes
NO
Staff A file.
Go out for any missing PII and/or Consent.
Call the NVC. If not at the NVC, staff to the appropriate service center. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Visa Info. B1/B2, visitor. U-visa.
Did requester provide an A number?
Yes
No
Do we have consent and all required PII? (COB, DOB, A number, 1 parent's name?
Do a search for an A number.
A number found?
Yes
No
Yes
NO
RD this to the department of State.
Go out for requester docs.
Staff for A file. If the only thing that is found is a receipt file, AND it pertains to the request, check NFTS and if not consolidated, staff to the appropriate service center. (ESC/EAC, SSC/SRC, WSC/WAC, MSC/NBC or NSC/LIN.
Criminal history, arrests not at the border, deportation, F, J, M, Visa. SEVIS.
Was A number provided?
Yes
NO
Do we have consent and required PII?
Search for A number.
Yes
NO
Verify PII in CIS, Check NFTS for file location and staff for A file.
Go out for missing PII, and or consent.
A number found?
Yes
NO
Go out for missing A number, PII and or consent.
RF this to ICE.

APPENDIX I: ALIEN NUMBER ASSIGNMENT has been added

to the FOIA/PA Assistant's Guide, the charts follow:

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
ISSUED PRE-1960	PHYSICAL FILES	A 001-000-000	A 011-999-999
ADJUSTMENTS	PHYSICAL FILES	A 012-000-000	A 014-999-999
CREWMAN	PHYSICAL FILES	A 015-000-000	A 016-999-999
ADJUSTMENTS	PHYSICAL FILES	A 017-000-000	A 029-999-999
VISA (STATE DEPT)	PHYSICAL FILES	A 030-000-000	A 069-999-999
ADJUSTMENTS	PHYSICAL FILES	A 070-000-000	A 070-491-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-491-201	A 070-503-200
ADJUSTMENTS	PHYSICAL FILES	A 070-503-201	A 070-527-200
FAMILY FAIRNESS	PHYSICAL FILES	A 070-527-201	A 070-987-200
ADJUSTMENTS	PHYSICAL FILES	A 070-987-201	A 077-536-951
KOSOVO	PHYSICAL FILES	A 077-536-952	A 077-537-451
ADJUSTMENTS	PHYSICAL FILES	A 070-537-452	A 079-999-999
BORDER APPREHENSIONS	ELECTRONIC ONLY	A 080-000-000	A 086-899-999
ADJUSTMENTS	PHYSICAL FILES	A 086-900-000	A 089-999-999
LEGALIZATION	PHYSICAL FILES	A 090-000-000	A 093-999-999
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-000-000	A 094-250-500
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-329-751	A 094-334-250
HURRICANE MITCH	PHYSICAL FILES	A 094-250-501	A 094-328-750
HURRICANE MITCH	PHYSICAL FILES	A 094-334-251	A 094-364-250
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-364-251	A 094-399-500
KOSOVO	PHYSICAL FILES	A 094-399-501	A 094-404-750
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-404-751	A 094-500-000
KOSOVO	PHYSICAL FILES	A 094-502-001	A 094-527-000
TEMPORARY PROTECTIVE STATUS (TPS)	PHYSICAL FILES	A 094-750-000	A 095-099-999
NSC ORPHANS	PHYSICAL FILES	A 094-500-001	A 094-502-000
NSC ORPHANS	PHYSICAL FILES	A 094-527-001	A 094-528-000
REFUGEES	PHYSICAL FILES	A 094-528-001	A 094-628-000

CLASSIFICATION	TYPE OF NUMBER ISSUED	STARTING NUMBER	ENDING NUMBER
REFUGEES	PHYSCIAL FILES	A 094-638-001	A 094-749-999
ADJUSTMENTS	PHYSCIAL FILES	A 095-100-000	A 096-749-999
LIFE ACT	PHYSCIAL FILES	A 096-750-000	A 096-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 097-000-000	A 098-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 098-100-000	A 099-099-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-100-000	A 099-299-999
ADJUSTMENTS	PHYSCIAL FILES	A 099-300-000	A 099-999-999
EMPLOYMENT AUTHORIZATION DOCUMENT (EAD)	ELECTRONIC ONLY	A 100-000-000	A 199-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 200-000-000	A 203-999-999
NOT ISSUED	NOT ISSUED	A 204-000-000	A 2049-999-999
ADJUSTMENTS	PHYSCIAL FILES	A 205-000-000	A 205-999-999
NOT ISSUED	NOT ISSUED	A 206-000-000	A 209-000-000
ADJUSTMENTS	PHYSCIAL FILES	A 210-000-000	A 211-999-999
REFUGEES	PHYSCIAL FILES	A 212-000-000	A 212-399-999
ADJUSTMENTS	NOT ISSUED	A 212-400-000	A 299-999-999
NOT ISSUED	NOT ISSUED	A 300-000-000	A 300-299-999
ADJUSTMENT	PHYSCIAL FILES	A 300-300-000	A 300-322-501
NOT ISSUED	NOT ISSUED	A 300-322-502	A 999-999-999

LEDGER:

CREWMAN: Fifteen and sixteen million series have been issued to Alien Crewman Landing Permit and Identification Cards groups. The blocks of numbers are assigned to offices issuing such cards.

ELECTRONIC ONLY: No physical jackets are created.

PHYCIAL FILES: A-Number with A-File Jackets

NOT ISSUED: The numbers are not by used any Office or Program

VISA (STATE DEPT): DoS is electronically assigned blocks of A-Numbers that they assign to Visa packets.

USCIS FOIA INFORMATION BULLETIN

May 5, 2015

The **FOIA Information Bulletin** is a publication issued by the FOIA Quality Assurance and Customer Service Group as a communication tool regarding current information of use and interest to USCIS FOIA personnel. The intent of the bulletin is to improve consistency and timeliness of information. **See your supervisor if you have any questions about bulletin topics.**

We have updated a link in Section 8.21, SITUATION: Record at National Archives and Records Administration (NARA), of the FOIA/PA Assistants Guide as follows (~~deleted information in strikethrough~~, new information in red):

8.21 SITUATION: Record at National Archives and Records Administration (NARA)

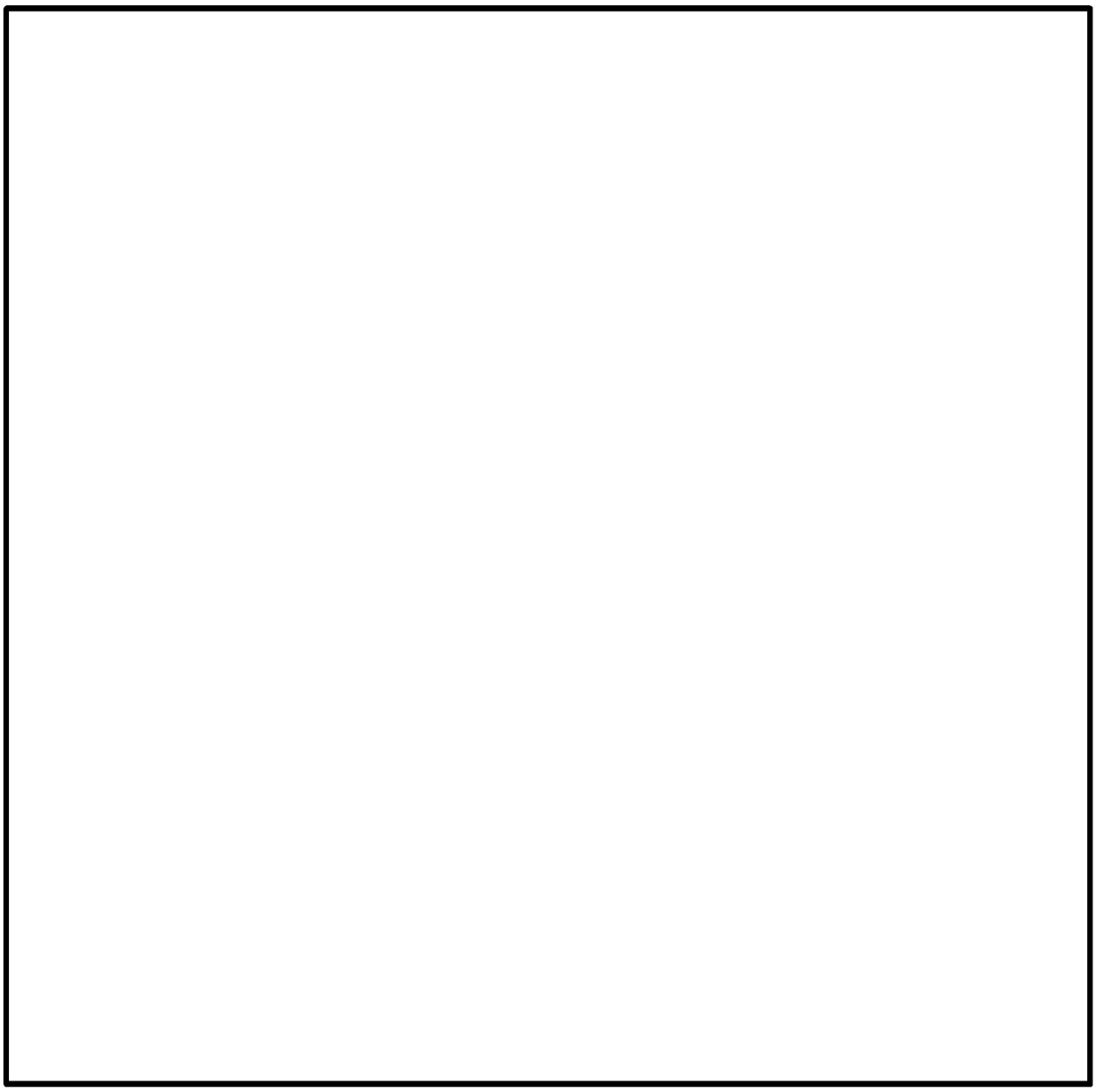
If the subject meets the criteria listed in section 6.3.4.6, continue with the steps listed below:

A. If NFTS shows that the A-Number has been retired to NARA, it means we have turned the records over to NARA permanently. The requester will have to send a request to NARA.
B. Please select Final Action Letter and select NA: FOIA or PA not applicable. Please refer to section 14 of this guide.
   Replace the body of the Final Action Letter with the ~~NARA Historical Record~~ National Archives Letter located at ~~\\Z02RSCNRC09\Common$\Foia\FOIA LIBRARY\Case Create References\NARA Historical Record Letter.doc~~ O:\Foia\FOIA LIBRARY\Case Create References\National Archives.doc

C. Create a Discussion with findings for the Up-front Approver.

We have added a new section, 27.55, Identifying Robert Schofield/Hidden Patriot Cases to the FOIA Processing Guide as follows (new information in red):

(b)(7)(e)

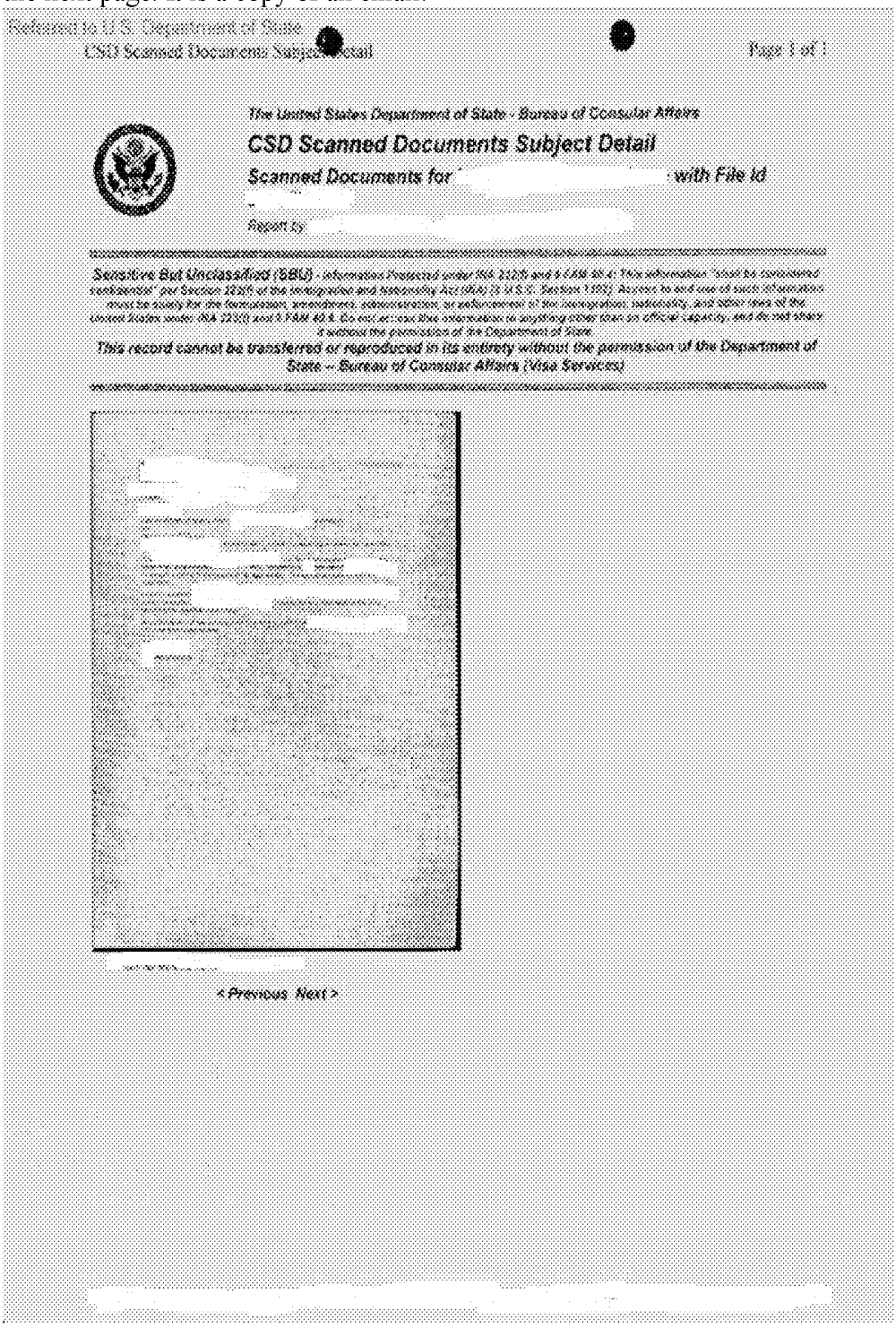


We have updated paragraph 28.06.a.17. of the FOIA/PA Processing Guide as follows (new information in red):

28.06.a.17. Refer any State Department document, whether it pertains to a nonimmigrant visa or an immigrant visa including SEVIS screen prints, if it bears the following warning: **Sensitive But Unclassified (SBU) – Information Protected under INA 222(f) and 9 FAM 40.4. This record cannot be transferred or reproduced in its entirety without the permission of the Department of State – Bureau of Consular Affairs (Visa Services).**

Remember that the scanned document must be a State Department document in order to refer it. Consider the example below.

Is the document scanned a State Department document? We've enlarged the document on the next page. It is a copy of an email.


Released to U.S. Department of State

CSD Scanned Documents Subject Detail Page 1 of 1

The United States Department of State - Bureau of Consular Affairs

CSD Scanned Documents Subject Detail

Scanned Documents for [redacted] with File Id [redacted]

Report by [redacted]

Sensitive But Unclassified (SBU) - information Protected under INA 222(f) and 8 FAM 40.4. This information "shall be considered confidential" per Section 222(f) of the Immigration and Nationality Act (INA) (8 U.S.C. Section 1202). Access to and use of such information must be solely for the formulation, amendment, administration, or enforcement of the immigration, nationality, and other laws of the United States under INA 222(f) and 8 FAM 40.4. Do not access this information in anything other than an official capacity, and do not share it without the permission of the Department of State.

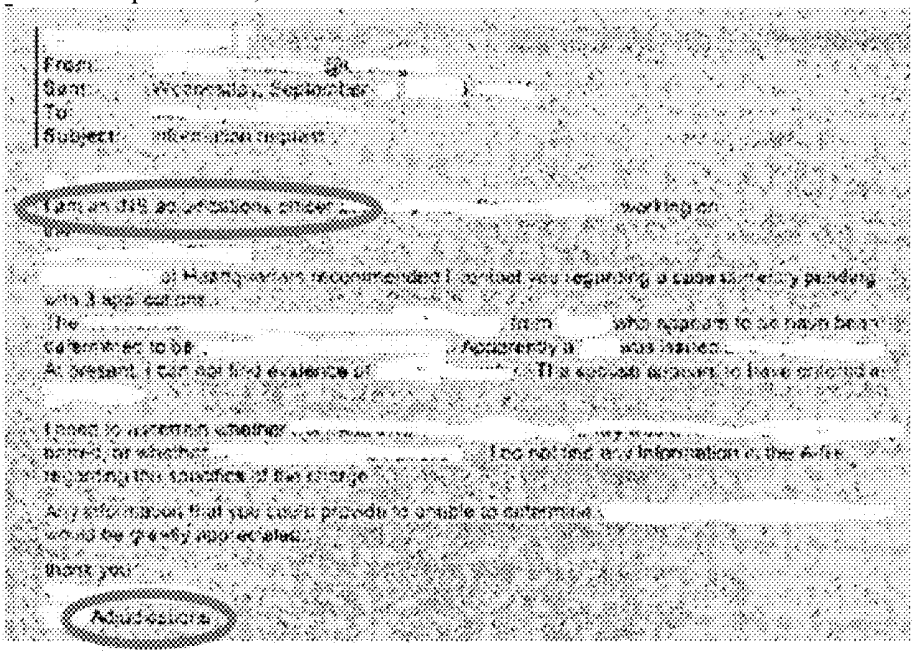
This record cannot be transferred or reproduced in its entirety without the permission of the Department of State – Bureau of Consular Affairs (Visa Services)

[redacted]

< Previous Next >

[redacted]

An adjudications officer is writing the State Department and asking questions about the subject of record. This document is not a State Department document, and therefore; should be processed, not referred.



(b)(6)

[redacted]

From: Shields, Kathy S
Sent: Monday, April 28, 2014 12:16 PM
To: Shields, Kathy S
Subject: FW: Assembly of Printed New Requests before Scanning them

1. Any internal cover sheet (ex. Track 3 Approved or Denied, or Scan As New Request, Expedited request cover sheet) goes on top of the package
2. The 2-page G-639 or if there is no G-639, the request with required signatures; If page 1 or 2 is missing on email, send email to requester to re-submit the complete request package
3. The G-28 which in April has to consist of 4 pages if solely used for certification of agreement signature (authorization to release records to an attorney or other accredited representative of the individual); if signature of individual appears in Block 3 of G-639 this is accepted for certification of agreement signature.
4. Notice to Appear before immigration court document; place blank Track 3 cover sheet placed on top and put in Track 3 Tub in OA room for a supervisor to pick up to review and either approve or deny the Track 3 request. If there is no Notice to Appear but requester is requesting Track 3 processing, place blank Track 3 cover sheet on top and put in Track 3 tub in OA room.
5. Other supporting documents
6. Correspondence
7. Fax cover sheet if one exists
8. Email is last page(s) of the package

The Blank Track 3 sheet can be accessed for printing at:
S:\FOIA\FOIA QA and CS group\SOP's\Customer Service Group\SCAN AS Cover Sheets\COVER SHEET - TRACK 3 - BLANK.doc – place on top of these types of requests and place in Track 3 tub in OA room for supervisor review

The Blank Expedited Sheet can be accessed for printing at:
S:\FOIA\FOIA QA and CS group\SOP's\Customer Service Group\SCAN AS Cover Sheets\COVER SHEET - FOR EXPEDITE TUB IN OA ROOM FOR SUPERVISOR REVIEW.docx

Your Batch Control sheets can be accessed for printing at:
S:\FOIA\FOIA OA Room\Cover sheets template FOIA related\NEW REQUEST BATCH CONTROL.doc